National Archives
Ministry of Education, Culture and Science

The new [...] framework – DLM Forum

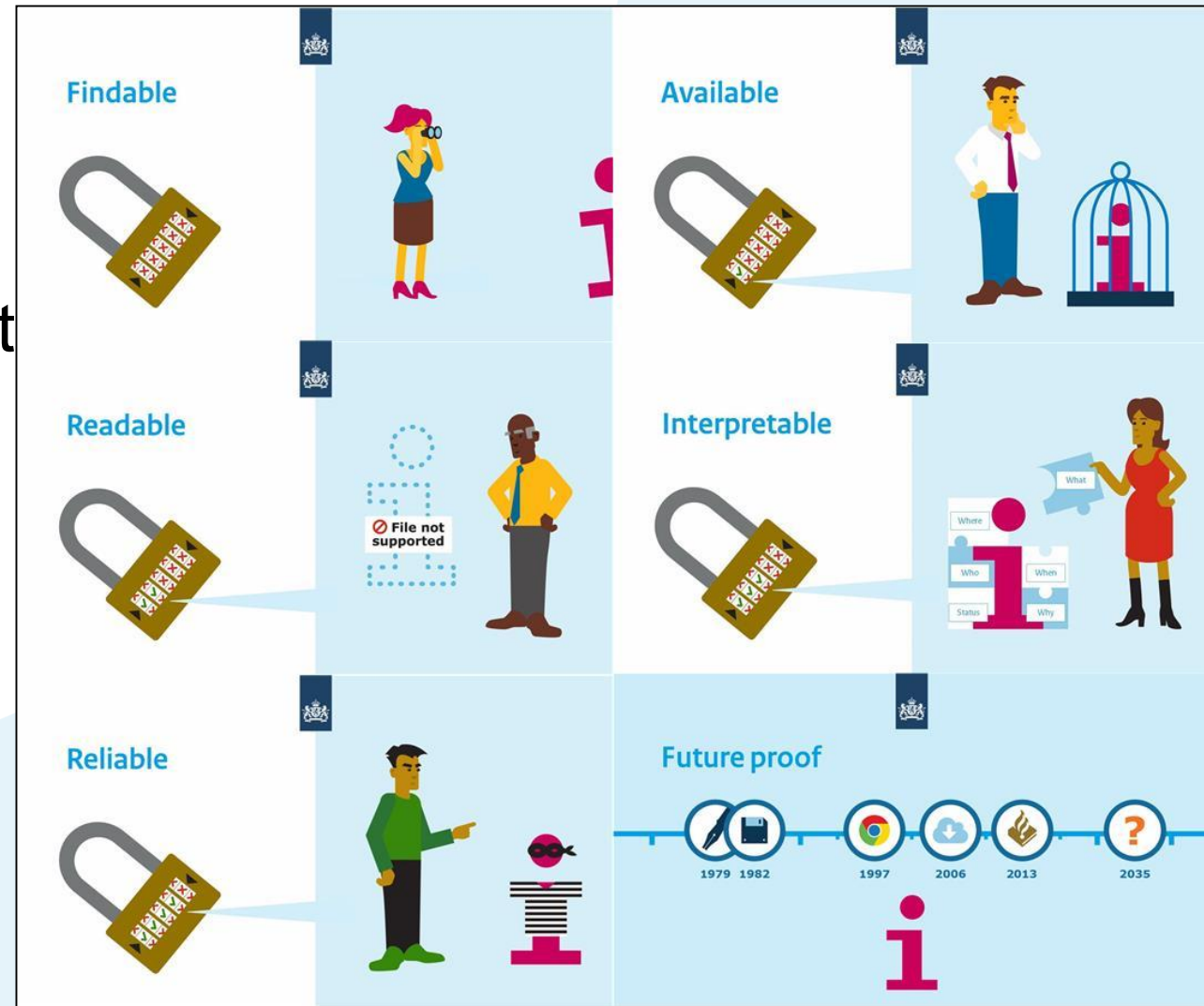Wout van der Reijden, Coordinating recordkeeping advisor
May 28, 2024

