Governance and Recordkeeping
Around the World

Managing Electronic Records

Governance and Recordkeeping Around the World, an online newsletter published regularly by Library and Archives Canada (LAC), highlights issues pertaining to government and recordkeeping practices in the public and private sectors.

The content of the newsletter is intended for information purposes only and does not necessarily reflect the views and opinions of Library and Archives Canada.

Some links in this document lead to sources which are not subject to the Official Languages Act and are available in the language in which they were written.

Please note that, after a period of time, links to certain articles in the newsletter may become inactive.

The newsletter Home Page is at: http://www.collectionscanada.gc.ca/government/news-events/007001-1000-e.html

Comments **and requests to be added to the distribution list** may be sent to the following address:
Liaison Centre
Government Records Branch
Library and Archives Canada
395 Wellington Street
Ottawa, ON
K1A 0N4

Email: centre.liaison.centre@lac-bac.gc.ca

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General News

Country – Canada

Federal Government – Office of the Information Commissioner

Headline: Information Commissioner calls for modernization of Access to Information Act

Information Commissioner Suzanne Legault says that the Access to Information Act is out of touch with current practices and expectations.

Among the innovations Legault would like to see is a duty to document information so there is an official record of important decisions made on behalf of Canadians.
Source: http://www.ctv.ca/CTVNews/Canada/20110617/info-watchdog-urges-modernization-of-access-law-110617/

Federal Government – Supreme Court

Headline: Public cannot access all documents in the offices of the Prime Minister or cabinet ministers

The Supreme Court ruled unanimously that Canada's Access to Information Act does not apply to all the records controlled by the Prime Minister, cabinet ministers, and their staffs, including the Prime Minister's daily agenda books.

However, some records can be accessed if they are determined to be under the control of the government institutions that are led by the Prime Minister or a minister.

Madam Justice Louise Charron declared that it was not the court's job to decide how access laws should work, only to interpret the law Parliament wrote.
Source: http://www.cbc.ca/news/politics/story/2011/05/13/supreme-court.html
http://www.theglobeandmail.com/news/politics/from-the-bench-a-boost-for-government-secrecy/article2022108/

Ottawa City Archives

Headline: City archives moves to new facility

A new $40-million facility will be the new home for the city of Ottawa archives which will ensure the continuing preservation of records in a climate-controlled environment.
Source: http://www.cbc.ca/news/canada/ottawa/story/2011/04/19/ottawa-archives343.html

Country – Australia

1. Headline: Federal government agencies embrace social media

Federal government agencies have widely embraced social media and Web 2.0 tools as a result of the Government 2.0 Taskforce report.

Twitter, Facebook, blogging and RSS feeds (Really Simple Syndication) are now in widespread use by federal agencies.
Source: http://www.cio.com.au/article/389642/federal_government_embracing_gov_2_0/

2. Headline: Australian Information Commissioner releases Information Publication Scheme

The Office of the Australian Information Commissioner has released an Information Publication Scheme (IPS).

The IPS is intended to form the basis for a more open and transparent culture across government with agencies encouraged to take a proactive approach to publishing the information they hold, and to consider what they should be publishing over and above what they are obliged to publish.

Australian government agencies, which are subject to the Freedom of Information Act, are required to publish a broad range of information on their websites as part of a whole-of-government IPS including information about the agency's structure, functions and operational information, as well as a plan detailing how the agency proposes to meet the IPS requirements.
Source: http://www.oaic.gov.au/ips/#What_is_IPS

IPS Agency Plan: http://www.oaic.gov.au/ips/agency-plan/OAIC_IPS_Agency_Plan.html

Europe   Back

Headline: Proposed plans would allow "orphan works" to be available online across Europe

The European Commission has proposed plans for a new European Union Directive governing how "orphan works" should be archived by public organizations across Europe.

Orphan works are copyrighted material, such as books, films and music, which have no identified owner.

At the present time many orphan works lie in storage in libraries and other institutions, which because of copyright law cannot be digitized or used without permission.
Source: http://www.out-law.com/page-11964
http://www.ipbrief.net/2011/05/31/the-european-commission-tackles-orphan-works/

Directive Proposals: http://ec.europa.eu/internal_market/copyright/docs/orphan-works/proposal_en.pdf

Country – Fiji   Back

Headline: Government implements national records management policy

The government of Fiji has implemented a national records management policy that will include effective recordkeeping guidelines and processes in all government ministries, departments and agencies.

The policy will apply to information that is created or received by government officers.

According to the government the policy should address the poor management and non-recognition of government records as vital sources of information across government departments.
Source: http://www.fijitimes.com/story.aspx?id=166398

Country – India   Back

Headline: New privacy regulations adopted

On April 11, 2011, India adopted new privacy regulations which impose wide-ranging obligations on any company that "collects, receives, possesses, stores, deals or handles" personal information.

These obligations require companies to provide privacy policies, restrict the processing of sensitive personal data, restrict international data transfers and include additional security measures and a definition of sensitive personal data.
Source: http://www.huntonprivacyblog.com/2011/05/articles/international/india-drafts-new-privacy-regulations/#more

Regulations: http://www.mit.gov.in/sites/upload_files/dit/files/RNUS_CyberLaw_15411.pdf

4

Country – Singapore and South Korea

Headline: National cloud standards to be developed

Both Singapore and Korea are working on a national cloud standard to deal with the growing cloud market and to address issues around security, interoperability and legal frameworks.
Source: http://www.futuregov.asia/articles/2011/mar/24/cloud-standard-singapore/
http://www.futuregov.asia/articles/2011/mar/03/korea-angles-national-cloud-standard/

Country – South Korea

Headline: Comprehensive personal data protection law enacted

In South Korea, the law known as the Personal Information Protection Act extends confidentiality requirements across a broad spectrum of information handling.

