

# Governance and Recordkeeping Around the World

April 2009, vol. 2, no. 11



**Calling for greater  
access to government records**



Library and Archives  
Canada

Bibliothèque et Archives  
Canada

Canada

*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.

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

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## Section 1: News

### 1.1 General News – Overview: Quick Links

#### Country: Canada

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##### City of Toronto

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##### Federal Government

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##### State Government

##### Iowa

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#### Private Sector

##### Google

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## 1.2: General News

**Country: Canada**

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### City of Toronto

**Headline:** Councillor to city: Post a list of records to be destroyed

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Approximately 25,000 linear feet of documents are destroyed each year by the city of Toronto and Councillor Mike Del Grande is requesting that a list of these records be made accessible to the public. In doing so, copies could be obtained and concerns could be communicated regarding the destruction of certain records.

The government management committee has directed the city clerk to prepare a report on the matter.

**Source:** <http://www.thestar.com/News/GTA/article/572008>

**Country: China**

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**Headline:** Citizens call for interactive government websites

According to results of an online survey, a large number of the country's Internet users are dissatisfied with government websites and would like them to be more "interactive" and "helpful."

The survey also reveals a demand for more interaction with government officials through these websites. Currently, governments and ministries at various levels have their own websites, but most are used for posting notices and information.

**Source:** [http://www.chinadaily.com.cn/china/2008-12/19/content\\_7323079.htm](http://www.chinadaily.com.cn/china/2008-12/19/content_7323079.htm)

**Country: Fiji**

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**Headline:** Government encourages good recordkeeping practices

In an attempt to archive all state information, the government is stressing the importance of obtaining the skills required to ensure the proper collection, management and preservation of records.

National Archives Deputy Secretary for Information Major Neumi Leweni says that recordkeeping in today's society is vital. "In order for archives and records, including audiovisual archives, to be assessed easily, they needed to be properly arranged and described. I understand there are certain skills required for this."

**Source:** <http://www.fijitimes.com/story.aspx?id=102417>

**Country: New Zealand**

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**Headline:** Government shared network to be discontinued

The Government Shared Network links government agencies with high-speed Internet and telecommunications services; however, the network is being discontinued because it is financially unsustainable.

Participating government agencies will be moved to a new provider in the private sector.

**Source:** <http://www.voxy.co.nz/politics/ryall-government-shared-network-be-discontinued/5/8316>

**Country: Singapore**

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**Headline:** Review of Singapore's data protection regime is ongoing

There is no established uniform method for dealing with data protection. This has prompted the creation of an inter-ministry committee to review how other countries approach data protection including Canada, the United States and the European Union.

Minister for Information, Communication says "We're currently looking into developing a data protection model that can best address Singapore's privacy concerns" and "In shaping Singapore's own data protection regime, we will take into account such international perspectives, where relevant."

**Source:** [http://www.zdnetasia.com/news/security/0,39044215,62050547,00.htm?scid=rss\\_z\\_nw](http://www.zdnetasia.com/news/security/0,39044215,62050547,00.htm?scid=rss_z_nw)

**Country: United States**

**Federal Government**

**#1**

**Headline:** Government proposes to consolidate personal information stored in databases

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In an effort to better standardize and coordinate personal information about American citizens stored in thousands of databases, the government is developing a plan for collecting, protecting and using the information.

An Identity Management Task Force has been created to examine the government's current identity management architecture and how to consolidate the personal information collected.

"You have a lot of duplication of data" among various agencies, said Duane Blackburn, a policy analyst in the White House [Office of Science and Technology Policy](#).

In addition, privacy controls and security measures vary from agency to agency.

**Source:** [http://news.cnet.com/8301-13578\\_3-10060600-38.html](http://news.cnet.com/8301-13578_3-10060600-38.html)

**#2**

**Headline:** Ruling reaffirms importance of metadata preservation throughout e-Discovery process [Back](#)

A United States district court ruling requires that metadata associated with emails and electronic files be preserved, maintained and produced during the e-Discovery process.

This ruling highlights the necessity of preserving information that is stored electronically, including its associated metadata. Companies that do not comply with the ruling face significant legal risk.

**Source:** <http://investors.guidancesoftware.com/releasedetail.cfm?ReleaseID=358710>

**#3**

**Headline:** Presidential Memorandum on transparent and open government

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President Obama has issued a memorandum to the heads of executive departments and agencies calling for greater access to government records.