The new DUTO framework

- What is DUTO?
- What is the DUTO framework?
- How to use the framework?
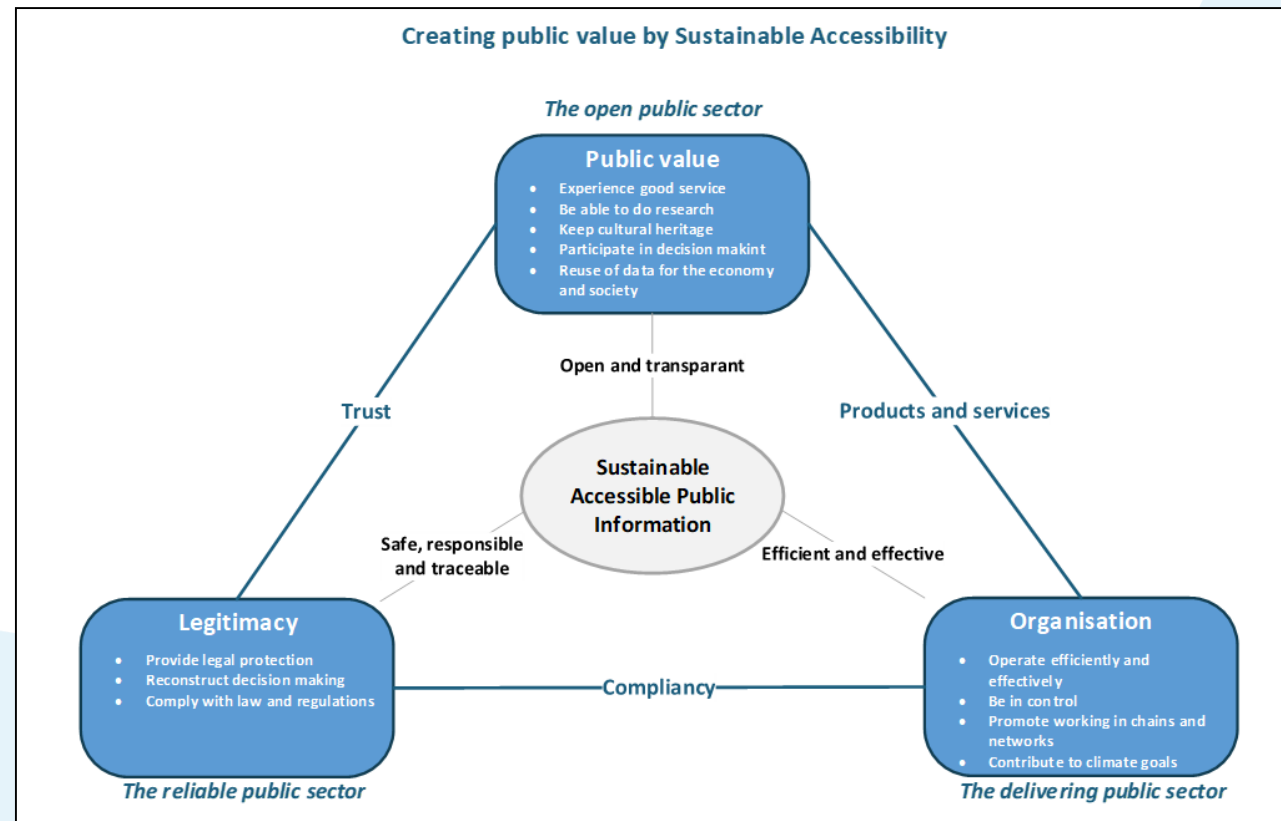- DUTO in international context

DUTO

DUTO = sustainable accessibility of (government) information

Why important?

Creating public value by Sustainable Accessibility

The open public sector

Public value
- Experience good service
- Be able to do research
- Keep cultural heritage
- Participate in decision makint
- Reuse of data for the economy and society

Open and transparant

Trust

Products and services

Sustainable Accessible Public Information

Safe, responsible and traceable

Efficient and effective

Legitimacy
- Provide legal protection
- Reconstruct decision making
- Comply with law and regulations

Compliancy

Organisation
- Operate efficiently and effectively
- Be in control
- Promote working in chains and networks
- Contribute to climate goals

The reliable public sector

The delivering public sector

What is the DUTO framework?

