

The World Bank Group Archives

ELECTRONIC RECORDS STRATEGY

June 30, 2003

Drafted by Peter Van Garderen
(Artefactual Systems Inc.)
Consultant to the WBG Archives

Table of Contents

INTRODUCTION.....	1
RECENT DEVELOPMENTS	1
ABOUT THE WBG ARCHIVES	2
THE BUSINESS CASE FOR E-RECORDS MANAGEMENT.....	3
THE RIGHT INFORMATION AT THE RIGHT TIME	3
MAINTAINING CORPORATE MEMORY.....	5
AVOIDING INFORMATION OVERLOAD	5
MANAGING STORAGE COSTS.....	5
TRUSTWORTHINESS AND ACCOUNTABILITY	6
THE E-RECORDS CONCEPTUAL FRAMEWORK.....	7
ISO15489 – RECORDS MANAGEMENT	7
RECORDS AND BUSINESS FUNCTIONS.....	8
BUSINESS SYSTEMS	8
RECORD-KEEPING SYSTEMS	9
RECORDS MANAGEMENT PROCESSES.....	11
TWO PRIMARY SCENARIOS FOR E-RECORDS MANAGEMENT	12
AMS POLICY AND STANDARDS	14
CONCLUSION	15

Introduction

The following report outlines the current motivation and conceptual framework that is guiding the WBG Archives' Electronic Records Strategy. The objective of this strategy is to ensure consistent and integrated, enterprise-wide management of the World Bank Group's electronic records according to international standards and best practices.

It was launched last year with a study on how the WBG Archives can capture, preserve and make available the Bank's electronic records to both internal and external clients (in light of the new Disclosure policy).¹ The study established that a long-term vision is required to develop and evolve the necessary conceptual framework, standards and policies, methodologies and technologies and, most importantly, stakeholder relationships and support.

Given the decentralized organizational structure of the World Bank Group and the entrenched beliefs and habits around the ownership and management of information (common to all modern organizations), it was determined that the required standards, technologies, processes, and delegated responsibilities should be clearly defined and tested before the WBG Archives actively campaigns outside of the Information Solutions Group (ISG) for bank-wide support and buy-in from senior management and end-users.

This is primarily to ensure that there is an existing infrastructure to support the management of electronic records rather than selling ideas or 'vapourware' and thereby risking the loss of confidence and acceptance from stakeholders looking for immediate, seamless, and practical solutions.

To lay the foundation for an operational electronic records programme, the immediate work of the Electronic Records Strategy was divided into four streams of activity to develop:

1. An archival repository for electronic records (the 'E-Archive')
2. A systematic methodology for the appraisal and retention scheduling of electronic records
3. Standards for the bank-wide management of electronic records
4. A conceptual framework for the management of electronic records

Recent Developments

In the past fiscal year (July 2002 – June 2003), the WBG Archives has made significant progress in each of these four areas. It recently issued a Request For Proposal (RFP) for an Archives business system that will be procured and installed in FY2004. This software system will be used to maintain intellectual control over the World Bank's collections of archival material (whether in paper or electronic format). In the coming year the WBG Archives will also investigate suitable architectures and techniques to integrate the Archives business system with one or more digital repositories for the storage and physical control of electronic records that require permanent preservation.

¹ See *ERS Phase 1: Final Report (June 2002)*. Available for download on the WBG Archives' Electronic Records Strategy website <http://www.worldbank.org/archives/>.

The Archives has also been engaged in the study and testing of an appraisal and retention scheduling methodology that is based on a business function approach. This ongoing analysis is reported on in a series of internal reports.² The appraisal, scheduling and capture of records is a complicated process that touches on many different aspects of how the WBG Archives manages the intellectual control over the Bank's current and archival records. This has required extensive analysis, planning, and consultation amongst the WBG Archives staff. However, it is hoped that a suitable methodology will be developed in the coming fiscal year and incorporated into the WBG Archives' procedures for assigning retention and disposition to electronic records.

The most significant achievement in the past year was the introduction of a revised policy on the management of records in the Bank's Administrative Manual (AMS 10.11)³. The revised policy takes into account the requirements for e-records management and it is accompanied by a set of bankwide standards that provide detailed guidance on implementing records management best-practices.

These policies and standards as well as the ongoing work on an e-records appraisal methodology, the E-Archive and related digital preservation strategies are informed and guided by the WBG Archives' conceptual framework for the management of e-records. This framework has been updated and adapted to take into account the new AMS policy and standards as well as the WBG Archives' ongoing activities related to the management of e-records. The remainder of this report outlines the background motivation for e-records management and provides an updated description of the components that make up the e-records conceptual framework.

About the WBG Archives

The WBG Archives is managed under the direction of the World Bank Group Archivist, within the Information Solutions Group, Information Management (ISGIM). The Archivist and her staff have the mandated responsibility to:

- provide secure and cost-effective storage as well as convenient reference and retrieval services for non-current and archival records.
- appraise World Bank Group records and authorize the retention period and final disposition (either preservation as archives or destruction as non-permanent records) by issuing and updating the General Records Schedule (GRS) and the Records Retention and Disposition Schedules (RRDSs).