Whereas existing data protection statutes are limited in the entities and types of information they cover, the new law will broadly restrict collection and handling of any private information, by any person, company or government agency. Generally the individual's informed consent will be required for any collection, use or disclosure of personal information.
Source: http://www.bkl.co.kr/upload/data/20110423/sub-TELE.html

Country – United Kingdom

Headline: New law impacts UK websites

The new law will require UK businesses and other organizations to obtain consent from visitors to their websites to store or access information on their computers.

While UK websites are expected to start this practice now, action will not be taken against them for non-compliance until 2012.
Source:
http://www.scmagazineuk.com/a-whole-new-era-for-cookies-begins-tomorrow/article/203532/
http://www.t3.com/news/uk-websites-have-12-months-to-adopt-eu-cookie-law?=56941

Country – United States

Federal Government

1. Headline: Federal agencies begin to share best practices on social media records

U.S. federal agencies have been handling social media records management mostly on their own and are only now beginning to share best practices with one another. This according to officials at the Best Practices in Social Media Records Retention in Federal Agencies discussion held at the National Archives and Records Administration.

As federal agencies use new-media platforms such as Facebook, Twitter and YouTube, officials are trying different strategies and finding it difficult to consistently identify, capture and retain official records in those formats.

A best practices report that details interviews at 10 federal agencies regarding records management processes addressing the use of social media has been released.
Source:
http://fcw.com/Articles/2011/04/01/best-practices-social-media-records-management.aspx?Page=2
http://washingtontechnology.com/articles/2011/04/01/federal-managers-asking-industry-for-help-with-social-media-records.aspx
Report:
http://www.actgov.org/knowledgebank/whitepapers/Documents/Shared%20Interest%20Groups/Collaboration%20and%20Transformation%20SIG/Best%20Practices%20of%20Social%20Media%20Records%20Policies%20-%20CT%20SIG%20-%2003-31-11%20%283%29.pdf

2. Headline: National Archivist: Current law could result in lost documents

National Archivist David Ferriero says that a current law that gives federal agencies 30 years to turn over all records that must be permanently retained by the National Archives could result in lost documents and a spotty historical record.

Speaking to members of the House Oversight and Government Reform Committee, Ferriero notes that the 30-year window may have been appropriate in a paper era when the only danger to documents came from floods and fires. However, in an electronic age, any method of record storage is likely to be obsolete by the time the National Archives gets hold of the information stored on it.

Ferriero recommends that between four and eight years is a reasonable lag time for records to be turned over to the National Archives.
Source:
http://techinsider.nextgov.com/2011/05/agency_records_may_rot_on_disk_natl_archivist_says.php

House Oversight and Government Reform Committee Testimony:
http://oversight.house.gov/index.php?option=com_content&view=article&id=1264%3A5-3-2011-qpresidential-records-in-the-new-millenium-updating-the-presidential-records-act-a-other-federal-recordkeeping-statutes-to-improve-electronic-records-preservationq&catid=12&Itemid=20

3. Headline: Government agencies are actively exploring cloud computing options

Government agencies are more actively exploring cloud options to migrate a host of information technology services to the cloud. In all, agencies across government have identified 78 IT services that they plan to move to the cloud by 2012.

Web hosting for public government websites and email services are among the most common cloud-ready services that agencies have identified so far.
Source: http://www.federaltimes.com/article/20110612/IT03/106120301/1001

4. Headline: United States Senate approves the Faster FOIA Act

The U.S. Senate has unanimously approved legislation to make improvements to the Freedom of Information Act (FOIA).

Known as the Faster FOIA Act, the Act will establish an advisory panel to examine agency backlogs in processing FOIA requests and provide recommendations to Congress for legislative and administrative action to enhance agency responses to such requests.
Source: http://politicalnews.me/?id=7723&keys=FREEDOM-INFORMATION-ACT-IMPROVEMENTS

Faster FOIA Act: http://www.fas.org/sgp/congress/2011/faster2.html

State Government

California

Headline: Electronic Discovery Act increases e-Discovery pressure on California cities

California cities are starting to feel the impact of the Electronic Discovery Act that was signed by former Governor Arnold Schwarzenegger.The Act puts the state's electronic discovery regulations in step with federal rules and clarifies the scope of what electronic data is considered a public record.

IT officials working in California cities are saying that they are overwhelmed by the complexity of the public archived information being sought.

Although responding to record requests has traditionally been a function of a city clerk's office, in recent years IT departments have become heavily involved in the process as federal and state laws have included electronic documents under the public records umbrella.
Source: http://www.govtech.com/e-government/Transparency-Ups-E-Discovery-Pressure-on-Calif.html

New Mexico

Headline: New Mexico agencies must provide electronic records

A new law will require government agencies in New Mexico to provide public records electronically if the records exist in digital form and for no more than the actual cost.

The bill's sponsors said they and their constituents had problems in the past with some agencies not wanting to send records in an email or download them to a compact disc.

However, the law does not require agencies to put a record into an electronic format if it is not already in that form.
Source: http://www.sfnewmexican.com/Local%20News/NM-agencies-must-provide-electronic-records

Vermont

Headline: Vermont Governor signs public records bill

A bill strengthening Vermont's public records statutes has been signed into law removing a financial barrier for citizens who want to sue when they have been denied access by awarding them reimbursement of their legal fees if they win their case.

