

RECORDS MANAGEMENT

BUSINESS UNIT COMPLIANCE ASSESSMENT

INTRODUCTION

Purpose: The purpose of assessment is to measure how well your business unit is managing its records and to identify areas for improvement. This can feed into a Records Management (RM) Framework and/or Strategy. Additionally; it assists the Information/Records Manager in identifying common areas for improvement which can be used to develop strategies to help improve records management practices across the organisation.
 The business unit was interviewed by Carolyn Hartman, Eassure, who then completed this assessment.

BUSINESS UNIT DETAILS	
Date of Assessment	
Name of business unit	
Interviewees	

NO. REQUIREMENT	QUESTION		COMMENTS		CORRECTIVE ACTIONS
RECORDS MANAGEMENT ACCOUNTABILITIES LEGISLATION					
1.1 Legislation that currently impacts your business function.	What legislation impacts your business function? Is there legislation that precludes records being either converted, managed in only electronic form?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NO			
Standards and Policy					
1.2 Standards that currently impact your business function.	What Standards impact your business function? Do standards preclude records being either converted, managed in only electronic form?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NO			

NO. REQUIREMENT	QUESTION	COMMENTS	CORRECTIVE ACTIONS
Procedures			
1.3 Documented business unit activities.	Are your business unit activities documented? Do policies and procedures incorporate record keeping provisions?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> NO <input type="checkbox"/> Yes <input checked="" type="checkbox"/> NO <input type="checkbox"/> N/A	

Activities of your business unit and records generated

1.4 Please specify the type of activities your area undertake, and provide information relating to the records generated and recovery priorities*. Add additional rows if required.

	Activity	Summary of Records Generated	Record Forms	Where is the Official Record Kept?	Physical Storage Location	Secondary Storage Location	Only For Records Held By Your Business Unit Priority For Disaster Recovery Specify On A Scale From 1=High to 3=Low
1		•		•			
2		•					
3							

* A Vital Records *List* is a list prioritising records from the most important to less important, and where they are kept. This list will assist in planning an effective and efficient response to a disaster situation. A Records Recovery Priority list can be developed separately from this self-assessment. This may be required by business units with complex records, or where business units store records on the behalf of others.

Please specify corrective action
 Areas of consideration are as follows:
 Update or develop business procedures that document the preferred location for all record types

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
1.5	All staff must be aware of their responsibilities to manage records, your recordkeeping system and recordkeeping procedures, including how to create and manage files, and retention and destruction responsibilities.	<p>Are ALL staff within your business unit aware of their recordkeeping responsibilities, the records management policy, record keeping system and records procedures?</p> <p>How would you rank business unit's level of record keeping awareness?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (action required) <input checked="" type="checkbox"/> Limited Level of Understanding <input type="checkbox"/> Adequate Level of Understanding <input type="checkbox"/> Excellent Level of Understanding		
1.6	All Staff when outsourcing service provision should endeavour to build record keeping provisions into the contracts.	<p>Does your business unit outsource and functions or activities?</p> <p>If yes, are record keeping provisions built into the contracts?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (action required) <input type="checkbox"/> Yes <input type="checkbox"/> No (action required)		
Records management is not devolved, there is no records management contact in the business unit.					

