Electronic Records Management – the role of TNA

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the national archives

What records management has to address

- Accountability & records as evidence

- Standards & controls

- Protection & security

- Audit trails & reporting

- Capture, access & retrieval

- Disposal and archiving

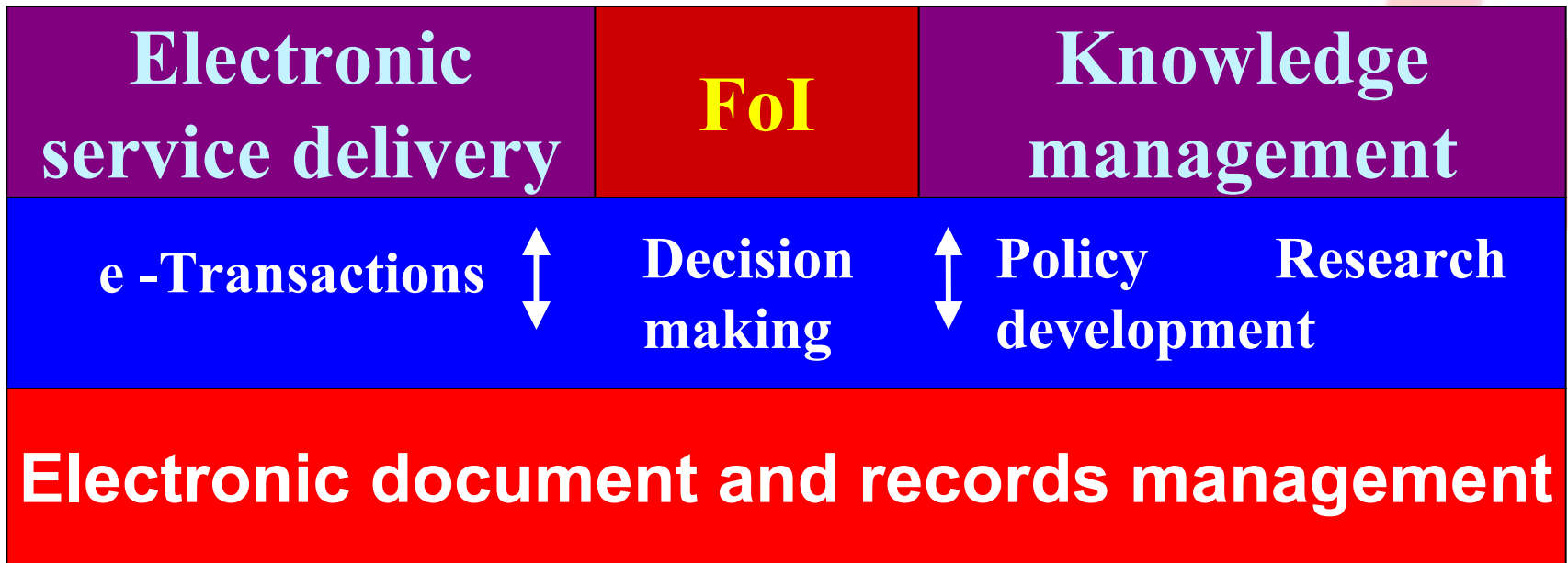- Supporting business continuity

The role of ERM in a wider framework

Business process change

Online public access

Integrated information environment

Electronic service delivery	FoI	Knowledge management
e -Transactions	Decision making	Policy development	Research

Electronic document and records management

the national archives

The ideal RM system is:

- Compliant – to ensure the business can comply with the 'regulatory environment and community expectations';

- Comprehensive – to ensure records pertaining to all relevant aspects of the business are managed;

- Systematic – to ensure that the above characteristics are operated consistently across the organisation.

Accountability & evidential records

- BS ISO 15489 (Records management standard) requires 4 key characteristics:

  – Authenticity

  – Reliability

  – Integrity

  – Usability

Definition of authenticity

- BS ISO 15489 states:

An authentic record is one that can be proven:

- *To be what it purports to be,*

- *To have been created or sent by the person purported to have created or sent it, and*

- *To have been created or sent at the time purported*

Presumption of authenticity

- A presumption of authenticity will be based upon the number of requirements that have been met and the degree to which each has been met. The requirements are, therefore, cumulative: the higher the number of satisfied requirements, and the greater the degree to which an individual requirement has been satisfied, the stronger the presumption of authenticity.

Defining reliability

- BS ISO 15489 regards a reliable record as one

  – "*whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities*".

Defining integrity

- BS ISO 15489 states that "*the integrity of a record refers to its being complete and unaltered*"

Presumption of integrity

- requires a trusted custodian possessing:
  - name of the creating organisation that regards the record as part of its official corporate record
  - name of the organisation which has custody of the record
  - indication of types of annotations added to the record
  - indication of technical modifications

Defining usability

- **BS ISO 15489 defines a usable record as "*one that can be located, retrieved, presented and interpreted*".**

What controls are needed?

- ISO 15489 requires processes & controls to:
  - **Determine what needs to be captured & determining disposal schedules;**
  - **Classify an organisation's activities;**
  - **Manage storage and handling;**
  - **Manage access and security;**
  - **Tracking the movement and use of records;**
  - **Implementing disposition;**
  - **Documenting RM processes.**

Functional requirements for ERM 1

- Record organisation
- Record capture, declaration and management
- Search, display and presentation
- Retention and disposal
- Access Control

Functional requirements for ERM 2

- Audit

- Reporting

- Usability

- Design and performance

- Compliance with other standards

Archiving & business continuity

- Generic requirements for sustaining electronic information over time
  - Defining the characteristics for authentic records
  - Management requirements
  - Technical requirements
  - Guidance for categorising records to identify sustainable requirements

Strategic framework

- **Products**
  - Criteria for assessing if the sustained records meet the business need
  - Information about use of actively maintained records
  - Priorities for sustainability and action plans
  - Maintenance strategies
  - Assessment of continued authenticity of records
  - Proposed changes to technological infrastructure

Ensuring the archives of the future

Records & information management – a core business activity

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