Business Systems Recordkeeping Assessment Tool

Name of Record	Business Systems Recordkeeping Assessment Tool
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0.1	First Draft	HJ	26/04/2021
1.0	Added amendments from previous comments. Referred to associated s/sheet; removed extraneous links. Adopted as v.1	SIIO	4/5/21

Introduction

This tool provides a checklist against which an existing or new Council business system may be assessed to determine:

- whether the business the system supports is subject to any recordkeeping requirements

- how well the system is currently functioning as a recordkeeping system

- what action may be required to enable the system to meet recordkeeping requirements.

This tool is part of the Council's RM Performance, Risk and Compliance Framework and comprises this document and a related MS Excel assessment template.

It should be read in conjunction with the Council's Recordkeeping Metadata Standard and the Business Systems section of Taking Control of our Digital Records.

The checklist offers a basic recordkeeping functionality assessment. When planning to procure or implement new systems, or when prioritising further developments of existing business systems, you must should consider:

- the value of the records that are or will be created in and/or managed by the business system

- the risks associated with the business that the system supports

- inherent information risks

- any recordkeeping requirements that relate specifically to the business being conducted

- the organisational context in which the business system operates (when making decisions about any remedial work that may be required).

Need for assessment

Council business systems have not always been implemented with full consideration of relevant recordkeeping requirements. As a consequence, the business is unable to assure that records created and stored in these business systems are authentic, reliable, trustworthy, complete, meaningful, useable and available whenever they are required.

By assessing business systems against recordkeeping requirements, the Council can:

- operate efficiently and effectively with the assurance that business systems provide sufficient and appropriate evidence to support business outcomes

- identify and manage the risks associated with the loss of records and information assets

- recognise gaps in recordkeeping functionality and help make decisions on potential strategies for closing or addressing those gaps.

Benefits of using this tool

Using this tool will help the Council to

- identify recordkeeping requirements relating to the business outcome/s which a proposed or existing business system supports or delivers

- identify any statutory requirements which apply to the records or information in a proposed or existing business system

- determine whether the proposed or existing business system has sufficient recordkeeping functionality

- identify critical controls, inefficiencies and issues with the business system

- provide tangible evidence to support proposals for remedial work or the implementation of potential solutions, controls, strategies or approaches.

Assessment process for new business systems

Assessment of required recordkeeping functionality of new business systems should be undertaken from the planning to procurement phase to during the system design and project implementation phase. Doing the assessment upfront helps define technical specifications needed to ensure that the Council's recordkeeping requirements are addressed and considered.

Assessment process for existing business systems

The assessment can also be undertaken for existing business systems, specifically during systems changes or upgrades to help identify issues and gaps in recordkeeping functionality. Doing the assessment provides a foundation for making decisions on

strategies or potential solutions.

Prioritising assessment

Undertaking an assessment of all existing or proposed Council business systems will take up a lot of time and resources. We are therefore taking a risk-based approach in determining which business systems should be prioritised for assessment.

The order in which systems are assessed will be determined based on the:

- risks associated with the business supported by the system

- value of the records that are or will be created in and/or managed by the business system

- the risks associated with records that are or will be created in and managed by the business system

It is recommended that, for existing business systems, assessment should focus on supporting core functions, strategic business areas, high risk or public facing business processes.

The MS Excel Assessment template should be used to document the assessment of each business system. The template provides guidance to support the assessment process. The outputs will be of most value when linked to the Council's Information Asset Register or Business systems inventory.

Assessment process

Phase 1: Determine whether the system is subject to any recordkeeping requirements

This phase has two purposes:

- It will identify whether an existing or proposed system has recordkeeping requirements and therefore requires further assessment. Some systems may contain only duplicate information and require no further action in relation to recordkeeping

- It will assist in prioritising systems for assessment and determining the extent to which remedial work and/or connection with a dedicated Council recordkeeping system will be required to ensure records are made and kept of the business it supports.