The bill also mandates each state agency or department to name an employee the "records officer" for handling requests and inquiries and establishes a panel to examine more than 200 exemptions to the law.
Source: http://www.newstimes.com/news/article/Vt-gov-signs-bill-strengthening-public-access-1404510.php

Global

Headline: New laser technology can transfer data at 26 terabytes per second

New research has found a way to transfer data at 26 terabytes per second which is the equivalent of the entire British Library.

This was made possible by shuttling different colours of infrared light down lengths of fibre-optic cable.

The research paper's co-author Professor Wolfgang Freude from the Karlsruhe Institute of Technology in Germany revealed the secret to the high speed as a trick called "fast Fourier transform."

The trick functions by separating the light used into more than 300 separate colours, each encoded and carrying its own string of information.
Source: http://uk.ibtimes.com/articles/150408/20110523/light-transfer-fiber-optic-research-wolfgang-freude-26-terabits.htm

Section 2 – Events

Annual Meetings and Conferences

International

1. 56th Annual ARMA International Conference & Expo

Host: ARMA International

When: 17–19 October 2011

Where: National Harbor, Maryland, United States

Summary: The conference and exposition will host more than 200 exhibitors servicing the records and information management community. The exhibitors will showcase solutions for electronic content management, e-records solutions, email management, and compliance and archiving.

Programme and Registration: http://www.arma.org/conference/2011/WashingtonDC.aspx

2. iPRES 2011 – 8th International Conference on Preservation of Digital Objects

Hosts: The National Library Board, Singapore and the Nanyang Technological University

When: 1–4 November 2011

Where: Singapore

Summary: The conference explores the latest trends, innovations, policies and practices in preserving digital heritage.

Programme and Registration: http://ipres2011.sg/

3. National Digital Forum 2011 Conference

Host: National Digital Forum

When: 29–30 November 2011

Where: Te Papa, Wellington, New Zealand

Summary: The conference brings together a coalition of libraries, archives, museums, galleries, government departments and other organizations and individuals working to get New Zealand's culture and heritage online and accessible to all.

Programme and Registration: http://ndf.natlib.govt.nz/about/2011-conference.htm

4. 7th International Digital Curation Conference

Theme: "Public? Private? Personal? Navigating the open data landscape"

Hosts: Digital Curation Centre, UK in partnership with the Coalition for Networked Information

When: 5–7 December 2011

Where: Bristol, England

Summary: Digital curation manages, maintains, preserves, and adds value to digital information throughout its lifecycle, reducing threats to long-term value, mitigating the risk of digital obsolescence and enhancing usefulness for research and scholarship. The conference brings together those who create information, curate and manage it, use it and research and teach about curation processes.

Programme and Registration: http://www.dcc.ac.uk/events/idcc11

National

1. Public Sector Social Media

Host: The Conference Board of Canada

When: 3–4 October 2011

Where: Ottawa, Ontario, Canada

Summary: Discussion topics include **(1)** How to build a social media strategy from the ground up **(2)** Managing the volume: social media information management **(3)** The use of wikis to streamline communication **(4)** Privacy and copyright issues **(5)** Obtaining management buy-in and support.

Programme and Registration: http://www.conferenceboard.ca/conf/11-0173/default.aspx

2. Government Technology Exhibition and Conference (GTEC) 2011

Theme: Connected Government – Working Together to Better Serve Canadians

When: 17–20 October 2011

Where: Ottawa, Ontario, Canada

Summary: Given the need to work horizontally across departments and jurisdictions to improve service delivery and diminishing budgets, the pressure on governments to leverage efficient, secure, and reliable technologies has never been higher.

Programme and Registration: http://www.gtec.ca/

Forums

1. 2nd Annual Cloud Computing Forum 2012

Theme: Plugged Into The Cloud: What Next?

Host: Government Technology Review

When: 22–23 February 2012

Where: Canberra, Australia

Summary: Topics covered include **(1)** Going mainstream with cloud services **(2)** Data security, sovereignty, performance and reliability **(3)** Enterprise agility and interoperability **(4)** Public and private cloud **(5)** Critical versus non-critical business activities.

Programme and Registration: http://www.halledit.com.au/cloud-2012/about-conference

Seminars

No seminars listed at this time.

Workshops

No workshops listed at this time.

Campaigns

No campaigns listed at this time.

Section 3 – Current Trends and Products

Recordkeeping: Current Developments, Projects and Future Initiatives

Canada – Library and Archives Canada

Topic/Title: Opening of the New Nitrate Film Preservation Centre

Summary: The nitrate video collection consists of 5,575 reels of film, dating from as early as 1912, and close to 600,000 photographic negatives.

"This facility's projected storing capacity will allow us to respond to the growing demand from federal institutions and existing clients," stated Daniel J. Caron, Deputy Head and Librarian and Archivist of Canada.

Source and Video:
http://www.collectionscanada.gc.ca/whats-new/013-528-e.html
http://www.ottawacitizen.com/news/Video+Film+Preservation+Centre/4983381/story.html?cid=megadrop_story

Australia

Topic/Title: Data.gov.au Website

Summary: The Data.gov.au website enables users to suggest datasets they would like released by Australian government agencies, participate on the site by rating and commenting on datasets, and contribute submissions of mashups or data-based initiatives they produce.

