

Data Integrity and Recordkeeping in the Digital Environment

Records Management in the Electronic Environment: Global view of developments in electronic recordkeeping

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OVERVIEW

- INTRODUCTION
- RECORDKEEPING IN THE ELECTRONIC ENVIRONMENT
- CHALLENGES WORKING WITH ELECTRONIC RECORDS
- INTERNATIONAL DEVELOPMENTS
- STANDARDS
- NATIONAL ARCHIVES APPROACHES
- AGENCY ISSUES AND LESSONS LEARNED



MY BACKGROUND IN GOVT

- NATIONAL ARCHIVES OF AUSTRALIA
- DEPARTMENT OF COMMUNICATIONS, IT AND ARTS
- DEPARTMENT OF FINANCE AND ADMINISTRATION
- DEPARTMENT OF FOREIGN AFFAIRS AND TRADE
- TORRES STRAIT REGIONAL AUTHORITY
- AUSTRALIAN FISHERIES MANAGEMENT AUTHORITY



WHAT IS A RECORD?

- ISO 15489 'information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business'
- Electronic records vs paper records
- Software and hardware dependent
- Separation of medium from message

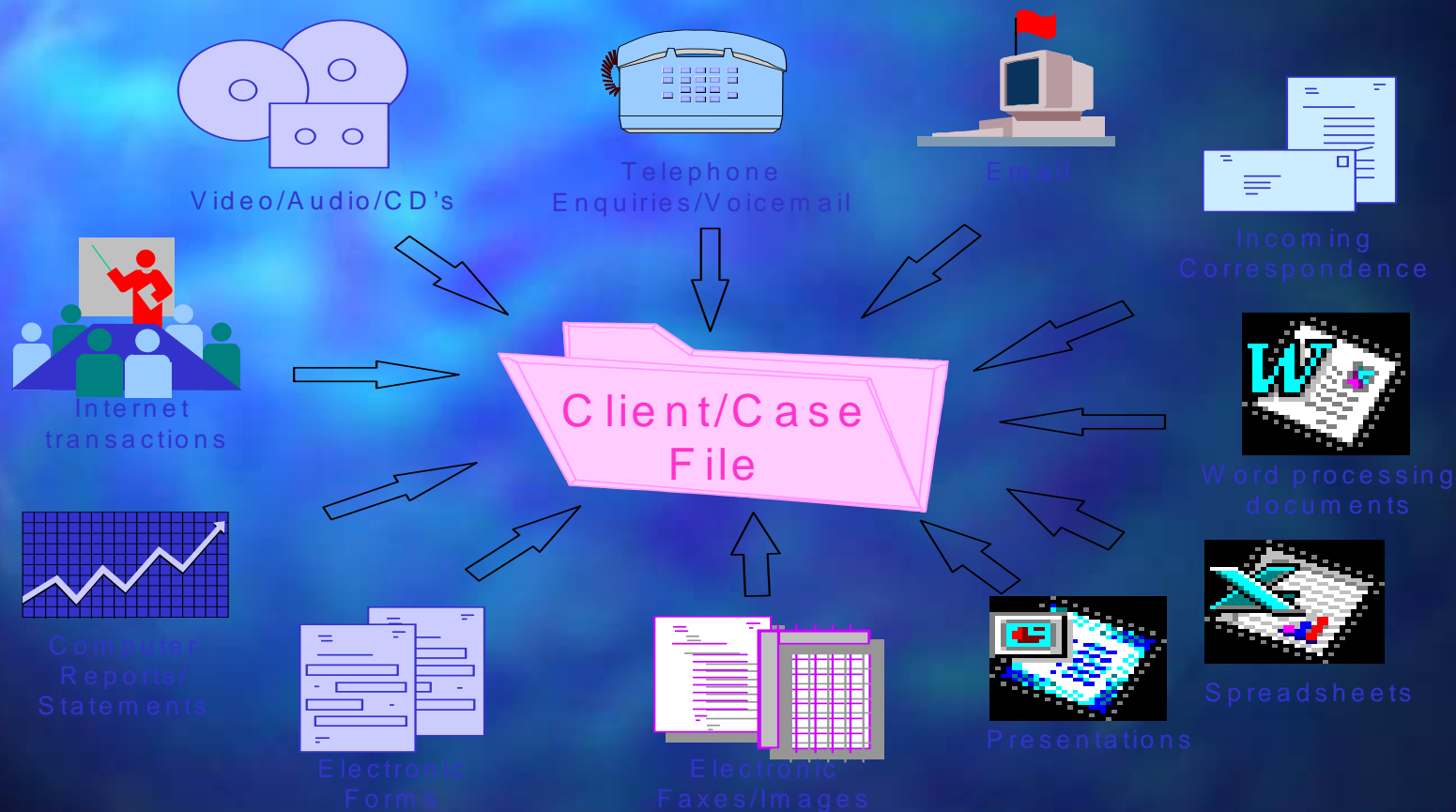


ELECTRONIC RECORDKEEPING

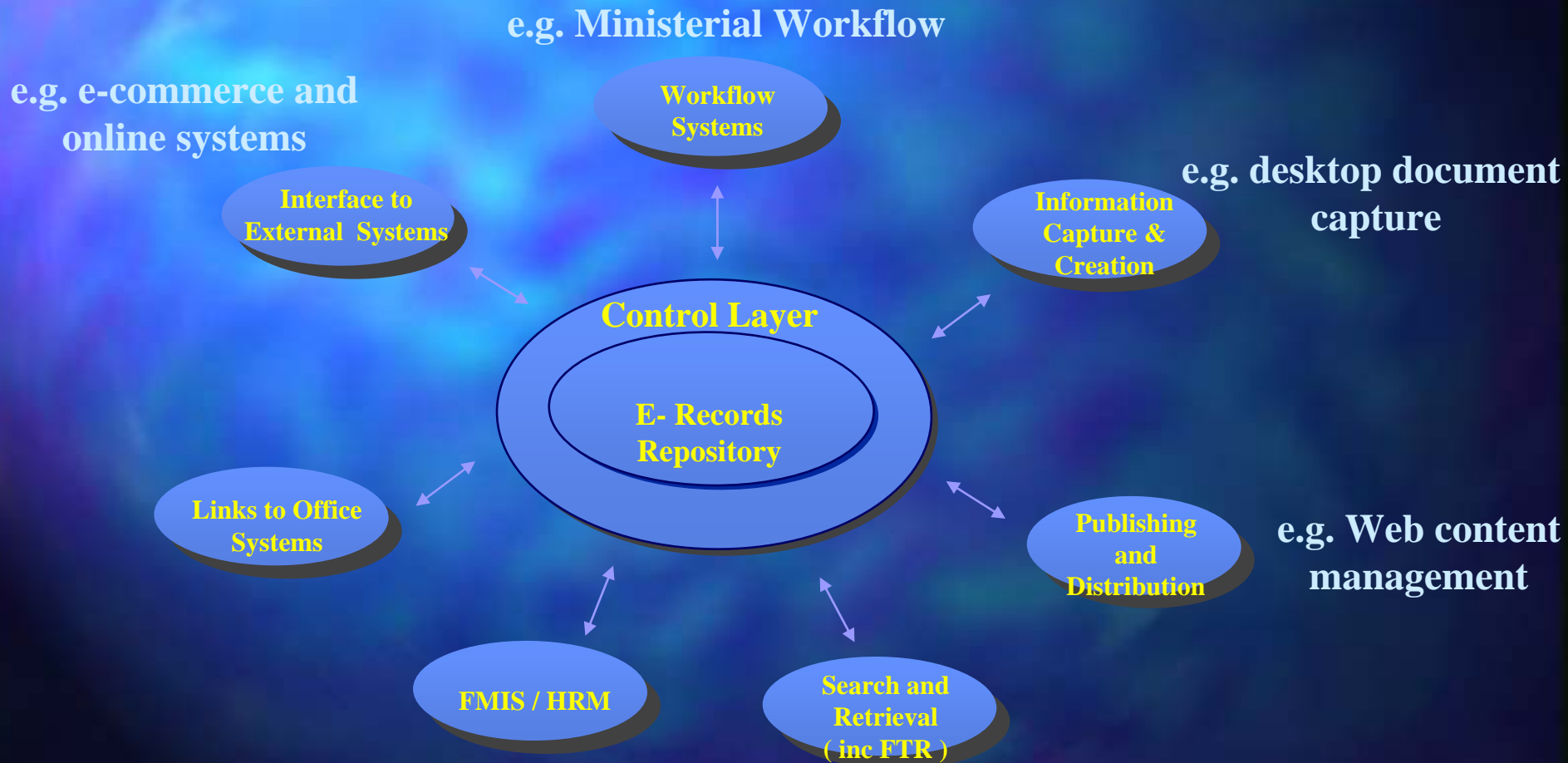
- E-DOCUMENT
MANAGEMENT VS E-
RECORDS MANAGEMENT
- LINE-OF-BUSINESS
APPLICATIONS
- DIGITAL - Sound and
Imagery
- DYNAMIC - Web Content



ELECTRONIC RECORDKEEPING



Electronic Recordkeeping: IM Architecture



CHALLENGES WORKING WITH ELECTRONIC RECORDS

- CAPTURE
- MANAGEMENT
- MAINTAINING ACCESS
- LONG-TERM PRESERVATION
- BUSINESS CONTINUITY / DISASTER RECOVERY
- TECHNOLOGICAL CHANGE

CHALLENGES WORKING WITH ELECTRONIC RECORDS

- COST (PURCHASE / SUPPORT AND MAINTENANCE)
- TRAINING AND USER ACCEPTANCE
- SECURITY - PREVENTING UNAUTHORISED ACCESS AND TAMPERING
- POWER SUPPLY

BENEFITS OF ELECTRONIC RECORDS!