The President has requested recommendations for an open government directive. Executive departments and agencies are to take specific actions to implement the memorandum's principles of a transparent, collaborative and participatory government.

**Source:** [http://www.gwu.edu/~nsarchiv/news/20090121/2009\\_transparency\\_memo.pdf](http://www.gwu.edu/~nsarchiv/news/20090121/2009_transparency_memo.pdf)

## **State Government**

### **Iowa**

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**Headline:** Cost of removing data from website could cost \$1.8M

It can be a costly mistake when personal information is posted on a website. Personal information including social security numbers must be removed from a website used by county auditors at a cost that could reach \$1.8 million.

**Source:** <http://archives.chicagotribune.com/2008/dec/03/news/chi-ap-ia-identitytheft-web>

## **Private Sector**

### **Google**

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**Headline:** Google reduces retention period for IP Address Logs

Google has announced that Internet Protocol addresses in its server logs will be retained for 9 months instead of the current 18 months. According to Google, this will be “another step to improve privacy for our users.”

**Source:**

[http://www.pcworld.com/businesscenter/article/150822/google\\_cuts\\_time\\_it\\_retains\\_ip\\_address\\_logs\\_to\\_9\\_months.html](http://www.pcworld.com/businesscenter/article/150822/google_cuts_time_it_retains_ip_address_logs_to_9_months.html)

## Section 2: Events

### ANNUAL MEETINGS AND CONFERENCES

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#### International

##### 1. Records Management Society Annual Conference 2009

**Theme:** Back to the Future?

**Host:** Records Management Society

**When:** 19–21 April 2009

**Where:** Brighton, England

**Summary:** The conference will focus on four main areas:

**(1)** Standards in Practice **(2)** Training and Development **(3)** Technology **(4)** Transformation and Change

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.rms-gb.org.uk/conference>

##### 2. European Geosciences Union: General Assembly 2009

**Theme:** Data Preservation and Long Term Access

**When:** 19–24 April 2009

**Where:** Vienna, Austria

**Summary:** Data centres are important information resources and have the important task of data preservation for future research. Researchers must be enabled to find and access data of interest quickly, and this session deals with new developments in the areas of data access, annotation and curation.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://meetingorganizer.copernicus.org/EGU2009/session/408>

##### 3. Archiving 2009

**Host:** Society for Imaging Science and Technology

**When:** 4–7 May 2009

**Where:** Arlington, Virginia, United States

**Summary:** Information management solutions will come from collaboration between librarians, archivists, scientists, entrepreneurs and imaging experts. Success depends on sharing details about emerging projects and ideas. This conference presents the latest details about significant research,



programs and practices as well as expert perspectives on topics such as storage, media and technology obsolescence, sustainable business models, and formats and standards. Techniques for producing, capturing, preserving, indexing and accessing digital objects and images are also explored in depth.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.imaging.org/conferences/archiving2009/>

#### **4. 10th International Digital Government Research Conference**

**Theme:** Social Networks: Making Connections Between Citizens, Data and Government

**Host:** Digital Government Society of North America (DGSNA)

**When:** 17–20 May 2009

**Where:** Puebla, Mexico

**Summary:** This conference focuses on Web 2.0 technology, the emerging Social Web, and social network systems that allow large-scale distributed collaboration, information sharing and creation of collective intelligence in government areas. In addition, the policy implications of open government, the innovative applications of Web 2.0, Social Web, as well as technologies throughout the domain, are discussed.

**LAC Speakers:** To be determined

**Programme and Registration:**

<http://icce.typepad.com/icce/2008/12/call-for-papers-10th-international-digital-government-research-conference-dgo-2009.html>

#### **5. The 3rd Annual Ethical Leadership and Governance in the Public Sector Conference 2009**

**Theme:** Towards Robust Governance Frameworks and a Culture of Ethical Excellence

**Host:** Liquid Learning

**When:** 19–20 May 2009

**Where:** Canberra, Australia

**Summary:** This conference focuses on how public sector agencies can enhance governance arrangements and ensure ethical integrity across the organization.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.liquidlearning.com.au/llg08/May/>

[http://www.liquidlearning.com.au/documents/ELG0509/ELG0509\\_I.pdf](http://www.liquidlearning.com.au/documents/ELG0509/ELG0509_I.pdf)

#### **6. 2009 International Conference on Information Resources Management**

**Theme:** Global Connections

**Host:** Association for Information Systems

**When:** 21–23 May 2009

**Where:** Dubai, United Arab Emirates

**Summary:** This conference provides a peer-reviewed forum for researchers to share contemporary research developments in [information systems](#) and [information management](#).

