

## INTRODUCTION

### WHAT IS A RECORD?

*AS ISO 15489 - 2002 Records Management* defines a record as “information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business”. The *Territory Records Act 2002* requires all ACT Government agencies to make and keep full and accurate records of their business activities:

- to provide evidence;
- for ongoing use;
- to allow public access to them consistent with the principles of the *Freedom of Information Act 2016*; and
- for the benefit of future generations.

Records need to be maintained in a manner that allows for accountability of the processes and decisions of government. They must also be a complete record, have content, context and structure, and accurately reflect what was communicated, decided or done. Content is the substance of the message, either in the body of the text or in an attachment to the message. Context includes all information about the circumstances in which the message is created, transmitted, maintained and used. Structure refers to the physical format and the relationships between the elements that make up the record. The Territory Records Office *Standard for Records and Information Governance*, and the Describe Principle Guideline provides advice on of full and accurate records

Records must be:

- complete - in order to be understood
- adequate - for the purposes for which they are kept
- accurate - with description and control mechanisms
- authentic - to show the business transactions they purport to represent
- usable - by being identifiable, retrievable, accessible and available
- inviolate - with appropriate security requirements.

Records are a critical outcome of the business activities, regardless of format. Digital records are records that have been 'born digital' such as email, digital photographs, websites, database entries, as well as analogue records that have been digitised such as scanned versions of paper records.

To ensure that accountability and community expectations are met, strategies are required to ensure that digital records are properly created and captured. Without active management throughout their existence, digital records are not likely to remain accessible or to be complete and reliable, even over short periods.

## **ASSESSMENT TOOL**

**Note:** *The use of this tool does not constitute an endorsement of the systems being assessed. It is for assessing systems according to recordkeeping requirements in order to determine system suitability.*

It is standard practice for agencies to adopt business systems that conduct significant business transactions and frequently these systems are not able to perform as recordkeeping systems, even though they are designed to capture and maintain ACT Government records. The Business Systems and Recordkeeping Functionality Assessment Tool is a checklist which allows an agency to undertake a detailed assessment of the existing recordkeeping functionality of their current business systems and aligning it with the principles of Territory Records Office *Standard for Records and Information Governance* and associate principle guidelines.

The *Digital Recordkeeping Policy for the ACTPS* explains that there are records which should be retained in a digital capacity in order to retain their content, context and structure. Records created and managed within a digital recordkeeping system fit into this category of best retained in their native environment. ACT government organisations will incorporate digital recordkeeping into business processes and tools to meet minimum compliance requirements.

The assessment has been broken up into the following sections:

- 1. Recordkeeping Requirements**
- 2. Business System Requirements**
- 3. Metadata Requirements**
- 4. Risk Management Requirements**

The Business Systems and Digital Recordkeeping Functionality Assessment Tool is the next step to understanding the overall compliance of the recordkeeping functionality of business systems identified as supporting ACT Government records in a digital environment. This functionality assessment should be maintained as part of the organisations Records Management Program in supporting an information architecture register.



SYSTEM TO BE ASSESSED	
Date of assessment	
Assessed by	
System name and version	
Summary of the business activities the system supports	
Business owner	
System administrator(s)	

**Criteria assessment measures**

**Yes** = the system complies with the requirement

**Currently not available – could be done with change to the system configuration and/or procedures** = A gap has been identified but can be remedied. An action should be given explaining how.

**No – system is not capable** = The system is not able to meet the requirement. Risks should be identified for not being able to develop or enhance the system to comply.

## Section 1 - Recordkeeping Requirements

**Territory Records Office Standard for Records and Information Governance**

**Territory Records Office Strategy Principle Guideline**

**Territory Records Office Assess Principle Guideline**

**Territory Records Office Retain Principle Guideline**

Recordkeeping requirements create a framework to accountably manage records and other business information. The requirements are derived from regulatory sources, business needs and community expectations that govern how records are created, captured, maintained for evidential purposes, assessed and disposed of.

