

Record Retention and Digital Asset Management



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Agenda

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Definitions

Record

- Books, papers, maps, photographs, machine readable materials, or other documentary materials
- Made or received by an agency of the Government under State law or in connection with the transaction of public business
- Preserved or appropriate for preservation by that agency
- As evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government, or because of the informational value of the data in them. (*Federal Records Act: 44 USC 3301*)

Definitions

Electronic Record

- Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record. (*NARA regulations: 36 CFR 1234.2*)
- Electronic records are not necessarily kept in “recordkeeping systems” but may be created, stored, and managed in any form of electronic information system or application program, such as e-mail or word processing.

Definitions

Records Management

- The field of management responsible for the systematic control of the creation, maintenance, use and disposition of records. (*Society of American Archivists, 1992*)
- As defined in the *Code of Federal Regulations* definition, is the rubric "umbrella term" for the discipline defined by a company's policies and processes for managing the records that document its activities.

Definitions

Electronic Records Management (ERM)

- Using automated processes to manage any records regardless of format: paper, electronic, microform, etc.

Electronic Recordkeeping (ERK)

- Using automated processes to manage the electronic records.
- ERK should preserve the content of electronic records, and their context and structure, over time.

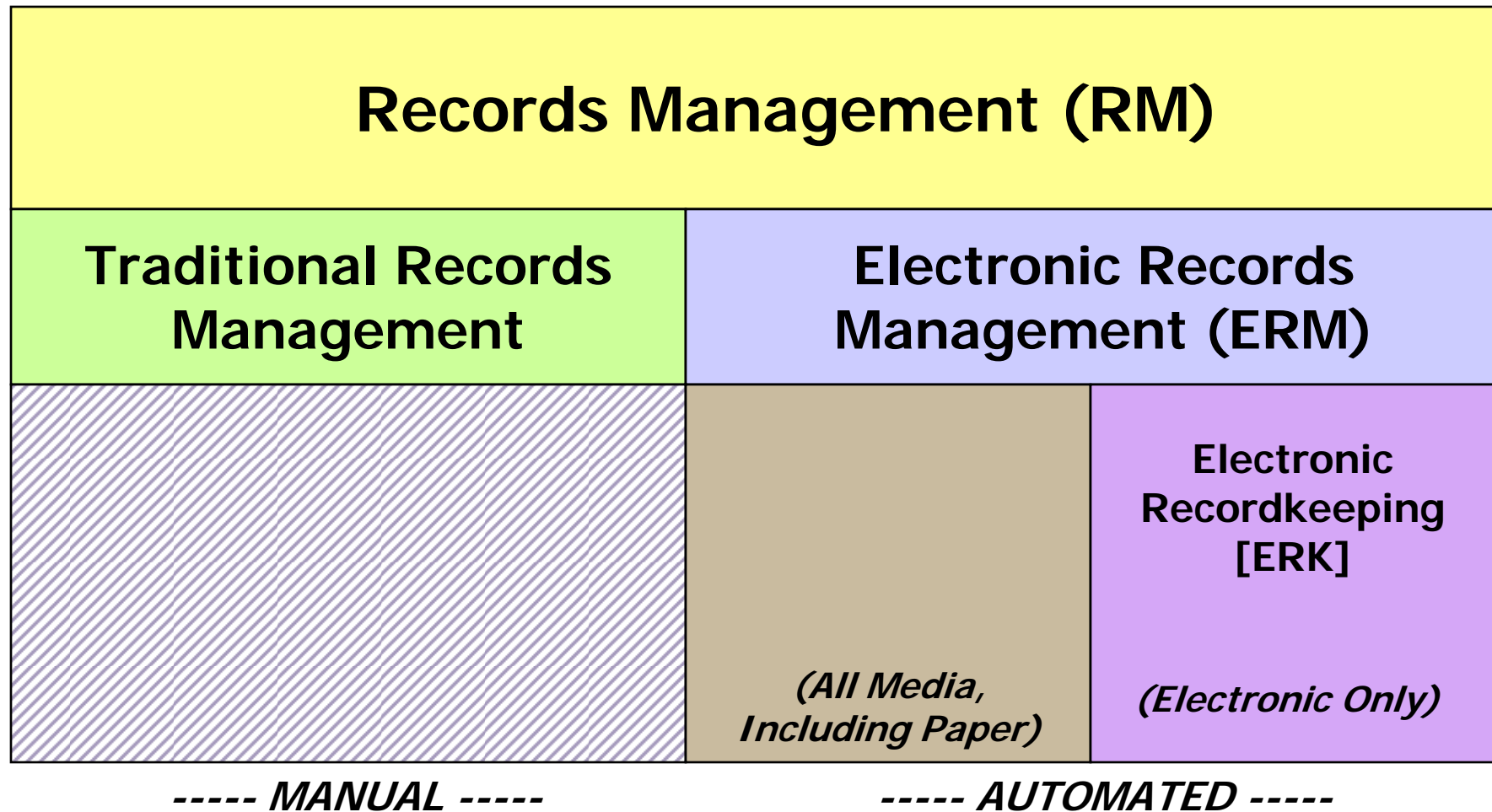
Principles of a Records Management Program (ISO 15489-1)