² See "ERS Phase 2: Retention Scheduling and Disposition - Interim Report 1 (November 2002)", "ERS Phase 2: Retention Scheduling and Disposition - Interim Report 2 (January 2003)", "Criteria for Appraisal of World Bank Group Records (January 2003)", "Records Schedule-IRIS Concordance Analysis (April 2003)", "Proposal for a Systematic Appraisal Methodology (August 2003)."

³ *AMS 10.11 – Management of Records*. The World Bank Group (April 2003).

- issue standards, procedures, and guidelines that may be needed to support the proper management of all of the WBG records throughout their life-cycle (current, non-current, archival) and throughout the World Bank Group (IBRD, IFC, MIGA).
- lead programs to train staff in records management, to provide advice and support on records management practices, to inspect records of World Bank Group units, and to monitor records management practices in units and business systems.
- facilitate the establishment and maintenance of designated record-keeping systems or record-keeping functionality in business systems.

As defined in the Bank’s Administrative Manual, a record is “recorded information, regardless of form or medium, created or received by or on behalf of the Bank Group in pursuance of its legal obligations or in the transaction of its business.”⁴ Given this definition, the responsibilities of the Archives listed above extend to records in all formats, including records in electronic or digital format (a.k.a. ‘e-records’).

The Business Case for E-Records Management

E-records are the digital information that all World Bank Group employees create and use to carry out their assigned responsibilities. This includes email, word processing and presentation documents, data in corporate information systems, intranet and public website content, etc..

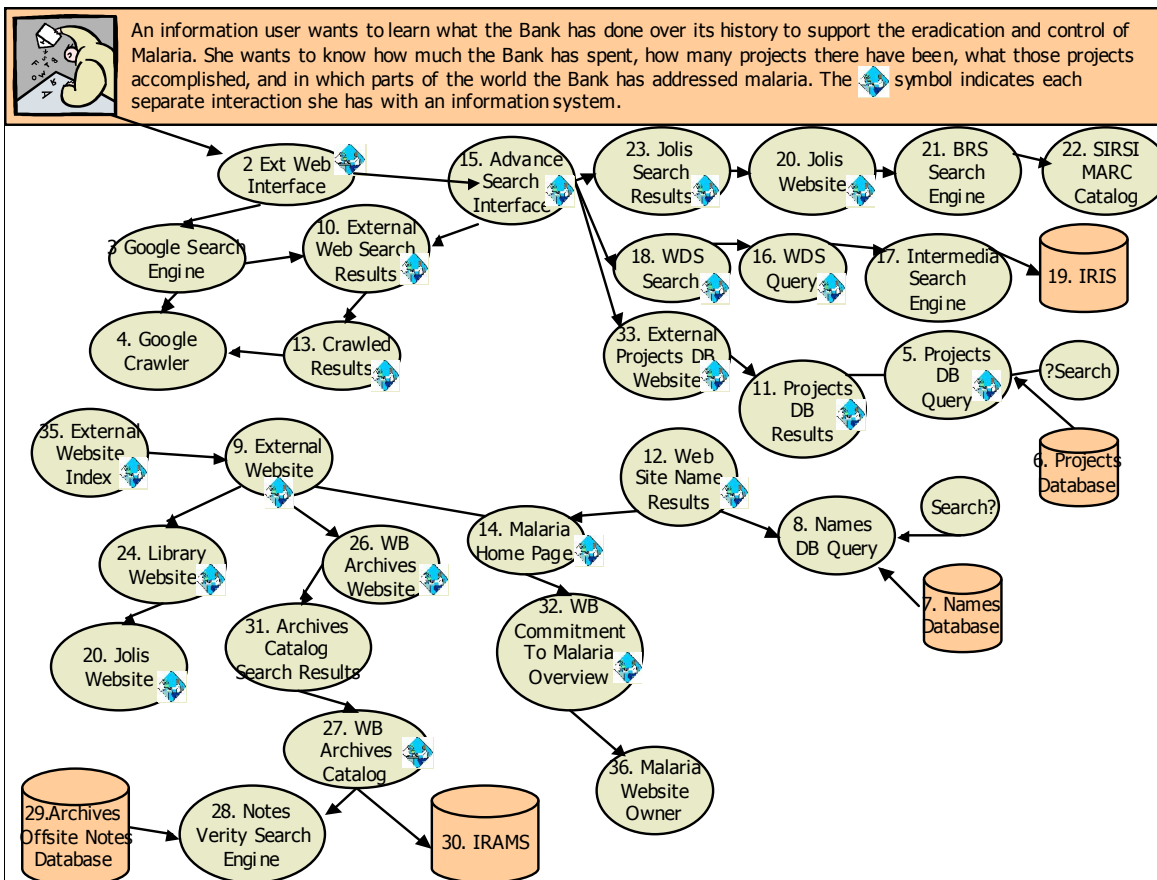
All of these e-records must be easily accessible to facilitate business processes and to respond to public disclosure requests. Some of these records must be preserved long-term as evidence of decisions and transactions. Other records must eventually be destroyed to efficiently manage digital storage and to avoid information overload while improving information relevancy. This requires a consistent, enterprise-wide program to manage e-records from their creation through to their final disposition. Such a program is also necessary to protect the Bank’s legal, fiscal and social accountability and to maintain its reputation as a responsible and trustworthy organization.