REF	Questions
1	Does or will the business system hold records that are unique evidence (documents and / or data) of official Council business? (i.e. not published or duplicate information)
2	Are there any legislative, regulatory or business requirements to make and keep records of the business the system supports? i.e. is or will the information or data: - be the authoritative source of truth - relied on to create the authoritative record or - feed into a system that holds the authoritative source of information or data? Are these records already being created and kept in another system or file repository? If yes, please specify:
3	Does or will the business system replace a previous business system/s? If yes, were records kept of the business supported by the previous business system?
4	What core or administrative functions and activities does or will the business system support? Specify the functions, selecting from the Council Business Classification Scheme Do any of these represent high risk and high value areas of Council business? If yes, provide details For high risk/high value, ensure appropriate security measures and business continuity strategies and plans are developed for this business system.

5	Does the business system relate to an activity for which there is/are records series in the Council records retention schedule?
	If yes, what is the BCS/RRS reference number and how long do you need to retain the records?

Outcome: If you have answered "yes" to any of the questions above, the business system does have recordkeeping requirements and you should proceed to phase 2 to assess these

Phase 2: Assess the system's existing recordkeeping functionality

This section contains functional requirements for recordkeeping which can be used to assess the extent to which the system operates as a recordkeeping system, and where there are gaps.

The functional requirements are divided into four broad assessment areas:

Assessment Area	Question
Creating records in context: it is necessary that business systems reflect what the records were at any point of time to provide evidence of the business.	1. Does or will the business system capture records created or received, regardless of format and technical characteristics? 2. Does or will the business system uniquely identify each record and store this identification as metadata with the record? 3. Does or will the business system capture and show metadata? The minimum requirements for metadata for authoritative records and information include: • unique identifier of the record • name / title of the record • date and time of capture • who created the record • format of the record / medium • change history / audit trail of actions done

	• security and access information
	4. Does or will the business system support creation of additional metadata elements detailed in the Council's Recordkeeping Metadata Standard or any other metadata required to support the Council's business requirements?
	5. Does or will the system store metadata over time, regardless of whether the related record has been archived, transferred, deleted, or destroyed?
	6. Does or will the business system allow or restrict "edit" rights on record metadata?
Managing and maintaining records: it is necessary that records managed and maintained in these business systems are reliable, authentic, trustworthy, accurate, useful and available whenever they are required.	7. Does or will the business system prevent the deletion of digital records and associated metadata at all times, except when deletion or destruction takes place as part of an authorised disposal activity? 8. Does or will the business system generate, log and show all actions carried out on the record or in the system? For transactional systems where data is overwritten, is the system able to show the overwritten data, date it was overwritten and by whom? 9. Does or will the business system set and manage access and security permissions?
Migration and interoperability: requirements in this area are critical during decommissioning, or when there is a need to share records with another	10. Does or will the system export all or select records (including associated metadata and system logs), regardless of format, without loss of content or metadata? 11. Does or will the system produce a report detailing success or any failure during the export process (including identification of those records which generated errors or were not successfully exported)?

organisation for collaboration	
Retention and disposal of records as required: requirements in this area are critical when there is a need to keep records for longer than the expected life of the business system. In most cases, compliance may still be adequately addressed by having business process rules on retention and disposal of records created or received by the business system.	12. Does or will the system support controlled disposal or deletion of records legally authorised for disposal? 13. Does or will the system produce reports relating to deletion of records/information/data and its associated metadata, including: • unique ID of records and information deleted • date and time of deletion • action done by (optional) If the answer is no to both or either of these questions, this requirement may still be adequately addressed by manually mapping the appropriate retention classes and having a business process and rules on disposal of records created or received by the business system.

Each requirement below is mapped with the Standard on records management minimum compliance requirements. It also includes an explanation of the requirement and actions to take and consider.

Phase 3. Determine solutions to bridge any gaps in recordkeeping capability

Having carried out an assessment of the system against the requirements listed in phase 2, you should have information on where there are gaps in its operation in terms

of recordkeeping.

Options for bridging those gaps include:

- accepting the risk

- building functionality within the system

- integration with another system

- implementing policies, procedures, business rules or guidelines to ensure the recordkeeping requirements are met.

The assessment template includes a worksheet to support identification of appropriate solutions.

Monitoring business systems recordkeeping strategies over time

Systems and requirements change as a normal part of business, and so recordkeeping strategies put in place for records of business systems should be routinely monitored to ensure they are continuing to meet the Council's needs. Times when these strategies may be at risk include administrative change, process change or system upgrades or migrations.

See the Senior Information and Improvement Officer for access to the associated spreadsheet