- a) determining what records should be created in each business process, and what information needs to be included in the records,
- b) deciding in what form and structure records should be created and captured, and the technologies to be used,
- c) determining what metadata should be created with the record and through records processes and how that metadata will be persistently linked and managed,
- d) determining requirements for retrieving, using and transmitting records between business processes and other users and how long they need to be kept to satisfy those requirements,
- e) deciding how to organize records so as to support requirements for use,

Principles of a Records Management Program (ISO 15489-1)

- f) assessing the risks that would be entailed by failure to have authoritative records of activity,
- g) preserving records and making them accessible over time, in order to meet business requirements and community expectations,
- h) complying with legal and regulatory requirements, applicable standards and organizational policy,
- i) ensuring that records are maintained in a safe and secure environment,
- j) ensuring that records are retained only for as long as needed or required, and
- k) identifying and evaluating opportunities for improving the effectiveness, efficiency or quality of its processes, decisions, and actions that could result from better records creation or management.

Electronic Records Management



EDMS and ERM

- Electronic Document Management System [EDMS]
- An electronic document management system [EDMS] is software that manages the creation, storage, and control of semi-structured documents.
- In part, because an EDMS does not support the preservation of the business context of an individual record (i.e., EDMS systems manage a content item as an individual unit, as opposed to preserving its relationship to a larger group of documents that provide evidence of the same particular organizational function), EDMS systems are not electronic recordkeeping systems.

ECM

- Enterprise Content Management [ECM]
- AIIM defines Enterprise Content Management (ECM) as the technologies used to capture, manage, store, preserve, and deliver content and documents related to organizational processes. ECM tools and strategies allow the management of an organization's unstructured information, wherever that information exists.
- EDMS and ERM are components of ECM as found in EMC Documentum

Objectives

- Meet requirements imposed by law and regulations
- Meet business needs
- Expedite fulfillment legal discovery requests
- Meet requirements of current/proposed policy
- Address other specific objectives (e.g., manage volumes of data)

Benefits

- Accessibility
- Authenticity and reliability
- Business dispute resolution
- Improved productivity
- Long-term cost savings
- Reduced cost of compliance and legal discovery

Legal and Regulatory Requirements (NARA)

