Essential MoReq2
(or towards MoReq2.5)

Refactoring the standard for greater adoption

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Characteristics of MoReq2
• Large
  – Bigger than any other comparable standard
  – MoReq1, DoD 5015.2, TNA 2002, ICA, etc.

• Plus
  – Metadata Model
  – XML Schema
  – Testing and certification

• Complex
• Exhaustive
• Superset
• Unfinished
Suitable For

- General purpose systems (e.g. office, clerical, government, etc.)
- Traditional applications (e.g. word processing, e-mail, etc.)
- Large vendors who offer an entire, integrated EDRM suite
  = between 5 and 15 software vendors’ products?

Unsuitable For

- Web 2.0 applications (e.g. Wikis, Blogs, instant messaging, etc.)
- Integrations* with specialised systems (e.g. CRM, ERP, etc.)
- Products aimed at vertical markets (e.g. financial services)
- Single purpose systems (e.g. e-mail archiving)
- Niche/boutique vendors who offer only part of a solution
  = between 50 and 500 software vendors’ products?
- In-house application development

*note: API not mandatory
Model Requirements versus Certified Requirements
• “MoReq” comes from = “Model Requirements for Electronic Records Management”

• The specification contains model requirements because organisations are promised a “model”, or template, that they can modify to suit their own records management needs

• For this reason, MoReq is always distributed in Word format (as well as PDF) so that it is more easily edited and adapted
  – Note: in practice this rarely (if ever) happens
BUT
• MoReq2 has a **standardised** testing and certification process

• Organisations are buying a solution that has **already** been tested and awarded a certification against the unmodified MoReq standard

• How can **organisations** meaningfully append, extend, modify or remove requirements without invalidating the certification process?

• How can **vendors** re-implement / customise their products to suit individual consumers and still claim the end result to be certified against MoReq2?
We must either invent a new interpretation explaining why MoReq2 requirements are “model requirements” or we should drop the moniker: “MoReq”
Over-complexity
In software development complexity = cost so a more complex standard means a more expensive compliant system.
Who pays?

• Cost is passed on to the consumer
• Longer development cycles mean only large vendors build compliant systems
• Fewer compliant products are available to choose from
• Less competition between suppliers
• Stifling of innovation
• Increased evasion / lack of compliance
One example of over-complexity
How many file plan configurations **must** a MoReq2 compliant ERMS support (mandatory)?
• MoReq2 compliant software must support “unfiled” records in classes
• This is the simplest “traditional” file plan
This is the only configuration supported by MoReq1 and TNA 2002
Sub-files are new to MoReq2
MoReq2 allows this many levels
• To comply with MoReq2 a product must support no less than **five** different file plan configurations

• None are optional

• By contrast, MoReq1 and TNA 2002 only describe **one** file plan configuration
Is it appropriate that **ALL** certified ERM systems **MUST** include support for **ALL** of these file plan configurations?
Refactoring MoReq2
Vision

• A MoReq2 based standard that is easier and faster to implement: resulting in a wider choice of inexpensive compliant solutions

• A less complex standard that loses none of the richness of the original

• A refactoring project that takes considerably less effort than writing MoReq3
Process

• One possible way to meet this vision is to make the standard more modular with a smaller mandatory core
• Identify non-essential functionality which results in overly complex requirements and remove it from the core
• Create additional optional modules containing this non-essential functionality that can be selected only by those consumers that need it
Results

• When this approach was applied to the published MoReq2 specification:

• The total number of requirements in the core was reduced by nearly a third

• While the number of optional modules doubled
There was no change to either the requirements themselves nor the total number and type of requirements present in MoReq2.
New Modules
Multiple Classification Schemes

(1 requirement)

• The need for a compliant solution to support multiple classification schemes adds enormous complexity (and cost)

• “Most organisations will mandate that a single classification scheme be used for the primary classification of all the files in the ERMS.” MoReq2, v1.04, p28
Sub-Files
(10 requirements)

• Not every organisation needs sub-files

• “In some environments it is useful to divide files into sub-files... Sub-files are most often used in case processing environment...”

MoReq2, v1.04, p16
Volumes
(13 requirements)

• Are volumes a hangover from physical records management? Are volumes mandatory for electronic environments?

