

# Conformity vs. Confusion

The Role of Standards in  
Records Management



# Common sense varies greatly from person to person.

- It's not all that common, actually. ☹



# Records Management is just common sense, isn't it?

- "Jane is the only one who knows our filing system – if you have any questions just ask her."
- "We'll be more organized now that we have new software."
- "I want to keep these records a little longer, just in case."
- "Those are old records; just throw them out."
- "Make a bunch of FYI copies of that and send one to everyone in the office."



# Why have RM standards?

- To have a uniform approach to the creation, use, retrieval, access, storage, retention and disposition of records within a company.

OR

- To overcome the infinite variety of what is considered "common sense."



# Session Objectives:

- 1) Give you an idea of what standards exist currently;
- 2) Take the fear out of creating and using standards;
- 3) Strategies re: training and policy / procedure creation, and
- 4) Give you ammunition to fight the "common sensers".



# What Won't Happen

- In-depth description and analysis of existing RM standards;
  - We don't have nearly enough time for that
- "Common Sense", maybe;
- Boredom, hopefully. 😊



# What Standards Exist Currently?

- **ISO 15489-1 & 2**
  - 1 – main elements of a RM program
  - 2 – supplementary guidelines
- **DOD 5012.2**
  - Design criteria for ERMS
- **CAN/CGSB-72.34-2005**
  - Electronic Documents as Documentary Evidence



# More Standards

- **CAN/CGSB 72.11-93**
  - Microfilm and Electronic Images as Documentary Evidence
  - 16more re: micrographics
- **CAN/CGSB 9.70-2000**
  - Permanence of Paper for Records, Books and Other Documents





# Yet More Standards

- **ANSI/ARMA 9-2004**
  - Requirements for managing electronic messages as records
- **ANSI/AIIM ARMA TR48-2004**
  - Framework for Integration of Electronic Document Management Systems and Electronic Records Management Systems (Technical Report)



# Still More Standards

- **AIIM/ARP1-2002**
  - Implementation guidelines and standards associated with web-based document management technologies
- **AIIM/ANSI TR27-1996**
  - RFP guidelines for electronic imaging
- Many, many more, especially in the electronic records area
  - See [www.aiim.org](http://www.aiim.org) for more standards
  - For ODMA and DMA Specifications see <http://nfocentrale.net/dmware/>
  - For workflow management see <http://www.wfmc.org/>



# Other Standards

- **Legislation**
  - Canada / Alberta Evidence Act
  - Alberta Electronic Transactions Act
  - FOIP / PIPA / PIPEDA
  - Retention requirements in legislation
- **Standards organizations in other countries**



# ISO 15489-1 and 15489-2

- Background:
  - Based on Australian AS4390 standard issued 1996
  - Work started on international standard soon after
  - **ISO 9000:2000** – shift towards concept of process management front and centre
  - ISO 15489-1 and 2 launched at ARMA International in Montreal – October 2001.



# More ISO 15489-1 and 2

Overall criteria include:

- Global records management methodology designed to provide steps for process analysis and achievement of best practices in records management processes.



# More Criteria

- The approach to records management is based on **processes**.
  - Works with other business initiatives that emphasize:
    - identification of core business processes,
    - streamlining processes,
    - identification of common processes.
  - Helps provide framework for development of RM policies and procedures



# ISO 15489-1

- The core standard that establishes overall principles and model.
- Scalable and generic



# ISO 15489-1 cont...

- Divided into 11 clauses:
  1. Scope
  2. Normative References
  - 3. Terms and Definitions**
  4. Benefits of RM
  5. Regulatory Environment
  - 6. Policy and Responsibilities**
  7. Records Management Requirements
  - 8. Design & Implementation of a Records System**
  - 9. Records Processes and Controls**
  10. Monitoring and Auditing
  11. Training.





# Sec. 3 – Terms and Definitions

Definitions are always good – especially if they are internationally agreed upon.

- **Document** – recorded information or an object that can be treated as a unit.
- **Record** – information created, received and maintained as evidence and information by an organization or person, in pursuance of legal transactions or in the transaction of business.



# Sec. 6 – Policies and Responsibilities

- Outlines basic elements of developing a corporate-wide RM policy.
  - Includes: scope, objectives, endorsement (high level) and communication
  - Includes employees in defining responsibilities
  - Authenticity, reliability, integrity and impartiality of records must be controlled by policies and procedures



# Sec. 8 – Design & Implementation

- Follows Australian DIRKS method
  - Preliminary Investigation
  - Analyze Business Activity
  - Identify RM Requirements
  - Analyze Existing Systems
  - Identify Strategies
  - Develop RM System
  - Implement RM System
  - Post-implementation Review.