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
2 Creation and Capture of Corporate Records					
2.1	<p>Corporate files must be created to document the business activities:</p> <ul style="list-style-type: none"> - of your business unit, - you undertake on behalf of another business unit, and/or - you undertake on behalf of the Organisation as a whole. <p>Note: Corporate files may not need to be kept by your business unit if they are already created and kept officially by another business unit.</p>	<p>Are official corporate files created to hold the documents relating to the activities of your business unit? (These could be electronic folders or physical files)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No or not always (specify why not) <input type="checkbox"/> N/A*</p>		
2.2	<p>Files must be created as close to the commencement of an activity as practicable. It is not appropriate to leave file creation until the end of an activity .This prevents the ability to manage and locate records and can result in forgetting to put records into the system.</p>	<p>Are ALL corporate files created at, or closely following, the commencement of a new issue or business activity or project?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (specify why not) <input type="checkbox"/> N/A*</p>		
2.3	<p>To create a corporate file it must be registered in an approved Records Management System accurately and in a consistent manner. This facilitates file management and retrieval. It assists in identifying a file’s location, who can access it, and future archiving and records destruction activities.</p>	<p>Are ALL corporate files (and individual file parts, where required) registered in a Records Management System consistently and accurately?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (Specify why not) (Specify where files are registered) <input type="checkbox"/> N/A*</p>		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
3 ELECTRONIC RECORDS, EMAILS, SHARED DRIVES AND USB STICKS					
3.1	Documents that relate to business activities and are required to explain what happened, or provide evidence of decisions, advice, etc., must be filed onto corporate files, and not kept loose in desks, draws or on unofficial files.	<p>Are all relevant corporate electronic records in your business unit filed onto official file in a consistent and timely manner and registered in Records Management System?</p> <p>Are File and Document Naming conventions adhered to?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (Specify why not) (Specify where documents are stored) <input type="checkbox"/> N/A*</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (Specify why not) (Specify where documents are stored) <input type="checkbox"/> N/A*</p>		
3.2	<p>Not all corporate records are hard-copy/paper documents. Some are “born digital” such as emails, Word and Excel documents etc.</p> <p>Email folders, hard drives, and shared network drives are NOT Records Management Systems. Any emails and other electronic documents relating to activities and explain what happened, or provide evidence of decisions, advice, etc. must be filed into a compliant Records Management System.</p>	<p>Are all corporate emails captured into Records Management System?</p> <p>Are File and Document Naming conventions adhered to?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
3.3	Business units will often undertake scanning to convert physical records into digital.	Does your business unit undertake scanning of records?	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
3.4	<p>Areas should be maintaining full and accurate records of their business activities. Sometimes this necessitates the creation of records to document verbal advice and decision making processes.</p> <p>Verbal decisions may be documented through minutes and file notes (hand-written or typed), or via email confirmations</p>	Does your business unit capture all relevant decisions and advice provided or received verbally for capture into records which are stored Records Management System?	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
3.3	Staff will use USB sticks or portable storage devices. If the use of these is uncontrolled, information security risks can arise.	Does your business unit use encrypted USB sticks or official portable storage devices?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (Specify why not) <input type="checkbox"/> N/A*		
4	Discoverability and Accessibility of Records				
4.1	It is important that business units know where their official records are located to ensure: <ul style="list-style-type: none"> - files can be accessed quickly, - files are accessed by the appropriate people, and - files are not lost. 	Are the locations of your hardcopy files updated appropriately when they move between staff or storage areas?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (Specify why not) <input type="checkbox"/> N/A*		
4.2	Even where file locations are tracked, care needs to be taken to ensure files are not lost in the process of their use and that they are returned when no longer required.	Are records regularly being lost or misplaced when used by staff?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		
4.3	Your records should be considered in relation to any relocation plans. This includes: <ul style="list-style-type: none"> - file storage in your new location, - preliminary archive work, - managing the transfer during the move, and - updating of file locations in the Records Management System where required. 	Are parts of, or your entire business unit moving?	<input type="checkbox"/> Yes (action required) <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
5. Security of Records					
5.1	Records held by your business unit must be secure from unauthorised access. This applies to official and unofficial records.	<p>Does your business unit have any specific security requirements</p> <p>Are all physical / hard-copy records secure from unauthorised access?</p> <p>Note: this applies to corporate records and duplicates/copies.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A* <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		
5.2	Confidential records have a higher level of security than standard files and should be stored in locked cabinets when not in use. Confidential records include, but are not limited to, records which are legal or commercial in confidence, or records containing personal information.	<p>Are all physical / hard-copy confidential records stored in a locked drawer / room when not in use?</p> <p>*If you have no confidential records, select N/A.</p> <p>Note: this applies to corporate records and duplicates/copies.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		
5.2	Records Management Systems is the control system for your business unit's records. Individual users are responsible for ensuring unauthorised staff do not access system via their login.	<p>Is access to Records Management System in your area limited to authorised users?</p> <p>*If you have no RK system users in your area, select N/A.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		
5.3	To comply with privacy and confidentiality requirements, confidential documents, including any document containing personal information, must be disposed of securely. Locked security bins or shredders must be used, not garbage bins or recycling bins.	<p>Are all confidential records, whether official or unofficial, physical / hard-copy or digital, disposed of in a confidential manner?</p> <p>*If you have no confidential records, select N/A.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (describe how records are disposed) <input type="checkbox"/> N/A*		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
5.4	Some organisation staff have access to personal information relating to clients and / or other individuals. Staff must be aware of their obligations in relation to privacy and general confidentiality to ensure they manage these records appropriately. All business units will hold some personal information, even if they are not involved in the management of students, such as local staff files, recruitment information etc.	Are staff within your business unit aware of their obligations in relation to privacy and confidentiality of information?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
6 Records and Business Applications					
6.1	Business systems required to support high risk activities carried out by the agency are known and their recordkeeping functionality assessed. Examples of high risk business activities could include: <ul style="list-style-type: none"> • regular, routine and/or direct contact with individuals • impacts on individual's rights and entitlements • the creating and managing contracts or legal agreements on behalf of the agency. • processes that are considered open to corruption • significant or major agency projects or programs • significant investments to the economy 	Has the business system been identified as capturing high risk records?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		
