Electronic Records Management – the role of TNA

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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

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

- Electronic document and records management

Business process change

Integrated information environment

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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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