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.conf-irm.org/>

## **7. International Association of Social Science Information Service and Technology (IASSIST) 2009 Conference**

**Theme:** Mobile Data and the Life Cycle

**Hosts:** Social Science Data Archive and the University of Tampere

**When:** 26–29 May 2009

**Where:** Tampere, Finland

**Summary:** Topics include **(1)** Life cycle models for managing data **(2)** Infrastructure for data collection, access and preservation **(3)** Applying metadata standards for data **(4)** Sharing data across applications.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.fsd.uta.fi/iassist2009/index.html>

## **8. Digital Directions: Fundamentals of Creating and Managing Digital Collections**

**Hosts:** Northeast Document Conservation Center and [Balboa Art Conservation Center](#)

**When:** 27–29 May 2009

**Where:** San Diego, California, United States

**Summary:** The conference encompasses the full life-cycle of digital objects, from planning to creation to sustainability. Topics include **(1)** Metadata **(2)** Sustainability and Digital Preservation **(3)** Planning a Digital Project **(4)** Selection for Digitization **(5)** Standards and Best Practices.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.nedcc.org/about/news.savethedate.php>

## **9. Intergovernmental Relations and Coordination Conference 2009**

**Theme:** Leading Whole-of-Government Initiatives and Partnerships for a Connected and Efficient Public Sector

**Host:** Liquid Learning

**When:** 10–11 June 2009

**Where:** Canberra, Australia

**Summary:** Topics include **(1)** Developing effective overall government strategies and programs **(2)** Providing a leadership role for enhanced service delivery and governmental outcomes.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://liquidlearning.com.au/Ilg08/June/>  
[http://www.liquidlearning.com.au/documents/IGR0609/IGR0609\\_I.pdf](http://www.liquidlearning.com.au/documents/IGR0609/IGR0609_I.pdf)

## **10. Content Architecture: Exploiting and Managing Diverse Resources**

**Hosts:** International Society for Knowledge Organization and School of Library, Archives and Information Studies, University College London

**When:** 22–23 June 2009

**Where:** London, England

**Summary:** In our networked world, enabling easy access to multiple services and resources is often reliant on a team effort involving specialists from very different backgrounds—website design, knowledge engineering, audio and video engineering, linguistics, computer science, etc.

The conference will provide a forum for discussing the problems and opportunities arising from the growing digitization and networking of information resources and will address issues in the handling of text and images, as well as data, voice and language, particularly in the context of the integration of different information resources.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.iskouk.org/conf2009/index.htm>

## **11. NAGARA 2009 Annual Meeting**

**Theme:** Meet the Information Challenge

**Host:** National Association of Government Archives and Records Administrators

**When:** 15–18 July 2009

**Where:** Seattle, Washington, United States

**Summary:** Topics include **(1)** Records Management and the New Rules of Civil Procedure **(2)** Archives Online: Digitizing Archival Holdings for Web Presentation.

**LAC Speakers:** To be determined

**Programme and Registration:** <http://www.nagara.org/>

## 12. SAA's 73rd Annual Meeting

**Theme:** Sustainable Archives

**Host:** The Society of American Archivists (SAA)

**When:** 11–16 August 2009

**Where:** Austin, Texas, United States

**Summary:** Sustainability is a framing concept for conversations that archivists are having within the profession and with their resource allocators. How to manage change now, how to grow programs to meet complex information ecologies, and how to thrive in the unfolding information environment will be some of the questions raised.

Today's archival holdings exist within environments in which recorded information is swiftly becoming more compressed, wired and remote. Organizations are constantly redesigning their communications infrastructure to stay current with external change while preserving their essential mission and values.

This conference offers the opportunity to explore the concept of sufficiency across all aspects of archival practice, theory, and visioning.

**LAC Speaker:** Daniel J. Caron, Senior Assistant Deputy Minister, Corporate Management and Horizontal Integration.

**Programme and Registration:** <http://www.archivists.org/conference/austin2009/AM09-call.asp>

## National

### 1. 2009 National Governance Conference

**Theme:** New Risk, Accountability and Leadership Challenges

**Host:** The Conference Board of Canada

**When:** 6–7 May 2009

**Where:** Toronto, Ontario, Canada

**Summary:** Various topics will be discussed including:

- (1) Ensuring your governance practices are effective in today's complex environment.
- (2) Will your risk management practices pass the test?
- (3) Are you ready for future regulation?