The Right Information at the Right Time

E-records must be created and managed in a systematic manner to deliver the right information at the right time in support of the Bank’s business processes and decision-making. However, under the current information architecture, users must access multiple repositories to find relevant records while they are never certain whether they’ve accessed all available information. The following diagram illustrates a sample scenario.⁵

⁴ 33.Definitions. *AMS 10.11 – Management of Records* (April 2003).

⁵ Source: Cesar Baldeon, “Enterprise Content Management” *ISG Architecture Committee Presentation* (June 4, 2003).



A management regime and information infrastructure must be in place to provide a central point of access and retrieval for the entire set of the Bank’s digital information. WBG Archives partners within ISG are working on strategies and systems to help deliver this functionality. Namely, an Enterprise Content Management strategy is being developed which includes role-based information portals, a compendium search interface, a core metadata standard and a metadata warehouse.

The primary role which the WBG Archives will play over the long-term in any enterprise content management regime is to ensure:

- a) that the Bank’s content (i.e. e-records) is consistently captured and registered when it is created and used, to ensure that users looking for information are accessing the complete set of available information.
- b) that content (e-records) are properly appraised and scheduled to avoid information overload, rising storage management overhead and to ensure that only relevant and authentic information is made available to users.
- c) that sufficient digital preservation plans and procedures are in place to ensure the usability of e-records that must be preserved over the long-term.

Maintaining Corporate Memory

In order to retrieve and present digital information to users, it must be preserved over time. In the digital domain this requires long-term planning and monitoring given the issues around data and file incompatibility, the relative fragility of digital storage media, the ever-increasing cycles of technology obsolescence and the idiosyncratic and competitive nature of the ICT industry.

Documented digital preservation plans (a.k.a. archiving or technology obsolescence plans) which address storage media migration, file format migration and media refreshment are required to ensure that e-records remain available for access and use as long as they are required. In the coming fiscal year the WBG Archives will analyze a number of industry standards and best practices that deal with digital preservation and establish a core set of digital preservation requirements. It will adapt these to the Bank's specific technological architecture and environment so that it can monitor compliance and guide long-term storage planning. It will also review existing business continuity (a.k.a.. disaster recovery) plans to ensure that records management requirements are being met.

Avoiding Information Overload

As with all modern organizations that are increasingly dependant on information technologies to carry out their day-to-day activities, the Bank's digital storage requirements will continue to increase over time. A recent study indicated that the world's total yearly production of print, film, optical and magnetic content requires approximately 1.5 billion gigabytes of storage, which equates to about 250mb for every person on earth. Worldwide, over 7.5 billion office documents are created each year and this amount continues to multiply each year.⁶

If all of the Bank's digital business information were to be backed-up and maintained, users will have increasing difficulty in distinguishing between useful and useless information. Instead, this information should be identified and managed only for as long as it is relevant to a particular business function or to meet legal or fiscal requirements. When information is no longer needed, it needs to be destroyed. In short, the Bank needs to implement systematic retention scheduling for e-records.

Gartner notes, "An information retention policy must consider who will be looking for information in the future, when that future might occur and the kinds of questions that might be asked...Failure to address these questions up front will result in a mass of impenetrable information that is more a liability than an asset."⁷

Managing Storage Costs

The Bank also needs a systematic records scheduling and disposition regime to address rising storage management costs. A common misconception is that computer data storage and its related costs do not pose a significant problem for an organization because of the sizable increase in media capacity and the corresponding reductions in costs (as expressed in costs per megabyte) for the storage media. However this view ignores the overall costs associated

⁶ *How Much Information?* Berkley, CA: University of California, 2002.

⁷ Gartner Advisory (March 22, 2002).

with managing data. For example, most storage technology analysts predict that for every \$1 per megabyte spent on storage hardware, another \$5 to \$7 will be spent on managing the hardware.⁸

Others forecast even higher costs. “An analyst with the META Group forecasts data increases of a hundred fold within the next five years. Moreover, the total expenditures necessary to accommodate this growth will escalate more than ten fold during the next five years. Over the next five years, given an six-fold decrease in price per terabyte and a hundred fold increase in the quantity of data to be stored, a thirteen-fold increase can be expected in total data management costs.”⁹ Related studies also show that more than 80% of the data on any magnetic disk on a typical network has not been touched in 30 days, more than 50% has not been accessed in several months and only 20% of the disk contains active data.¹⁰

Aside from saving storage costs through the timely disposition of digital information, the Bank will also benefit from an enterprise-wide storage management strategy which integrates the archiving and preservation needs for multiple business systems rather than managing these on a case-by-case, system-by-system basis.