An instrument which can be used to make information sustainable accessible *by design*
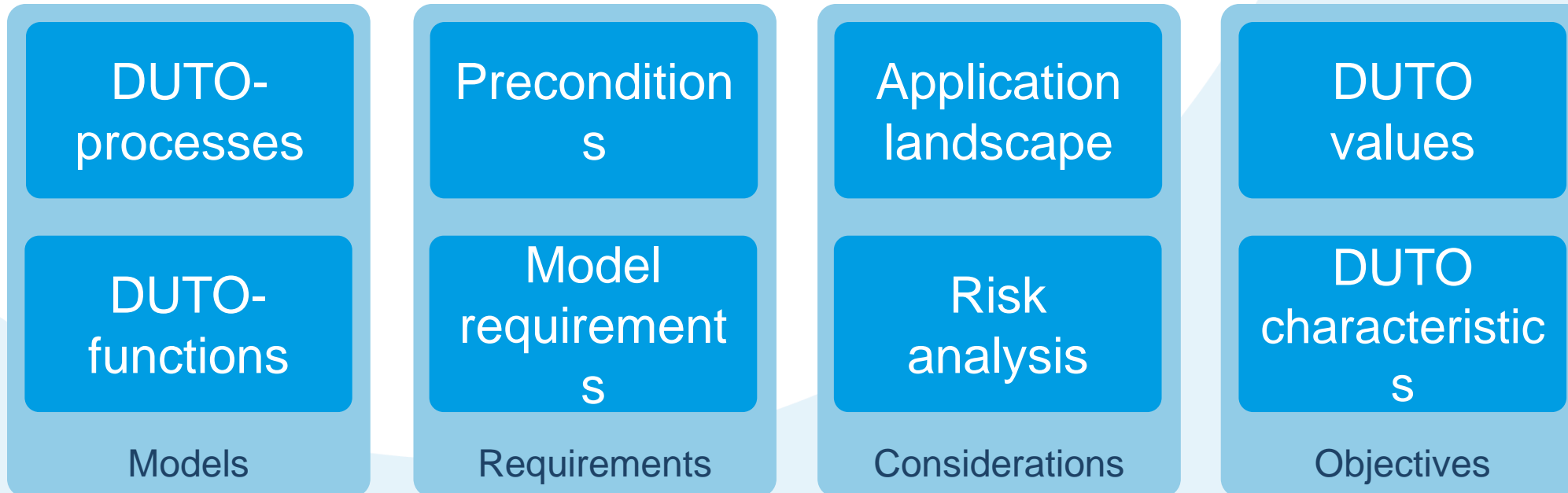
Theoretical part
The what and the why of sustainable accessible information

Practical part
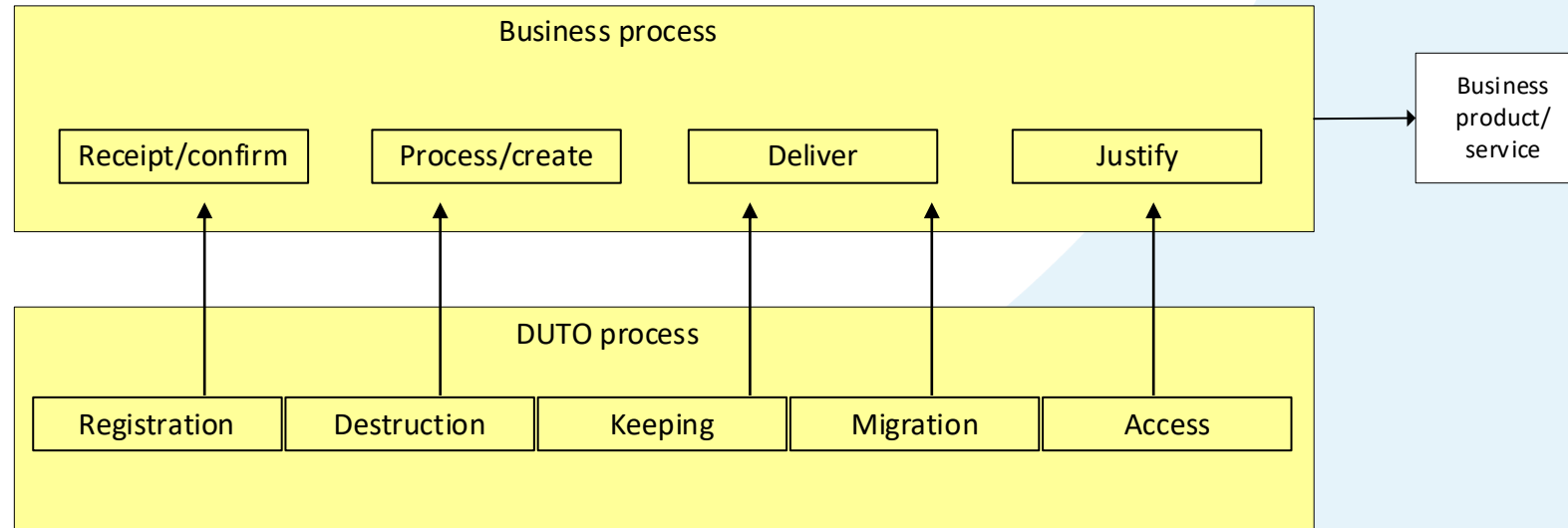Formulates model requirements and preconditions for the design of (government) information systems