• “Typically, paper files are limited to 2cm in thickness, by the establishment of volumes.” MoReq2, v1.04, p31
Unfiled Records
(4 requirements)

• MoReq2 advises against using unfiled records: “This change has been introduced to reflect the requirements of high-volume case management systems. It is, however, not meant to remove the necessity for a hierarchical classification scheme, or for the existence of files. Inappropriate use of this feature will introduce the risk of later difficulties in managing records, and users of MoReq2 are advised to use this functionality only after careful analysis. Most users of MoReq2 are unlikely to require this functionality, and so MoReq2 includes the requirement that this functionality can be disabled.” MoReq2, v1.04, p24
Partial Recovery and Back-Up
(2 requirements)

• This requirement sounds good but is totally unfeasible for any technology based on an underlying relational database

• A relational DB cannot be partially backed-up and recovered and still retain Referential Integrity

• Since this includes most, if not all, ERMS implementations on the market today very few systems will ever become MoReq2 compliant
Vital Records
(5 requirements)

• Only some organisations keep vital records
  • "Vital records are the records that are considered absolutely essential to the organisation’s ability to carry out its business functions, in the short term, in the long term or both... This can be either mission-critical in terms of its ability to cope with emergency / disaster conditions or to protect its long-term financial and legal interests." MoReq2, v1.04, p49
  • Many organisations with vital records will keep them in a separate ERMS
Interactive Document Capture

(17 requirements)

• Confuses an ERMS with an EDRMS

• EDRMS systems are only a sub-set of possible ERMS solutions

• ERMS solutions can “sit behind” other systems and have no interfaces visible to general users
  – e.g. MS Sharepoint Records Center API
E-Mail Management
(18 requirements)

• A specialised ERMS may never need to interact with an e-mail client

• An e-mail archiving system will capture records from the e-mail server not the client
Scanning and Imaging
(23 requirements)

• Do all ERMS applications capture scanned images?

• e.g. An electronic billing system?

• These ERM systems will never need to interface to scanning and imaging equipment
Displaying
(4 requirements)

• Does an ERMS need to know how to display the records it holds?

• The ERMS may rely on third-party applications to provide viewing, listening, or watching capabilities
Printing
(19 requirements)

• Does an ERMS need to be able to print the records it holds?

• “Presentation is producing a representation on-screen (‘displaying’) or printing; it may also involve, as necessary, playing audio and/or video …” MoReq2, v1.04, p98
Redaction
(9 requirements)

• Redaction is specific to a particular business need

• Do all ERMS contexts have this need?
Total = 125 requirements in 12 modules
The New Core
Core Modules - 1

- Classification Scheme (54 requirements)
- Classes and Files (16)
- Access (24)
- Audit Trail (16)
- Full Backup and Recovery (5)
- Retention and Disposition Schedules (41)
- Review of Disposition Actions (8)
- Transfer, Export and Destruction (24)
- Record Capture (24)
Core Modules - 2

- Bulk Importing (8 requirements)
- Record Types (5)
- Classification Codes (10)
- System Identifiers (6)
- Search and Retrieval (33)
- General Administration (5)
- Reporting (34)
- Changing and Deleting Records (11)

- **Total requirements 324** (previously 442)
An example of the reduction in complexity
Only one (compared to five different) file plan configuration(s) required to meet core requirements
Core (only)
This is the simplest “traditional” file plan

(was 2)
Core + Unfiled Records module
MoReq2 compliant software must support unfiled records in classes.
Core + Volumes module

(prerequisite for physical records module)
This is the only configuration supported by MoReq1 and TNA 2002.
Core + Sub-Files module

(prerequisite for case work module)
- Sub-files are new to MoReq2
Core + Volumes + Sub-Files
MoReq2 allows this many levels (was 5)
How many businesses need all the complexity of files with sub-files and volumes to hold their records?
Model Requirements
(revisited)
Side Benefit

• By making MoReq2 more modular organisations can start to pick and choose the functionality they need

Not “Model Requirements”
But “Modular Requirements”
Modular Requirements

• Selecting the requirements you need is easy
Reinventing Model Requirements

- What type of system do you need?

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Conclusions
• MoReq2 can be refactored relatively easily

• Refactoring reduces both the overall number of core requirements and the complexity of the core

• Refactoring lowers the entry level for basic certification and provides more graduations

• Refactoring allows organisations and industry sectors to tailor-make MoReq2 compliant solutions by selecting modules that are relevant to their business needs
Refactoring allows future technologies and approaches to be included within the scope of MoReq through changes to the modules rather than the core.
Questions?