Trustworthiness and Accountability

Lastly, one of the primary reasons the World Bank Group needs to address its e-records management issues is that its most valuable asset, **its reputation as a responsible and trustworthy organization**, will be at risk unless action is taken. Many recent events have underlined the importance of records management as a key component in protecting the reputation and integrity of an organization and a growing list of business and management publications have addressed the urgent need to address enterprise-wide records management in both the public and private sector.¹¹

Gartner notes, for example, that “because of the Sept. 11 attacks, global enterprises have realized that they must assure customers, suppliers, and partners that the business is protected against internal security threats and external disaster – such assurance has become an important part of an enterprise’s overall brand value.” As well, “in the aftermath of Enron’s bankruptcy, customers, partners and suppliers will be more conscious of how an enterprise manages its vital business records. Trustworthy partners will demonstrate that they have the systems and processes to protect those records.”¹²

Without an enterprise-wide plan and a designated sponsor that is responsible for coordinating efforts and establishing best practices, electronic records management will

⁸ Paul Wang, “Understanding Online Archiving” *Storage Management Solutions* 5, no.11 (2000).

⁹ Tim Shinkle “Changing Technology Requires a New Look at Enterprise E-Mail Management” *Storage Management Solutions* 6, no.3 (2001).

¹⁰ Mark Osgood Smith “HSM to the Rescue” *Imaging Business* (January 1995)

¹¹ See for example, “Your CEO Wants to Know, Will Your Records Strategy Pass the Test?” *Transform Magazine* (May 2003); “Realizing the Need and Putting the Key Components in Place to ‘Getting it Right’ in Records Management” *AIIM/Cohassets White Paper* (2002); “Information Management: A Business Imperative, FAQs for Corporate Executives and Decision-Makers” ARMA International (2002).

¹² See Gartner Group Research Note (March 14, 2002).

continue in an *ad hoc* manner, with overlaps and gaps in responsibilities for managing e-records.

The E-Records Conceptual Framework

A conceptual framework for the management of electronic records was developed by the WBG Archives to establish the scope of the electronic records domain and to allow for the analysis of all the related components in an abstract and consistent manner. This is important for long-term consistency in e-records management as the systems, actors and information formats will change, often in relatively short periods of time. However, **as the delegated custodians of the Bank’s memory it is crucial that the WBG Archives has a long-term vision for the management of the Bank’s information that is not based on technology or organizational structure but on the basic principles and rules for the management of records.**

Therefore it was important to base the conceptual framework on comprehensive records management principles to provide a steady compass for long-term solutions against which to evaluate new solutions or related initiatives (i.e. ISP’s Enterprise Content Management strategy).

ISO15489 – Records Management

Given this requirement, the ISO15489-Records Management was chosen as the primary input to the conceptual framework for the management of electronic records. ISO 15489 was published on September 15, 2001 and consists of two documents: ISO15489-1:2001(E) General and ISO/TR15489-2:2001(E) Guidelines. This international standard provides guidance on managing records of originating organisations, public or private, for internal and external clients, to ensure that adequate records (in all formats and media) are captured and adequately managed throughout their lifecycle.

The ISO15489 defines records management as “the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.”¹³

The ISO 15489 is intended to support the development of a quality process framework to comply with ISO 9001 and ISO 14001. This standard is significant because it is the first codification of records management best practices by an international team of experts and practitioners. At the same time, it is generic enough to allow for implementation in a wide variety of contexts and record-keeping traditions.

The ISO15489 was used to identify the primary components within a given organization’s e-records domain. These components and their inter-relationships were then defined and documented to create the e-records conceptual framework. The components in the framework include: records, business functions, business systems, and records management processes.

¹³ ISO 15489-1:2001(E) Records Management, p. 3. The ISO15489 definition is echoed in the *AMS 10.11 – Management of Records* definition.

Records and Business Functions

The ISO 15489 defines records as “information created, received and maintained as evidence and information by an organization, person in pursuance of legal obligations or in the transaction of business.”¹⁴

Records provide the required information to initiate, execute and complete business functions, serve as evidence that a business function or transaction was carried out and provide historical information about a business function for future reference and research.

The major business functions at the World Bank Group range from operational client services such as lending, project supervision, technical services and capacity building to administrative support services such as human resource management, legal services, financial management, information technology support, etc..

The record lifecycle refers to the stages in a record’s creation and use. During its ‘current’ phase a record is actively involved in the initiation, execution and completion of a business function. During its ‘non-current’ phase, the record is set aside in the event that information related to the business function is required for follow-up, monitoring or auditing. At the end of its ‘non-current’ phase a record is either destroyed or it is deemed to have enduring value and preserved as an archival record so that is available for reference and research.

On a day-to-day basis, the majority of information used to carry out the Bank’s business functions are created and stored in digital format. This includes email, data in corporate information systems, intranet and web content, and documents created using desktop productivity applications such as MS-Word, MS-Powerpoint, MS-Excel, MS-Project, Adobe PDF, etc.. A record in digital format is referred to as an electronic record or ‘e-record.’ Within an IT context, e-records are often referred to as ‘content’ or ‘data.’

