

KNOWLEDGE
IS HERE

Metadata Application Profile Testing Results

Executive Summary



Library and Archives
Canada

Bibliothèque et Archives
Canada

Canada

Background and Rationale

KNOWLEDGE
IS HERE

- In 2005/6, LAC created a GOL-endorsed Records Management Metadata Set and Application Profile with support from the community. That same year, LAC created a Executive Correspondence Management Metadata Set and Application Profile.
- Metadata is necessary in order to manage electronic records with consistent terms and vocabulary to reuse and repurpose, and to present reliable and authentic documents. It also enables archival value records to be transferred from departments and agencies to LAC at the Disposition Phase.
- LAC embarked on a project to **validate** the metadata elements in a sample of specific departments in order to identify the business process and changes that each will have to make in order to incorporate the use of the metadata elements into their normal day-to-day management of electronic records.
- LAC will use the results of the metadata testing in both the RM and ECM environments as a **benchmark** to measure awareness, and adoption.



Methodology

KNOWLEDGE
IS HERE

- **Define compliancy**
 - Exact
 - Equivalent
 - Mappable
- **Develop testing criteria**
 - Hypothesis
 - Usage
 - Mandatory vs. non-mandatory
 - Exact
 - Equivalent
 - Mappable
- **Review partner documentation**
 - Data dictionaries
 - Database Structure documentation
 - Screen Shots
 - Internal analysis
- **Conduct Interviews**
- **Perform analysis**



Observations / Findings

KNOWLEDGE
IS HERE

	RM	ECM
% Mandatory Elements	High	Low
Compliance	Med	High
Awareness	High	Low
Vendor Driven	Low	High
Complexity	High	Low



Key Observations - RM

KNOWLEDGE
IS HERE

- There was a high level of awareness of the RMMS and RMAP
- the number of mandatory and mandatory if applicable elements in the standard were relatively high and thus, it was difficult to achieve a high level of compliance
- Implementations were quite complex because the applications used for records management deal with a variety of business problems
- Departments implementing or contemplating the implementations of an EDRMS solution have shown a keen interest in or a commitment to the adoption of the RMMS and RMAP.
 - Health Canada
 - Supreme Court of Canada
 - Western Economic Diversification
 - Natural Resources Canada



Key Observations - ECM

KNOWLEDGE
IS HERE

- There was a low level of awareness of the ECMMS and ECMAP
- the number of mandatory and mandatory if applicable elements in the standard were low and thus, it was easier to reflect a high level of compliance
- Implementations were much less complex because the applications used for executive correspondence deal with a very specific business problem; that is, the tracking of executive correspondence.
- Compliance was very closely tied to the use of technical solutions that were designed specifically for executive correspondence
- Exact element names were rarely used, likely because the ECMMS and ECMAP were developed to align with the RMMS and RMAP.



Recommendations for RM Awareness

KNOWLEDGE
IS HERE

- Include the RMMS and RMAP in the GC IM Certification Program, available through the Canada School of the Public Service
- Develop and implement a communication plan which includes:
 - An on-line information package
 - A “canned” information session to be available to receptive departments
 - Regular presentations and updates at IM forums



Recommendations for RM Benchmarking

KNOWLEDGE
IS HERE

- The output of this report should be considered as the benchmark for governmental compliancy.
- Regular (bi-annual) tests should be performed to measure on-going adoption of the standard.



Recommendations for RM Continuous Improvement

KNOWLEDGE
IS HERE

- The Records Management Application Profile Working Group should meet in order to review the following elements to determine if changes are required .
 - Not/Rarely Used
 - Infrequently Used
 - Mostly/entirely equivalent
 - Mostly/entirely mappable



Recommendations for ECM Awareness

KNOWLEDGE
IS HERE

- Post ECMMS and ECMAP on the IM Forum along with the RMMS and RMAP;
- Include the ECMMS and ECMAP in the GC IM Certification Program, available through the Canada School of the Public Service;
- Develop and implement a communication plan which includes:
 - An on-line information package
 - A “canned” information session to be available to receptive departments
 - Regular presentations and updates at both IM and ECM forums

10



Library and Archives
Canada

Bibliothèque et Archives
Canada

Canada

Recommendations for ECM Benchmarking

KNOWLEDGE
IS HERE

- The output of this report should be considered as the benchmark for governmental compliancy.
- Regular (bi-annual) tests should be performed to measure on-going adoption of the standard.



Recommendations for ECM Continuous Improvement

KNOWLEDGE
IS HERE

- An Executive Correspondence Application Profile Working Group should be established in order to review the following elements to determine if changes are required .
 - Not/Rarely Used
 - Mostly/entirely equivalent
 - Mostly/entirely mappable