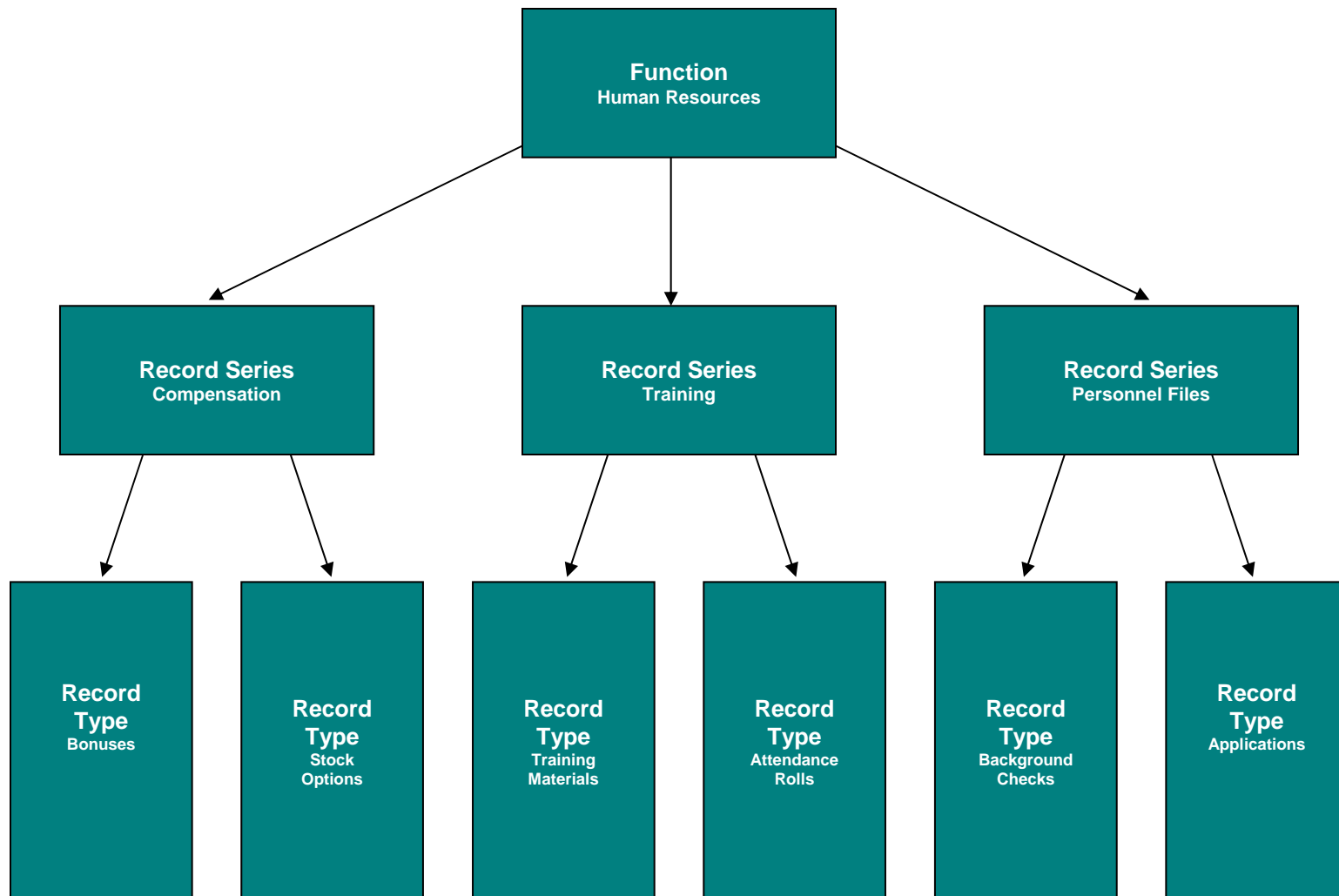
<http://www.archives.gov/records-mgmt/policy/prod2fnl.html>

- 1. Presidential Decision Directive 63 (PDD-63)*
- 2. Electronic Freedom of Information Act - EFOIA*
- 3. Government Paperwork Elimination Act*
- 4. Paperwork Reduction Act of 1995*
- 5. Information Technology Management Reform Act - ITMRA (aka "Clinger-Cohen")*
- 6. Government Performance and Results Act - GPRA*
- 7. Armstrong v. Executive Office of the President*
- 8. Public Citizen v. John Carlin*
- 9. OMB Circular A-130: Management of Federal Information Resources*

DOD 5015.2

- Chapters 2, 3 and 4
- Mandatory for DOD to use a certified tool for ERM
- Chapter 2 requirements include:
 - File Plan (taxonomy)
 - Scheduling Records (retention rules)
 - Declaring and filing records (includes mandatory metadata)
 - Filing email
 - Storing records (Controlled repository)
 - Retention and Vital Records (cut-off, vital record review, holds, ..)
 - Access Controls
 - System Audits
 - System Management
 - Additional baseline requirements (e.g., Accessioning)
- Chapter 3 – Non-mandatory requirements
- Chapter 4 – Classified records

File Plan (or Classification Scheme)