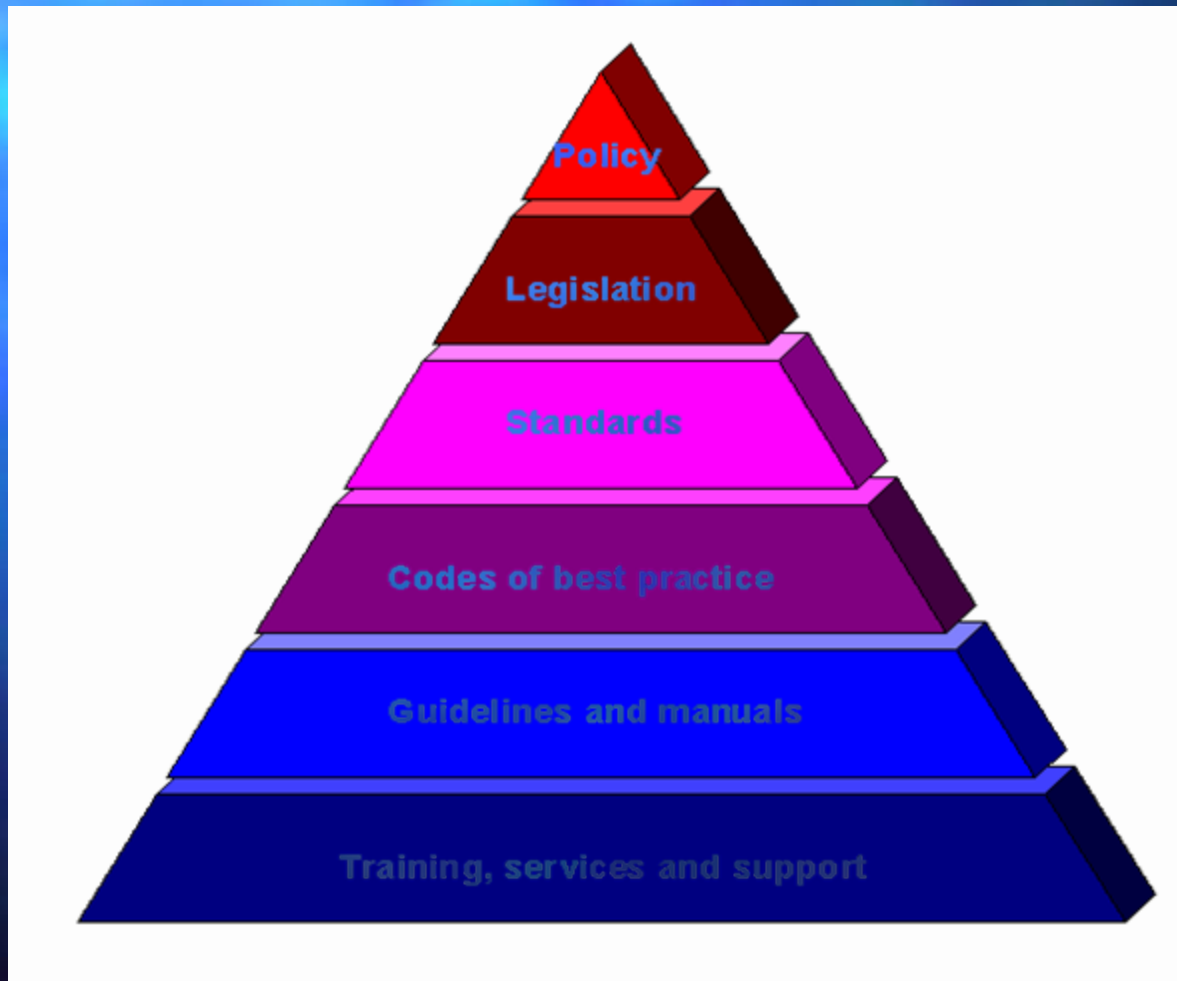
- Large Volumes in Small Spaces
- Accessible from anywhere with a web connection
- Searchable / sortable
- Multi-media can be kept with documents as records
- Can be backed-up / copied for disaster recovery
- Tamper proof

