IMS 5047 – MANAGING BUSINESS RECORDS

TOPIC 3 - Records Management Systems

Week Seven: Identification of recordkeeping requirements and assessment of existing systems

Reading:


* An Electronic Records & Document Management Specification was compiled by the South Australian Government in 2003. See our unit website for:
  - Part B Cover Sheet
  - Part B Specification

  (Note this is dated on the website as 2001, but if you download the document you will find it is 2004.)

Recordkeeping Requirements
(Definitions from State Records Office NSW, DIRKS Manual – introduction)

“Recordkeeping systems are business information systems capable of: capturing, maintaining and providing access to records over time.”

“Recordkeeping systems are not simply software applications designed to manage records. They are organised collections of:

- people
- policies
- procedures
- tools
- technology
- ongoing supporting education, and
- maintenance.”

“Tools in a recordkeeping system are recordkeeping instruments - disposal schedules, thesauri, access and security classification schemes etc - designed to help you manage and control your records through time.”

IMS 5047 – 2004  Topic 3
Week 7 Lecture Notes
Characteristics of recordkeeping systems (from State Records Office NSW, DIRKS Manual – introduction)

<table>
<thead>
<tr>
<th>The characteristic of..</th>
<th>Means that systems should...</th>
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</table>
| Reliability            | • routinely capture all records  
                          |   • organise records appropriately  
                          |   • provide adequate information about the records within them  
                          |   • provide ready access to records and make records of system operation |
| Integrity              | • prevent unauthorised access, destruction, alteration or removal of records |
| Compliance             | • be managed in compliance with all requirements that apply to the business documented within them |
| Comprehensiveness      | • manage all records resulting from the business activities that are documented or managed by the system |
| Fixity                 | • store records in ways that mean they cannot be tampered with, deleted inappropriately or altered |
| Accessibility          | • allow records to be shared as information resources across a work space, business unit or organisation |
### Functions that should be performed by recordkeeping systems
(from State Records Office NSW, DIRKS Manual – introduction)

<table>
<thead>
<tr>
<th>The function of...</th>
<th>Means that systems should be capable of...</th>
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<tbody>
<tr>
<td>Registration</td>
<td>• capturing records by assigning them unique identities and attributing brief descriptive information to them, such as a title and date</td>
</tr>
<tr>
<td>Classification</td>
<td>• arranging records into categories based on the business activities they document, as a means of facilitating record control, retrieval, disposal and access</td>
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<tr>
<td>Indexing</td>
<td>• establishing access points to facilitate record retrieval</td>
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<tr>
<td>Access and security monitoring</td>
<td>• assigning and implementing rights or restrictions that protect records against unauthorised or inappropriate use or access</td>
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<tr>
<td>Tracking</td>
<td>• monitoring record use to ensure no inappropriate use occurs and an auditable record of use is maintained</td>
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<tr>
<td>Disposal</td>
<td>• utilising disposal authorities, linking disposal periods to records, triggering any required disposal actions, reviewing any history of use to confirm or amend disposal status and maintaining an auditable record of disposal (retention, destruction or transfer) actions</td>
</tr>
<tr>
<td>Storage</td>
<td>• appropriately maintaining records in consideration of their form, use and value for as long as they are legally required</td>
</tr>
<tr>
<td>Searching, retrieval and rendering</td>
<td>• making records available as corporate information resources</td>
</tr>
<tr>
<td></td>
<td>• identifying and presenting records in response to user search requests and, where appropriate, enabling records to be printed on request</td>
</tr>
<tr>
<td>Reporting</td>
<td>• generating any reports deemed necessary by the organisation</td>
</tr>
<tr>
<td>Managing records in any form</td>
<td>• managing electronic records, scanned images, voice files, video clips, digital plans, databases, information from other applications etc.</td>
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<tr>
<td></td>
<td>• managing electronic signatures and encrypted records, where appropriate</td>
</tr>
<tr>
<td></td>
<td>Some systems may only be required to manage records in one format, while others will need to be capable of managing multiple formats</td>
</tr>
<tr>
<td>Integration with electronic applications</td>
<td>• integration with applications used for transaction of business (office utilities, e-mail, websites, database applications, workflow, etc)</td>
</tr>
</tbody>
</table>

On campus students – On Friday 10th September - look at the presentation on Objective 6i and think about the following questions:
- does it cover all the functionality in the 2 tables listed above?
- list what other functionality capabilities it has.

