# 2010 digital recordkeeping survey

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# Overview

- Background to the survey

- Survey pool

- Survey results:

    ▪ New business systems

    ▪ Disposal of recordkeeping metadata

    ▪ High risk business processes

- Future directions

# Standard on digital recordkeeping

- Standard issued to public offices in September 2008
- M2009-11 NSW Standard on Digital Recordkeeping available from www.dpc.nsw.gov.au
- Purpose of standard
  - establish minimum requirements for digital recordkeeping within NSW Public Sector
  - enable implementation of digital recordkeeping systems that support business efficiency and organisational accountability
- Compliance timetable released with Standard with 3 phases of requirements due 30 June 2009, 30 June 2011 and 30 June 2012

# Aim of 2010 Survey on digital recordkeeping:

- assess implementation of 1st phase of requirements of the *Standard on digital recordkeeping*
  - define digital records to be kept in new systems
  - ensure recordkeeping requirements built into new systems
  - metadata mappings of new systems
  - disposal of recordkeeping metadata meets requirements of State Records Act 1998
- assess preparedness of implementation of 2nd phase of requirements
  - define records of high risk business processes supported by existing systems

# Who completed the survey?

- 309 survey responses:
  - 132 NSW Government agencies / authorities / state owned corporations (43% of survey pool)
  - 151 Councils (49% of survey pool)
  - 16 public health organisations including AHS (5% of survey pool), and
  - 10 universities (3% of survey pool).
- A 100% survey response rate

# New business systems

- 116 survey public offices (or 38%) have acquired / built / or contracted to use 213 new business systems which make and keep records or are interfaced with an EDRMS
- Types of new systems at Appendix B of survey report
- Digital records identified and defined for 82% of new systems
- 78% of these new systems are identified as a digital recordkeeping system
- 83% of systems meet basic recordkeeping functionality

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# New business systems & metadata

- 88% of new systems capture 'point of capture' metadata

- 90% capture 'date of action' process metadata

- 89% capture 'identification of who/what undertook action' metadata

- 87% capture 'what action was undertaken' metadata

# New business systems & disposal

- Disposal has not been undertaken with 75% of new business systems

- 23% of systems include an authorisation reference for the transfer or destruction of digital records

- 20% of systems are able to identify where they transferred the records to

- Disposal of digital State records must conform with the requirements of the *State Records Act 1998* and the *Standard on the appraisal and disposal of State records*.

# New business systems & long term management of records

- migration has not occurred with 78% of these new systems

- 19% of systems link digital records with metadata when the records are migrated of transferred out of their environment

- 40% have documented metadata mappings

- 9% (20 systems) have migration plans

# Disposal of recordkeeping metadata

- 56% of public offices have records management policy and procedures which include disposal process for recordkeeping metadata
- 26% of public offices document the disposal of recordkeeping metadata
- 86% of public offices have measures to prevent the unauthorised deletion of recordkeeping metadata

# High risk business processes

- 28% of public offices have identified their high risk business processes

- 18% have defined and identified digital records pertaining to high risk business processes

- 21% have assessed the systems that keep digital records pertaining to high risk business processes

- 11% have undertaken corrective actions to meet the requirements for high risk business processes

# Where to next?

- Digital recordkeeping skills and awareness
  - *Digital recordkeeping concepts*
  - *Managing digital records: an Introduction*
  - *Managing recordkeeping risk in business systems*
- Importance of managing recordkeeping metadata
  - RIB 18: *Introducing recordkeeping metadata*
  - Metadata mappings
  - Prevent unauthorised disposal of recordkeeping metadata
  - New guidance on recordkeeping metadata

# Where to next?

- Managing risks and migration
  - New guidance on planning and managing recordkeeping risks and migration

- High risk business processes
  - State Records sending reminders of compliance deadline
  - Resources to assist in analysing business processes: *DIRKS Manual*, *Short guide to implementing the Standard on digital recordkeeping*, *Managing recordkeeping risk in business systems* workshop

# Where to next?

- Systems under shared service arrangements or in the cloud
  - Resources to assist in navigating digital recordkeeping issues
  - Incorporate recordkeeping requirements into contracts
- Sharepoint
- Disposal of digital records
  - State Records has a new strategy to provide practical advice and guidance on carrying out disposal in the digital environment

# For further information

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