**Electronic Records**

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**Agenda**

1. What is a Record?
2. Electronic Record Issues
3. Policies and Practices
4. References and Discussion

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**What is a record?**

- Documents Actions
  - Who, what, when, where
- Satisfies an audit need
  - Tax, govt. reporting, safety, QA, legality
- Preserves important facts
  - Payments, deductions, rejections,
- Protects the innocent
  - Decision maker, rationale, direction, approval
- Vital Record for Business Recovery

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Salient Issues

- Meeting Record Storage Requirements
  - Searching, versioning,
- Meeting Business needs for information availability
  - Native files vs PDF vs System unique documents (e.g., SAP)
- Meeting Legal Requirements
  - Authenticity, change control,

Essential "Recordness"

- Secure from change
- Authentic
- Recoverable
- Version control
- Retention Policy

Example

- A pump purchased for the Hanford site, cost charged to the Department of Energy. Government DCAA auditor is verifying the transaction.
  - Purchase was made in my electronic contract system – there is no paper purchase order
  - Invoice scanned on receipt, approved electronically and sent to electronic record storage system – no paper copy kept
  - Correspondence is primarily email
Issues

- E-commerce data
  - Who owns the record and the rights to it
- Meta Data
- Ambiguity
- Sox
  - Management intent, policy, common practices
- Privacy

Record Pitfalls

- Fraud, deliberate omissions,
- Collusion
- “Inflammatory” Language
- Security
- Inconsistent retention policy
- Location, Location, Location
Scenarios

• Disgruntled employee
• Computer Glitch
• Natural Disaster
• Government
  - Files are lost or destroyed
  - Files are scrambled / changed
  - Files are made public
  - Files are sold to the highest bidder
  - Files come back to haunt you

Retention Policy

• Definition, location & storage process
• Archiving and long-term retention
• Recovery plan
• Retirement plan

Google Search

• NARA
• “Digital Signature Act”
• “E-Discovery”
• “record management”