Components of the DUTO framework

|			
DUTO-processes	Preconditions	Application landscape	DUTO values
DUTO-functions	Model requirements	Risk analysis	DUTO characteristics
Models	Requirements	Considerations	Objectives

DUTO processes

DUTO functions

Metadata management	Capture	Exchange	Search
Conversion	Store	Validation	Access management
Creation	Publication	Justification	Obtain
Masking	Representation	Destruction	Fix

Processes and functions
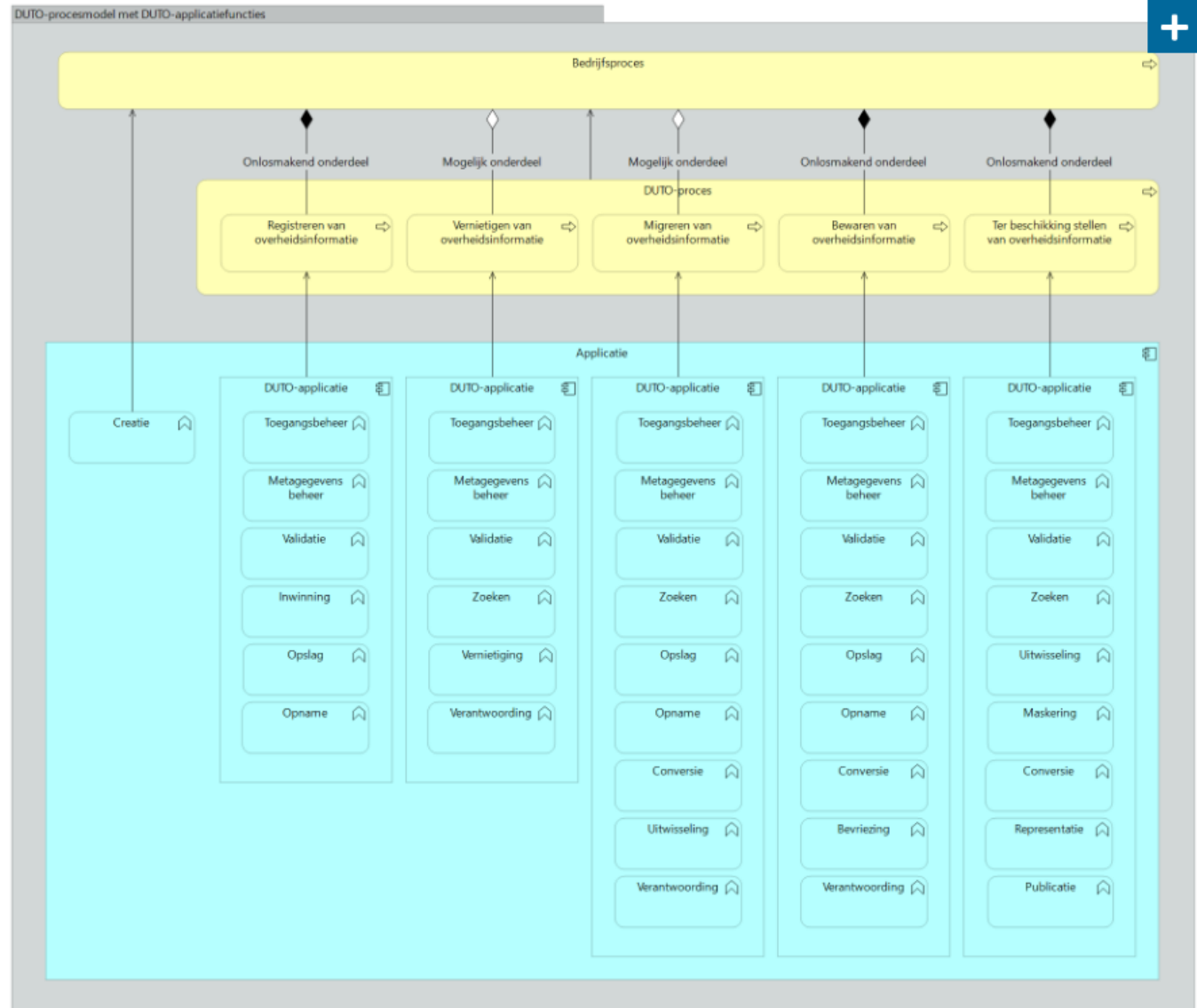
Preconditions

- Generic examples
  - There is a policy for sustainable accessible information
  - There is a preservation strategy
  - There is a retention schedule

- Specific examples related to a process
  - There is a disposition authority (for destruction)
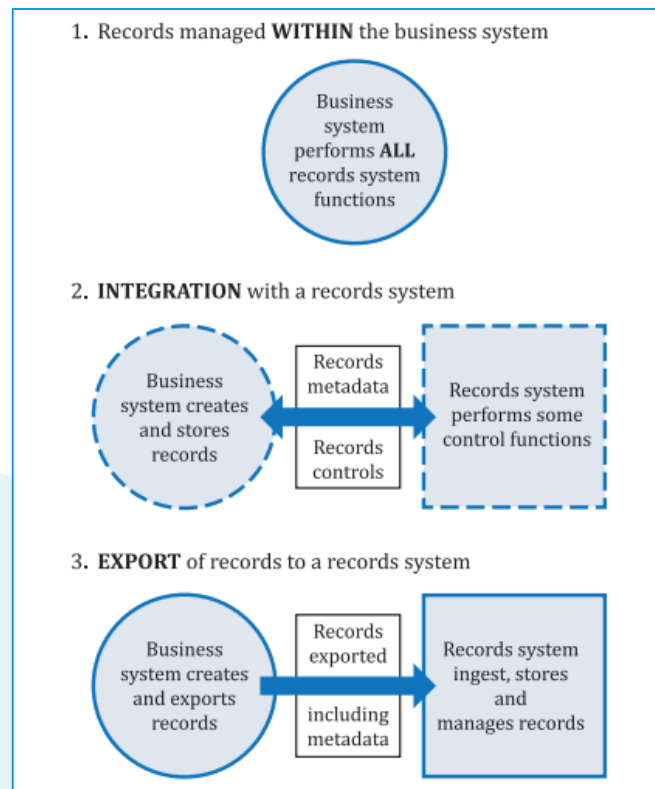 *- There is a migration plan (for migration)*

Model requirements

- Each DUTO process defines model requirements

ID	Eis	Functie	MoSCoW	Bronvermelding
V01	Het moet mogelijk zijn om voldoende metagegevens toe te kennen om het moment van vernietiging te kunnen berekenen.	Metagegevens-beheer	M	NEN-ISO 16175-1:2020, R.2.1.1
V02	Het moet mogelijk zijn om de bewaartermijn op verschillende aggregatie-niveaus vast te leggen (bijv. dossier, document).	Metagegevens-beheer	M	NEN-ISO 16175-1:2020, R.2.1.1
V03	Het moet op elk aggregatieniveau mogelijk zijn om de bewaartermijn aan te passen.	Metagegevens-beheer	M	NEN-ISO 16175-1:2020, R.2.1.1

Application patterns

ISO 16175-1

1. Records managed **WITHIN** the business system

   Business system performs **ALL** records system functions

2. **INTEGRATION** with a records system

   Business system creates and stores records ← Records metadata / Records controls → Records system performs some control functions