**LAC Speakers:** To be determined

**Programme and Registration:**  
<http://www.conferenceboard.ca/conf/09-0118/default.aspx>

### 2. Association of Canadian Archivists Annual Conference

**Theme:** Rights, Responsibilities, Trust: Archives and Public Affairs

**Host:** Association of Canadian Archivists

**When:** 15–17 May 2009

**Where:** Calgary, Alberta, Canada

**Summary:** Conference at a Glance will be made available, while a preliminary Program will be available in time for the opening of registration on March 1, 2009.

**Speakers:** Ian E. Wilson, President of the International Council on Archives and Daniel J. Caron, Senior Assistant Deputy Minister, Corporate Management and Horizontal Integration.

**Programme and Registration:** <http://archivists.ca/conference/>

### 3. 2009 ARMA Canada Conference

**Theme:** Peaks and Valleys of Information Management

**Host:** Association of Records Managers and Administrators

**When:** 31 May to 3 June 2009

**Where:** Edmonton, Alberta, Canada

**Summary:** Five tracks will be offered: Business Functions, Information Technology, RIM Practices, Risk Management, and a combined Leadership and Communications & Marketing.

**LAC Speakers:** To be determined

**Programme and Registration:**

[http://www.armacanada.org/edmn\\_2009/edmn\\_speakers.shtml](http://www.armacanada.org/edmn_2009/edmn_speakers.shtml)

### 4. 61st IPAC Annual Conference

**Theme:** Turnarounds: Transformations in Government and Society

**Host:** The Institute of Public Administration of Canada

**When:** 23–26 August 2009

**Where:** Fredericton, New Brunswick, Canada

**Summary:** The conference will focus on how the objects of turnarounds can be identified, what conditions must exist for successful turnarounds, what type of leadership is required to achieve a turnaround and what can be learned from salient examples of successful and unsuccessful turnarounds.

**LAC Speakers:** To be determined

**Programme and Registration:**

<http://ipacfredericton.ca/2009-conference/Default.htm>

## **FORUMS**

### **1. E-Records Forum**

**When:** 14–15 April 2009

**Where:** Austin, Texas, United States

**Summary:** This forum focuses on current issues in electronic records, and topics include: **(1)** e-Discovery **(2)** Bringing Electronic Information Back to Life **(3)** Web 2.0 and the Records Management Issues.

**Programme and Registration:**

<http://www.archives.gov/southwest/agencies/records-mgmt/forum-announcement.html>

### **2. Government Recordkeeping Forums in 2009**

**Host:** National Archives of New Zealand

**When:** There will be four forums held in 2009:

4 March 2009  
3 June 2009  
2 September 2009  
2 December 2009

**Summary:** Programmes and online registration forms will be posted on the website (<http://continuum.archives.govt.nz/government-recordkeeping-forums.html-0>) in the month before each forum.

**Programme and Registration:** For further information please contact:

[rkforum@archives.govt.nz](mailto:rkforum@archives.govt.nz)

## **SEMINARS**

**No seminars listed at this time.**

## **WORKSHOPS**

### **1. Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems**

**Theme:** Promoting Practical and Responsible Stewardship of Digital Assets

**Host:** Inter-University Consortium for Political and Social Research (ICPSR)

**When:** 3–8 May 2009; 11–16 October 2009 and 2–7 May 2010

**Where:** University of Michigan, Ann Arbor, Michigan, United States

**Summary:** The workshop series is for managers who are or will be responsible for digital preservation programs in libraries, archives and other cultural institutions. The goals of the workshop are to foster

critical thinking in a technological realm and provide the means for exercising practical and responsible stewardship of digital assets in an age of technological uncertainty.

**Programme and Registration:** <http://www.icpsr.umich.edu/dpm/workshops/fiveday.html>

## **CAMPAIGNS**

### **1. Archive Awareness Campaign 2009**

**Theme:** "Take Flight!"

**Hosts:** The National Council on Archives, The National Archives of the United Kingdom and Museums Libraries Archives Council

**When:** To be determined

**Where:** To be determined

**Summary:** This theme is open to interpretation and lends itself to many areas of archival work, whether in economic and industrial history, the impact of movement of peoples, innovation and ideas or engineering and science. The theme is designed to be as inclusive as possible, to bring in archives from across all sectors and thus enable more engagement with various user groups.