Retention Schedule

| Records Retention Schedule Template | | | | | | | | | | |
|--|---|--|--------|-----------------|-----------|----------|--------|----------------------------|-----------------------|---|
| DESCRIPTION | CUSTODIAN | Laboratory | | | | | | CURRENT RECORD FORMAT | DUPLICATED ELSEWHERE? | SAFEGUARD MEASURES CURRENTLY IN PLACE? |
| | | RETENTION REQUIREMENTS (yrs.) | | | OFFICIAL? | CONFID.? | VITAL? | | | |
| | | LEGAL | ACTIVE | NON-ACTIVE | | | | | | |
| | | (CY: Current Yr) | | | | | | | | |
| Public Health Testing Records | Departmental Supervisors | CLIA-FDA-IDPH-IDNR - indefinite | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| Environmental Health Testing Records | Departmental Supervisors | CLIA-FDA-IDPH-IDNR-SDWA-CWA-FIFRA-AIHA-NVLAP-IDNR-US Army-EPA - indefinite | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| Laboratory Certification Records | Departmental Supervisor | EPA-DNR - indefinite | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| Financial Management Records | Business Manager | | | | | Yes | | Paper-Computerized Systems | Yes | Locked Storage Areas & Daily Backup of Computer Systems |
| Human Resource Records | Personnel Director | | | | | Yes | Yes | Paper-Computerized Systems | Yes/No | Locked Storage Areas & Daily Backup of Computer Systems |
| Records Processing - Client Services Records | Departmental Supervisors | CLIA-FDA-IDPH-EPA - 5 | CY +1 | 2 to 5 | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| CATS | Departmental Supervisor | INDEFINTE | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| QA | Departmental Supervisor | INDEFINTE | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |
| Office Correspondence of an Official Nature | Administrative Secretary-Program Assistants | Indefinite | CY +1 | 2 to indefinite | Yes | Yes | Yes | Paper-Computerized Systems | No | Locked Storage Areas & Daily Backup of Computer Systems |

Typical ERM Functions

- Declare a record
- Capture a record
- Organize records
- Maintain records security
- Manage records access
- Facilitate records retrieval
- Preserve records
- Audit/oversight
- Disposition

Typical ERM Functions

DECLARE A RECORD

- For all records the system should:
 - Assign unique identifiers to records and their associated metadata.
 - Capture as much metadata automatically as possible, and reliably link metadata to the records.
 - Some metadata captured for records might include: creator, creating organization, author, recipients, subject matter, format, various dates (date created, date filed), a "vital records" indicator, and others. (See also DOD 5015.2 metadata needs)

Typical ERM Functions

CAPTURE RECORDS

- For all records the system should:
 - Allow import of records from other sources. This may involve format conversion for records that are imported from external information systems.
 - Allow establishing a link from the ERM system to a record in an external information system in order to establish records management control. In this case physical transport of the records from one system to another isn't required.

Typical ERM Functions

ORGANIZE RECORDS

- For all records the system should:
 - Allow implementation of a corporate scheme for how records are organized.
 - Allow users to select categories in which records are filed and assign records to these categories.
 - Allow records to be linked to other records.
 - Allow certain users to create file folders, and to add, edit and delete categories or file folders.
 - Allow certain users to add, edit and delete records retention schedules.
 - Execute disposition instructions.
 - Allow certain users to assign a status to records that prevents their destruction.
 - Allow certain users to specify staff or unit to which records management responsibility may be assigned.
 - Import information from other sources.
 - Allow users to specify identifiers for non-electronic records.

Typical ERM Functions

MAINTAIN RECORDS SECURITY

- For all records the system should:
 - Prevent over-writing of a record. (Usually, a record 'copy' is checked out of the system and a re-filed record is written as a new record or a new version of an existing record.)
 - Prevent any modification of a record's unique identifier, once it is defined.
 - Prevent deletion of indexes, categories, and other 'pointers' to records.
 - Maintain a means of detecting any alteration of record or metadata.
 - Provide audit trails of all add, update, deletion, and retrieval activity.
 - Maintain appropriate backup copies of records and recordkeeping systems.
 - Provide adequate recovery/rollback procedures and rebuild procedures, so that records may be recovered or restored following a system malfunction.