3. **EXPORT** of records to a records system

   Business system creates and exports records → Records exported / including metadata → Records system ingest, stores and manages records

DUTO framework

1. DUTO functions are performed in business systems

2. One or more generic DUTO applications perform(s) DUTO functions for one or more business applications
   (i.e. Enterprise search)

3. Business systems are supported by DUTO services, provided by a another party
   (allows for SaaS, PaaS etc.)

Risk analysis

- Determine which measures are necessary to take in order to make and keep information sustainably accessible

-> Analyze context(s) of organization (business, legal, societal)
-> Identify requirements for DUTO
-> Identify and assess risks (both positive and negative) associated with (not) meeting requirements
-> Make informed decisions about the measures to be taken or not

(See ISO 15489-1:2016 clause 7, ISO TR 21946:2018 and ISO 18128:2024)

The framework can be used to..

… start the dialogue in your organization

… *take necessary* measures which meet the needs of your organization

… design information systems (or: review existing systems)

Supporting activities

- Presentations
- Consultation hours
- Individual implementation advice
- Intervision with a group of early adopters
- Sharing best practices

DUTO in international context

- Used as a source for a whitepaper and a guideline for an Archiving by Design scan, developed by the EAG subgroup on Archiving by Design;

- Used as inspiration for an ISO TC 46/SC 11 whitepaper on Records management by design

- eArchiving reference architecture (next slide)