# Sec. 9 – RM Processes and Controls

- Functional classification with retention scheduling
- Sections include:
  - Determining Documents to be Captured
    - Document vs. record
  - Determining Retention
  - Records Capture
    - Includes metadata
  - Registration (Optional)
  - Classification
    - Functional analysis, vocab., thesauri, other tools



# Sec. 9 – RM Processes and Controls II

- Storage and Handling
  - Paper and other
- Access
- Tracking
- Implementing Disposition
  - Destruction, transfer, etc.
- Documenting RM Processes
  - Retention classification procedures



# ISO 15489-2 Guidelines

- An implementation guide
- Provides a methodology to help facilitate implementation of the standard
- Sets out responsibilities and authorities.



# DoD 5015.2-STD RMA Design Criteria Standard

- Sets forth mandatory baseline functional requirements for Records Management Application (RMA)
- Defines required system interfaces and search criteria to be supported by the RMAs;
- Describes the minimum records management requirements that must be met, based on current National Archives and Records Administration (NARA) regulations.



# DoD 5015.2-STD RMA Design Criteria Standard II

Sets out general and specific  
mandatory requirements for:

- Managing records
  - Identifying and declaring records
  - Search and retrieval
  - Implementing file plans
  - Records transfer, closure,  
disposition and scheduling
- Storing and preserving  
electronic records
  - Email management
  - Metadata definition and  
management





# CAN/CGSB 72.34-2005

## Electronic Images as Documentary Evidence

- This standard provides principles for developing policies, procedures, practices and documentation to maintain the integrity and authenticity of electronically recorded information



# CAN/CGSB 72.34-2005 II

It achieves this by:

- Ensuring electronic records can reliably support business decisions and exchanges of commitments;
- Enhancing the admissibility and the weight of electronic records in a court of law, a tribunal or an inquiry; and
- Protecting the value of electronic records in documenting the content and accountability for decisions and transactions



# CAN/CGSB 72.34-2005 III

The standard also defines best practices for electronic storage of business or other recorded information.

Provides guidelines for:

- Records management supporting a quality process framework; and
- Identifying and implementing appropriate measures to protect the evidentiary value of electronic records, including their incorporation within systems design and management processes



# CAN/CGSB 72.11-93

## Microfilm and Electronic Images as Documentary Evidence

- Provides rules and guidelines for organizations to establish and operate a credible image management program
  - Ability to demonstrate that the resulting captured images are accurate reproductions of source records
- Not about processing and technical requirements



# ANSI/ARMA 9-2004

Defines requirements for developing a corporate policy for managing information content in any type of text-based electronic message or communication such as e-mail or instant messaging.

- Includes recommended provisions for an electronic message records management policy.



# ANSI/AIIM TR48-2004

Framework for Integration of  
Electronic Document  
Management Systems and  
Electronic Records Management  
Systems Technical Reports

- Report deals with what is required for EDMS and ERMS to integrate and interoperate.
  - policies and responsibilities
  - strategies, design, and implementation
  - processes and controls
  - monitoring and auditing
  - Training



# AIIM/ARP1-2002

## Implementation Guidelines And Standards Associated With Web-based Document Management Technologies

- Presents a set of procedures and specific activities to be considered and performed during the various project phases of implementation.
  - Terminology
  - System admin
  - Capacity
  - Security
  - Imaging...



# ANSI/AIIM TR27-1996

## Electronic Imaging Request for Proposal (RFP) Guidelines

- Provides guidelines for developing request for proposals (RFPs) for electronic image management (EIM) systems.





# Why don't we all use RM standards?

- People don't like change;
- RM can be low on the priority list re: risk management;
- Belief that computers can solve all problems;
- Companies not willing to spend time, effort and money to make changes;
- Fear of losing control of one's "own" records , and
- Fear of conformity.



# Standards Aren't So Scary

## Official Standards

- Can be dull
- Give point-of-reference for developing RM program
  - Back up your policies and procedures
- Give status and credence to “filing systems”
- Have room for customization



# In-house Standards

- Your own RM program
  - Classification system
  - Retention schedule
  - Transfer/storage/disposition
  - ...
- By “your” I mean “your organization.”
  - Some people don’t understand the difference
  - Get corporate counsel to help you convince these people ☺
  - File Separation Anxiety
    - Staff needs to know their records will be safe and retrievable easily



# Standards vs. Risk

Standard procedures **reduce risk** – but it often **costs money, time and effort** to create that reduction of risk.