**Source:** [http://www.archiveawareness.com/contributors/nationalcampaign/whats\\_happening](http://www.archiveawareness.com/contributors/nationalcampaign/whats_happening)

## Section 3: Current Trends and Products

### 3.1: Recordkeeping: Current Developments, Projects and Future Initiatives

#### Canada – Library and Archives Canada and National Library of Ireland

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**Topic/Title:** New Genealogical Records Available Online

**Summary:** Library and Archives Canada (LAC) and the National Library of Ireland have been collaborating to make the 1901 and 1911 censuses of Ireland accessible online.

LAC's contribution includes digitizing microfilm reels, linking images to the database and making the records searchable by name.

"With 70 million Irish diaspora around the world, and up to one-fifth of Canadians claiming Irish heritage, this project will connect even more people to their historical roots," stated Ian E. Wilson, Librarian and Archivist of Canada.

**Source:** <http://www.collectionscanada.gc.ca/whats-new/013-369-e.html>

#### Nepal

**Topic/Title:** e-Parliament and e-Judiciary

**Summary:** The government has begun the process of digitally transforming the legislative body of the country to make it more efficient.

The initiative includes the parliamentary and judiciary systems and is part of the government's overall e-governance strategy.

**Source:** <http://www.nepalnews.com/archive/2008/dec/dec31/news04.php>

#### Norway

**Topic/Title:** Citizen-Centric Online Portal

**Summary:** Norway's citizen-centric online portal, known as Altinn, was started by the government in 2002 and became fully operational by 2004.

Its goal is to simplify the interaction between government, businesses and citizens by providing a single electronic channel for written communications with the public sector. This will enable businesses and citizens to communicate with multiple government agencies through a single window.

The next phase in the portal's development, Altinn II, has begun.

**Source:** [http://www.consultant-news.com/article\\_display.aspx?p=adp&id=4961](http://www.consultant-news.com/article_display.aspx?p=adp&id=4961)

#### United Arab Emirates

**Topic/Title:** Cyber-Sign

**Summary:** Cyber-Sign is an online signature system directed at individuals who wish to use government services.



A spokesperson states “This product will be used by Dubai e-Government to get signatures without the consumer being physically present. The consumer will be able to sign and send documents through the Web.”

**Source:** [http://www.business24-7.ae/articles/2008/10/pages/10232008\\_5d10d3b0df67420290124be827c93b13.aspx](http://www.business24-7.ae/articles/2008/10/pages/10232008_5d10d3b0df67420290124be827c93b13.aspx)

### **United Kingdom – British Library**

**Topic/Title:** Turning the Pages

**Summary:** [Turning the Pages](#) allows readers to read books in their original format, almost exactly as they were intended to be read.

The interface presents the books as if they were physically on the screen, with controls for moving through the book in the same way pages would be turned.

To date, the library has digitized and transferred approximately 20 books into Turning the Pages. The program could eventually include millions of books.

**Source:** <http://news.zdnet.co.uk/software/0,1000000121,39454364,00.htm>

### **United Kingdom – National Archives**

**Topic/Title:** Digital Continuity Project

**Summary:** This project will assist departments to maintain their own documents in a readable form that will be accessible years or even decades after they are created.

Regarding the work to preserve electronic documents, chief information officer of the National Archives David Thomas says “We think we are starting at the right time.” “If we’d left it much longer, material would have been permanently lost.” He also adds that Japan has lost large numbers of electronic pension records through a lack of preservation work.

**Source:** <http://news.zdnet.co.uk/internet/0,1000000097,39463609,00.htm?r=1>

### **United States – Department of Defense**

**Topic/Title:** High Performance Computing Modernization Program (HPCMP) – Massive archives

**Summary:** A decade ago, data storage was a sideline activity in supercomputing; today it is an essential part of business.

The HPCMP has the capacity to store six petabytes of information with an additional two petabytes to be added including storage of archival information.

To put this into context, two petabytes of storage is the equivalent of 40 million four-drawer filing cabinets full of text.

