SÄHKE2-standard and Electronic Records Management in Finland

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SÄHKE-requirements

SÄHKE1 2005:

• Only for ERMS and case management systems.
• Introduced the concept of Life-Cycle Management Plan (eAMS) based on Retention and Disposal Schedule (AMS)
  • Default metadata values, automatically attached to records, end-user don’t have to produce the metadata.
  • Preserving Records only in electronic form

SÄHKE2 2009:

• Requirements are not narrowly limited to ERMS and case management systems.
• Takes further the concept of Life-Cycle Management Plan (eAMS): to define the workflows, where records are created.
SÄHKE legislative background

- According to the Finnish archives act, National Archives has right to present requirements for permanent electronic records.
- SÄHKE-standards imperative comes from:
  - Archives Act (831/1994)
  - Act on Electronic Services and Communication in the Public Sector (13/2003)
- In order to preserve records in digital format, organizations in public administration must apply permission from the National Archives → SÄHKE
- Finnish public authorities are required to use SÄHKE-compatible electronic records management systems if they want to transfer permanent electronic records to the custody of NAS.
SÄHKE-requirements

- SÄHKE contains relatively few functional requirements, that are not very technical.
- SÄHKE requirements concerns records management functionalities:
  - life cycle management,
  - Metadata control
  - access rights
  - retention and disposal
  - transfer to NAS
- Requirement concern also records management processes
SÄHKE2 structure

Function classification scheme

- Function
- Function
- Sub-function

- Case

- Action

- Record

0...*
1...*
0...*
SÄHKE-compatible ERMS

- SÄHKE datamodel is very hierarchical and it reflects old registry systems datamodel and also *Retention and Disposal Schedule* (AMS)
  - **The Function Classification** has usually a central role in structuring and searching information for records managers, although users tend to use google-type searches
  - **Case** is the key information entity
  - **Action** is usually seen very finnish feature in ERMS
  - **Record** is still typically a word processing file, although SÄHKE enables structural documents.
2.1 Subject
2.2 Time definition
2.2.1 Opened / Created
2.2.2 Published
2.2.3 Sending date
2.2.4 Modified date
2.2.5 Availability
2.2.6 Receiving date
2.3 IdentificationID
2.3.1 Other ID
2.4 Language
2.5 Description
2.5.1 Abstract
2.6.1 Publicity class
2.6.2 Security period
2.6.3 Security period (date of termination)
2.6.4 Security justification
2.6.5 Protection level
2.6.6 Security Class
2.6.7 Personal data
2.11.1 Retention period
2.11.2 Retention reason
2.11.3 Retention period (date of termination)
2.12 Status
2.13 Function
2.6.10.1 User
2.6.10.2 Role
2.6.10.3 Description
2.7 Title
2.8 Organisation specific metadata
2.9 Storage location
2.10 Relation
2.10.1 Replace
2.10.2 Reference
SÄHKE2-certification

- Developing certification framework based on SÄHKE requirements
- Certification process is focusing to **ERMS vendors** which can apply for certificate. It is not compulsory!
- Organization which is using certified system can be convinced of SÄHKE2-compliance
- SÄHKE2-certification criteria are published for three different kind of systems.
  - Electronic Records Management Classification System
  - Electronic Records Management System
  - Electronic Records Management System
- So far 9 SÄHKE2-certified systems from 7 different vendors.
SÄHKE2-standard

SÄHKE2-requirements
- Metadata formation
- Metadata model

Life-cycle Management Plan
- Basic datamodel
- Instructions

Transfer to NAS
- Sähke2 xml-schema
- Guide to create and send SIP to NAS

SÄHKE2 disposal guide

SÄHKE2-certification criteria

SÄHKE2-audit criteria

Guidance

Education

Consulting
SÄHKE today

- SÄHKE2 has now been in force 5 years.
- SÄHKE creates uniform framework for the hole public sector to develop electronic records management
- SÄHKE2 is taken into account in all major projects when planning new information systems.
- Most vendors have developed their systems to meet the SÄHKE-requirements
- SÄHKE is also recognized as part of the Public Administration’s common Architecture
- SÄHKE-metadata is a key element in information architecture and metadata architecture.
National metadata architecture

Common metadata resources

Public administrations metadataservice

Ontologies
- Common Finnish ontology

Metadata definitions
- INSPIRE
- SÄHKE2
- LifeCycle Management Plan

Classifications
- Common task classification
- Social- and healthcare classification

Codes, identifiers
- URI
- OID

International standards