Not all information, content or data is a record. Much of the information produced during the course of carrying out a business function may be irrelevant to the function or is duplicated elsewhere or does not sufficiently document the business function. In the AMS 10.11 this information is referred to as ‘non-record material.’ It does not need to be captured and managed as records and may be destroyed by its creators and users at their convenience.

Business Systems

In the context of the e-records conceptual framework, a ‘business system’ is defined as any combination of software, hardware, data and storage media that supports a business function. The term ‘business system’ is therefore used in a generic way to refer to the wide variety of information and communication technologies that are in use at the World Bank Group (e.g. SAP/R3, Lotus Notes, Loan Administration System, PeopleSoft, TRE Systems, Legal Systems, IRIS, E-Publish, etc.).

In the course of supporting business functions, these business system produce business information in digital format or ‘e-records.’ By considering them all as generic business systems, it eliminates the tendency to focus on the nature, structure and unique attributes or

¹⁴ ISO 15489-1:2001(E) Records Management, p. 3

demands of a specific business system. From our perspective we are only interested in the fact that this system produces e-records (i.e. digital information that supports a business function). We can then concentrate on identifying exactly what business functions the system supports and ensuring that the system carries out all of the required records management processes for each stage of the business function.

Record-keeping Systems

One criticism of recent theory and analysis on electronic records management is the dependence on the concept of a ‘record-keeping system.’ That is to say, an over-reliance at the conceptual and design phase on an independent, comprehensive ‘black-box’ that contains all of the necessary controls, tools and procedures to carry out all the required records management processes for an entire organization. Using this approach, the design phase often dissolves into abstract discussions on what is and isn’t included in the ‘system’ (i.e. is the system just a ‘software application’ is it an ‘information system’ that includes hardware and data or is it a ‘business system’ that includes real-world actors controlled by organizational policies, etc.).

In practice the reliance on the concept of a comprehensive record-keeping system is, at this current time, still unrealistic and misleading. In reality ‘records systems’ (as they are referred to in the ISO15489) are usually a complex combination of:

- multiple record formats (paper, microfilm, digital documents, digital data),
- multiple business processes & procedures,
- multiple groups of record creators, users, custodians and owners (who often have conflicting interests, responsibilities, beliefs and day-to-day habits related to the ownership and stewardship of digital information)
- multiple records management controls, tools and techniques (e.g. classification schemes, retention schedules)
- multiple tiers of software, processing, storage and networking technologies,
- multiple business information systems (which usually operate independently of other business systems with little or no integration)
- not to mention, multiple types of software applications that perform one or more records management process, such as document management systems, knowledge management systems, content management systems, imaging systems, storage management systems, or records management systems

In most organizations the designated ‘record-keeping system’ (whether a commercial records management product such as *TRIM*, *Hummingbird*, *OpenText*, *IBM/Tarian* or an in-house solution such as the World Bank Group’s *IRIS*) is usually configured and implemented to support only:

- a limited set of record formats (usually scanned or office-suite documents),
- a limited set of business functions and often a limited portion of those business functions (i.e. records related to the different stages of the same business function might be created and managed in separate business information system)
- a limited set of records management tasks (e.g. records capture and access but not disposition or long-term preservation)

Therefore, assuming a single system is meeting all e-record management requirements can be misleading. Likewise, attempting to draft comprehensive definitions and scope statements for record systems so that they include all of the possible components listed above usually creates a records system on paper only. Although a system analysis approach is crucial in managing any e-records domain, an approach that identifies key components and their interdependencies without the need to identify a definitive ‘record-keeping system’ is most practical.

Therefore, in analyzing and adapting the ISO15489 to the World Bank Group’s e-records conceptual framework the primary focus was placed on records management processes.¹⁵ In other words, the activities that must take place for proper records management to occur regardless of which systems, technologies, actors, or business processes are involved (ie. the ‘what’ instead of the ‘how’, ‘when’, or ‘who’).

In the end, it doesn’t matter if all of the processes are, in fact, managed by a single software application or by independent but interacting components. What matters is that all of the records management processes are accounted for and are being carried out satisfactorily to ensure the quality management of records throughout their lifecycle. Likewise, it often doesn’t matter when or in what order the processes are carried out, as long as they are all completed.¹⁶

Using this conceptual approach provides a stable framework against which to evaluate and analyze business functions, business information and business systems from a records management perspective as the systems, technologies and actors will change over time but the required records management processes that must be carried out to ensure quality stewardship over business information will remain the same.

¹⁵ see ‘Section 9. Records Management Processes and Controls.’ *ISO 15489-1:2001(E)*, pp. 11-17.