**Source:** [http://www.gcn.com/print/27\\_16/46576-1.html](http://www.gcn.com/print/27_16/46576-1.html)

## 3.2: Products and Tools from Around the World

### New Zealand – National Archives

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**Product/Tool:** Recordkeeping Essentials For Chief Executives and Senior Managers

**Date of Revision:** June 2006

**Purpose:** To assist with an organization's business needs and legal requirements for recordkeeping.

**Summary:** The information in this booklet includes:

(1) A checklist that will assist an organization to determine if it is compliant with the various legal recordkeeping requirements.

(2) Creating and Maintaining Records

(3) Disposal of Records

(4) Public Records Act Compliance Framework

**Source:** <http://continuum.archives.govt.nz/files/file/guides/g18.pdf>

### United Kingdom – British Library

**Product/Tool:** Key Control System for Historical Collections

**Summary:** The key control system allows employees to access cabinets containing historical collections and at the same time track the cabinets each employee accesses.

In the past, keys were controlled and monitored by a paper-based, sign-in/sign-out system, but the number of keys issued each day showed that the system was time-consuming and cumbersome.

To improve the efficiency of key management, the Library developed the electronic key control system.

**Source:** [http://www.ajponline.co.uk/ViewArticle\\_1849.aspx](http://www.ajponline.co.uk/ViewArticle_1849.aspx)

### United States – Adobe

**Product/Tool:** [Zoetrope](#)

**Summary:** Large quantities of information are available on websites around the world each day. While some of this information might be archived, other information often gets lost. Zoetrope is designed to help track such information by letting users browse backward through time via a scrollbar at the bottom of the browser that winds a Web page back to what it looked like hours, days, or months ago.

In addition, if the user is interested in one specific piece of information, a "lens" can be drawn over that area of the page to see how it changes through time.

**Source:** <http://www.technologyreview.com/web/21769/?a=f>

### **United States – eFortresses, Inc.**

**Product/Tool:** Governance, Risk and Compliance (GRC) Practice

**Summary:** GRC is a methodology that organizations can use to custom design a holistic integrated information security and compliance management system.

“In today’s economy, with the rising costs related to addressing Governance, Risk and Compliance, we felt it was necessary to...design a methodology that organizations can use to reduce overhead while actually enhancing effectiveness,” said Taiye Lambo, CTO and Founder of eFortresses, Inc.

“Today more than ever, organizations globally face higher security risks and additional regulations. The days of addressing information security and compliance requirements in silos are over.”

**Source:** <http://www.newswire.ca/en/releases/archive/January2009/19/c8548.html>

### **United States – Texas**

**Product/Tool:** Data and Electronic Records Management Best Practices

**Date of Publication:** April 14, 2006

**Overview:** This guide identifies national and international standards published by recognized standards organizations that are used with and by automated information management systems.

Computer-based systems that organize, maintain, and retrieve data and electronic records have evolved from point solutions in the mid-1980s to integrated, enterprise-wide applications. Best practices suggest that a greater benefit is received from implementing standards-based products and processes. Agencies should carefully plan and assess their requirements for data and electronic records management to help them identify appropriate solutions.

**Source:** <http://www.dir.texas.gov/pubs/derm/standards/toc.htm#toc>

### 3.3: Studies and Surveys

#### England

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**Survey Subject:** Email Archival Policies and Procedures

**Organization:** Survey commissioned by Mimecast

**Survey Participants:** 125 Information Technology managers

**Overview:** Many businesses are not putting effective procedures in place to archive and retrieve emails. This practice could hinder their defence in a legal dispute.

**Summary:** [According to the survey](#)

- (1) [25 percent](#) of companies are unable to access an email sent three years ago.
- (2) [69 percent](#) of companies cannot produce a comprehensive email audit trail of corporate records that would be admissible in court as evidence.
- (3) [42 percent](#) of IT managers agree it is not their responsibility but that of the individual employee to store and manage their own emails.
- (4) [57 percent](#) of IT managers agree the onus is on management to define email management policies.

#### **Conclusion:**

Chief product strategist at Mimecast James Blake believes that this lack of forward planning leaves a large number of companies exposed to substantial risk by being unable to defend themselves adequately in the event of civil or criminal litigation.

He adds: "It's a fact of life that the majority of organisations get involved in some sort of litigation process at some stage in their development. Being able to assemble a full and complete record of e-mail evidence allows you to accurately assess the case either for prosecution or defence purposes and is vital to determining the best course of action."