Source: http://www.itnews.com.au/News/250787,government-launches-datagovau.aspx
http://www.computerworld.com.au/article/379480/federal_gov_t_releases_data_gov_au/

Home Page: http://data.gov.au/tag/government-archives/

Europe

1. **Topic/Title:** PrestoCentre

Summary: PrestoCentre is the result of more than ten years of work by several major projects funded by the European Union, and conducted by over a dozen organizations.

PrestoCentre is a membership driven organization that brings together a community of stakeholders in audiovisual digitization and digital preservation to share, work and learn, provide advice to custodians and creators of audiovisual content, and to work closely with international experts.

Source: http://www.prestocentre.eu/about-us

2. **Topic/Title:** BlogForever

Summary: BlogForever is a collaborative European Union funded project whose aim is to develop robust digital preservation, management and dissemination facilities for blogs.

Ilias Trochidis, coordinator of the project says "BlogForever will create a platform capable of aggregating and preserving blogs. Any user or organization will be able to use the BlogForever software and guidelines to create a digital repository containing their own selection of blogs."

Source: http://www.pr.com/press-release/315401

Home Page (with Slide Presentation): http://blogforever.eu/

Finland – National Library

Topic/Title: Digitalkoot (Digital Volunteers)

Summary: The National Library of Finland has launched a national e-program for the digitization of Finland's historical documents and material.

The e-program, Digitalkoot (Digital Volunteers), harnesses the power of crowdsourcing to mobilize people to help digitize millions of pages of archive material.

Kai Ekholm, Director of the National Library of Finland, says "we have millions and millions of pages of historically and culturally valuable magazines, newspapers and journals online. The challenge is that the optical character recognition often contains errors and omissions, which hamper for example searches."

"Manual correction is needed to weed out these mistakes so that the texts become machine readable, enabling scholars and archivists to search the material for the information they need."

Source: http://www.benzinga.com/press-releases/11/02/p845555/national-library-of-finland-launches-europes-first-national-e-program-f

India

Topic/Title: Centre of Excellence for Digital Preservation

Summary: The Centre of Excellence for Digital Preservation is the flagship project under the National Digital Preservation Program of the Department of Information Technology, Government of India.

The Centre's objectives include **(1)** Conducting research and development in digital preservation to produce the required tools, technologies, guidelines and best practices **(2)** Develop the pilot digital preservation repositories and provide help in nurturing **the network of Trustworthy Digital Repositories** (national digital preservation infrastructure) as a long-term goal.

Source: http://ndpp.in/

Ireland

Topic/Title: Irish Archives Resource Website (IAR)

Summary: Ireland's archive collections have found a new central home online through the IAR site which allows the public to search a wide range of Irish archives online.

The IAR site links to wherever the archives are digitized and searchable online. However, it also carries detailed descriptions of what is in every archive listed and where it can be accessed physically, if the collection is not online.

Source: http://www.thejournal.ie/irelands-archive-collections-go-online-2011-3/

IAR Website: http://www.iar.ie/

Singapore

Topic/Title: Singapore GovCamp

Summary: The first ever Singapore GovCamp was created to facilitate participation from government, industry, media, civil society, and non-traditional groups that seldom come to together to discuss the different ways Gov 2.0 can improve citizen engagement and services.

Source: http://sgentrepreneurs.com/events/2011/01/05/singapore-govcamp-19-jan/

Thailand

Topic/Title: Film Rescue Unit

Summary: Thailand's first Film Rescue Unit is made up of archivists who will go around the country to retrieve unwanted film rolls and home movies which are believed to exist in abundance and bring those films back for preservation and archiving.

Thailand's Film Archive has sent out teams in the past but a limited budget meant the operation was not properly sustained.

Source: http://www.bangkokpost.com/arts-and-culture/film/233949/film-rescue-unit-launched

United Kingdom – British Library

Topic/Title: Podcast: Restoring the World's Oldest Book

Summary: Writer and historian, Frances Wood, is head of the Chinese section at the British Library where restoration work has been taking place on an edition of the world's oldest printed book—the Diamond Sutra, which dates back to 868 AD.

Source: http://www.bbc.co.uk/news/uk-11912738

United Kingdom – Cambridge University and OCLC Research

Topic/Title: COMET (Cambridge OPen METadata) Project

Summary: This project will release a sub-set of bibliographic data from Cambridge University Library catalogues as linked data in multiple formats. This activity will test a number of technologies and methodologies for releasing open bibliographic data.

Source: http://www.oclc.org/research/news/2011-02-25.htm

United Kingdom – University of East London

Topic/Title: MIDAS (Museum Integrated Digital Archiving System) Project

Summary: The project, the only one of its kind in Europe, creates an integrated mobile facility for the scanning and subsequent exhibiting of fragile museum artifacts not only for archiving purposes but also to allow museums throughout the world to exchange digital displays of their priceless exhibits.

Source: http://www.uel.ac.uk/news/press_releases/Midas.htm

MIDAS Home Page: http://web.me.com/haimbresheeth/MIDAS/Welcome.html

United States – Library of Congress

Topic/Title: Video: Moving Images: Digitizing to the Future

Summary: This video covers the key concepts and technologies pertaining to moving image preservation and digitization in libraries, archives, and museums, including the typical elements in the preservation and digitization of moving images, how to assess their condition, and relevant technologies and best practices.

An overview of the conservation research underway at the National Audio Visual Conservation Center will also be included.

The speaker is Mr. James Snyder who serves as the Senior Systems Administrator for the Library of Congress' National Audio-Visual Conservation Center.