6.2	Records determined to be long term temporaries or eventually becoming State Archives have been identified. Records that are required to be retained for long periods, or permanently, will require more stringent controls that will ensure they remain assessable.	Does the business system contain records that will be of long term value or deemed to become State Archives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		
6.3	The business system has a known business owner who is responsible for the overall care and management of the business system.	Is there an established business owner for the business system?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
6.4	<p>Documentation of the business system’s configuration, metadata schema, data dictionaries, any system customisation and/or enhancements is available.</p> <p>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.</p>	<p>Is the business system well documented?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
6.5	<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. Migration plans include:</p> <ul style="list-style-type: none"> • processes used to physically carry out the migration between business systems; • the identification and mapping of metadata migrated and how it is persistently linked to records; • details regarding any changes or manipulations to records and their metadata necessary during the migration process; • migration processes are tested before implementation into live system; • records are maintained post migration. 	<p>Have all the records been migrated into the current business system?</p> <p>Is there a legacy system still maintained by your business unit?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
6.6	<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.</p> <p>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>Does the business system manage access controls on metadata elements and business rules?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
6.7	<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, and transmitting).</p>	<p>Does the business system manage access controls that, if required, can restrict or permit access to the defined records by specified individuals or groups?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		
6.8	<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>Does the business system have an audit log of any actions and activities performed in or by the system?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		
6.9	<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>Does the business system capture full and fixed records in a variety of file formats?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
6.10	<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 accessing records at risk of software obsolescence. Identification can be defined at:</p> <ul style="list-style-type: none"> • the system or module level where data is unstructured and created using the same application; • the system or module level where all records are structured and created through the same application; and • the individual record level where a variety of digital objects have been captured. 	<p><i>Does the business system identify the software application used to create each record?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		
6.11	<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><i>Does the business system retrieve and display records in a human readable form?</i></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*		
6.12	<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><i>Does the business system produce reports on captured records and their management?</i></p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
6.13	<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>Does the business system create and maintain links between records and metadata that show the content, context and structure of the records?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
6.14	<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>Can the business system ensure the interoperability of records across platforms and domains of use over time?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
7.1	<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>Does the business system create a unique identifier for each record?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
7.2	<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>Does the business system capture a title for each record?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A*</p>		
7.3	<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>Does the business system capture the date each record was created?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A</p>		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
7.4	<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>Does the business system identify who or what process creates and edits records?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A</p>		
7.5	<p>The business system allows for the application of disposal actions and triggers to be applied to records. 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>Does the business system allow for the application of disposal actions and triggers to records?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A</p>		
7.6	<p>The business system allows for the review of disposal actions and triggers. 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>Does the business system allow for the review of disposal actions and triggers?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
7.7	<p>The business system identifies all records which have been destroyed under lawful means. Identifiers should remain when a record has been destroyed from a business system, including:</p> <ul style="list-style-type: none"> • 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. • 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. • 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>Does the business system identify that a record was destroyed (deleted) from the system?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A		
8.1	<p>It is important that business units have control of all their records, whether official or unofficial, or whether created by them or inherited from predecessor business units or staff.</p> <p>Areas need to know what records they hold and those records need to be appropriately managed and not dumped in local storage areas.</p>	<p>Does your business unit have any records where:</p> <p>1) the type of records and their contents are a mystery as they were inherited; AND/OR</p> <p>2) no-one is responsible for maintaining them, inc. access, archiving, destruction etc.</p>	<input type="checkbox"/> Yes (please provide additional information) <input checked="" type="checkbox"/> No		
8.2	<p>When destroying corporate records, there are certain retention requirements that need to be satisfied. As such, destruction of ALL corporate records, whether hard-copy or digital, MUST be authorised through the completion of a Records Destruction Authorisation Form.</p>	<p>Has your business unit destroyed official records in the past?</p>	<input type="checkbox"/> Yes (please describe process used to dispose of records) <input checked="" type="checkbox"/> No		
8.3	<p>Records are managed by predefined and agreed retention periods. These retention periods are derived from legislative, community and business requirements.</p>	<p>Does your business unit know how long they have to keep records?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A		
8.4	<p>Destruction of corporate records should be an ongoing process. However it must be appropriately authorised to ensure retention requirements, and Organisation's administrative, legal, financial needs are satisfied.</p>	<p>Does your business unit appropriately authorise the destruction of all official records by completing a Records Destruction Authorisation form?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A		

NO.	REQUIREMENT	QUESTION	RESPONSE	CLIENT COMMENTS	CORRECTIVE ACTIONS
9.1	<p>Business units are required to create and maintain a "Records Recovery Priority List" for their business unit to assist in prioritising the recovering of records in the event of a disaster.</p> <p>This is part of the Organisation's Risk Management and Disaster Recovery Plan for Records and Records Management System.</p>	<p>Does your business unit have a Vital Records List?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		
10.1	<p>Business units may be responsible for publishing records on the official organisational web or the intranet.</p>	<p>Do you publish any of your records to your official website or to the intranet? How do you manage this process? Is it being published directly from the RK system?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		
11	Social Media				
11.1	<p>Business units may be responsible for publishing records on the official organisational social media sites.</p>	<p>Do you publish any of your records to your official website or to the social media? How do you manage this process? Is it being published directly from the RK system?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		