

Electronic Recordkeeping

Agenda

1. Provide Overview of Electronic Records in Government.
2. Provide Definitions for Understanding ERK.
3. Describe Objectives of ERK.
4. Identify Critical Success Factors for ERK Projects.
5. Review Business Benefits of ERK.
6. Review Legal and Regulatory Requirements for ERK.
7. Introduce Planning Checklists for Records Managers and IT Staff considering an ERK Project.

Electronic Records in Government

- Official records of Federal agencies are found in:
 - » Desktop computer applications: e.g., word processing, spreadsheet, and personal database software
 - » Electronic mail (e-mail) systems
 - » Electronic document management systems (EDMS)
 - » Agency Web sites
 - » Management information systems (MIS) and other electronic information systems (EIS)
 - » Digital media files
 - » Scientific instrumentation and research data sets

Electronic Records in [XXX]

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[INSERT YOUR ORGANIZATION NAME IN TITLE]

- LIST OF SOME IMPORTANT, UNIQUE, OR HIGHLY VISIBLE RECORDS THAT ARE CREATED OR STORED ELECTRONICALLY IN YOUR ORGANIZATION.
 - » EXAMPLE 1
 - » EXAMPLE 2
 - » (etc.)

Challenge of Electronic Records

"Electronic records pose the biggest challenge ever to record keeping in the Federal Government and elsewhere. There is no option to finding answers...the alternative is irretrievable information, unverifiable documentation, diminished government accountability, and lost history."

John Carlin, Archivist of the United States

- Electronic Recordkeeping (ERK) is part of the solution to manage, preserve and provide access to electronic records.
- ERK is not a total solution – it must work in concert with good records management programs, good agency business practices, and reliable information technology infrastructures.

Definitions

1. *Record*
2. *Electronic Record*
3. *Records Management*
4. *Electronic Records Management (ERM)*
5. *Electronic Recordkeeping (ERK)*

Records Management, ERM and ERK

Records Management (RM)

Traditional Records Management

Electronic Records Management (ERM)

Electronic Recordkeeping [ERK]

(All Media, Including Paper)

(Electronic Only)

----- MANUAL -----

----- AUTOMATED -----

ERK Objectives

- *Meet legal requirements, e.g., Federal Records Act and GPEA.*
- *Meet agency business needs.*
- *Expedite fulfillment of EFOIA and legal discovery requests.*
- *Leverage agency investments in information technology.*
- *Address other agency-specific objectives.*

ERK Objectives

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Meet other agency-specific objectives.

- LIST HERE ISSUES OR OBJECTIVES SPECIFIC TO YOUR ORGANIZATION

Critical Success Factors

- 1. Senior Managers*
- 2. Agency Staff*
- 3. Information Systems/Information Technology Staff*
- 4. Records Officers and Records Managers*
- 5. Re-engineering: Integrate ERK into the re-design of business processes*
- 6. Pilot projects: Demonstrate and prove ERK technology*
- 7. Education and Training*

Critical Success Factors

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- LIST HERE OTHER CRITICAL SUCCESS FACTORS SPECIFIC TO YOUR ORGANIZATION

Deciding to Implement ERK

- The decision to implement electronic recordkeeping (ERK) lies with the agency management.
- ERK should provide business benefits to the agency...
- ...and help the agency meet regulatory and other legal requirements.

Business Benefits of ERK

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

Business Benefits

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- LIST HERE OTHER BUSINESS BENEFITS SPECIFIC TO YOUR ORGANIZATION

Legal and Regulatory Requirements

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*

Checklists for an ERK Initiative

- ERK is an agency decision, based on legal and regulatory requirements and an analysis of business benefits.
- Once decided upon, initial steps in an ERK initiative include:
 - » Establish an understanding of Records Management.
 - » Assess the resources and readiness of the RM staff.
 - » Assess the resources and readiness of the IT organization.
 - » Make preliminary planning decisions for the ERK project.

Checklist: RM Readiness

Readiness of the agency's Records Management staff is critical to success of ERK. Some questions to be answered:

- Does your agency have a functioning records management program?
 - » Will current RM staffing levels support an ERK environment?
 - » Does your agency have an up-to-date listing of records?
 - » Does your agency have an enterprise-wide records classification scheme or file plan?
 - » Do all staff understand and know how to use the agency file plan?

Checklist: RM Readiness

- Does your agency have records schedules which contain business rules for how long records are maintained?
- Has the National Archives and Records Administration (NARA) approved your agency's records schedules?
- Has your agency identified how RM practices will change as ERK is implemented?
 - » Have you identified requirements for coordinating manual and automated RM processes, for records on any media?
 - » Have you identified changes to business processes that could or should be made as part of ERK implementation?

Checklist: IT Readiness

Readiness and resources of the IT organization are critical to the success of an agency's ERK initiatives. Some questions:

- Have you determined how records management fits into the agency's overall information management strategy?
- Does your IT organization understand records management goals and support agency records management objectives?
- Has your agency identified its electronic records?
- Does your agency have a program for long-term management and retention of electronic records?

Checklist: IT Readiness

- Has your agency done a cost/benefit analysis for this ERK initiative?
- Have you determined the scope of your ERK project?
 - » What records, from what sources, for what purposes?
 - » One system or separate systems for paper and electronic records?
 - » One system or many: for sub-units or functional areas?
 - » One system or many: for different record types?
 - » Parallel/pilot testing vs. “day forward” implementation?
- Does the agency have an ERK team which includes IT, records management, legal, finance, audit and program staff?

Conclusion

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- LIST HERE ANY CLOSING COMMENTS THAT ARE SPECIFIC TO YOUR ORGANIZATION

More About ERK

National Archives and Records Administration (NARA)

<<http://www.nara.gov/records/>>

NARA Fast Track Guidance Development Project

<<http://www.nara.gov/records/fasttrak/fthome.html>>

Additional Records Management Information (links)

<<http://www.nara.gov/records/links.html>>

More About ERK

Records and Information Management Resource List

<<http://home.earthlink.net/~survivoraz/infomgmt/infmgt.htm>>

The Preservation of the Integrity of Electronic Records

<<http://www.slais.ubc.ca/users/duranti/>>

InterPARES Project

<<http://www.interPARES.org/>>