INTERNATIONAL DEVELOPMENTS: RESEARCH

- ❑ PITTSBURGH UNI
(FUNCTIONAL REQUIREMENTS FOR RECORDKEEPING)
- ❑ VANCOUVER - UBC
(INTERPARES)
- ❑ MELBOURNE (MONASH UNIVERSITY - CONTINUUM MANAGEMENT)



RECORDKEEPING FRAMEWORK



STANDARDS AND GUIDELINES

- AS 4390 - RM
- ISO 15489 - RM
- ISO 23081 -
Metadata for RK
- ISO ? - Work
Process Analysis
- Align to BPR / Risk
Management?



STANDARDS AND GUIDELINES

- EU - MOREc - EDRMS Requirements
- ICA ER Committee - Principles and Functional Requirements for Records in Electronic Office Environments
- PARBICA - Recordkeeping for Good Governance Toolkit (the Toolkit)



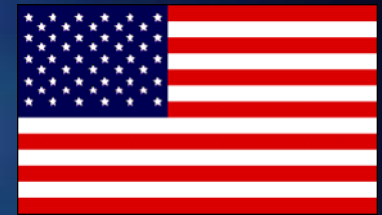
NATIONAL ARCHIVES APPROACHES - AUSTRALIA

- Information Management Framework - current recordkeeping
- DIRKS (Design and Implementation of RKS)
- Digital Preservation (XMLA)
- Guidelines for EDRMS and Business Information Systems
- Recordkeeping Metadata Standard



NATIONAL ARCHIVES APPROACHES - USA

- E-Govt Act 2002 - requires NARA to work actively with agencies
- E-Government Electronic Records Management Initiative
- Guidance on enterprise-wide ERM
- Electronic IM Standards
- Transfer of Permanent e-Records
- RM requirements for BP design and Systems development life-cycle



NATIONAL ARCHIVES APPROACHES - UK

- E-Government Policy Framework for ERM
- Functional Requirements for ERM Systems
- Guidelines for Appraisal and Preservation
- Requirements for sustaining electronic information overtime



NATIONAL ARCHIVES APPROACHES - STH AFRICA

- NARS Act 1996 s.13 - provides authority to determine conditions under which ER systems are managed
- Managing ER in Government Bodies - Principles and Requirements
- Managing ER in Government Bodies - Metadata Requirements
- Functional Specs for integrated DM and RM solutions



NARA - USA Strategies for Reform

- Strategies for reforming Federal records management
 - Advocacy and communication
 - Policy and guidance
 - Implementation and assurance

NARA - Advocacy and Communication

- Communicate RM message directly to senior officials in agencies (rather than through records officers)
- Work with agencies to address change management needs
- Regular targeted discussion groups
- Agency-by-agency or case-by-case agreement or MOU between NARA and Federal agencies
- Training Programs

NARA - Policy and Guidance

- Revised regulations that reflect new strategic directions
- New guidance for appraising and scheduling records
- Electronic records-specific guidance (unstructured data, Web records)
- Partnerships with the FEA, OMB, and the CIO Council to create a Records Management Profile

NARA - Implementation and Assurance

- From policy to practice....
- Agencies need help applying RM in agencies consistently and effectively across the enterprise
- NARA focused on developing implementation-level tools and best practices
 - The following examples include:
 - E-Records Project
 - Toolkit for Managing Electronic Records
 - RM Studies
 - RM Profile Pilots

AUSTRALIAN FINANCE CONTEXT





AUSTRALIAN FINANCE CONTEXT

- FMAA Act 1997 - Recordkeeping required
- Minister for Finance has access to all records - Audit Office
- AIMS / CBMS - networked to all agencies
- AGIMO - whole of Government approach
- Shared Systems Suite for Financial Management Systems (FMIS), Human Resource Management Systems (HRM) and Records Management Systems (RMS) (1995 - 1997) - standards setting

AUSTRALIAN CONTEXT - LEGISLATION

- Evidence Act 1995
 - abolition of original document rule
 - provisions allowing for easier proof in relation to electronic systems
- Electronic Transactions Act 2000
 - regulation of on-line transactions
 - allows for electronic communications to satisfy legal requirements for writing, signatures, production of documents and formation of contracts



LESSONS LEARNED

- Being wise after the event!



