Document and Records Management Systems

Standard

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Version 2.1
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Introduction

Purpose

This Standard details the policy for South Australian Government agencies when selecting, purchasing and implementing an Electronic Document and Records Management System (EDRMS). This Standard mandates the implementation of an EDRMS to ensure adequate records management practices in regard to both electronic and physical records. It was developed by State Records of South Australia (SRSA) in consultation with government stakeholders to satisfy one of the requirements of the State Records Act 1997.

Background

From 2004-2009, it was mandated that selection and purchase of an EDRMS be made from an approved panel of products. This panel ceased to operate on 31 July 2009.

Following consultation with a number of key stakeholders, including the Office of the Chief Information Officer, the Crown Solicitor’s Office, and the Across Government Information and Records Management Strategy Group, SRSA is replacing the EDRMS Panel arrangement with a standards based approach that focuses on outcomes as opposed to process.

Under the arrangements mandated through this Standard, agencies have the freedom to procure any system that meets all of the requirements described in the EDRMS Design Standard, South Australian Recordkeeping Metadata Standard (SARKMS), EDRMS Functional Specification Standard, EDRMS Procurement and Pre-implementation Guideline, and Victorian Electronic Records Strategy (VERS).

Scope

This Standard is issued in accordance with sections 7(h) and 14 of the State Records Act 1997. As stated in section 14(2) of the State Records Act 1997, this standard is binding for administrative units of the public service and agencies or instrumentalities of the Crown.

Although other agencies, including local government authorities, are not bound by SRSA standards, they are strongly encouraged to apply this standard to ensure adequate records management practices.

This Standard takes effect from 1 August 2009. From that date any procurement of an EDRMS must adhere to this Standard.

Document context

This Document and Records Management System Standard is the lead document in a suite of documents issued by SRSA relating to electronic records management and the implementation of an EDRMS. The principal documents in this suite include:

- Adequate Records Management Standard (2002) contains the outcomes for a records management program and associated benchmarks which agencies are required to meet if their records management programs are to be considered adequate in accordance with
section 16 of the State Records Act. The Standard applies to both paper-based and electronic records.

- *EDRMS Design Standard* (2009) provides five key principles and the related minimum compliance requirements for EDRM systems; and provides metadata compliant profiles for records in an EDRMS.
- *South Australian Recordkeeping Metadata Standard (SARKMS)* (2009) outlines the core set of metadata elements required for managing records in accordance with best practice.
- *EDRMS Functional Specification Standard* (2009) lists the functionality required of an EDRMS.
- *EDRMS Procurement and Pre-implementation Guideline* (2009) is a guide to the tasks an agency will need to undertake in order to select the most appropriate EDRMS to meet their specific business requirements.

### Statutory obligation

This *Document and Records Management Systems Standard* has been developed by SRSA through consultation with State and Local Government Agencies and the State Records Council.

SRSA will assist agencies with the development of their own business-specific functional standards, ensuring that they align with the *EDRMS Functional Specification Standard* issued by SRSA.

SRSA has sought the Minister’s approval of this Standard for issue by the Director, SRSA, as a standard relating to the records management practices of agencies, according to the State Records Act 1997, Part 5, Section 14(1), which states:

“The Manager [Director] may, with the approval of the Minister, issue standards relating to the record management practices of agencies.”

### Compliance Statement

When selecting, procuring and implementing an EDRMS, or upgrading an existing system, that system or upgrade must comply with mandated South Australian Government requirements.

To be deemed compliant with South Australian Government mandated requirements any EDRMS or recordkeeping system must:

- Meet all of the requirements in the *EDRMS Functional Specification Standard*
- Meet all the requirements of, and be able to implement, the *South Australian Recordkeeping Metadata Standard (SARKMS)*
- Be compliant with the Victorian Electronic Recordkeeping Standard (VERS) Version 2, Specifications 1-5.
Policy Statements

Mandate

Implementation of an EDRMS is mandated for State Government agencies to ensure that electronic records are captured, maintained, accessed, stored and disposed according to adequate records management practices.

Agencies must procure, or upgrade to, a system that meets the compliance requirements laid out in the electronic records management suite of documents produced by SRSA.

Local Government authorities may utilise the electronic records management suite of documents and other arrangements put in place by SRSA, but are not mandated to do so under the State Records Act.