Criteria	Description	Assessment	Comments / Actions
<p><b>1.1</b> <i>Has the business system been identified as capturing records?</i></p>	<p>The business system has been identified as capturing digital records.</p> <p>Policy, procedures and business rules that dictate how and what records should be captured into the system are available.</p> <p><b><u>NOTE: If the business system has been identified as not capturing ACT Government records, there is no need to proceed with the assessment.</u></b></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>1.2</b> <i>Has a Function and Activity classification from the Business Classification Scheme been identified for records captured in the business system?</i></p>	<p>The function and activities of records captured have been identified against terms in the <i>Business Classification Scheme</i>.</p> <p>Classification places records into their business context. The whole of government classification scheme is provided in the <i>Business Classification Scheme</i>.</p> <p>The <i>Business Classification Scheme</i> is directly linked to the functional <i>Whole of Government Records Disposal Schedules</i> required for the sentencing and disposal of all records of the Territory, regardless of format and storage location.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	<p>Function:</p> <p>Activity/Activities:</p>

Criteria	Description	Assessment	Comments / Actions
<p><b>1.3</b> <i>Is the business system involved in supporting high risk business activities?</i></p>	<p>Business systems required to support high risk activities carried out by the agency are known and their recordkeeping functionality assessed.</p> <p>Examples of high risk business activities could include:</p> <ul style="list-style-type: none"> <li>• regular, routine and/or direct contact with individuals</li> <li>• impacts on individual’s rights and entitlements</li> <li>• the creating and managing contracts or legal agreements on behalf of the ACT Government</li> <li>• processes that are considered open to corruption</li> <li>• significant or major agency projects or programs</li> <li>• significant investments to the economy.</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	
<p><b>1.4</b> <i>Does the business system contain records that will be of long term value or deemed to become Territory Archives?</i></p>	<p>Records determined to be long term temporaries or eventually becoming Territory Archives have been identified.</p> <p>Records that are required to be retained for long periods, or permanently, will require more stringent controls that will ensure they remain accessible.</p> <p><i>Refer to Criterion 2.9 – Can the business system manage disposal of records in a managed, systematic and auditable manner?</i></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

Criteria	Description	Assessment	Comments / Actions
<b>1.5</b> <i>Has this business system replaced a previous business system or systems?</i>	Previous systems that have performed the same requirements of the current system existed. These systems may still hold related records that may need to be managed or migrated.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## Section 2 - Business System Requirements

*Territory Records Office -Standard for Records and Information Governance*

*Territory Records Office –Assess Principle Guideline*

*Territory Records Office – Describe Principle Guideline*

*Territory Record Office – Protect Principle Guideline*

Business system requirements ensure that the overall governance and required software components of a business system are managed, available and used efficiently.

