

A Time for a Change is a Time for a Chance

**New instruments to supervise
records management and digital archives**

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1. Introduction

A change in supervising records management and archives in The Netherlands

The 'Archiefwet 1995' (Public Records Act 1995) takes measures to protect governmental archives. To that end the Archiefwet 1995 introduces different levels of supervision. The first 'line of defence' is internal control and auditing. The second line of defence is formed by the local archives inspection. The third line of defence consists of supervision of local governments by provincial (regional or supra-local) governments.

This 'defence system' links to recent developments, in which the government puts more emphasis on internal and horizontal quality control, and less on vertical supervision. But: are local archives inspectors sufficiently equipped for this task?

Another development - digitized archives and information - offers a chance for a change in methods. For that purpose archives inspectors developed two instruments: RODIN and ED3. RODIN enables inspection in the dynamic phase of information. ED3 is useful in the building and test of digital repositories. We shall work this out below.

2. Function and activities of provincial archives inspectors

Provincial archives inspectors, working within the area of responsibility of the provincial government, are independent controllers. Inspectors audit records and archival management and supervise over 400 municipalities and about 300 other local administrations in 12 provinces. They inspect the quality of records management from beginning to end: from either creation to destruction or transportation to an (electronic) repository. They report their findings directly to the municipalities and write a general report every two years. Where possible they cooperate with their local colleagues.

3. Instruments recently developed by national, regional and local inspectors

3.1. A standard to calculate the quantitative capacity of internal control in municipalities.

The local inspectors view numerous tasks: integral, aspect and incidental inspections, and the monitoring of these. They provide information, judge proposals for destruction of archives, and are involved with the transfer and acquisition of governmental, private and corporate archives.

Due to cuts the staffing level of local inspections was threatened and archive inspectors set a standard to counter this.

The standard¹ defines whether the local archives inspection is prepared to fulfill these tasks and especially to meet the new lay out of supervision, which stretches internal and horizontal control. It is also a way to prevent that cuts and lack of interest turn the defence system into a 'thin red line, only tipped with a pencil'.

The method is based on two variables: the task package of the inspector and the number of municipal organizations to be inspected. One can fill these variables in an Excel model and thus judge the quantitative situation.

¹ Rekennorm formatie (inter-)gemeentelijke archiefinspectie, 2011. LOPAI WGA. Authors: L.P.E. Kretzschmar, F.Schoonheim, A.C.V.M. Bongenaar, J.D.J. van Oss.

Tasks	Number of organizations to be inspected	Hours	Frequency per year	Hours on yearly base
Integral, complex inspections	4,0	180,0	0,25	180,00
Integral, normal inspections	4,0	120,0	0,25	120,00
Integral, not complex inspections	4,0	80,0	0,25	80,00
Total number of organizations to be inspected	12,0			
Weighted number of organizations	12,7			
Follow-up	12,0	20,0	0,25	60,00
Aspect inspection (planning)	not applicable	50,0	1,00	50,00
Aspect inspection (execution)	12,0	5,0	1,00	60,00
Inspection based on incidents	1,0 (estimated)	40,0	1,00	40,00
Two year report	not applicable	40,0	1,00	40,00
Advice	12,7	120,0	0,25	380,40
Policy	12,7	15,0	1,00	190,20
Relation management	12,0	1,0	4,00	48,00
Providing information	12,7	1,0	20,00	253,60
Judging proposals for destruction	12,7	4,0	1,00	50,72
Transfer of archives	12,7	120,0	0,10	152,16
Education	not applicable	60,0	1,00	60,00
Sub total hours				1765,08
Total fte				1,30
Absolute number				
Weighted number ²				
No number				

Table 1 Excel example

For further reading: <http://www.lopai.nl/nieuws.nieuwsbericht20100409.php> (in Dutch only).

3.2. RODIN

Archives inspectors, carrying out their task, were confronted with existing questionnaires of over 150 questions, divided over 8 chapters. These questionnaires were mostly aimed at a situation where paper archives prevailed.

To make things less complicated and better adapted to the trend of digitizing, developers needed a reference framework to construct a digital sustainable environment for records management, based on national and international standards. They drew from existing norms a list of 30 questions, in 3 chapters. Their sources were the Archiefwet 1995, the NEN-ISO

² How do you weigh an inspection? See: Rekennorm formatie (inter-)gemeentelijke archiefinspectie, p. 11.