Procurement according to this Standard is mandated unless written exemption is received from the Director SRSA. The exemption process is detailed in the *EDRMS Procurement and Pre-implementation Guideline*.

SRSA is committed to the principle that agencies and authorities access the most appropriate technologies that satisfy business needs and recordkeeping requirements, ensuring the long-term preservation of the State’s digital heritage.

Preparation

An agency must commit to the expenditure of the necessary funds to implement an EDRMS, which is likely to require a financial investment over a number of financial years.

An agency must consult the key SRSA publications *EDRMS Design Standard, South Australian Recordkeeping Metadata Standard (SARKMS), EDRMS Functional Specification Standard* and *EDRMS Procurement and Pre-implementation Guideline* to establish the required technical and functional requirements of an EDRMS.

An agency must undertake a risk analysis of the current recordkeeping environment and identify any additional technical and functional requirements specific to their business.

Consultation with contract and purchasing specialists within the agency as well as the Crown Solicitor’s Office, the State Procurement Board and the Office of the Chief Information Officer will ensure that the agency is apprised of any regulatory or policy directives that will affect the selection and purchase of an EDRMS.

A project team should be assembled that adequately represents the interests invested in the successful implementation of an EDRMS. The team should comprise of:

- Records Managers
- System Administrators
- Chief Information Officers and IT Managers
- Business Managers
- SRSA staff and
An evaluation plan must be developed that contains the criteria by which a solution will be selected. This must include the specifications laid out in *EDRMS Functional Specification Standard* issued by SRSA, and must ensure at a minimum that a system can meet the following principles:

**Risk management**

The system must enable agencies to effectively manage the risks associated with poor records management.

**Reporting**

The system must be able to interrogate and report upon the data it contains.

**Metadata**

The system shall employ metadata standards to ensure accurate identification and preservation of the records.

**Accessibility**

The system shall enable agencies to access and subsequently disclose information to meet their business needs in ways that protect information that is sensitive, confidential or impinges on personal privacy.

**System integrity**

The system must contain the appropriate functionality to ensure the protection of data.

Further details concerning these principles can be found in the *EDRMS Design Standard*.

Prior to approaching the market, an agency must complete and submit to SRSA for approval an EDRMS Pre-procurement Checklist. This checklist is located in the *EDRMS Procurement and Pre-implementation Guideline*.

**Evaluation**

Evaluation of the nominated EDRMS must be carried out according to the selection criteria listed in its evaluation plan. An agency will select or reject a system based on the evaluation results.

Once the evaluation process is complete an agency must sign and forward to SRSA for approval an EDRMS Pre-procurement Certificate. This needs to be approved by SRSA prior to the agency entering formal contract negotiation. The certificate is located in the *EDRMS Procurement and Pre-implementation Guideline*.

**Procurement**

Agencies are required to procure an EDRMS that meets the compliance requirements included in the SRSA electronic records management suite of documents.
An agency should consult with their own contract and purchasing specialists as well as the State Procurement Board, the Crown Solicitor’s Office and the Office of the Chief Information Officer when entering into negotiations for the purchase of an EDRMS. These bodies will provide benefits around use of existing contracts, prior experience in contract negotiation and information system purchase, and use of standard terminology.

When developing and negotiating a contract, an agency must ensure that appropriate support and training arrangements are established and agreed between the agency and supplier. Support and training requirements are outlined in the EDRMS Procurement and Pre-implementation Guideline.

**Implementation**

Implementation of an EDRMS must take into account the requirements of the South Australian Recordkeeping Metadata Standard (SARKMS) and the Victorian Electronic Records Strategy (VERS).

To ensure interoperability with EDRMS in other State Government agencies, the EDRMS Design Standard details a standard set of metadata that must be implemented. This ensures that a core set of metadata elements are captured across government, which will assist in the migration or transfer of records.

Any system upgrades to the EDRMS must meet all of the compliance requirements, including compliance with the VERS Specifications 1-5. A system upgrade must be evaluated against the technical and functional requirements to ensure that no functionality is lost.

**Glossary**

SRSA has developed a comprehensive glossary based upon a number of sources. Where a definition exists within current legislation, such as the State Records Act 1997, it will take primacy. If no definition is available within legislation, the primary source is Australian Standard AS ISO 15489 Records Management.