

## EMAIL EVIDENCE

### The CGSB Standard on Electronic Records as Documentary Evidence

**The key rule of the Standard: think about it!**

- ◆ **In other words:**
  - **Make a policy about how e-records are managed**
  - **Communicate the policy**
  - **Implement the policy**
  - **Monitor compliance with the policy**
  - **Adjust the policy as required by circumstances**
- ◆ **Have a policy manual that you can point to.**
- ◆ **Have someone responsible (CRO) (+ witness)**

#### **Characteristics of the Standard:**

- ◆ high level language
  - it applies to lots of records
  - it applies to lots of record-keepers
    - question: small and medium-sized enterprises
- ◆ technology neutral
  - it is flexible in its application now
  - it is adaptable to evolution of technology
  - it does not make business choices for its users

#### **Complying with the Standard**

- ◆ Authorization:
  - senior management have to buy in formally
  - someone is put in charge
  - responsibilities apply even if outsourced work
  - the policy is documented, changes are documented

#### **Electronic Records Management Program Policy**

- “closely aligned” with the information management security policy
- ◆ Policy contains statements on, among other things,
  - data file formats and version control
  - enabling technologies
  - quality assurance
  - metadata capture and preservation
  - information and records covered by the policy
    - includes physical and logical structure of info held by the organization
  - security classification and how to implement it
  - retention and destruction policies

- security processes and procedures including
  - user authentication and permission control
  - firewall protection
  - systems backups
  - disaster recovery
- system and procedure audits for compliance

**The Policy manual:**

- ◆ Keep a manual complete and current
  - It may refer to other standards and procedures
  - It authorizes the life-cycle metadata of records
  - It tells how data is captured and stored
  - It controls data migration and conversion
- ◆ Indexing (self-explanatory)

**Audit trail:**

- ◆ A historical record of all significant events associated with the e-record management system
  - date of storage of information
  - movement of info from medium to medium
  - evidence that controls operate and are effective
- ◆ Provides evidence of authenticity of records
- ◆ Contains system- and operator-generated logs.
- ◆ Standard gives lengthy list of contents.