

# Information Management Advice 18 Managing records in business systems

## Assessment tool: Measuring recordkeeping compliance in business systems

### Introduction

*Using this tool to identify and assess core business systems as part of your Records Management Program will assist the agency to comply with the Archives Act 1983. The completed documentation must be included in the evidence provided to TAHO when decommissioning business systems (see Advice 18 - Managing Records in Business Systems).*

*Before commencing this assessment, consult Information Management Advice 18 - Part 1: Checklist for decommissioning business systems and Part 2: Assessing recordkeeping functionality in business systems.*

### Instructions

Use tool to assess business systems against minimum recordkeeping requirements.

This assessment has been divided into four sections:

- **Records appraisal**
- **System requirements**
- **Metadata requirements**
- **Risk Assessment**

### Criteria assessment measures

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

**Not currently available** = A gap has been identified but can be remedied by changes to the system configuration and/or procedures. An action should be documented explaining how and when this change will be implemented.

**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.

If the agency achieves a **Yes** for all questions in Sections 2 and 3, the system is capable of recordkeeping and meets minimum requirements for State records under the *Archives Act 1983*. It is not intended to constitute an endorsement by TAHO of the system being assessed, but it can be submitted to TAHO before the decommissioning process commences (the process described in Part 1: Checklist for decommissioning business systems).

If after completing every section, the system is assessed as not meeting requirements, the system should be subjected to a more detailed risk analysis, and a plan for managing the records in the system should be implemented.

<b>Agency name:</b>	
<b>Department/Unit:</b>	
<b>System name and version:</b>	
<b>Business activities captured in system:</b>	
<b>System owner:</b>	
<b>Assessment conducted by:</b>	
<b>Date:</b>	

## Records appraisal

Criteria	Description	Assessment	Comments / Actions
<p><b>I.1 Does the system contain State records?</b></p> <p><b>NOTE: If the business system does not hold State records, there is no need to proceed further with this assessment.</b></p>	<p>The business system has been identified as containing State records.</p> <p>Depending on the circumstances, records in the business system may be any or all of the following:</p> <ul style="list-style-type: none"> <li>• Tables in a database</li> <li>• Individual database records (field information)</li> <li>• Entire database</li> <li>• Reports generated by the application</li> <li>• Linked documents/data in other systems</li> <li>• Audit logs</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	
<p><b>I.2 Are the records covered by a Disposal Schedule approved by TAHO?</b></p>	<p>If they are not covered by a Disposal Schedule you need to contact TAHO. You will need to determine, with TAHO's assistance, what the agency and other stakeholders' requirements are for accessing, using and retaining the records contained within the system.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

Use this table to document the records held in the business system. It is likely that more than one record type will be held in the system. Attach additional pages as required.

Retention ID I	Recordkeeping requirement <sup>2</sup>	Additional metadata requirements <sup>3</sup>	Linked records / record aggregations <sup>4</sup> or systems	Notes

<sup>1</sup> A retention and disposal schedule reference number, or if not covered by a disposal schedule, a temporary control number (1, 2, 3...)

<sup>2</sup> Describe the requirements that need to be met. This could be the disposal class from a schedule, a legislative requirement, a business requirement or other.

<sup>3</sup> Additional metadata required to be kept by the system. If the minimum metadata is not kept by the system, define what additional information or metadata must be captured and managed in other systems/locations (see Advice 18 Part 2 - Assessing recordkeeping functionality in business systems).

<sup>4</sup> Is the record linked or grouped with other records in the system? If linked to a separate system, name that system.

