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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Pretoria April 2008
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

Client/Case File

- Video/Audio/CD's
- Telephone Enquiries/Voicemail
- Email
- Incoming Correspondence
- Internet transactions
- Computer Reports/Statements
- Electronic Forms
- Electronic Faxes/Images
- Presentations
- Word processing documents
- Spreadsheets
Electronic Recordkeeping: IM Architecture

- Workflow Systems
- Information Capture & Creation
- Publishing and Distribution
- Search and Retrieval (inc FTR)
- FMIS / HRM
- Links to Office Systems
- Interface to External Systems
- e.g. Ministerial Workflow
- e.g. desktop document capture
- e.g. Web content management
- e.g. e-commerce and online systems
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

Policy
Legislation
Standards
Codes of best practice
Guidelines and manuals
Training, services and support
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
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
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- 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
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
Thank you - Questions?