

The Electronic Recordkeeping Systems Standard

Evelyn Wareham

Manager, Government Recordkeeping Programme
Archives New Zealand

Overview

1. The Issue: digital recordkeeping
2. The Standard and how to use it
3. PRA Standards: what's next?

The issue

- “Electronic recordkeeping is a major hurdle for our organisation.”
 - Comment from Government Recordkeeping Survey 2005

GRK Survey 2005

- People's most difficult task: finding electronic records
- Lack of confidence that records are tamper-proof and securely maintained
- E-records less likely to be covered by RK policies and disposal authorities
- 66% of organisations hold some or all records solely in electronic form

Electronic Information: Digital Quicksand?



- Unstructured
- Lack of corporate control
- Changeable
- Massive quantity
- Mixed media and links
- Uncertain legal status
- Rapid obsolescence

Information systems vs recordkeeping systems

<i>Information systems</i>	<i>Recordkeeping systems</i>
Timely	Time-bound
Manipulable	Inviolable
Non-redundant	Redundant

The Standard

- High level guidance on electronic recordkeeping systems
- Functional specifications for systems
- To inform selection of 'off-the-shelf' applications.
- To facilitate incorporation of recordkeeping functionality into development, or upgrading, of information systems.

Status

- Issued June 2005
- Under Public Records Act (PRA), s27
- Discretionary, best practice standard
- Covers public offices and local authorities
- Supports PRA key requirement:
 - To create and maintain full and accurate records of affairs (s17).

Structure

- Part A: a general introduction to electronic recordkeeping systems.
- Part B: functional specifications for electronic recordkeeping systems for the New Zealand public sector. Part B is the core of the Standard.
 - 265 technical requirements
 - Divided into “must” and “should”

High-level model

- **Ingest**: capture, classify and identify records to ensure fixed content, structured and context
- **Maintain**: ensure continued accessibility
- **Disseminate**: search for, retrieve and render records
- **Administer**: system maintenance, support

Using the Standard (1)

- Electronic recordkeeping generally
 - Definition of recordkeeping functionality
 - Support for business case
- EDRMS implementations
 - Assist application selection or modification
 - Functional specifications for RFP/RFI
 - Assessment tool for vendors / developers

Using the Standard (2)

- Existing business information systems
 - Assess recordkeeping functionality using specifications as audit tool
 - Identify weaknesses to be addressed through modifications or links to other systems

Standards: what's next?

- PRA Standards Methodology & Strategy
 - Collaboration & consultation
 - Standards set audit criteria for 2010
 - Audit tools / workbooks with standards
 - Clear timeline for core suite
- Mandatory Standards
 - Recordkeeping Framework (Create and maintain)
 - Storage Standard

Standards for Digital Workplace

- Partner Standards on E-Systems
 - Digitisation (& disposal) standard
 - Recordkeeping Metadata standard
- Australasian Digital Recordkeeping Initiative: www.adri.govt.nz
- International: EDRMS, Metadata
- Digital Preservation at Archives NZ

Timeline

2006

2007

2008

2009

2010

Develop mandatory standards → Prepare for audits → Audit

Discretionary standards →

Questions?

- www.archives.govt.nz/continuum
- Email: rkadvice@archives.govt.nz
- Phone: (04) 499 5595