Lessons Learned

- Reform is an evolutionary process involving complex change management issues
- Requires feedback and cooperation from agencies and stakeholders
- Need to consider the recordkeeping environment, particularly the rapid changes in technology
- Partnerships increasingly need to focus on tools and best practices to meet challenges



Lessons Learned

- Cultural change - training and communication - People!
- Leading Government (Steering not Rowing) and/or
- Being ready when Government calls
- Policy does not automatically lead to practice



Lessons Learned

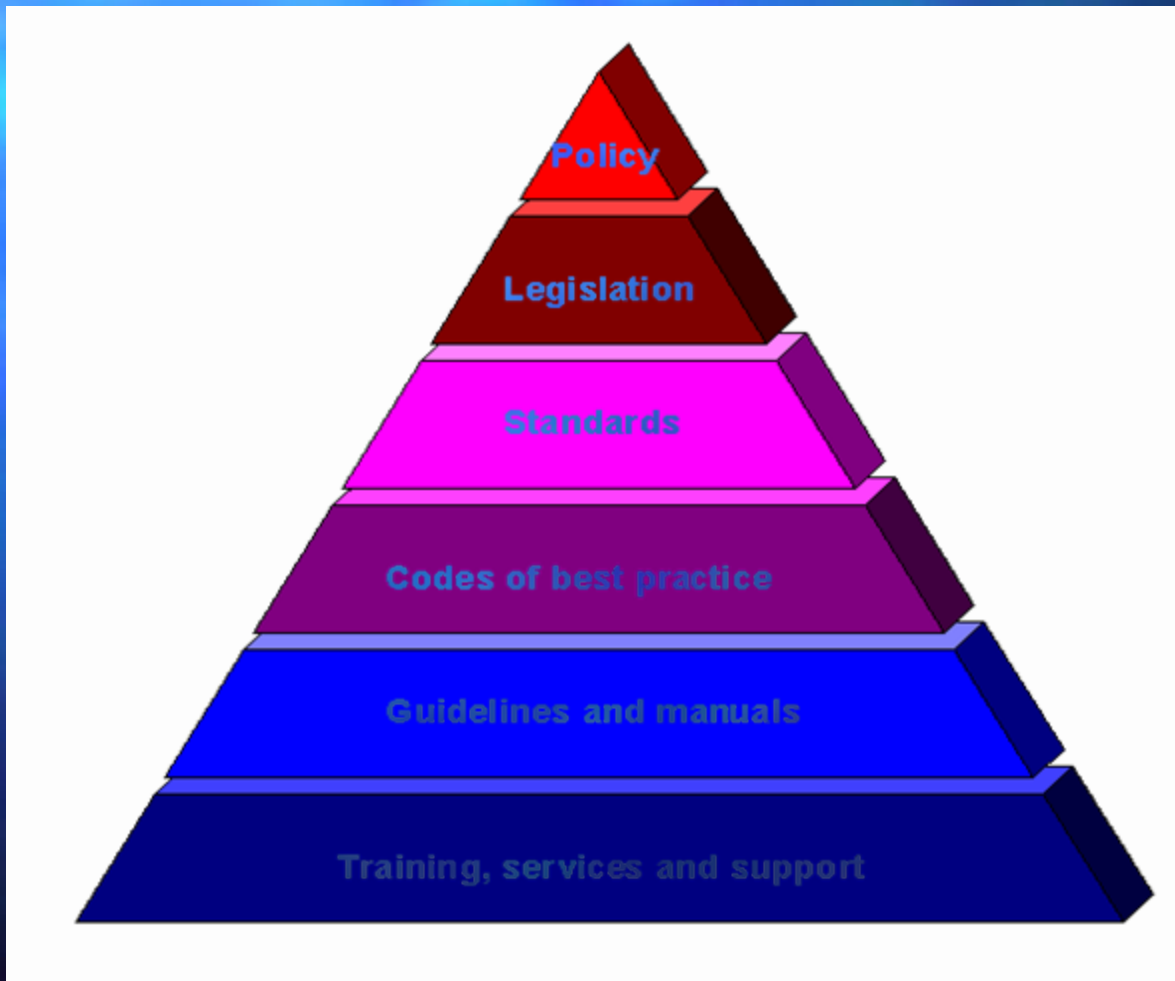
- Audit and compliance - 'stick'
- Building recordkeeping into systems design
- Business requirements
- Capturing metadata - naming standards
- Data Migration / Legacy Data
- Cost / Benefit
- IT Vendors - "We have the solution!"



Lessons Learned

- Managing in Outsourced Environments
- Doing what is achievable / affordable
- Managing Risk - what is core to business?
- Whole of Government approach
- Strategic alliance between Records and Audit
- "Getting your own house in order!"
- Maintain the Strategic Focus

STRATEGIC FRAMEWORK



Thank you - Questions?