**Look at a System Specification from the South Australian Government (E-task 4 and tutorial for Week 7)**

Consider: How closely do these requirements meet AS ISO 15489?

Since that specification was written and a preferred supplier panel appointed, State Records of SA has issued a revised version of “Document and Records Systems Standard, Jan 2004. The six principles in this 2004 Standard will assist you in understanding the reasons for the functionality in the System Specification.

**Functions of ED/RMS technology.**

Remember the technology is simply the tool to capture, manage & retrieve records to meet your organisation’s business imperatives (Week 1).

A record can be in any format and from any source - it is evidence of business.

It has relationships, managed by the EDMS. (See attached pdf document Drawings - Technology EDRMS.)

**•To other objects**

  - In the same database or on the same server
  - In a different database, or a different server

**•To People**

  - Internal staff – eg. users of the system, creators/authors of documents.
  - External people, eg. customers, suppliers, clients, other organisations - creators/authors of documents, retrievers of documents, the subject of document content.

**•To Processes, eg the document/object:**

  - May be part of a drafting/compilation process.
  - May be part of a workflow.
  - May be part of an e-business transaction (buying/selling).
  - May be part of an information exchange.
  - Any of these processes could be with internal people or external people/orgs, or a combination of the two

The technology:

- Captures & categorises/indexes the objects
- Stores the objects
- Finds them again later
- Prevents the objects from being tampered with or erased by managing versions of the objects which are changed, preventing unauthorised access, restricting unauthorised document deletion.
**What components might such a commercially available system comprise?**

(See attached pdf document Drawings – ED/RMS Components)

- **Email management** – really a sub set of electronic document management, but done to varying degrees of success by different systems.
- **Image management** – ie management of document objects that have been scanned into the system, or images received from elsewhere.
- **Web publishing** - ie the creation of a document, storage in the EDMS repository, conversion to HTML, directed publishing to the organisation’s web site, version control.
- **Contact mgt** - sometimes called CRM - not quite the same. Manages information about people, roles, positions, skills, addresses/contact information etc. Relates documents to people, relates people to people (eg.org chart).
- **Content mgt** - Capture & management of components of information, which can be used & re-used in a variety of ways & to a variety of outputs. Eg. a word document may be used in a report, or on a web site.
- **Workflow** = “Automation of business processes…where documents, information or tasks are passed from one participant to another for action, according to a set of rules.” (ANSI/AIIM TR2 Glossary of Doc Technologies, p.97)
- Routs documents electronically to people for action. Some systems do this by focussing on a document as the instrument of action (document centric workflow). Others also focus on a process, with one or many documents attached or implicated in the process (process-centric workflow).
- **KM** = Capturing the “know how” of the organisation and using it to work smarter (Geoff Beckworth, ANZ Bank)

**System Assessment**

(from State Records Office NSW, DIRKS Manual – Step D)

A checklist of components to assess could include:

- name of system
- function/activity performed or supported by system
- transactions performed within system
- recordkeeping requirements system is subject to
- location of system
- system administrator
- identified system risks
- size of system
- system controls/business rules implemented
- system users - number and location (business unit, external users)
- system interfaces - is the technology employed stand-alone or linked to other applications
- type of data stored within system
- frequency with which the information is collected/stored, accessed/used/disposed
• business rules are employed within the system
• metadata employed
• identified constraints or problems affecting system use
• physical form of information within system
• physical location of system and the information it contains
• budget allocation used for collection/storage/access/use/disposal of information within the system
• privacy management implications of information within the system
• standards applicable to the system
• how are records created in the system?
• how are they described?
• how are they used?
• how are they maintained?
Technology - ED/RMS

ED/RMS Components

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