Criteria	Description	Assessment	Comments / Actions
<b>2.1</b> <i>Is there an established business owner for the business system?</i>	The business system has a known business owner who is responsible for the overall care and management of the business system.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>2.2</b> <i>Is the business system well documented?</i>	Documentation of the business system's configuration, metadata schema, data dictionaries, any system customisation and/or enhancements is available.  Documentation is needed to understand and manage the information within the system as well as to assist with any necessary system migration or record export.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.3</b> <i><b>If applicable:</b></i></p> <p><i><b>Is the migration of records from one business system to another controlled and fully documented?</b></i></p>	<p>The migration of records from predecessor systems, including upgraded versions of the same system, must be planned and carried out in a controlled manner to minimise the risks associated to loss or corruption.</p> <p>Migration plans include:</p> <ul style="list-style-type: none"> <li>• processes used to physically carry out the migration between business systems;</li> <li>• the identification and mapping of metadata migrated and how it is persistently linked to records;</li> <li>• details regarding any changes or manipulations to records and their metadata necessary during the migration process;</li> <li>• migration processes are tested before implementation into live system;</li> <li>• records are maintained post migration.</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Not applicable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.4</b> <i>Does the business system manage access controls on metadata elements and business rules?</i></p>	<p>The business system is able to provide restrictions on users being able to edit metadata elements and business rules applied.</p> <p>The alteration, deletion or addition of metadata elements should be controlled by administrative users only. This maintains the integrity of the business system and therefore greater accountability of business operations. The requirements for appropriate metadata should be fully mapped before implementation.</p> <p>The creation of ad hoc metadata without full consideration can mean costly and/or time consuming remediation which can potentially limit the useability, integrity, manageability and effectiveness of the overall data within the business system.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.5</b> <i>Does the business system manage access controls that, if required, can restrict or permit access to the defined records by specified individuals or groups?</i></p>	<p>Information security and protection mechanisms should be in place.</p> <p>Business systems should have safeguards which provide access controls to how records are managed within the system. Limits can be imposed that only allow users with appropriate permissions to access records in particular ways (e.g. viewing, printing, editing, copying, transmitting).</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.6</b> <i>Does the business system have an audit log of any actions and activities performed in or by the system?</i></p>	<p>The business system maintains an audit log of changes or additions made to records.</p> <p>An audit log should be maintained to identify which users have accessed records as well as any actions performed on or by the system.</p> <p>Audit logs give the ability to detect breaches of security, the inappropriate alteration or deletion of records and ensure that actions are being carried out according to assigned roles and responsibilities.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.7</b> <i>Does the business system capture full and fixed records in a variety of file formats?</i></p>	<p>The business system is capable of capturing full and fixed records in a variety of file formats.</p> <p>Hardcopy systems are required to handle multiple formats of physical records. Business systems need to be able to have the same ability to capture records in a variety of formats. The business system should allow users to capture and store records received by the system in their native format.</p> <p>Business processes are increasingly being carried out online and the information created by these activities may be the only evidence available of some transactions or decisions.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.8</b> <i>Does the business system identify the software application used to create each record?</i></p>	<p>The business system is able to identify software applications used to create records.</p> <p>The application name and version used of all software applications are required to assist in assessing records at risk of software obsolescence. Identification can be defined at:</p> <ul style="list-style-type: none"> <li>• the system or module level where data is unstructured and created using the same application;</li> <li>• the system or module level where all records are structured and created through the same application; and</li> <li>• the individual record level where a variety of digital objects have been captured.</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.9</b> <i>Does the business system retrieve and display records in a human readable form?</i></p>	<p>Business systems need to present data and other document objects in a form which allows for human viewing that is easily understood. This can be on screen, as an exported or printed document/extract, or other suitable method.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.10</b> <i>Does the business system produce reports on captured records and their management?</i></p>	<p>The business system is able to produce reports on or about records in the business system, including their management.</p> <p>The business system should have the ability for administrators and users to query and create reports on the actions carried out on records, including the aggregation of records. Reports are required as part of the records management for the monitoring of records related responsibilities such as use patterns, sentencing and destruction activities.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.11</b> <i>Does the business system create and maintain links between records and metadata that show the content, context and structure of the records?</i></p>	<p>Links between records and metadata that give the content, context and structure of the records can be created and maintained.</p> <p>For information to be capable of functioning as a record there needs to be additional descriptive data that connects it to the business and computing environment in which it is created and used – this is called metadata. Metadata allows for the identification, authentication and contextualisation of records for as long as they need to be kept.</p> <p>Business systems must demonstrate all records are assigned at least a minimum level of metadata. Metadata can be applied automatically or manually to the records.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.12</b> <i>Can the business system ensure the interoperability of records across platforms and domains of use over time?</i></p>	<p>The business system ensures the interoperability of records across platforms and domains of use over time.</p> <p>Interoperability means the business system will work with other systems or products. Records will often need to be kept beyond the life of the hardware and/or software used to create them. Records should always be readable and able to be converted, where necessary, for migration to other technology platforms.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.13</b> <i>Is there an upgrade strategy for future development of the business system in place?</i></p>	<p>An upgrade strategy for the business system has been developed.</p> <p>An upgrade strategy provides a plan for the continuation of the business system. In many instances, the records contained in the business system will be required beyond the potential 'life' of the software application.</p> <p>The upgrade strategy provides for an evaluation of the expected lifespan of the current business system and how any future transitions (e.g. to new versions of the software) will occur.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