Video: http://www.youtube.com/watch?v=KPBXSvjyR0U

Products and Tools from Around the World

Canada – Federal and Provincial Privacy Commissioners

Product/Tool: Securing Personal Information: A Self-Assessment Tool for Organizations

Summary: This detailed online questionnaire and analysis tool helps organizations gauge how well they are protecting personal information, in keeping with the applicable private-sector privacy law.

Source: http://www.priv.gc.ca/media/nr-c/2011/nr-c_110503_e.cfm

Australia

1. **Product/Tool:** How to avoid information loss in the digital age: 10 strategies for managing digital business information

Summary: Developed by the State Records Authority of New South Wales.

Source: http://futureproof.records.nsw.gov.au/wp-content/uploads/2010/05/Managing-digital-records-leaflet-Final1.pdf

2. **Product/Tool:** Managing the Recordkeeping Risks Associated with Cloud Computing

Summary: Developed by the Queensland State Archives this public records brief highlights the recordkeeping implications for the management of public records when using cloud computing technologies to store public records and provides advice on managing the risks involved.

Source:
http://www.archives.qld.gov.au/publications/publicrecordsbriefs/managing_recordkeeping_risks_cloud_computing.pdf

Australia – National Archives

Product/Tool: Check-up 2.0

Summary: Check-up 2.0 is a Web-based application designed for for Australian (Commonwealth) Government agencies to assess the strengths and weaknesses of their records and information management practices.

Source: http://www.naa.gov.au/records-management/check-up/index.aspx

Check 2.0 Questions: http://www.naa.gov.au/Images/PDF%20of%20Check-up%202.0%20%20questions%2C%20help%20text%20and%20section%20descriptions%20-%20for%20upload%20to%20login%20webpage_tcm2-34559.PDF

Interview with Kerry Moir, Acting Assistant Director General of Government Information Management at the National Archives of Australia:
http://www.futuregov.asia/articles/2011/apr/27/checking-records-and-information-management-how-we/

Scotland

Product/Tool: Guide to the Retention Schedules

Summary: Produced by the Scottish Council on Archives the guide discusses **(1)** Schedule structure **(2)** What prompts the start of the retention period (Triggers) **(3)** A chart that describes the disposal action and the corresponding "things to consider" **(4)** Business requirements for retention (Authority/Citation) **(5)** Business benefits of records retention schedules

Source: http://www.scoarch.org.uk/projects/retentionschedules/faqs

United Kingdom – National Archives

Product/Tool: Digital Preservation Policies: Guidance for archives

Summary: This guide explains the key characteristics of a digital preservation policy and discusses why there is a need for a policy and how it supports digital preservation.

The intention is that organizations can use this guidance to improve the governance of digital preservation through the development of a digital preservation policy.

Source: http://www.nationalarchives.gov.uk/documents/information-management/digital-preservation-policies-guidance-draft-v4.2.pdf

Home Page: http://www.nationalarchives.gov.uk/information-management/projects-and-work/policy-guidance.htm

United Kingdom and Ireland

Product/Tool: Cloud Computing Toolkit: Guidance for outsourcing information storage to the cloud

Summary: The Archives & Records Association and the Department of Information Studies, Aberystwyth University have released this toolkit.

The toolkit guides information professionals in assessing cloud computing services for information use and storage, in developing a cloud computing strategy and provides specific cloud service requirements for their organizations.

Home Page: http://www.archives.org.uk/

Toolkit: http://www.archives.org.uk/images/documents/Cloud_Computing_Toolkit-2.pdf

United States – Archive Systems

Product/Tool: RIM Score

Summary: RIM Score is based on three key components of a records management program:

Compliance, going green, and cost effectiveness.

RIM Score provides instant visibility into the health of an organization's records management program.

Source: http://www.1888pressrelease.com/archive-systems-develops-rim-score-to-highlight-the-effectiv-pr-310453.html

To Calculate Your RIM Score: http://www.archivesystems.com/services/records-management-services/rim-score.aspx

United States – BlueStar Case Solutions

Product/Tool: EDD Toolkit: e-discovery application (app) for smartphones

Summary: The app features a Cost Estimator, Time Estimator, Conversion Table and Glossary for common e-discovery questions with regards to ESI (electronically stored information) processing, document review and production.

The toolkit is a useful application for attorneys, paralegals, in-house counsel and litigation support staff who quickly need answers about a particular e-discovery project.

Source: http://www.prweb.com/releases/2011/02/prweb5060324.htm

United States – Library of Congress

Product/Tool: Quiz: Some Interesting Facts about Digital Media

Summary: Did you know that digital materials can be more difficult to preserve than physical ones? Take this quiz to test your digital preservation know-how.

Source: http://nikita-web-proxy.appspot.com/www.digitalpreservation.gov/you/didyouknow/index.html

United States – TAB

1. **Product/Tool:** Four Tips For Managing Your Electronic Records

Summary: (1) Correctly identify your business records **(2)** Develop and implement a records retention program **(3)** Leverage Records Management software for storage and retrieval **(4)** Plan for long-term retention requirements.

Source: http://www.tab.com/ecms.aspx/apr2011-us-b.htm

Note: The white paper entitled: "From Challenge to Opportunity: Meeting Records Management Requirements in the Electronic World" can also be downloaded at no cost.

2. **Product/Tool:** Tips for Selecting and Implementing Records Management (RM) Software in the Hybrid RM Environment

Summary: The tips are **(1)** Establishing RM requirements up front **(2)** Building RM requirements into the electronic system **(3)** Creating one-stop information access **(4)** Responding to the unique needs of paper records **(5)** Developing electronic support for real world records retention.