eArchiving reference architecture and DUTO
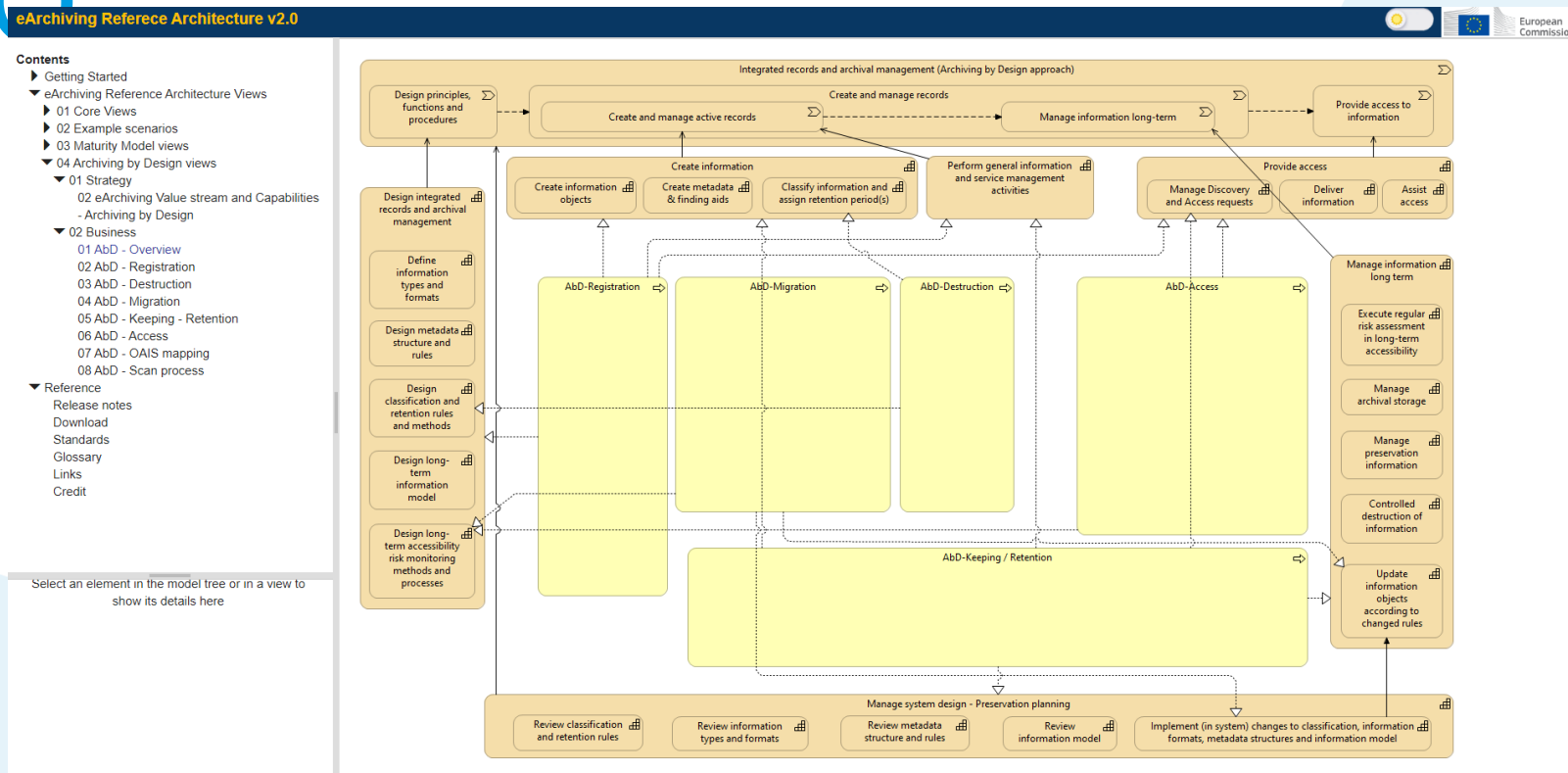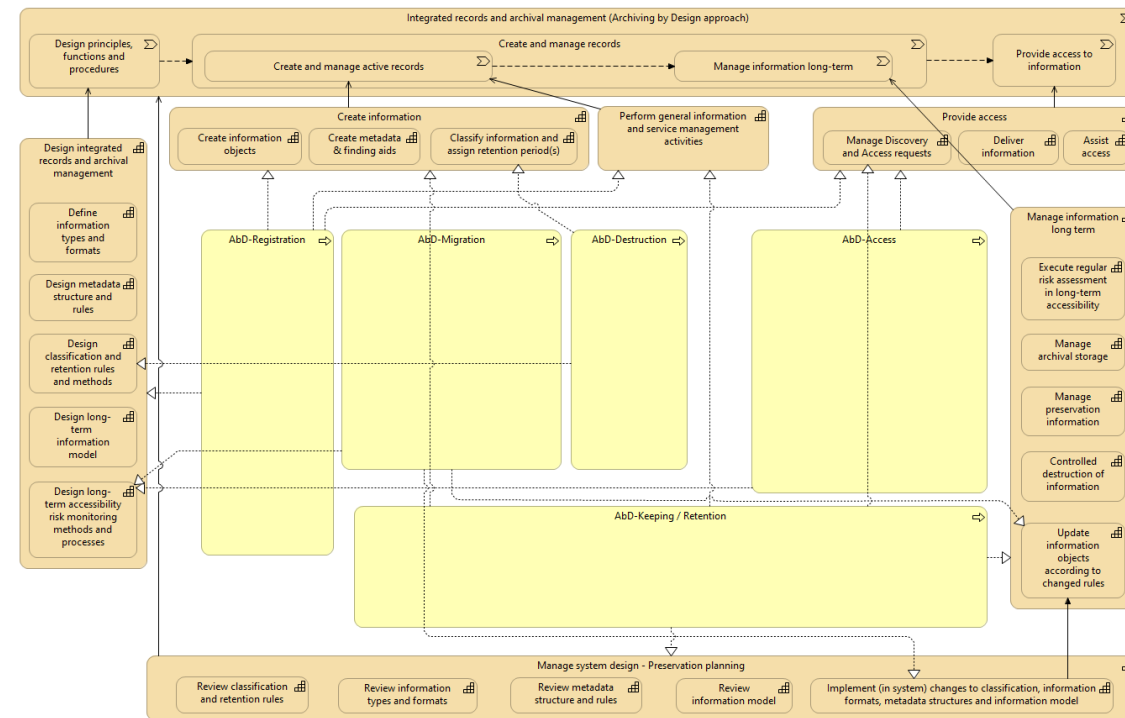
Integration with Archiving by design views (source)

National Archives
Ministry of Education, Culture and Science

Information:
DUTO framework –
https://www.nationaalarchief.nl/archiveren/kennisbank/duto-raamwerk

Questions, remarks:
wout.van.der.reijden@nationaalarchief.nl