Recordkeeping for Good Governance Toolkit

Digital Recordkeeping Guidance

Funafuti, Tuvalu – June 2013
Guidelines 12 – 19: Aims

• To help organisations in the Pacific region put in place appropriate and sustainable solutions for managing their digital records.

• To help guarantee that digital records of government activities and decisions are properly managed to ensure their integrity, useability, accessibility and survival for as long as they are needed.
Guidelines 12 – 15: Overview

• **12**: Introduction to Digital Recordkeeping
• **13**: Digital Recordkeeping Readiness Self-Assessment Checklist for Organisations
• **14**: Digital Recordkeeping – Choosing the Best Strategy
• **15**: Scanning Paper Records to Digital Records
Guidelines 16 – 19: Overview

• 16: Systems and Software Checklists
• 17: Managing E-mail
• 18: Digital Preservation
• 19: Implementing a digital recordkeeping strategy
Guideline 12
Introduction to digital recordkeeping

Provides an overview on digital records and recordkeeping, addressing key concepts, benefits, risks and myths. Includes a glossary for records managers and for IT professionals.
Introduction to digital recordkeeping

• What are digital records?
• What is digital recordkeeping?
• The importance of metadata
• Risks and benefits of digital records
• Digital recordkeeping myths
Digital records

• Many different types and formats
• There is a difference in how we ‘view’ a digital record and paper record
What is digital recordkeeping?

• ‘Same, but different’ to traditional recordkeeping
• The activities and processes involved in managing a digital record over the course of its life
The importance of metadata

What is in the can?
Basic record metadata

Basic metadata includes:

- title
- creator, sender, receiver
- date when created or received
- security classification
- registration or control number
Basic record metadata

PARBICA Guideline 19 - Implementing a Digital Recordkeeping

Title: PARBICA Guideline 19
Subject: Implementing Digital Recordkeeping
Author: Anna Gulbransen
Manager:
Company: Archives New Zealand
Category:
Keywords:
Comments:
Hyperlink base:
Template: Normal

Attributes:
- Read only
- Hidden
- Archive
- System

MS-DOS name: PARBICA~1.DOC
Created: Tuesday, 1 May 2012 10:32:01 a.m.
Modified: Tuesday, 1 May 2012 10:32:01 a.m.
Accessed: Tuesday, 1 May 2012 10:32:06 a.m.
Other metadata

More metadata needs to be added to records when they are:

– Stored
– Accessed
– Changed
– Kept, destroyed or transferred
What are the benefits of digital recordkeeping?
The benefits of (good) digital recordkeeping…

• Records can be accessed anywhere, anytime (by an authorised person)
• Multiple copies of records not needed
• Records more easily discoverable and retrievable
• Records are more secure, due to access controls
• Cost savings – less duplication and double-handling
What are the risks of digital recordkeeping?
The risks and challenges of digital recordkeeping…

• Lots and lots of digital information created and sent today – hard to keep up
• Computer software and hardware going out of date (technological obsolescence)
• Challenges to authenticity – easy to amend or delete digital records
• Loss of security and privacy
• Long-term costs
More risks and challenges of digital recordkeeping...

- Loss of control due to reliance on vendors and external providers
- Lack of access to resources such as IT support and software vendor assistance
- Managing change for users
- Choosing inappropriate systems or software applications
# 15 Digital recordkeeping myths

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<table>
<thead>
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<tbody>
<tr>
<td>1</td>
<td>Everything on a computer is safe</td>
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<tr>
<td>2</td>
<td>Information generated on my computer is not a record</td>
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<tr>
<td>3</td>
<td>Digital storage is cheap</td>
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<td>4</td>
<td>Computers will create a paperless office</td>
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<td>5</td>
<td>All information generated or received on my computer at work is my own personal property</td>
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<td>6</td>
<td>Scanning is a cheaper and more reliable way of storing information</td>
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<td>7</td>
<td>‘Archiving’ is the same as digital recordkeeping</td>
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<tr>
<td>No.</td>
<td>Myth</td>
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<td>8</td>
<td>Databases such as spreadsheets are reliable forms of evidence</td>
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<td>9</td>
<td>Outsourcing will solve all my problems</td>
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<td>10</td>
<td>Google will help me to find everything I need</td>
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<td>11</td>
<td>Our shared drive is good enough for managing records</td>
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<td>12</td>
<td>When I delete an email it has been destroyed</td>
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<tr>
<td>13</td>
<td>Digital records cannot be used as evidence</td>
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<td>14</td>
<td>I will be able to access all my records in ten years’ time</td>
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<tr>
<td>15</td>
<td>Recordkeeping is not my responsibility</td>
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Guideline 15: Scanning paper records to digital records

- Practical advice for organisations considering a scanning project.
- Looks at the various processes involved in a scanning project from planning to file storage, risks and issues such as outsourcing, and includes information on technical standards and the different equipment available.
Guideline 15: Scanning paper records to digital records

Reasons for scanning:
• in the course of business
• to improve access
• to provide backups as security
• to preserve the original records
• to save physical storage space
Guideline 15: Scanning paper records to digital records

10 steps in a digitisation project:

1. Why
2. What
3. Technical Specifications
4. Plan
5. Prepare
6. Image capture
7. Metadata capture
8. Quality control
9. Storage & preservation
10. Access
Guideline 17: Managing Email

• Practical advice on email management, including why emails should be captured, when to capture it, how to store it, and tips for managing email.
Guideline 17: Managing Email

Which emails do you need to keep?

- an email that is written, sent or received in the course of your work is a record
- emails need to be managed to make sure they can be found and accessed for as long as they are needed
Guideline 17: Managing Email

- Does this email relate to my work? Yes
- Did I create or send it? Yes
- Did it explain, document or justify an action or decision? Yes
  - Email record

- Did I receive it? No
- Did I need to take action? Yes
  - Email record

- Does it explain, document or justify an action or decision? Yes
  - Email record

- Not a record
Guideline 17: Managing Email

Options for capturing email records:

- capture them into a records management system
- print emails and file in a paper system
- save emails to a shared network drive
Summary

- Digital records are the same (but different) as physical records
- Digital records have their own benefits and challenges
- Metadata is important
- Plan before you scan
- Emails are records too