



## RECOMMENDED CAPABILITIES FOR ELECTRONIC RECORDKEEPING SYSTEMS

State Form 56882 (1-20)  
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

This checklist is provided by the Indiana Archives and Records Administration (IARA) for use during the selection of a new recordkeeping system or to assess a current system. If you are in the process of looking for a system, this is a useful list of requirements to share with vendors. When you have completed the checklist, please provide a copy to IARA for our research.

If you have questions about electronic 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).

Name of system / software

Name of agency / department

### FILE MANAGEMENT

- Supported file formats meet your operational needs
- Ability to convert files to different formats
- File naming practices are supported
- Indexing system support for files and folders
- Checksums can be created and validated

### SECURITY

- Sufficient rights management
- Sufficient security mechanisms to meet your operational requirements or standards
- 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 (*Please note that destruction requires IARA permission.*)
- Ability to destroy records in accordance with all relevant policies and procedures
- System audit capabilities (*at least on an annual basis*)
- Timestamped audit trails that document the creator, any modifications, and duplications
- Secure storage and stable environmental conditions for location of hardware and server space (*Cloud storage included*)

### STANDARDS

- Compliant with minimum IARA imaging standards (*only pertains to imaging systems*)
- Provides quality control mechanisms (*only pertains to imaging systems*)
- Meets any relevant records, data, or information standards

### DISASTER PLANNING

- Ability to refresh hardware or media (*Standard is a minimum of every three (3) to five (5) years.*)
- Data recovery and continuity capabilities
- System documentation, including updates to new features
- Accessible, current procedural manual

### ACCESS

- Ability to produce records in compliance with litigation, audit, or public records requests
- Ability to recover lost data or for provide data during a system outage
- Documentation regarding planned and unplanned downtime and service interruptions
- Documentation of who owns data in the system and what rights you have

### INGEST / EXPORT

- Bulk ingest capabilities, including any metadata
- Bulk export capabilities, including any metadata
- Ability to export data in a timely fashion without a burdensome process

### SUPPORT

- Vendor offers affordable ongoing technical support
- Vendor offers affordable ongoing training for users

### EXIT STRATEGY

- Documented vendor exit strategy in the event the vendor ceases operation
- Plan for how you will execute an exit strategy (*Document any resources you will require.*)