### Section 3 - Metadata Requirements

**Territory Records Office Standard for Records and Information Governance**

**Territory Records Office Access Principle Guideline**

**Territory Records Office Describe Principle Guideline**

**Territory Records Office Protect Principle Guideline**

Metadata, whether point of capture or associated with subsequent processes, ensures authenticity, reliability, usability and integrity over time and is an inextricable part of records management. Metadata fixes the record into its business context and establishes proper control.

Criteria	Description	Assessment	Comments / Actions
<p><b>3.1</b> <i>Does the business system create a unique identifier for each record?</i></p>	<p>A unique identifier is created for each record generated within the system.</p> <p>A unique identifier can be an identification number, alphanumeric code or serial number applied to the record.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>3.2</b> <i>Does the business system capture a title for each record?</i></p>	<p>An appropriate, meaningful description explaining what each record is about is captured.</p> <p>The description may be known as the Title field or Subject field but both serve the same purpose.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<b>3.3</b> <i>Does the business system capture the date each record was created?</i>	<p>The date of when each record is created or captured into the system is provided.</p> <p>For object based records added to the system, the creation date may not necessarily be the same as the date in which it was captured.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures <input type="checkbox"/> No – system is not capable	
<b>3.4</b> <i>Does the business system identify who or what process creates and edits records?</i>	<p>The business system identifies the person, process, or system that creates and edits records in the system.</p> <p>An audit log of individuals or other forms of creating (e.g. migration process) and editing mechanisms, is maintained to ensure authenticity and integrity of records.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures <input type="checkbox"/> No – system is not capable	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.5</b> <i><b>If applicable:</b></i> <i><b>Does the business system identify records migrated into the system from other systems?</b></i></p>	<p>Where records have been migrated from predecessor business systems the current business system indicates this previous history, including the date the migration occurred.</p> <p>The business system needs to ensure that any metadata elements carried over from predecessor systems remain linked to each record throughout their existence. Also, records that have been destroyed within predecessor systems and have identifiers of their existence and destruction are carried over.</p> <p><i>Refer to Criterion 4.4 – Is the migration of records from one business system to another controlled and fully documented?</i></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.6</b> <i>Does the business system allow for the application of disposal actions and triggers to records?</i></p>	<p>The business system allows for the application of disposal actions and triggers to be applied to records.</p> <p>Business systems need to be able to accommodate the disposal of records in a systematic and accountable way that is consistent with mandated records management practices. The destruction of records should be distinguishable from an ad hoc deletion so that destruction is carried out only by authorised users.</p> <p>Business system should allow for the appropriate sentencing (preferably on creation) which will lead to the eventual disposal of records. Disposal triggers in the <i>Whole of Government Records Disposal Schedules</i> vary so they should be based on active metadata of the records (e.g. date last actioned/modified). All records within a business system may well have the same disposal action as the records are all the same so the disposal action can be applied to the whole business system. But there may be business systems that contain records with a selection of record classes so disposal processes will need to be applied at the record level within the business system itself.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.7</b> <i>Does the business system allow for the review of disposal actions and triggers?</i></p>	<p>The business system allows for the review of disposal actions and triggers.</p> <p>The value of records can alter over time, providing a different purpose for maintaining a record longer than the originally intended business purpose. As a result, reviews of disposal actions should be able to be conducted.</p> <p>Any disposal freezes placed on records should be able to be applied to records within the business system. The hold on disposal actions should also be able to be applied for events including impending litigation or the receipt of a discovery order.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.8</b> <i>Does the business system identify that a record was destroyed (deleted) from the system?</i></p>	<p>The business system identifies all records which have been destroyed under lawful means.</p> <p>Identifiers should remain when a record has been destroyed from a business system, including:</p> <ul style="list-style-type: none"> <li>• The date each record was destroyed from the system is captured. There will be an authentication that records were retained for the minimum retention period as dictated under class disposal triggers.</li> <li>• The identity of who undertook the destruction process. It is recommended that automated bulk destruction based on pre-defining coding is not used due to risks related to inappropriate destruction of records.</li> <li>• The authority (i.e. RDS and class number) under which the record was destroyed is provided. This may be held in a manual system outside of the business system.</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Currently not available – could be done with change to the system configuration and/or procedures</p> <p><input type="checkbox"/> No – system is not capable</p>	

