

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

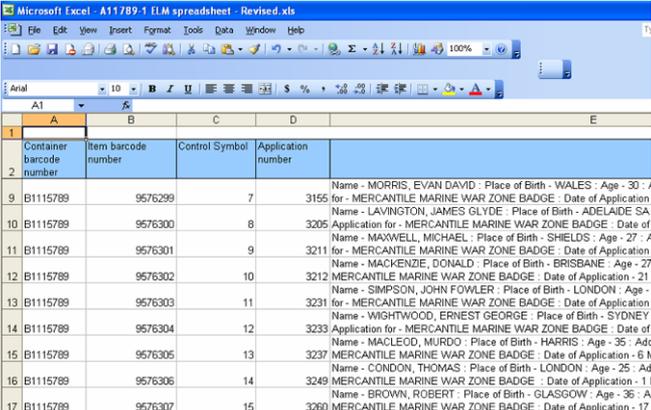
Introduction to digital recordkeeping

Provides an overview on digital records and record-keeping, 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

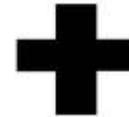


| Container barcode number | Item barcode number | Control Symbol | Application number | |
|--------------------------|---------------------|----------------|--------------------|--|
| 9 | B1115789 | 9576299 | 7 | Name - MORRIS, EVAN DAVID : Place of Birth - WALES : Age - 30 : 7 3155 for - MERCANTILE MARINE WAR ZONE BADGE : Date of Application |
| 10 | B1115789 | 9576300 | 8 | Name - LAVINGTON, JAMES GLYDE : Place of Birth - ADELAIDE SA 3205 Application for - MERCANTILE MARINE WAR ZONE BADGE : Date of |
| 11 | B1115789 | 9576301 | 9 | Name - MAXWELL, MICHAEL : Place of Birth - SHIELDS : Age - 27 : 9 3211 for - MERCANTILE MARINE WAR ZONE BADGE : Date of Application |
| 12 | B1115789 | 9576302 | 10 | Name - MACKENZIE, DONALD : Place of Birth - BRISBANE : Age - 27 3212 MERCANTILE MARINE WAR ZONE BADGE : Date of Application : 21. |
| 13 | B1115789 | 9576303 | 11 | Name - SIMPSON, JOHN FOWLER : Place of Birth - LONDON : Age - 3231 for - MERCANTILE MARINE WAR ZONE BADGE : Date of Application |
| 14 | B1115789 | 9576304 | 12 | Name - WIGHTWOOD, ERNEST GEORGE : Place of Birth - SYDNEY 3233 Application for - MERCANTILE MARINE WAR ZONE BADGE : Date of |
| 15 | B1115789 | 9576305 | 13 | Name - MACLEOD, MURDO : Place of Birth - HARRIS : Age - 35 : Adc 3237 MERCANTILE MARINE WAR ZONE BADGE : Date of Application - 6 A |
| 16 | B1115789 | 9576306 | 14 | Name - CONDON, THOMAS : Place of Birth - LONDON : Age - 25 : Ad 3249 MERCANTILE MARINE WAR ZONE BADGE : Date of Application - 1 I |
| 17 | B1115789 | 9576307 | 15 | Name - BROWN, ROBERT : Place of Birth - GLASGOW : Age - 36 : A 3260 MERCANTILE MARINE WAR ZONE BADGE : Date of Application - 17 |



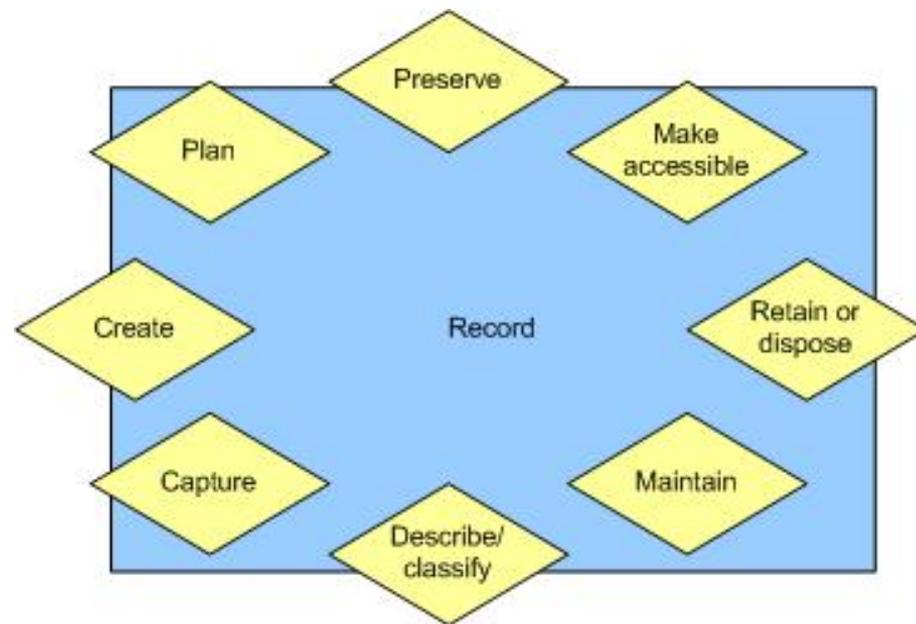
Digital records

- 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?





MADE IN NEW ZEALAND

Size

Quality reports

Images

data quality

title

content

abstract

lineage

distribution

Directions for use

contact details

Unique identifier



99% Fat Free



No Preservatives



No Artificial Flavours



No Artificial Colours



Source of Dietary Fibre

www.HENIZ.COM.au

of the microwave).