¹⁶ “The [records management] processes described below are necessarily described as if in a sequence, but it should be understood that in many records systems, particularly electronic records systems, they may take place simultaneously or in a different order from that described.” *ISO/TR 15489-2:2001(E)*, p.13

Records Management Processes

The following table lists and defines the records management processes that were derived from ISO15489-Records Management.¹⁷

Records Management Process	Description
1. Records Capture	<ul style="list-style-type: none"> a) Identifying business information as records and putting them aside for future use and reference b) Registering a record by assigning it a unique identifier c) Entering, generating or copying record metadata (including a unique identifier) into a record profile
2. Records Classification	<ul style="list-style-type: none"> a) for Retrieval - Assigning a code, number or index term that can be used to retrieve the record b) for Disposition - Assigning a disposition class that can be used to determine the record's retention period and its eventual disposition (destruction or preservation) c) for Security - Assigning a security classification code to determine who may access the records and under what conditions
3. Records Storage	<ul style="list-style-type: none"> a) Providing a reliable storage location and ensuring that records are not altered or tampered with to protect the integrity of the records
4. Records Preservation	<ul style="list-style-type: none"> a) Implementing a preservation plan that, in the case of e-records, anticipates technology obsolescence and media degradation to protect the long-term usability of the records
5. Records Access	<ul style="list-style-type: none"> b) Providing record users with search, retrieval and display tools c) Enforcing record access and security restrictions
6. Records Tracking	<ul style="list-style-type: none"> a) Tracking the current custody and location of records b) Maintaining audit trails on the access and use of the records c) Establishing version control and differentiating originals from copies
7. Records Disposition	<ul style="list-style-type: none"> a) appraising groups of records (disposal classes) and assigning them a common retention period and final disposition (preservation or destruction) b) identifying and monitoring the retention period for records and triggering a disposition event when the retention period expires c) transferring records to semi-current or archival storage d) securely destroying records

To meet the requirements of a quality records management program, all of these processes must be carried out during each phase of an e-record's lifecycle (current, non-current, destruction or archival preservation) by whatever system or custodians are responsible for the management and use of the e-records.

One thing to note is that in the context of the e-records conceptual framework, the required records management processes begins at the capture of a record. That is to say, after a record has been created. The WBG Archives is not in a position to dictate the systems, procedures, or information that clients should use in their business functions. The creation

¹⁷ see Peter Van Garderen, *ISO15489 Requirements Analysis*. Version 2.0 (May 1, 2003).

of records, including their context, structure and in particular their content, is the responsibility and at the discretion of business function owners. The WBG Archives only demands that records are created in the course of carrying out WBG business transactions or legal obligations.¹⁸

Records capture may be designed so that it is automatically carried out by the business system when an e-record is created. This is possible in business systems that support highly-structured and predictable business functions (e.g. invoice processing). However, in most cases it will require the discretion and action of a record creator who identifies an e-record that must be captured and does so either in the business system that created the e-record or by transferring the e-record to a designated system that has records management functionality.¹⁹

Two Primary Scenarios for E-records Management

Throughout their lifecycle (current, non-current, destruction or archival preservation), e-records may be stored and managed in different business systems or technology environments. These environments differ between or even within organizations and also change over time to take advantage of technological advances or to avoid technological obsolescence.

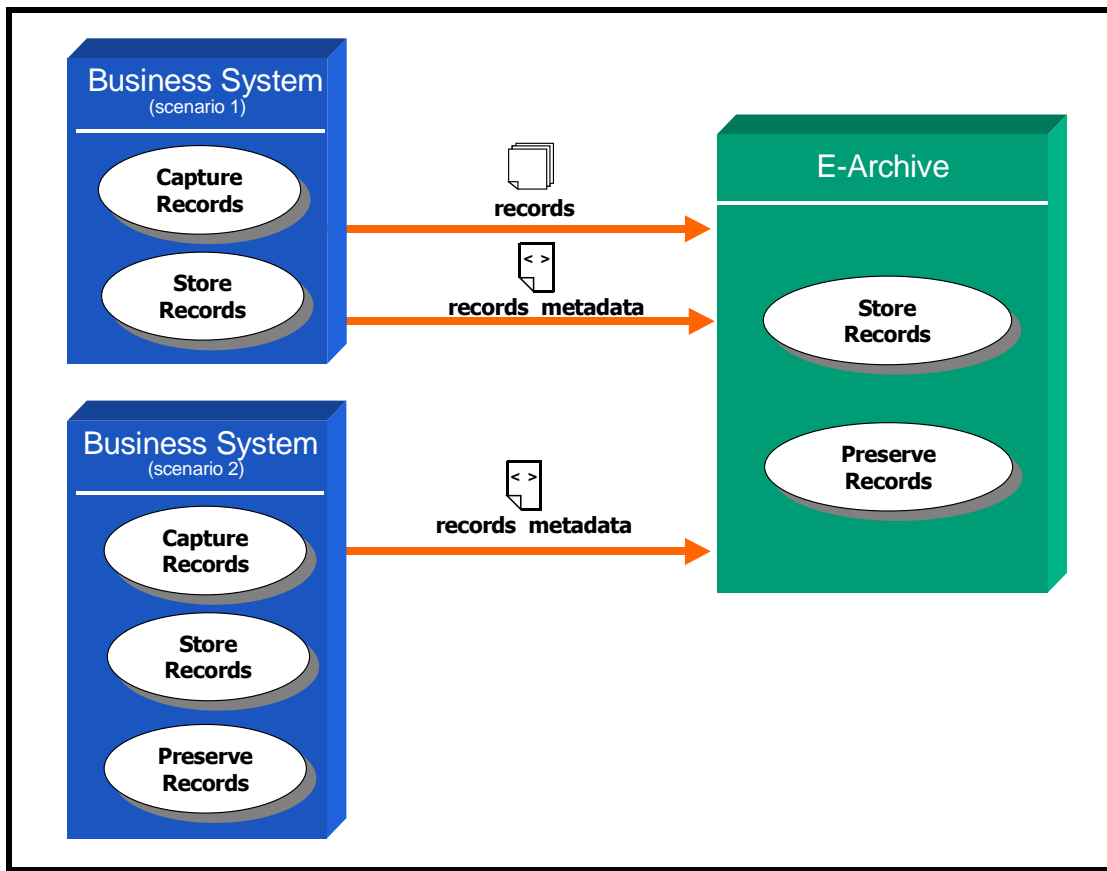
Given the World Bank Group's technology environment and the organizational structure and responsibilities that are in place to manage this environment, the e-records conceptual framework accounts for two primary scenarios in which e-records may be properly managed throughout their lifecycle.