- Legislation re: retention
- Documents as evidence
- Disaster planning
- Litigation support
- Information Security



# Training is Key

You've created the rules,  
policies and procedures –  
now you have to get staff  
to:

- Understand them,
- Execute them;
- Give you feedback re: the rules' effectiveness.



# Training is Key II

- Everyone should be trained in RM
  - Different levels, perhaps, but everyone has a desktop
  - Retention schedule & classification system
  - Security
    - Confidential or privileged information
    - Access and privacy
  - Etiquette
    - Email, voicemail, language
  - Employee risks and responsibilities



# Training Tips

- Be organized
  - Lesson plans
- Understand your audience
  - Pre-testing
  - Gap-testing
  - Terminology
  - Depth of explanations
- Interaction
  - Tell, Show, Do
  - Feedback, Discussions
  - Bribery (Tim Bits)



# Why Have Standard Policies and Procedures?

You have procedures for everything else, why not to protect your company's information assets?





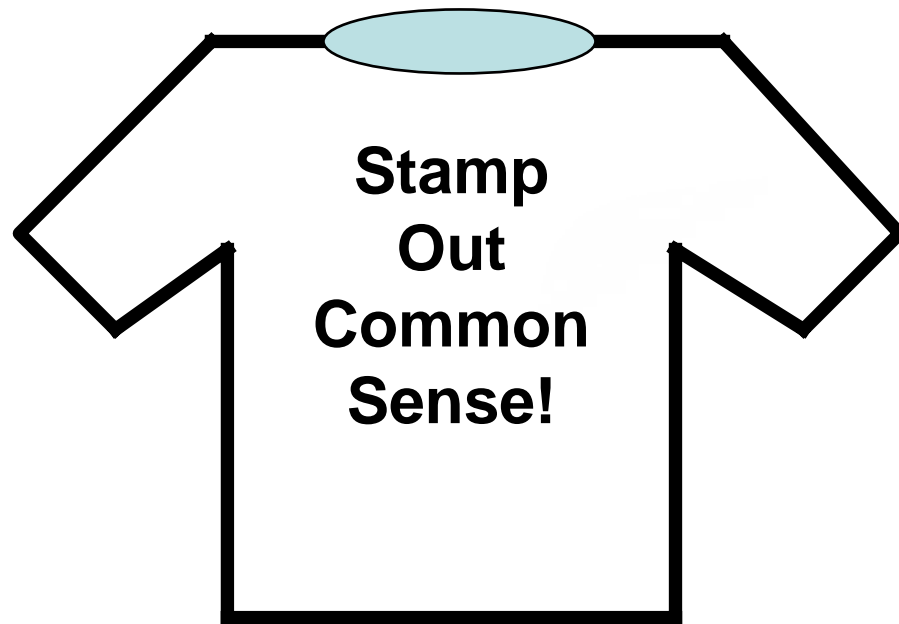
# Is Conformity Common Sense?

Yes and no.

- Standardization can be based on “common sense” but it’s based on a corporate-universal idea of how to organize and manage corporate information
- “Common sense” varies greatly, is not often recorded anywhere, can be very insular and is often used as an excuse to deny change.



# New ARMA T-shirt?



# Reference Websites

- [www.iso.org](http://www.iso.org)
  - International Organization for Standardization
- <http://www.pwgsc.gc.ca/cgsb/home/index-e.html>
  - Canadian General Standards Board
- <http://jitc.fhu.disa.mil/recmgt/standards.html>
  - DoD 5015.2-STD RMA Design Criteria Standard (USA)



# More Reference Websites

- <http://www.ansi.org/>
  - American National Standards Institute
- [www.aiim.org](http://www.aiim.org)
  - Enterprise Content Management Association (formerly Assoc. for Information and Image Management)



# Even More Reference Websites

- <http://www.naa.gov.au/recordkeeping/dirks/summary.html>
  - Australian DIRKS Methodology
- <http://www.cornwell.co.uk/moreq/docs/moreq.pdf>
  - Model Requirements for the Management of Electronic Records (MoReq) (UK)



# Thank you!

Judy Kovacs, MA, MAS,  
Instructor,  
NAIT – School of Business,  
Office and Records  
Administration,  
11762-106 St.,  
Edmonton, AB. T5G 2R1  
PH: 471-8314  
EM: [judithk@nait.ca](mailto:judithk@nait.ca)