Source: http://www.tab.com/ecms.aspx/apr2011-us-b.htm

Note: The white paper can also be downloaded at no cost.

United States – University of Albany

Product/Tool: The Open Government Portfolio Public Value Assessment Tool (PVAT)

Summary: The tool provides a series of questions that take agencies through a review of their existing and proposed open government plans to ensure that resources are being used on those initiatives with the greatest promise and to quickly assess the public value of their open government initiatives.

Source: http://www.govtech.com/policy-management/Open-Government-Initiatives-Assessment-Tool.html

Download the PVAT: http://www.ctg.albany.edu/publications/online/pvat/

Studies and Surveys

Title of Study: 2010 Benchmarking Study of Electronic Discovery Practices for Government Agencies

Study Commissioned By: IE Discovery, Inc.

Study Participants: 46 government participants from 24 agencies including government attorneys, paralegals and information technology (IT) personnel.

Findings include:

1) More than 40 percent of the agencies say that their e-discovery burden grew in the past year.

2) 61percent claim to be "more confident" in their ability to manage e-discovery.

3) More than two-thirds of participants report that e-discovery processing is handled in-house.

4) Many agencies do not engage in early data assessment to reduce the amount of data that must be processed and reviewed.

5) Almost one-half of agencies are now collecting "structured data" in repositories, databases, and similar systems.

6) Government agencies have no standard approach to impose and manage litigation holds.

7) 65 percent use email to implement and manage litigation holds.

8) Over half are using custodians to collect the data and are tracking holds through various manual means.

9) The form of production varies greatly.

10) Almost 40 percent of respondents report producing discovery requests in image and text formats, **37 percent** in native file formats and only **41 percent** on paper.

One area in which government discovery professionals may be behind their corporate counterparts is in leveraging "early data assessment strategies" to reduce the size of document sets.

Bill Detamore, IE Discovery's Chief Legal Officer, says "Reducing the volume of data to be processed and reviewed provides substantial cost savings in the long run."

"Gaining competence in this area may be one way for government discovery professionals to better leverage their limited resources and fulfill the expectation to do more with less."

Source: http://www.marketwire.com/press-release/Survey-Shows-Government-Agencies-Facing-More-Complex-Electronic-Discovery-Issues-With-1416392.htm

Note: An executive summary can be downloaded at:
http://www.iediscovery.com/banner6/Default.aspx

Managing Electronic Records

Introduction

Recordkeeping has been with us since the start of recorded history. Electronic management of paper records has been available for 25 years. On the other hand, electronic management of electronic records is a much more recent development.

AIIM has produced a report based on the responses of 709 AIIM members.

The report examines **(1)** the confidence levels in the integrity of electronic records **(2)** the business and compliance drivers for better management of electronic content **(3)** the adoption levels of records management (RM) systems and the strategies for their application **(4)** the problems of email **(5)** issues of legal discovery across both paper and electronic records, and the benefits and returns reported by existing users of e-discovery systems and **(6)** the experience of AIIM users as reflected in their involvement in court proceedings based on electronic recordkeeping.

The Growing Importance of Records Management

In order for an organization to have an effective records program there must be "buy-in" from the organization.

It is therefore encouraging that budgets have increased over the last two years in 43 percent of organizations, while decreasing in just 13 percent. Over the next two years, 54 percent of organizations plan to spend more, with 10 percent spending less.

Compliance Drivers

The survey found that the three most important compliance drivers for managing electronic content are **(1)** data protection **(2)** regulations for government bodies **(3)** legislated retention periods.

Business Drivers

Of those planning or implementing a new records management system, 62 percent consider it to be part of their information management plans, but 47 percent are also driven by compliance procedures.

When asked elsewhere in the survey the majority, 54 percent, agreed that "**Improved knowledge access and content sharing is a stronger benefit of ERM** (Electronic Records Management) than compliance or e-discovery."

56 percent of those with no form of an ERM system in place have little or no confidence in their electronic records compared with 28 percent of those with some form of system.

The survey also revealed that having an electronic records system does not universally improve confidence levels in the integrity of electronic records. This reflects systems with limited scope, particularly with regard to emails.

Management of Electronic Records

Looking specifically at electronic records, 67 percent are utilizing some form of electronic records management, with 17 percent achieving the goal of enterprise-wide records integration.

Of those planning a new system, 56 percent are implementing for the first time, 23 percent are adding a records management capability to an existing document management or ECM system, and 21 percent are replacing an existing system.

Replacement of legacy systems is quite likely to be driven by failed implementations, although the reasons are balanced between technical, user and political issues (which would likely include acquisitions and reorganizations). 41 percent of respondents have successful long-term implementations of two years or more.

Among existing users, 41 percent have stand-alone systems, 45 percent are integrated with their document management (DM) system, and 13 percent consider they have an integrated records management capability across multiple DM and RM systems, and other enterprise applications.

Paper vs. Electronic Records

The survey revealed that only 1 percent of organizations consider paper-based records to be their only repository of record, although a further 8 percent know that they have electronic records in need of management but have taken no steps to do so.

However, 7 percent report that they are now reliant on electronic records over and above paper copies, with a further 24 percent having an integrated environment including electronic and paper records.

Retention Policies and Processes

Although the report makes reference to "electronic records" throughout the report, for many organizations, this has a somewhat narrow definition.

While 86 percent of organizations include standard office documents emails are only managed and retained as records by 66 percent and transactional records, such as invoices, by 64 percent.

