

# Recommended Capabilities for Electronic Recordkeeping Systems

## Indiana Archives and Records Administration

This checklist is provided by the Indiana Archives and Records Administration (IARA) for use when selecting a new recordkeeping system or to assess a current system. If you are in the process of selecting a system, this is a useful list of requirements to share with vendors.

If you have questions about recordkeeping systems, would like feedback about your system, or help with this checklist, please reach out to us at [erecords@iara.in.gov](mailto:erecords@iara.in.gov).

FILE MANAGEMENT	
<input type="checkbox"/>	Supported file formats meet your operational needs
<input type="checkbox"/>	Ability to convert files to different formats
<input type="checkbox"/>	File naming practices are supported
<input type="checkbox"/>	Indexing system support for files and folders
<input type="checkbox"/>	Checksum capability – creation and validation
<input type="checkbox"/>	Documentation of who owns data in the system and what rights you have
SECURITY	
<input type="checkbox"/>	Sufficient rights management
<input type="checkbox"/>	Sufficient security mechanisms to meet your operational requirements or standards
<input type="checkbox"/>	Ability to prevent the alteration or destruction of records prior to the end of their Oversight Committee on Public Records (OCPR) approved records retention schedule
<input type="checkbox"/>	Ability to destroy records in accordance with all relevant policies and procedures
<input type="checkbox"/>	System audit capabilities (at least on an annual basis)
<input type="checkbox"/>	Timestamped audit trails that document the creator, any modifications, and duplications
<input type="checkbox"/>	Secure storage and stable environmental conditions for location of hardware and server space (Cloud storage included)
STANDARDS	
<input type="checkbox"/>	Compliant with minimum IARA imaging standards (only pertains to imaging systems)
<input type="checkbox"/>	Provides quality control mechanisms (only pertains to imaging systems)
<input type="checkbox"/>	Meets any relevant records, data, or information standards
DISASTER PLANNING	
<input type="checkbox"/>	Ability to refresh hardware or media (standard is a minimum of every 3-5 years)
<input type="checkbox"/>	Data recovery and continuity capabilities
<input type="checkbox"/>	System documentation with frequent updates for any new features
<input type="checkbox"/>	Accessible, current procedural manual
ACCESS	
<input type="checkbox"/>	Provides a mechanism for producing records in compliance with litigation, audit, or public records requests
<input type="checkbox"/>	Provides a mechanism for recovering lost data or for providing data during a system outage
<input type="checkbox"/>	Documentation regarding planned and unplanned downtime and service interruptions
INGEST/EXPORT	
<input type="checkbox"/>	Bulk ingest capabilities, including any metadata
<input type="checkbox"/>	Bulk export capabilities, including any metadata
<input type="checkbox"/>	The ability to export data in a timely fashion without a burdensome process
SUPPORT	
<input type="checkbox"/>	Vendor offers affordable ongoing technical support
<input type="checkbox"/>	Vendor offers affordable ongoing training for users
EXIT STRATEGY	
<input type="checkbox"/>	Documented vendor exit strategy in the event the vendor ceases operation
<input type="checkbox"/>	Plan for how you will execute an exit strategy (document resources you will need during your vendor's exit strategy)