15489, NEN 2082 and ISO 23081, NEN-ISO/IEC 27002 and parts of OAIS (ISO-14721: 2002), the Baseline Informatiehuishouding Rijksoverheid (Baseline for Information Management of the Central Government), and the related checklists TRAC en ED3, a reference model for digital repositories. A name was soon found: RODIN.³ This is an acronym for: Referentiekader Opbouw Digitaal Informatiebeheer, or 'Reference Developing Digital Information Management'.

RODIN Referentiekader		ja	nee	deels	opmerkingen	afgeleid van
1 BELEID EN ORGANISATIE						
1.1	De organisatie heeft een door het bestuur en/of management vastgesteld informatiebeleid dat aansluit bij de geformuleerde organisatiedoelstellingen. Onderdelen van informatiebeleid zijn tenminste:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		AR: 19; 15489: 5, 6.1, 6.2, 7.1
	a het voldoen aan de wettelijke eisen voor het bewaren van informatie;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
	b een beschrijving van de relatie tussen de bedrijfsprocessen en de opgenomen informatie;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		ED3: A3.7, B3.1
	c een beschrijving van of verwijzing naar de bewaarstrategie van de organisatie die rekening houdt met conversie, migratie of emulatie in geval van veranderende (technische) omstandigheden;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		NEN-ISO/IEC 27002
	d een beschrijving van het beveiligingsbeleid waarin taken en verantwoordelijkheden voor informatiebeveiliging zijn belegd.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
1.2	De organisatie is in staat verantwoordelijk af te leggen over alle activiteiten ten behoeve van de werking en het beheer van de digitale beheeromgeving op basis van toetsbare eisen van een door haar toe te passen kwaliteitssysteem.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		AR: 16 ED3: A3.6
1.3	De organisatie heeft de processen en procedures voor de digitale beheeromgeving beschreven.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		ED3: A2.1
1.4	De organisatie ondergaat periodiek (externe) audits en/of certificering op het gebied van de digitale beheeromgeving.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		15489: 10 ED3: A3.8

Figure 1 Page from RODIN

RODIN can be used both for internal control and auditing, and for external inspection. It shows a checklist divided in 3 chapters with questions on the fields of archive policy, information management and information security. RODIN makes it possible to determine whether an organization is in control, or not.

Archive inspectors and auditors successfully applied RODIN to assess the state of organizations, especially those involved in the substitution of paper archives by digital archives.

For further reading: <http://www.lopai.nl/nieuws.nieuwsbericht20100614.php> (in Dutch only).

³ RODIN was composed by a working group, consisting of representatives of LOPAI, WGA and HEC.

3.3. ED3

Administrations digitize their paper archives on a large scale. Transfer of digital archives to an e-depot however, cannot wait twenty years, as in the paper era. The trend in policy and practice is therefore, to do this sooner, even directly after the closing of a file. All the more reason to accelerate the building of e-filings and to have an up-to-date tool available.

ED3 (Eisen voor Duurzaam Digitale Depots; Demands for Trustworthy Digital Repositories) offers a reference framework for an electronic repository or long term preserving of digital records.⁴ One could call ED3 a successor for the rules for archival buildings.

