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SI 655  
Management of Electronic  
Records

Week 6

March 2, 2009

Promoting Accountability:  
Tools and Technology


# Overview

- What are the differences between
  - ERMS (Electronic Records Management Systems)
  - EDMS (Electronic Document Management Systems)
- Integration of ERMS & Business Applications
- Which tools and technologies are available to support Electronic Records Management
- What are the implications of different approaches

# Some definitions

- CMS (Content Management Systems)
  - E-CMS: Enterprise-wide
  - Web Content Management Systems
  - Digital Asset Management Systems (DAMS)
  - Document Imaging Systems
  - Document Management Systems (EDMS)
  - Records Management Systems (ERMS/ERKS/RMA)

# Enterprise Content Management

- Integration of stand-alone applications:
  - Document management
  - Records management
  - E-mail management
  - Workflow
  - Collaboration
- AIIM: *"(ECM) is 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."* 

# Domain / Industry Focus

- Legal
- Financial
- Government
- Regulated Industries, etc.

# Document Management Systems

- Storage
- Retrieval
- Filing
- Security
- Archival
- Retention
- Distribution
- Workflow
- Creation/Version Control
- Authentication



# Records Management Applications

- Separate application that manages paper and electronic records
- Focus on records integrity, retention and disposition
- Records repository (read-only) separate from live applications
- Case Study: Hummingbird in an NGO

# DoD: 5015.2-STD

## RMA DESIGN CRITERIA STANDARD 1...

- requirements based on operational, legislative and legal needs that must be met by records management application (RMA) products
- Compliance testing and evaluation program
- “2. The DoD standard and commercial RMA software packages *are not “out-of-the box” easy or quick solutions* for managing your electronic records. RMA software *only operates in the context of an agency's records management program, policies, and procedures.*” (NARA memo to agencies)

([www.archives.gov/records-mgmt/memos/nwm03-99.html](http://www.archives.gov/records-mgmt/memos/nwm03-99.html))

# DoD: 5015.2-STD

## RMA DESIGN CRITERIA STANDARD 2...

- Implement file plans
- Identify and file records (metadata)
- Storing records
- Scheduling records
- Screening records
- Retrieving records
- Transferring records
- Destroying records
- Access Control
- Systems Audits
- System Management

April 2007: Version 3 – Privacy, FOIA Classified info

SEE: <http://jitc.fhu.disa.mil/recmgt/standards.html>

<http://jitc.fhu.disa.mil/recmgt/register.html>

<http://toolkit.archives.gov/>

# Integrated recordkeeping system

- Records management requirements are built into each application
- Specific to each business process
- Sprehe:
  - Option 1: stand alone EDMS/ERMS
  - Option 2: integrated EDMS/ERMS
  - Option 3: integrating ERMS into EDMS

# Implications

- Scalability
- Precision
- Access controls
- Training
- Technical Support

# Metadata

- Required Elements
  - Capture/Create
  - Management of Metadata
  - Feasibility
- 
- Document / Record description
  - Access controls
  - Retention / Disposition instructions
  - History / Audit trail

# Analysis of Lessons Learned for Enterprise-wide ERM Projects (NARA June 2006)

- Project planning
  - Management endorsement; aligned expectations; sufficient resources; align with enterprise architecture; realistic schedules; communications plans; direct contact with vendors on functional requirements
- Implementation
  - Training for team members; phased rollout; test user acceptance; integrate with other systems (IM, KM, DM, ECM)
- RM duties
  - Simplify file plans and metadata; indexing consistency; ensure reporting for dispositioning

[www.archives.gov/records-mgmt/policy/lessons-learned.html](http://www.archives.gov/records-mgmt/policy/lessons-learned.html)

# Lessons from ARM research

- No silver bullet
- ERM concerns are shared by others:
  - Authenticity
  - Integrity
  - Secure communications
  - Non-repudiation
  - Regulatory / legal compliance
- Pursue “combinations of policies, standards, system design methodologies that organizations can implement & which offer affordable solutions commensurate with risk and benefits involved.”
- Extant strategies can be time consuming and labor intensive (HEDSTROM)