Only 12 percent are managing any kind of Enterprise 2.0 or social media content including instant messaging, while 11 percent are still not including any electronic documents in their formal policies.

When asked "Which of the following types of electronic content do you include in your retention policies and RM processes?" the top three answers were **(1)** electronic documents **(2)** emails **(3)** application-generated transactional records.

Email

There is general agreement among the respondents that managing emails is the biggest single issue and a small majority consider that emails are best managed within the general records management system rather than in a dedicated email management system. However, there is considerable confusion, and indeed bad practice, with regard to where email archives should be stored.

Conclusion

Managing emails is still the highest records management priority for most of the respondents. A very wide range of different practices have been found, many of which are putting organizations in a very vulnerable state. Confidence in the integrity and retrievability of electronic records is still at a low level for 37 percent of respondents, although this has improved compared to previous surveys.

In organizations that have some form of ERM system, confidence is twice as high as for those that do not have a system in place.

Most existing users have found that the information and knowledge sharing benefits from a successful ERM system implementation are greater than the compliance benefits, and taking control of the information chaos figures strongly as a trigger to invest in an ERM system.

Discovering electronic records takes twice as long for those organizations with no management system compared to those who have a system and indeed takes longer than the same process for paper records.

Even when the relevant documents have been found, 45 percent of organizations do not have a recognized legal hold process for electronic documents to prevent deletion or tampering.

Report: http://www.emc.com/collateral/analyst-reports/121310-aiim-ediscovery-erm-2010.pdf

Section 4 – Selected Readings

Articles, White Papers, Presentations, Reports

Canada

Topic/Title: Presentations from the Association of Canadian Archivists University of British Columbia Student Chapter 3rd Annual International Seminar and Symposium

Date: February 2011

Summary: Library and Archives Canada was among the presenters.

Presentations: http://www.slais.ubc.ca/people/students/student-groups/aca/symposium2011/proceedings.html

Australia

Topic/Title: Government 2.0 in Australia

Type of Document: Video

Date: February 2011

Summary: Government 2.0, or the use of the new collaborative tools and approaches of Web 2.0, offers an opportunity to achieve more open, accountable, responsive and efficient government.

In December 2009, the final report of the Government 2.0 Taskforce was released.

In this video Nicholas Gruen, who was the Chair of the Government 2.0 Taskforce, talks about the work of the taskforce and the lessons learned, the evolution of Government 2.0 and where it presently stands.

Video: http://govinthelab.com/the-state-of-government-2-0-in-australia/

Note: A special section of Government 2.0 is featured in the **February 2010** issue of the newsletter.

France

Topic/Title: « Quel avenir pour les Archives de France? »

Type of Document: Report

Date: March 2011

Published By: Council on the modernization of public policy

Summary: The Conseil de modernisation des politiques publiques (Council on the modernization of public policy) has produced an assessment about the need to modernize France's national archives.

The report discusses this need in terms not only of archive administration but also of digitization and access to this cultural heritage.

Furthermore, it explores the issues associated with the interministerial piloting of this project.

Source: http://lesrapports.ladocumentationfrancaise.fr/BRP/114000194/0000.pdf
(Available in French only)

New Zealand

Topic/Title: About Archives New Zealand

Type of Document: Video

Summary: The video highlights Archives New Zealand, its collections and how the government's archives are being used by researchers and the public.

Source: http://www.youtube.com/watch?v=GsVwy9i02u8

United Kingdom

1. **Podcast:** Discussion at the Information and Records Management Society (IRMS) Conference 2011, Brighton, United Kingdom

Date: April 2011

Summary: Topics include **(1)** The big bucket approach to retention schedules **(2)** The difficulties of transferring records to archives **(3)** The launch of MoReq 2010 **(4)** The Information Commissioner's talk to the IRMS Conference and revisions to the European Union data protection legislation.

Source: http://nuweb.northumbria.ac.uk/ceis_podcasts/2011/episode02.php

2. **Topic/Title:** Characterising and Preserving Digital Repositories: File Format Profiles

Type of Document: Article

Authors: Steve Hitchcock, Project Manager, KeepIt Project, University of Southampton and David Tarrant, Developer, KeepIt Project, University of Southampton

Publication: *Ariadne*, Issue 66, January 2011

Summary: The authors show how file format profiles, the starting point for preservation plans and actions can also be used to reveal the fingerprints of emerging types of institutional repositories.

Source: http://www.ariadne.ac.uk/issue66/hitchcock-tarrant/

United States

1. **Topic/Title:** 8 Things to Consider When Developing an Information Retention Policy

Type of Document: Article

Author: Brett Tarr, General Counsel with eMag Solutions

Summary: All too often, organizations discover the need for a document retention policy either when it is least convenient to implement or too late in the process.

Particularly in today's environment, where virtually any form of information can be used in litigation, being proactive is essential.

This article describes eight things to consider when developing a retention policy.

Source: http://www.aiim.org/Resources/eBooks/Content-Records-Management/8-Things-to-Consider-When-Developing-an-Information-Retention-Policy

2. **Topic/Title:** The Do's and Don'ts of Cloud Contracts

Type of Document: Article

Author: Rick Bortnick is a member resident and Nicole Moody is an associate with the law firm Cozen O'Connor featured in *Law Technology News.*

Summary: Cloud computing is the storage of data on remote computer servers and the sharing and transmittal of such information by way of the Internet.

Cloud computing has many benefits but situations can develop such as data breaches, hosting of illegal content, and inaccessibility of critical business information.

This article describes various guidelines organizations should be aware of before entering into a cloud provider contract.