**System requirements:**

Criteria	Description	Assessment	Comments / Actions
<p><b>2.1 Is there an established business owner for the business system?</b></p>	<p>The business system has a known business owner who is responsible for the overall care and management of the business system.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>2.2 Is the business system well documented?</b></p>	<p>Documentation of the business system's configuration, metadata schema, data dictionaries, any system customisation and/or enhancements should be attached.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>2.3 Has the business system replaced a previous business system or systems?</b></p>	<p>Previous systems that have performed the same requirements of the current system existed. These systems may still hold related records that need to be managed or migrated. Attach system migration plan.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>2.4 Does the business system manage access controls that, if required, can restrict or permit access to the defined records by specified individuals or groups?</b></p>	<p>Information security and protection mechanisms are in place and documented. The system is able to provide appropriate permissions to access records in particular ways (e.g. viewing, printing, editing, copying, and transmitting.)</p> <p>The alteration, deletion or addition of metadata elements is controlled by administrative users only.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure <input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>2.5 Does the business system keep an audit log of actions performed in or by the system?</b></p>	<p>An audit log should be maintained to identify who and when users have accessed or changed 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"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.6 Can the system create and keep the digital records you have defined? (refer to page 5)</b></p>	<p>The business system allows users to capture and store records received by the system in their native format. Where the record is made up of more than one component or object, the system must be able to maintain relationships between all components.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>2.7 Can the records in the system be accessed?</b></p>	<p>The system must be able to store and retrieve the defined records along with their associated metadata and including all components of the records in useable, human-readable form. This can be on screen, as exported reports or printed document/extracts, or other suitable method.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

## Metadata requirements

Business systems must demonstrate that all records have a minimum level of metadata (see *Advice 14 - Recordkeeping metadata standard*). The system must capture/create, accumulate and maintain over time the recordkeeping metadata. Metadata can be applied automatically or manually to the records.

Criteria	Description	Assessment	Comments / Actions
<p><b>3.1 Does the business system create a unique identifier for each record?</b></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"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>3.2 Does the business system capture a title or name for each record?</b></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. Both serve the same purpose.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.3 Does the business system capture the date each record was created?</b></p>	<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>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>3.4 Does the business system identify who or what process creates and edits records?</b></p>	<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>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	



Criteria	Description	Assessment	Comments / Actions
<p><b>3.5 Does the business system allow for the application of disposal actions, changed access rules and triggers to records?</b></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.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.6 Does the business system allow for the review of disposal actions and triggers?</b></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"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.7 Does the business system identify that a record was destroyed (deleted) from the system?</b></p>	<p>The business system identifies all records which have been destroyed under lawful means, including:</p> <p>The date each record was destroyed from the system is captured. The identity of who undertook the destruction process is captured. 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.</p> <p>It is recommended that automated bulk destruction based on pre-defining coding is not used due to risks related to inappropriate destruction of records.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>3.6 Is the system able to export the defined digital records and their associated metadata to another system or to an external medium?</b></p>	<p>Records should always be readable and able to be converted for migration to other technology platforms. Links between records and metadata that give the content, context and structure of the records should also be able to be maintained and reported on or exported. The process should not degrade record relationships, data quality or metadata.</p> <p>The business system should produce queries and create reports on the actions carried out on records; reports on or about records in the business system, including their management.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	
<p><b>3.7 If applicable: Does the business system identify records migrated into the system from other systems?</b></p>	<p>Where records have been migrated from predecessor business systems, the system indicates this 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. Also, any records that have been destroyed within predecessor systems have identifiers showing their destruction.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Not currently available but can be achieved with a change to system configuration/procedure</p> <p><input type="checkbox"/> No – system is not capable</p>	

## Risk Assessment

Risk management reduces or eliminates the risk of events having an impact on the business system and its captured records.

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

Criteria	Description	Assessment	Comments / Actions
<p><b>4.3 Has the business system been identified to contain vital records?</b></p>	<p>Vital records are 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>The agency's vital records register should list the business system, and any replacement systems. See <i>Advice 52 - Identifying and Managing Vital Records</i> for more information.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	
<p><b>1.6 Is there an established framework for responding to disasters affecting the business system?</b></p>	<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>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

Criteria	Description	Assessment	Comments / Actions
<p><b>Is regular testing done on the recovery and restoration processes of the business system?</b></p>	<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>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	
<p><b>Is training provided to users of the business system?</b></p>	<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. Training may need to be divided into different categories such as user and administrator level training.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	
<p><b>If applicable:</b></p> <p><b>Have all risks associated with storing records in a cloud environment been identified and managed?</b></p>	<p>A detailed risk assessment of the recordkeeping risks associated with cloud computing has been carried out.</p> <p>See Guideline 17 - Managing risks associated with Cloud Computing for more information.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	