Typical ERM Functions

MANAGE RECORDS ACCESS

- For all records the system should:
 - Control access so that only an authorized individual is able to retrieve, view, print, copy, or edit a record or other entities (e.g., metadata, file plan) in the record keeping system.
 - Permit the identification of individual users and groups of users, and enable different access privileges to be assigned to individuals or groups. Access privileges may limit access to selected records or groups of records, and may limit access by selected individuals.
 - Maintain the integrity of redacted records and assure that redacted material is not accessible.

Typical ERM Functions

FACILITATE RECORDS RETRIEVAL

- For all records systems the system should:
 - Allow searching on metadata, record content, or assigned subject categories.
 - Ensure that all access privileges (permissions and restrictions) are enforced on all retrievals.
 - Allow searching based on a combination of metadata, content, and subject categories within a single query. Query results that may be a list of records and their locations, or may be the records themselves.
 - Allow retrieval of records and associated metadata, and allow retrieval of records based on defined links (e.g., between versions of the same record).

Typical ERM Functions

PRESERVE RECORDS

- For all records the system should:
 - Ensure that all records can be read and accurately interpreted throughout their useful life in that system.
 - Enable migration of records to new storage media or formats in order to avoid loss due to media decay or technology obsolescence.
 - Ensure that all captured metadata remains linked to appropriate records and is unchanged throughout the useful life of the records, including after migration to new media or technology.

Typical ERM Functions

AUDIT/OVERSIGHT

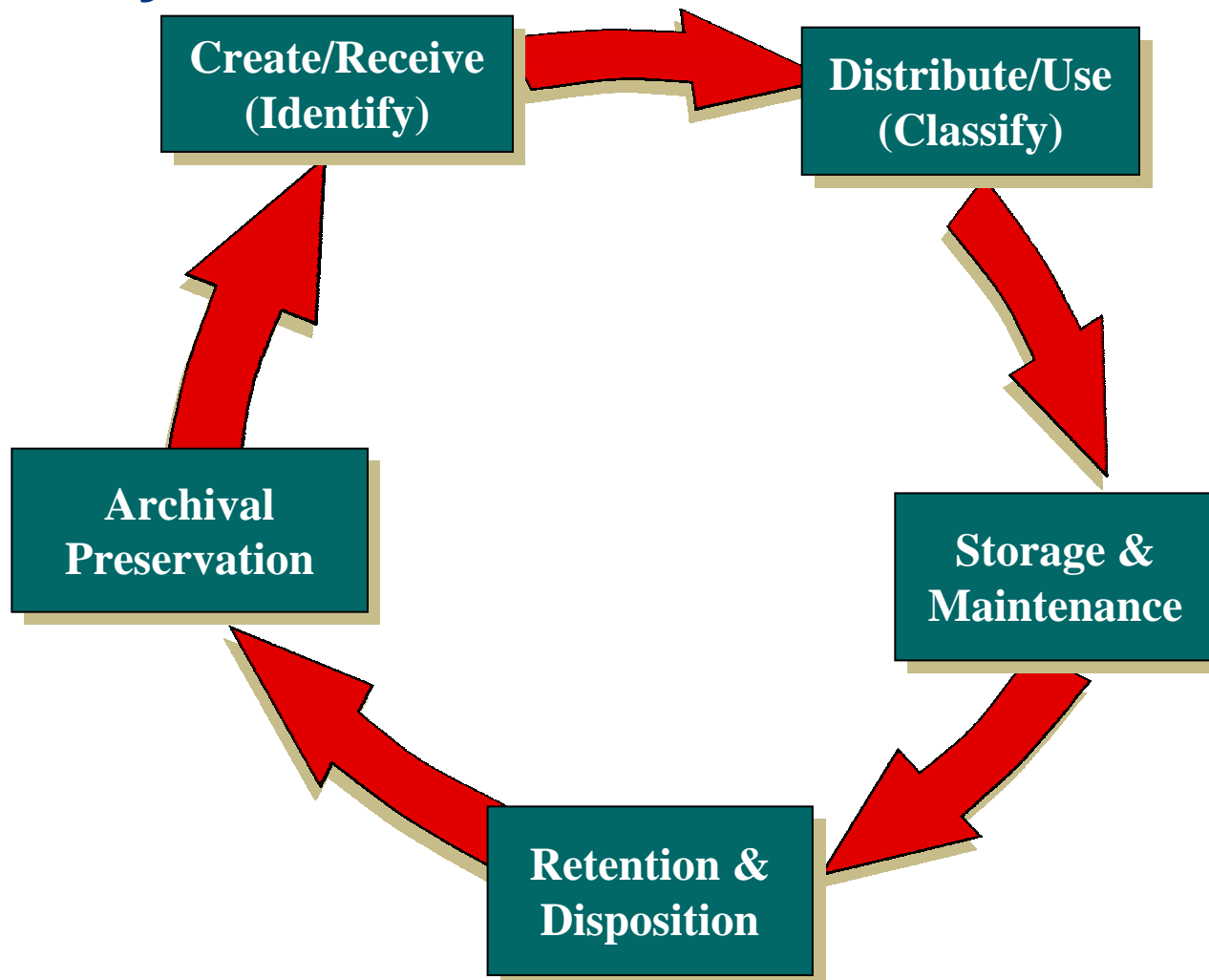
- For all records the system should:
 - Create and maintain an audit trail (also called use-history metadata) for all records activity and system functions.
 - Provide access to audit trail information at the fully detailed level (e.g., each individual record access, including record identifier, time, date, and user).
 - Provide summary reports of audit trail information (e.g., number of accesses).