Source: http://www.law.com/jsp/lawtechnologynews/PubArticleLTN.jsp?id=1202476608022&rss=ltn

3. **Topic/Title:** Preserving Our Digital Heritage: The National Digital Information and Preservation Program 2010 Report

Published By: The Library of Congress

Summary: The report documents the achievements of the Library of Congress and its National Digital Information Infrastructure and Preservation Program (NDIIPP) partners working together to create sustainable long-term access to digital materials.

The report describes a decade of action in digital preservation and outlays the short- and long-term plans to ensure libraries, archives and other heritage institutions in the United States can collect and provide long-term access to the resources of the 21st century, and beyond.

Source: http://www.digitalpreservation.gov/news/2011/20110308_news_ndiipp_report.html

Report: http://www.digitalpreservation.gov/library/resources/pubs/docs/NDIIPP2010Report_Post.pdf

4. **Topic/Title:** Spotlight on the National Digital Information Infrastructure and Preservation Program (NDIIPP)

Type of Document: Podcast

Summary: The podcast features a discussion with Martha Anderson, director of the NDIIPP for the Library of Congress.

Anderson talks about her efforts to collect all types of digital content, from Twitter tweets to amateur videos.

Source: http://beyondthebookcast.com/information-for-innovation/?utm_source=feedburner&utm_medium=feed&utm_campaign=Feed%3A+Copyrightcast+%28CopyrightCast%29&utm_content=Google+Reader

5. **Topic/Title:** ERA: Electronic Records Archives

Type of Document: Video

Summary: This video highlights the National Archives and Records Administration's Electronic Records Archives.

Source: http://www.youtube.com/watch?v=oRiY_3ojjho&feature=uploademail

6. Topic/Title: New Roles for New Times: Digital Curation for Preservation

Type of Document: Report

Date: March 2011

Published By: The Association of Research Libraries

Authors: Tyler Walters, Dean of University Libraries, Virginia Tech and Katherine Skinner, Executive Director of the Educopia Institute.

Summary: The report looks at how libraries are developing new roles and services in the area of digital curation for preservation.

The authors consider a "promising set of new roles that libraries are currently carving out in the digital arena," describing emerging strategies for libraries and librarians and highlighting collaborative approaches through a series of case studies of key programs and projects.

They also provide helpful definitions and offer recommendations for libraries considering how best to make or expand their investments in digital curation.

Issues and developments within and across the sciences and humanities are also discussed.

Source: http://www.arl.org/news/pr/nrnt-dcreport17mar11.shtml

Report: http://www.arl.org/bm~doc/nrnt_digital_curation17mar11.pdf

7. Topic/Title: Guidelines for Managing Your Work and Personal Email

Type of Document: Article

Author: Lynda Schmitz Fuhrig is an electronic records archivist at the Smithsonian Institution Archives.

She also worked as a librarian, news editor, copy editor, page designer and reporter at various news organizations, featured in *The Atlantic*.

Summary: The number of email accounts, according to projections from the research company Radicati, will grow from 2.9 billion in 2010 to more than 3.8 billion by 2014.

Accordingly, the email messages and attachments that have replaced handwritten correspondence in both our personal and business lives, in many cases, will continue to require some organization.

In this article the Smithsonian's electronic records archivist offers advice for keeping yours in order.

Source: http://www.theatlantic.com/technology/archive/2011/04/guidelines-for-managing-your-work-and-personal-email/237961/

Books

1. William Saffady, *Records and Information Management: Fundamentals of Professional Practice, 2nd Edition*, 2011.

This second edition includes updated and additional material in every chapter, with substantial expansion of the material on records retention scheduling.

Major topics covered include records retention inventorying and scheduling; records centre operations; document imaging technologies; vital records programs; document filing systems; and digital document management.

Source:
https://www.arma.org/eweb/DynamicPage.aspx?Action=Add&site=ARMAI&ObjectKeyFrom=1A83491A-9853-4C87-86A4-F7D95601C2E2&WebCode=ARMAIProdDetailAdd&DoNotSave=yes&ParentObject=CentralizedOrderEntry&ParentDataObject=Invoice Detail&ivd_formkey=69202792-63d7-4ba2-bf4e-a0da41270555&ivd_cst_key=00000000-0000-0000-0000-000000000000&ivd_prc_prd_key=cea70d8f-6378-4b89-bfce-c2a92714824c

2. Steven J. Miller, *Metadata for Digital Collections*, 2011.

More and more libraries, archives, and museums are creating online collections of digitized resources.

Metadata for Digital Collections will make it easy for readers to acquire the knowledge and skills they need whether they use the book on the job or in a classroom.

The book introduces readers to fundamental concepts and practices and also serves as an introduction to broader metadata topics.

A companion website includes exercises for each chapter, with suggestions for instructors, along with additional practical and reference resources.

Source: http://www.neal-schuman.com/mdc

3. Primary Research Group, *Trends in Rare Book and Documents Special Collections Management*, 2011 Edition.

Trends in Rare Book and Documents Special Collections Management profiles nine special rare book and documents collections from institutions including the University of Toronto, the University of Texas at Austin and Yale University Law Library.

Special collections directors discuss their efforts in digitization, procurement, fundraising, marketing and publicity, events and exhibitions, meeting attendance, security, preservation, collection development, cataloguing, and many other areas.

Trends in Rare Book and Documents Special Collections Management is designed to foster an awareness of best practices in rare book and manuscript special collection management.

Source: http://www.primaryresearch.com/view_product.php?report_id=289