In the first scenario, the business system in which the e-record is created is responsible for the capture and storage of the e-record only during its 'current' life-cycle phase (e.g. while the e-record is actively involved in the initiation, execution and completion of a business function). At the end of its 'current' phase, the record is transferred to a system that meets the record-keeping preservation requirements necessary to manage the record during its non-current and archival phases. To this purpose, the WBG Archives is in the process of designing and implementing an E-Archive which can serve as a central repository for non-current and archival e-records.

In the second scenario it is assumed that the same business system in which the e-record was created will be used to manage the e-record throughout its entire lifecycle. That is to say, it will manage the e-records capture, classification, storage, access, tracking, disposition and preservation as the e-record moves from current to non-current status and through to destruction or archival preservation.

¹⁸ Together with other support providers such as system administrators in the Information Solutions Group and counsel from Legal Services, the WBG Archives does provide guidance on the structure, context and content of records on a per request basis.

¹⁹ See Clauses 3-5, "Creation and Capture of Records" in AMS 10.11 – Management of Records.



This second scenario makes sense for large enterprise information systems such as SAP/R3, Peoplesoft and the Loan Administration System, namely because of

- the large volume of business information that is managed in these systems,
- these systems support structured business functions in which it is easier to determine what information is a record and thereby automate records capture and other records management processes
- most commercial enterprise information systems have their own ‘archiving’ architecture which can be used to meet the long-term preservation and access requirements
- the administration infrastructure (i.e. technical support) that is already in place to manage the information in these systems
- the long-term planning and strategy that accompanies the significant resources that have been devoted to these enterprise systems.

Some systems may not fit neatly into one of these two scenarios. Responsibility for some of the records management processes may be divided differently between the creating and preserving system or may be managed by other, third-party systems. For example, the processes of records access and records tracking might be managed or shared with another system (i.e. as might be achieved through a ‘Whole Bank Search’ system). However, records management requirements will be met as long as it is possible to assign responsibility for each records management process across a record’s lifecycle for a given business function as demonstrated in the graph below.

Business Function		XYZ		
Record(s) Type		XYZ		
Office of Primary Responsibility		XYZ		
		Records Lifecycle Stage		
		Current	Non-Current	Archival
Records Management Process	Records Capture	[system A]	[system C]	[system C]
	Records Classification	[system A]	[system C]	[system C]
	Records Storage	[system A]	[system C]	[system C]
	Records Preservation		[system C]	[system C]
	Records Access	[system A] [system B]	[system C] [system B]	[system C] [system B]
	Records Tracking	[system A] [system B]	[system C] [system B]	[system C] [system B]
	Records Disposition	[system A]	[system C]	[system C]