#### **Source:**

<http://www.itweb.co.za/sections/computing/2008/0810170806.asp?A=COM&S=Computing&T=News&O=S>

## 3.4: Guidelines and Principles

### ARMA International

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**Summary:** ARMA International's Board of Directors has approved a set of generally accepted recordkeeping principles (GARP). These principles will serve as a framework for guidance in implementing information management programs. The defined set of principles will help business leaders, legislators, the judiciary, and other stakeholders understand and address the key components of records and information management as a discipline and as a best business practice.

#### **Principles of:**

##### **(1) Accountability**

An organization shall assign a senior executive who will oversee a recordkeeping program and delegate program responsibility to appropriate individuals, adopt policies and procedures to guide personnel, and ensure program auditability.

##### **(2) Integrity**

A recordkeeping program shall be constructed so the records and information generated or managed by or for the organization have a reasonable and suitable guarantee of authenticity and reliability.

##### **(3) Protection**

A recordkeeping program shall be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, or secret.

##### **(4) Compliance**

The recordkeeping program shall be constructed to comply with applicable laws and other binding authorities, as well as the organization's policies.

##### **(5) Availability**

An organization shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.

##### **(6) Retention**

An organization shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, organizational, and historical requirements.

##### **(7) Disposition**

An organization shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organization's policies.

##### **(8) Transparency**

The processes and activities of an organization's recordkeeping program shall be documented in an understandable manner and be available to all personnel and appropriate interested parties.

**Source:** <http://www.arma.org/GARP/>

## Section 4: Selected Readings

### 4.1: Articles, White Papers, Presentations, Reports

#### Canada

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**Title of Report:** Access to Information at 25 Years: New Perspectives, Creative Solutions?

**Published by:** Public Policy Forum

**Publication Date:** December 2008

**Overview:** On June 10, 2008, the Public Policy Forum held a full-day workshop on Modernizing the Federal Access to Information Regime.

The workshop brought together 40 leading thinkers, practitioners, and decision makers from academic backgrounds, the private sector, civil society and government. The purpose was to generate new ideas and catalyze creative thinking around options for modernizing the culture, administration and legislation of the federal Access to Information regime.

**Summary:** There was broad agreement that there is a records management crisis across government and that a dramatically improved records management regime across the public service is an urgent priority.

Participants reported that **proactive disclosure of information** (government making most information available to the public) implies a level of records management in the federal government that currently does not exist.

The government faces a significant challenge in adapting its information and records management practices to the pace of technological change. For this reason, some participants suggest that a priority of future legislative reform should be to indicate an approach to records management across the federal government, such as a **“duty to create a record.”**

Information technology poses challenges such as increased amounts and kinds of digital records. For example, should the huge volume of emails generated daily by public servants be subject to access requests? If so, how should that information be stored? Should we distinguish between emails that are “transitory” records and those that are substantive?

The debate around what constitutes a record in the electronic age is ongoing. How do we define records in this new (and constantly evolving) context? It was suggested that a definition of records, for example with respect to emails, should be embedded in management policy.

**Source:** [http://www.ppforum.ca/common/assets/publications/en/oic\\_report\\_final\\_for\\_web.pdf](http://www.ppforum.ca/common/assets/publications/en/oic_report_final_for_web.pdf)

#### England

**Topic/Title:** Bridging the information gap

**Type of Document:** Article

**Author:** Sally Whittle, *ComputerWeekly.com*

**Main Theme:** Bridging the information gap means that an organization is making better decisions and serving their clients more effectively and efficiently.

**Main Points:**

- (1) Bridging the information gap between structured and unstructured data is a goal for many organizations, as typically information is held in silos. Because of this practice, the information may not be immediately accessible when the time comes to make decisions.
- (2) The growing emphasis on compliance, audit trails and data security is resulting in greater demand for information management products and services.
- (3) Organizations are discovering that they are not accessing large parts of their corporate memory because it is held in unstructured or semi-structured data.
- (4) It is essential that organizations practise sound information management and develop a single information management policy to ensure that decisions are consistent.
- (5) Organizations must ensure that information is linked with clear audit trails so that users can see what action is taken and why, and that when underlying data changes, decisions are revisited where necessary.