## Section 4 - Risk Management Requirements

***Territory Records Office Standard for Records and Information Governance***

***Territory Records Office Strategy Principle Guideline***

***Territory Records Office Capability Principle Guideline***

***Territory Records Office Assess Principle Guideline***

***Territory Records Office Protect Principle Guideline***

Risk management requirements are designed to reduce or eliminate the risk of certain kinds of events happening or having an impact on the business system and its captured records.

Criteria	Description	Assessment	Comments / Actions
<b>4.1</b> <i>Are risks associated with recordkeeping and the business system identified?</i>	A risk assessment has been carried out to identify and mitigate possible low, high and acceptable risks associated with recordkeeping and the business system.  The risk assessment may be included in the agency's risk register or a risk management plan.	<input type="checkbox"/> Yes  <input type="checkbox"/> No	
<b>4.2</b> <i>Is a risk treatment plan available to minimise risk to recordkeeping and the business system?</i>	A risk treatment plan is established outlining how risks will be managed. Treatment plans are implemented and regularly reported on.  The risk treatment plan may be included in the agency's risk management plan.	<input type="checkbox"/> Yes  <input type="checkbox"/> No	

Criteria	Description	Assessment	Comments / Actions
<b>4.3</b> <i>Has the business system been identified to contain vital records?</i>	<p>Vital records are records considered essential to the continuing operation of the agency in the event of a disaster and will have severe consequences to the agency if they are completely lost or destroyed. If they are able to be recreated from other sources in any way, they will most likely be costly and time consuming to do so.</p> <p>Vital records predominately document the agency's legal and financial position as well as being critical for preserving the claims, rights and entitlements of individuals.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>4.4</b> <i>Is there an established framework for responding to disasters affecting the business system?</i>	<p>Counter disaster measures for the business system have been established and are documented.</p> <p>Disaster planning includes disaster prevention, response, salvage and recovery. Vital records should be known and identified within the agency's disaster management plan. The plan should be regularly reviewed and updated to reflect the current environment.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Criteria	Description	Assessment	Comments / Actions
<b>4.5</b> <i>Is regular testing done on the recovery and restoration processes of the business system?</i>	<p>Regular testing is carried out on the recovery and restoration processes of the business system.</p> <p>Regular testing ensures that recovery and restoration processes are understood and can be effectively implemented in a disaster recovery environment.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>4.6</b> <i>Is training provided to users of the business system?</i>	<p>Training is provided to users of the business system.</p> <p>Training should include initial training on the business system to new users and have the availability of refresher training.</p> <p>Training may need to be divided into difference categories such as user and administrator level training.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Criteria	Description	Assessment	Comments / Actions
<p><b>4.7</b> <i><b>If applicable:</b></i> <i><b>Have all risks associated with storing records in a cloud environment been identified and managed?</b></i></p>	<p>A detailed risk assessment of the recordkeeping risks associated with cloud computing has been carried out. Risks include:</p> <ul style="list-style-type: none"> <li>• the inability to adequately control Territory records e.g. security or privacy;</li> <li>• entities in another State or country may take control or claim ownership of the records;</li> <li>• records may not be returned upon request at the finalisation of a contractual arrangement;</li> <li>• the storage provider goes out of business.</li> </ul> <p>Contracts for cloud storage arrangements need to ensure that the ACT Government has the continuing responsibility for the full management and access of any records held by the provider.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Not applicable</p>	