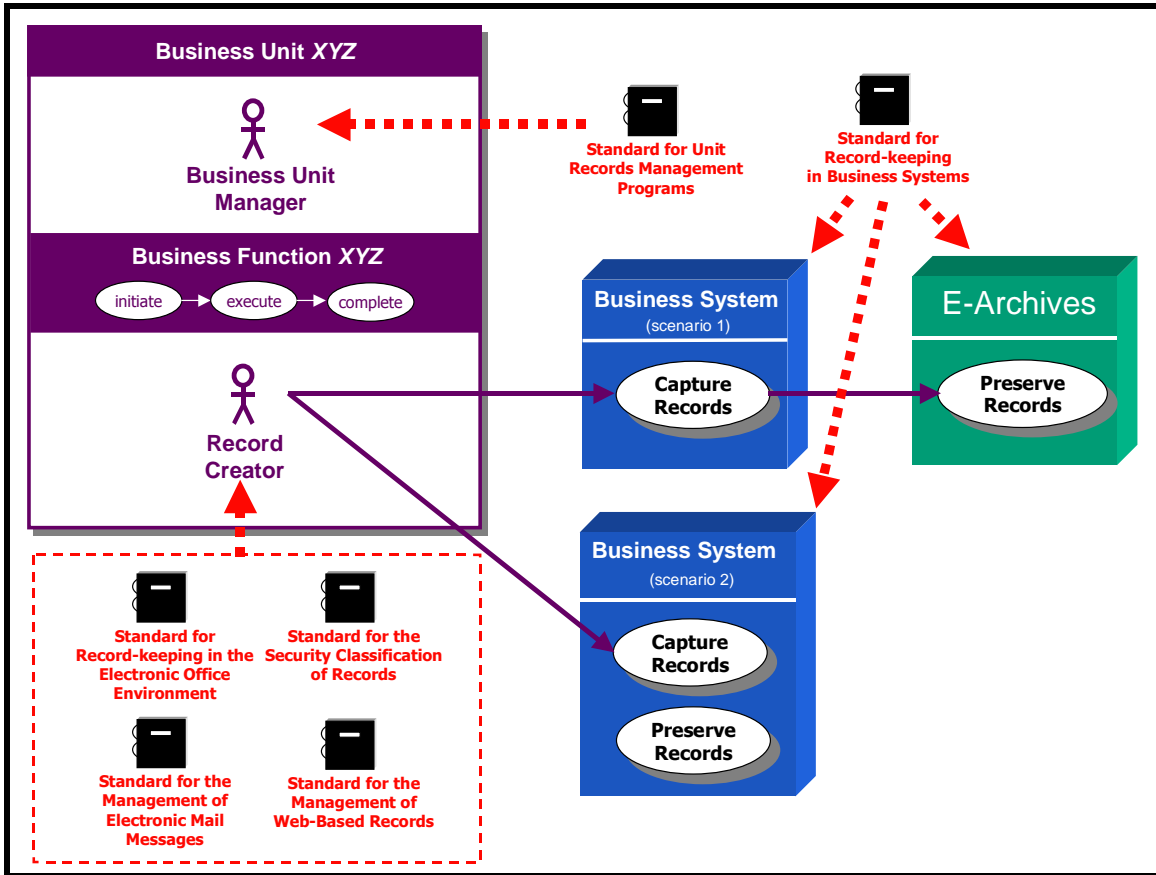
AMS Policy and Standards

The e-records conceptual framework is designed to allow for a de-centralized, federated approach to the management of e-records which suits the organizational structure and culture of the World Bank Group. The role of the new AMS 10.11 Records Management policy and its associated standards is to ensure consistency in how records management requirements and procedures are implemented throughout the World Bank Group in this de-centralized management environment.

Based on the core set of records management processes extracted from the ISO15489, the *Standard for Recordkeeping in Business Systems* defines record-keeping requirements for those electronic systems that create and store records. The objective of the standard is to ensure that these e-records are captured, preserved and made accessible in a consistent manner, according to industry best-practices, regardless of the type, nature and format of the technological and system environment. The standard takes into account the two possible scenarios for e-records management in business systems and its requirements apply equally to any E-Archive that is designed primarily for the long-term preservation of e-records as well as any Scenario 2 business system that will preserve e-records in addition to supporting its primary business functions.

The *Standard for Unit Records Management Programs* is addressed to business unit managers at the World Bank Group who, according to the AMS 10.11 “are responsible for establishing in their units a framework to support proper record-keeping.” The standard provides guidance and tools to allow managers of a WBG business unit (i.e. departments, divisions, office, etc.) to meet their designated responsibility to establish a records management program. Such a program consists of the formal assignment of records management responsibilities, the

creation and maintenance of records management documentation and the provision of the proper facilities, tools and procedures to support records management.



Although it is the goal of the WBG Archives to ensure that records capture functionality is made automatic in business systems wherever possible, many of the records produced in the course of carrying out the Bank’s business functions will continue to require the judgment and action of Bank staff (i.e. the record creators) to identify and capture the records. The remaining standards associated with AMS 10.11 address record creators and provide guidance on the capture or ‘filing’ of records, including the assignment of security classification and two standards dealing specifically with the capture of e-mail and web-based records.

Conclusion

The rules outlined in the AMS 10.11 policy, its associated standards and the concepts in the e-records conceptual framework will guide the WBG Archives’ ongoing efforts to introduce e-records management best practices into the World Bank Group’s digital and organizational environment.

This approach is not guided by specific systems or technology but instead it is focused on the e-records themselves as the information and evidence that is required to carry out the Bank’s business functions. In the coming year, the WBG Archives will continue its work on

a systematic methodology for the appraisal and scheduling of records which begins with an analysis of the business functions that create and use the records. This will include a revision of the General Records Schedule (GRS) for the Bank's common administrative functions as well as the gradual revision of the entire set of Records Retention and Disposition Schedules on a VPU-by-VPU basis.

The analysis of business functions and the information that is created and used in them will then lead to the business systems that support those business functions. Other objectives for the coming year will be to pilot the integration of the records management requirements found in the *Standard for Record-keeping in Business Systems* in select business systems, establish the E-Archive architecture and test the exchange of records metadata between the E-Archive and other systems (i.e. business systems and the Metadata Warehouse).