**Source:** <http://www.computerweekly.com/Articles/2008/11/14/233400/bridging-the-information-gap.htm>

**India**

**Topic/Title:** Storage Investment Priorities for 2009

**Type of Document:** Article

**Author:** [Hu Yoshida](#), Vice-President and Chief Technology Officer, Hitachi Data Systems featured in *CXOtoday.com India*.

**Storage Priorities:****(1) Virtualized Storage Services**

By applying and combining virtualized storage with lower-cost tiers of storage, data growth can be contained while maximizing current investments.

**(2) Archiving for unstructured data growth**

As the quantity of unstructured data increases, implementing archival storage policies is critical to reduce costs and ensure access.

**(3) Data de-duplication**

With the ongoing financial global crisis, organizations are looking for more ways to save money. Backup to disk and data de-duplication are key areas to save costs by compressing the data and reducing the amount of times data is backed up.

**(4) Risk Mitigation**

Organizations must mitigate risk by ensuring that storage solutions and services facilitate the management and archiving of existing data and have the capacity to effectively and efficiently retrieve the data.

**Source:**

[http://www.cxotoday.com/India/News/Storage\\_Investment\\_Priorities\\_for\\_2009/551-97273-913.html](http://www.cxotoday.com/India/News/Storage_Investment_Priorities_for_2009/551-97273-913.html)

## **United States**

**Topic/Title:** Prepare for e-Discovery Before a Lawsuit Is Filed

**Type of Document:** Article

**Author:** [Jennifer Jackson Spencer](#), *Baseline Magazine*

**Main Theme:** A well-organized records management program and lifecycle is the foundation for an effective electronic discovery program.

### **Main Points:**

- (1) Organizations that do not preserve and provide electronically stored information can face sanctions and fines.
- (2) To effectively preserve electronically stored information (ESI), an organization must identify core business functions and values and evaluate the status of records and policies.
- (3) A data management plan must be established to assess what exists, and best practices and procedures must be developed for storing and accessing ESI.
- (4) It is important that an organization have a systematic approach in place to build a detailed e-discovery protocol for ESI, identify the key e-discovery issues in the dispute and the appropriate individuals to address those issues.
- (5) An organization must find a balance between preserving emails that are connected to the business process and not saving every email that is created or captured.

**Conclusion:** Being prepared can be a major advantage during litigation and settlement and can save an organization hundreds of thousands of dollars in discovery costs.

**Source:** <http://www.baselinemag.com/c/a/Legal/Prepare-for-EDiscovery-Before-a-Lawsuit-Is-Filed/>

## **Global**

**Title:** Government's Response to Financial Crisis Will Change the Role of the Public Sector Around the World

**Type of Document:** Press Release

**Organization:** Deloitte

**Overview:** The roles of governments will change worldwide due to the financial crisis. Governments will expand and broaden their scope of responsibility as well as reinforce global interdependence and a renewed tendency towards devolution of power from the centre to the edge.

### **Main Points:**

- (1) There is devolution of power from national governments to regional and local governments as well as to key private-sector industries.
- (2) Governments will face increasing challenges to establish effective governance and accountability structures without adversely affecting the sectors they seek to stabilize.



**(3)** Governments will have to implement rigorous cost-reduction programs, increase their operational efficiency, improve their controls, and discover new ways to do more for less, which in turn will encourage innovation.

**(4)** Many of the more significant government transformations have occurred during previous major economic downturns.

**(5)** There will be a re-examination of operational models and possible solutions including consolidation, shared services, co-operation among public services, integration of services across levels of governments, and integration of service provision models.

**(6)** Attracting talented workers to the public sector will be difficult because it offers more challenges and fewer guaranteed comforts. This will change public service recruitment opportunities.

**Source:** <http://www.businesswireindia.com/PressRelease.asp?b2mid=17917>

## 4.2: Books

### Selected Readings

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4.2.1 Thomas Sowell, [Applied Economics: Thinking Beyond Stage One](#), December 8, 2008.

The following publication by Sowell, an esteemed conservative economist, highlights the major differences between politicians (who act for the short term, i.e., re-election) and economists (who look at the long-range ramifications of policy) and urges voters to focus on the long-term unintended consequences of policy decisions.

4.2.2 Sver Gustavsson, [The Illusion of Accountability in The European Union \(Routledge Advances in European Politics\)](#), August 3, 2009.

This book looks at accountability in the European Union. It presents different perspectives and examines whether European Union citizens have real opportunities for holding decision makers accountable, or whether the current institutional set up merely creates an illusion of accountability.