Typical ERM Functions

DISPOSITION

- For all records the system should:
 - Identify records eligible to be destroyed or permanently archived, based on records retention schedules and disposition instructions.
 - Delete records in a manner that they cannot be physically reconstructed or otherwise retrieved.
 - Optionally provide a record of all record destructions, providing certifiable proof of destruction.

Life Cycle of a Record



Best Practices

- Methodology
 - ERM Industry standards
 - ISO 15489 is one of the best known approaches to ERM
- Technology
 - Enterprise Content Management that includes records management functionality
 - Enables continuity and control of data throughout its lifecycle; Robust and scalable platform
- Usability:
 - Make records management functionality non-intrusive
 - Separate policy taxonomy from business user taxonomy so it will not confuse the business users with legal and regulatory terminology; Records can be identified and captured through lifecycle controls and classification inheritance

Ex. State of Michigan

- **Michigan Department of History, Arts and Libraries Records Management Services**
- **Frequently Asked Questions about Electronic Records for Local Governments**
 - It is essential that government agencies manage their electronic records appropriately. Like all other government records, electronic records are subject to Freedom of Information Act (FOIA) requests and litigation. Agencies can be held liable if they keep their electronic records too long, if their electronic records are not properly destroyed, or if they are destroyed too soon. Under all of these circumstances, the agency can be publicly embarrassed by the events, and can lose significant dollars attempting to protect itself, to produce the required records, to identify the relevant records, or to recover lost records.

Ex. State of Michigan

- In Michigan, it is acceptable to retain a hardcopy version of an electronic record as the official copy, provided that sufficient evidential metadata is retained. Retention in electronic form is also acceptable for born-electronic records and digital images of paper or microfilm.
- You may want to look at the Michigan e-mail guidelines and FAQ document we have on our website, as well as our records reproduction standards. <http://www.michigan.gov/recordsmanagement/>.

Ex. State of Michigan

- Web Content:
 - Web page retention solutions and principles are still evolving.
 - Some states treat it as a publication, others as a record.
 - Some are trying to capture the content electronically, some are trying to get printouts.
 - In Michigan, they are treating it as both a publication and a record.
 - Archives is working to preserve an annual snapshot of the entire web portal as evidence of the "look and feel" of the portal at that moment in time
 - Agencies can document what content appeared online at a particular date/time if there are questions/litigation about accuracy of web content.

Ex. State of Michigan

- Email:
 - Buckets: Records, Non-records, Personal, Transitory
 - Who is responsible for filing e-mail messages?
 - **Senders:**
 - Are generally considered to be the person of “record” for any communication.
 - **Recipients:**
 - May also file a message to support their own business functions, especially if they do not have access to the sender’s records.
 - **Recipients:**
 - May also file a message until a task or activity is completed.
 - **Recipients:**
 - Informational copies do not need to be retained.

Record Retention and Digital Asset Management



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