

Struggling with Electronic Records

Yours, Ours, Theirs ...

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Sources

- **Developments**
 - FRCP 16 & 26 – Litigation
 - Sarbanes-Oxley
 - Unexpected Events
 - The 'Nets & The 'E's

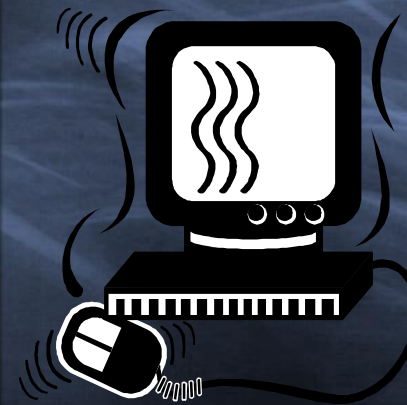
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Sources

- **Regulations**
 - FAR 4.703 [d]
 - IRS RevProc 98-25
 - SEC CFR 17a4
 - Graham-Leach-Bliley
 - HIPAA

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The 'Nets



- **Inter**
 - between
- **Intra**
 - within
- **Extra [VPN]**
 - outside

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The 'E's

- **E-Mail**
- **EFT**
- **EDI**
- **EPOS**
- **EDMS/ERMS**



Definitions

Backup/Disaster Recovery

Protection of digital information to permit resumption of a business operation if production data is lost or destroyed.

Vital Records Procedure

Definitions

Digital Records

Information maintained in a coded numeric format [e.g., binary, hexadecimal] that requires conversion from the storage format for normal comprehension.

Definitions

System

A group of related computer data, applications, and documentation that support a specific business function.

Payroll, Purchasing, Payables

Media Options

Optical

- Ablative
- Magneto-Optical
- Phase Change

Magnetic

- Ferric Oxide
- Chromium Dioxide
- Metal Particle

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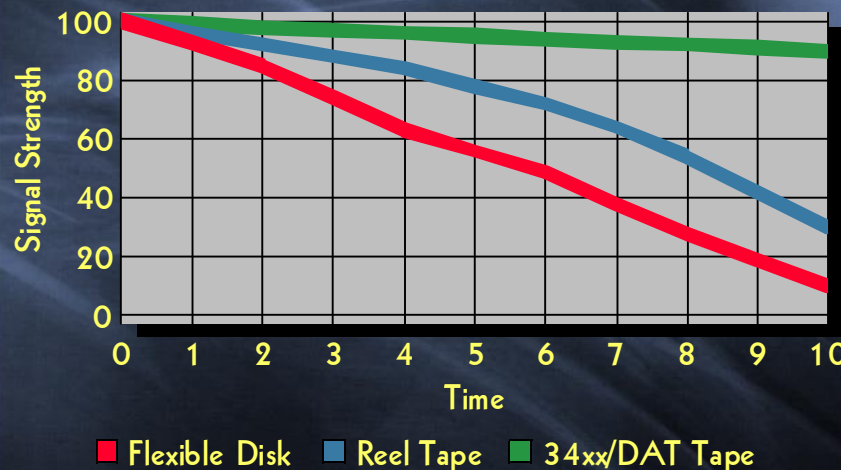
Recording Formats

- **CD-ROM**
 - Constant Linear Velocity
 - ISO 9660 et al.
- **WORM**
 - Constant Angular Velocity
 - ISO 10885

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Signal Retention



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Retention Media

- **Magnetic**
 - 9 Track Reel Tape
 - 34/35xx, LTO, DAT, etc.
 - **Floppy Disk; USB Drive, etc.**
- **Optical**
 - CD-ROM/DVD
 - **WORM**

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Database Data Retention

- **Scheduled Snapshots**
 - Annual
 - End of Cycle
- **Transaction Audit Trail**

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Desktop Objects

Retention

- *By Content*
- *Media Neutral*

Definition

- MS Office
- Adobe
- Other Application Data

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Database Retention Format

Transformed

- Flat File
- XML
- Data Warehouse

Native

- DBMS
- Hexadecimal
- Proprietary
- Application Maintenance

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Compound Document Format

Transformed

- *Integrated Format*
- *Portability [PDF/A]*

Native

- Data, Text, Spreadsheet
- Graphic
- Application Data

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'Net Retention Formats

- **Text**
 - HTML, DHTML, XML ...
- **Multimedia**
 - GIF, WAV, MPEG ...
- **Applications**
 - Active X, Java, ...



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E-Mail Issues

- **Volume**
 - 12 Billion E-Mails/Day in the US
 - 650 Billion/Day Globally
- **Terabyte of E-mail**
 - About 6 Months Volume
 - \$125,000/Year to Manage
- **Lost productivity**
 - \$250 - \$1,000/User/Month
 - 1,000 person org = \$12,000,000/Year

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Digital Data Tracking

- **RM Software Standards**
 - DoD STD-5015.2 [USA]
 - ERMS [UK]
 - MoReq [EU]
 - VERS [Australia]
 - OAIS [Europe]

Includes E-Mail!

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E-Mail Issues

- **Retrieval**
 - 11 Hours [Average]
 - Recover an E-Mail
 - More than One Year Old
 - From an Archive
 - **Unable to Retrieve**
 - Message > 6 Months Old
 - One-Third of Organizations

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