



# Electronic Records Management System

Regulatory Compliance



Is your filing cabinet so full that it's bursting at the seams? Do you spend hours on end organizing and archiving your critical business documents? Have you implemented a standardized archiving process only to discover that you still can't find the documents when you need them? KPMG can help you overcome this problem and a range of other challenges relating to Electronic Records Management Systems (ERMS).

Your organization is responsible for storing its critical business documents in compliance with legal standards in order to guarantee traceability. From their creation to their destruction, the documents must be kept in an organized manner. The ERMS manages these documents over their entire lifecycle and thus guarantees authenticity, reliability, integrity and usability.

## Common challenges

- Presenting the document within the specified deadline: are you able to find the documents you need at very short notice?
- Physical documents are passed from department to department before they are finally sent to the client. When a client requests a document, it is extremely difficult to pinpoint the exact location of the document.
- Big Data: the volume of data will double every two years. If you don't organize your information, you'll soon find yourself drowning in vast quantities of data.
- For convenience, a lot of documents are stored in close proximity to employees. This leads to the use of multidrawer filing cabinets and generates confusion as to who is responsible for management of the files.
- External pressure: regulatory requirements are becoming longer and more complex.
- Some information sent in emails is critical business information. How can this information be managed in a way that guarantees traceability?
- Destruction: according to the Swiss Business Records Ordinance (GeBüV), data may be destroyed once the

10-year retention period has expired. However, the destruction process must be orderly and secure.

The Electronic Records Management System provides a comprehensive solution for both technical and organizational requirements.

KPMG employs these two approaches to help clients overcome the challenges outlined above.

- Advice on how best to organize documents and how to store files to ensure they meet the standards required for an audit.
- Review of solutions already in place to check that they conform to statutory requirements.

By carefully observing how an ERMS is created, the client acquires the knowledge necessary for the implementation of future projects. Once a certain level of governance has been achieved, new projects to overcome future problems can be implemented without difficulty.

## Definition of Electronic Records Management System

The ERMS organizes critical business documents as part of the digital archiving process to guarantee the authenticity, reliability, integrity and usability of information over long periods of time. It covers the entire lifecycle of the data: creation, management and destruction.

## BS 10008

British standard 10008 (Evidential Weight and Legal Admissibility of Electronic Information – Specification)

covers the comprehensive approach to the organization, retention and transfer of electronic information. The standard is divided into the four following areas:

- Planning of the Information Management System (IMS)
- Implementation and use of the IMS
- Monitoring and review of the IMS
- Maintenance and improvement of the IMS.

The standard focuses on both technical and organizational requirements.

### Advantages of BS 10008 when using the ERMS

#### Comprehensive approach

- BS 10008 covers the entire lifecycle of electronic information and documents.

#### Covers all the Swiss Business Records Ordinance statutory requirements

- BS 10008 covers in detail all Swiss regulatory requirements (GeBüV, EIDI-V) and also covers additional requirements.

#### Authenticity and inalterability of information

- BS 10008 assists you in revision-proof storage and the creation of an audit trail for all your documents and electronic invoices, according to regulation EIDI-V.

#### Traceability

- In the event of a court injunction, the relevant documents can be located quickly and unmodified if stored in a certified ERMS.

### Why choose KPMG?

KPMG is the only officially recognized issuer of certification for information technology and security (SECSm) and has been accredited by the Swiss Accreditation Service SECO-SAS.

We possess the necessary knowledge on the processes, applications and technologies used for data archival. Furthermore, we possess a wealth of experience in the financial services industry, not to mention our experience with insurers, public authorities and industrial firms. If international expertise is required, our experts at KPMG International are there to provide it.

Our clients enjoy the benefit of our tried-and-tested methodology in the field of advisory, auditing and certification, applied by experts from a range of specialized fields:

- Compliance and risk requirements
- Process management, legal expertise
- Specialized knowledge of IT systems

### Our solutions and services

- Archiving/ERMS Health Check
- Archiving/ERMS Assessment/Gap Analysis
- Archiving/ERMS advice on the regulatory compliance of processes and infrastructure
- Archiving/ERMS BS 10008 Consultancy/Certification/Check

#### Check

- Health Check BS 10008 and Gap/Impact Analysis
- Audit Review Program
- OR 927ff., OR958f.
- OR 728a (IKS)
- GeBüV
- EIDI-V
- DSG, VDSG, VDSZ (data protection)
- International standardization for shared service center

Each country has its own specific regulations.

#### Certification

- BS 10008 (ERMS)
- ISO/IEC 27001 (ISMS)
- Accredited certification audit program and checklists as approved by the Swiss accreditation authority

#### Advisory

- ISO/IEC 27001
- ISO/IEC 27002
- BS 10008 (ERMS)
- ISO/IEC 20000
- Phase-based ERMS
- KPMG advisory methods
- Workshops



## Contact

### KPMG AG

Badenerstrasse 172  
PO Box  
CH-8036 Zurich

[kpmg.ch/consulting](http://kpmg.ch/consulting)

### Matthias Bossardt

Partner  
Head of Cyber Security

+41 58 249 36 98

[mbossardt@kpmg.com](mailto:mbossardt@kpmg.com)

### Reto Grubenmann

Director  
Head of Certification Services

+41 58 249 42 46

[retogrubenmann@kpmg.com](mailto:retogrubenmann@kpmg.com)

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