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 R... 

General Summary Statistics Contents Custom

 PARBICA Guideline 19 - Implementing a Digital Recor

Type: Word 2007 Document Document
Location: C:\DOCUME~1\gulbraan\LOCALS~1\Temp
Size: 629KB (644,253 bytes)

MS-DOS name: PARBIC~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.

Attributes: Read only Hidden
 Archive System

OK Cancel

PARBICA Guideline 19 - Implementing a Digital R... 

General Summary Statistics Contents Custom

Title: PARBICA Guideline 19

Subject: Implementing Digital Recordkeeping

Author: Anna Gulbransen

Manager:

Company: Archives New Zealand

Category:

Keywords:

Comments:

Hyperlink base:

Template: Normal

Save preview picture

OK Cancel



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

| | |
|---|--|
| 1 | Everything on a computer is safe |
| 2 | Information generated on my computer is not a record |
| 3 | Digital storage is cheap |
| 4 | Computers will create a paperless office |
| 5 | All information generated or received on my computer at work is my own personal property |
| 6 | Scanning is a cheaper and more reliable way of storing information |
| 7 | 'Archiving' is the same as digital recordkeeping |

15 Digital recordkeeping myths cont.

| | |
|----|---|
| 8 | Databases such as spreadsheets are reliable forms of evidence |
| 9 | Outsourcing will solve all my problems |
| 10 | Google will help me to find everything I need |
| 11 | Our shared drive is good enough for managing records |
| 12 | When I delete an email it has been destroyed |
| 13 | Digital records cannot be used as evidence |
| 14 | I will be able to access all my records in ten years' time |
| 15 | Recordkeeping is not my responsibility |

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.

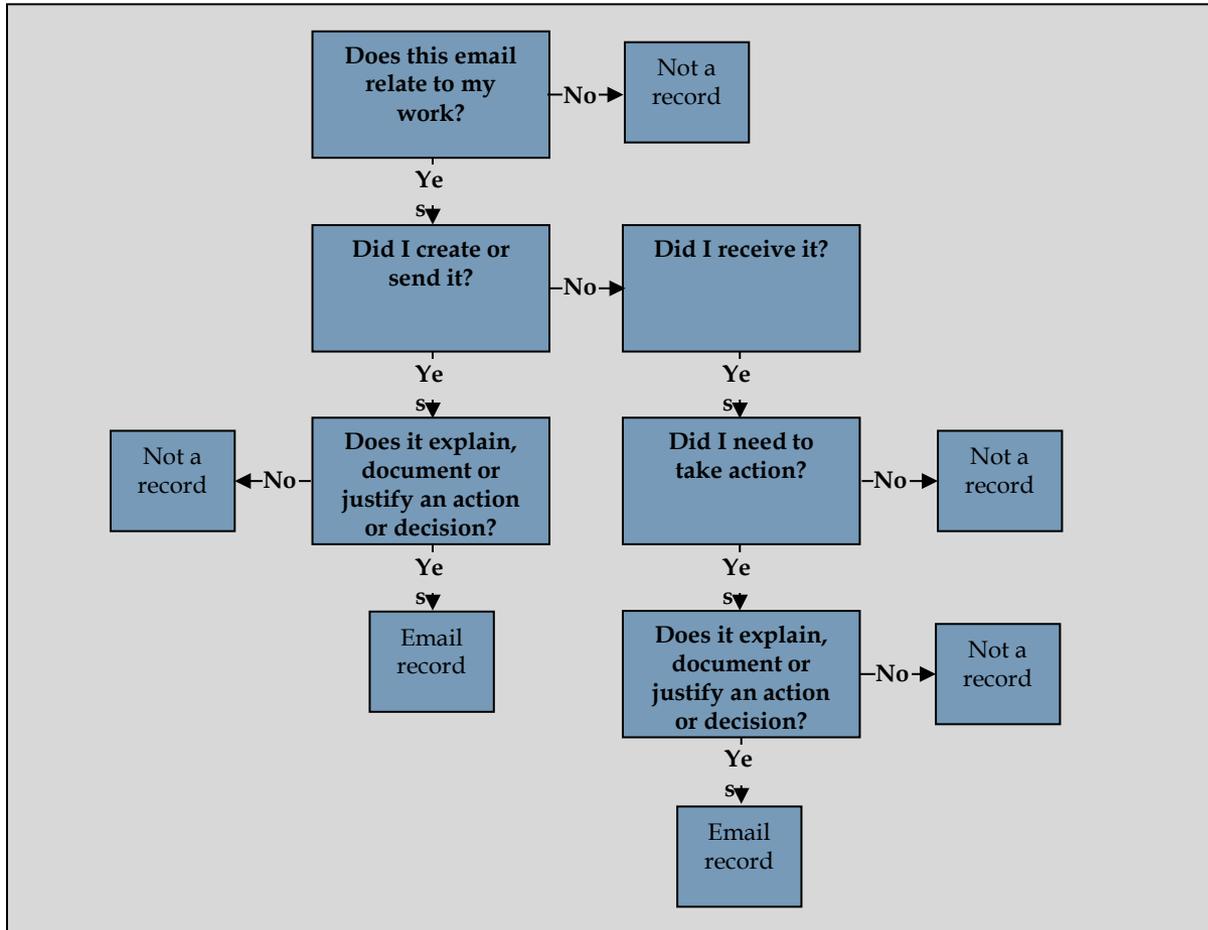


Guideline 17: Managing Email

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



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