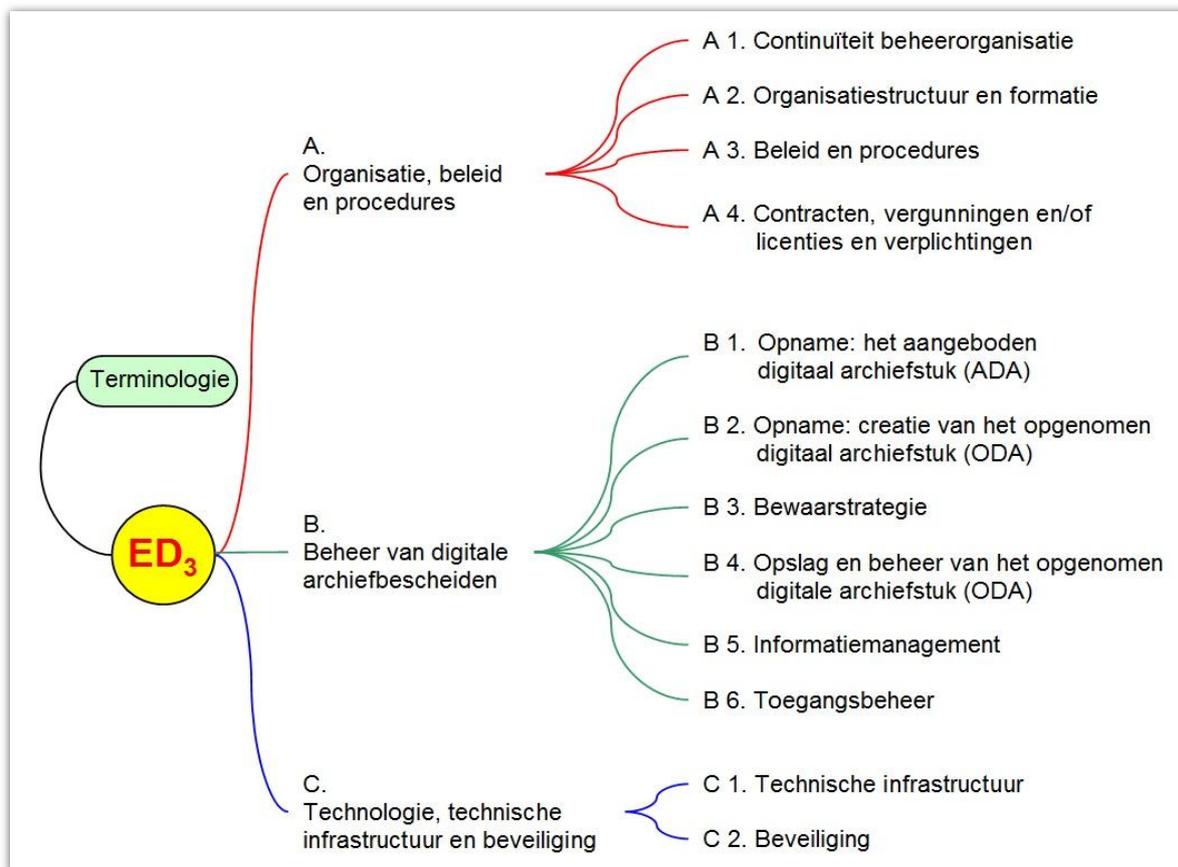


Figure 2 Scheme from ED3

Practical experiences at some institutions proved ED3 to be useful in building and testing electronic repositories. This also revealed it possible to simplify the text and thus make it more manageable. The requirements were reduced from 75 to 42. Finally, the latest rules and

⁴ ED3. Eisen Duurzaam Digitaal Depot. Toetsingskader voor de beheeromgeving van blijvend te bewaren digitale informatie. Versie 2, maart 2012. Landelijk Overleg van Provinciale Archiefinspecteurs (LOPAI). Authors: Dick Bunscoeke, Peter Diebels, Lolke Folkertsma, Ingmar Koch, Marianne Loef.

standards, such as the 'Archiefregeling' (details of Archiefwet 1995) and the ISO 16363: 2012 were processed in the final product.

For further reading: <http://www.lopai.nl/nieuws.nieuwsbericht20120319.php> (in Dutch only).

4. Conclusion

RODIN and ED3 help us to prevent the threat of an 'information infarct'. They have proven their value and are currently being updated.

With the calculation model we can estimate how many full-time equivalent we need to equip the local archives inspection.

In a climate of change we must seize this chances.

5. Authors

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After his study at the National Archives School in Utrecht and The Hague Schabbing worked at the National Archives in The Hague. After his study History at the University of Amsterdam, Schabbing worked at the Central Archives Selection Service, where he was concerned with the inspection of archives before being processed.

Since 1998 he works for the Province of Noord-Holland as archives inspector. He specialized in the inspection of archival buildings and their management.

Fred Schoonheim.

After his study at the National Archives School in Utrecht Schoonheim worked in the Municipal Archives of Amsterdam and Utrecht and specialized himself in inspection of archives and records management. During the period 1991-2003 Schoonheim was managing director of several private companies specialized in consulting and carried out archival projects in governmental organisations and business corporations.

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