

**RECORDS MANAGEMENT
FUNCTIONAL REQUIREMENTS FOR
BUSINESS SYSTEMS
GUIDELINE**

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4.1 Purpose

The purpose of this Records Management Requirements Document is to list the record keeping requirements that must be considered when purchasing, replacing, or decommissioning business applications and archiving solutions.

These requirements cover record retention, use (access, data presentation, security), and archiving (storage and disposal i.e. deletion or long term preservation) across all system applications. This guideline may be used to:

- o Identify and assess the records management functionality available within an existing system.
- o Nominate the records management functionality required for inclusion in a specification to design, build, purchase or upgrade a business system.
- o Evaluate the records management functionality of a proposed business system.
- o Audit the records management functionality of an existing business system.

It is important that the business makes a conscious decision as to how each requirement and the specification of requirements overall will enable the record keeping obligations of the business to be met.

Aspects for consideration should include constraints/mandates/preferences with respect to:

- Technology platforms, protocols and standards
- System interoperability (interface vs. integration, scheduled batching vs. real-time, etc.)
- Life expectancy of business systems
- Reporting structures and tools
- Management of vital records
- Use of the corporate document/records repository

4.2 Record keeping Requirements

This refers to the requirements for records from creation, capture, use, to final disposal. The retention period applied to records (data or business documents) is based on legislative, industry and operational business requirements and these requirements for practical and systematic application purposes are referenced from identified GDA and RDAs.

4.2 OBLIGATION LEVELS

Each requirement has been allocated an Obligation level to indicate the relative importance of the requirement within this specification.

- **Mandatory:** indicates that the requirement is necessary to ensure that appropriate records management functionality is provided for in the business system. These requirements are not conditional.
- **Conditional:** indicates that, where a specific condition exists, the requirement is necessary to ensure that appropriate records management functionality is provided for in the business system. Where the specific condition does not exist, these requirements do not apply.
- **Optional:** indicates that the requirement is not necessary, but may be desirable, for records management purposes. Optional requirements may be conditional or non-conditional.

4.3 SPECIFICATION OF FUNCTIONAL REQUIREMENTS

The functional requirements of the specification have been grouped into the following categories:

- **Record creation and capture:** this set of requirements is *mandatory* for all business systems.
- **Aggregations of records:** this set of requirements is *conditional* on whether the business system in question supports the aggregation of records.
- **Record metadata:** this set of requirements is *mandatory* for all business systems.
- **Record control and management:** this set of requirements is *mandatory* for all business systems.
- **Additional record security:** this set of requirements is *conditional* on whether the business system in question has a need for additional record security.
- **Importing and exporting records:** this set of requirements is *mandatory* for all business systems.
- **Reporting on records:** this set of requirements is *mandatory* for all business systems.
- **Business Process Requirements**

4.3.1 Record creation and capture

Electronic records within a business system may comprise one or more components of varying formats including:

- Data (both user-entered and system-generated data entries in a database).
- Electronic files (such as word-processing documents, spreadsheets, video, etc.).
- Web pages (with multiple multimedia components).
- Other specialised formats (proprietary and non-proprietary formats).

Ref.	Requirement	Obligation
1.	The business system must be able to determine at what point information contained in the system becomes a record that must be captured, retained and managed for evidentiary purposes.	Mandatory
2.	The business system must ensure that electronic records created or received by the system can be captured and stored, regardless of format and technical characteristics.	Mandatory
3.	The business system must not limit the number of electronic records that can be captured and retained by the system	Mandatory
4.	The business system must ensure each electronic record is uniquely identifiable and store this identification as metadata with the record	Mandatory
5.	The business system must allow the organisation to specify the format or pattern of the unique identifier, either through configuration or through specified requirements.	Optional
6.	The business system must ensure that electronic records created or received by the system are captured and stored with its associated metadata.	Mandatory
7.	The business system must allow authorised users to configure pre-defined system rules for the assignment of metadata on capture of a record, or where applicable, an aggregation of records of a particular record type.	Optional
8.	Where the business system supports the use of pre-defined system rules to assign metadata on capture, the establishment and amendment of such rules must be restricted to authorised users.	Conditional
9.	Where the business system supports the use of pre-defined system rules to assign metadata on capture, it should enable records, and where applicable aggregations of records, to be assigned metadata retrospectively, following a change to the pre-defined system rules.	Optional
10.	The business system must prevent the destruction or deletion of electronic records and associated metadata at all times, except as specified in the “ Error! Reference source not found. ” section of this specification.	Mandatory
11.	The business system must support the ability to create, receive and capture electronic records that comprise more than one component.	Mandatory
12.	Where the business system captures an electronic record made up of more than one component, it must maintain a relationship between all components and associated metadata so that they can be managed as a single record and retain the structural integrity of the record.	Conditional
13.	The business system must support mechanisms for capturing electronic records received by the system that are: automated; manual; or a combination of automated and manual.	Mandatory

Ref.	Requirement	Obligation
14.	<p>The business system must support mechanisms to ensure that it can capture all electronic records that it is expected to receive from external records-generating systems. Including, but not limited to:</p> <ul style="list-style-type: none"> • common office packages; • workflow applications; • electronic messaging systems; • e-commerce systems; • web content management systems; • imaging and graphic design systems; • multimedia systems; • corporate systems; • security administration systems; and • other business information systems. 	Mandatory
15.	Where the business system creates or receives electronic records generated by electronic messaging systems, it should be able to capture attachments and embedded objects together with electronic messages as either linked records or a single compound record.	Conditional
16.	Where the business system creates or receives electronic records generated by electronic messaging systems, it should be able to undertake the bulk capture of electronic messages relating to the same transaction.	Optional
17.	Where the business system creates or receives electronic records generated by electronic messaging systems, it may allow electronic messages and attachments to be captured from within an electronic messaging system, such as an email client.	Optional
18.	Where the business system creates or receives electronic records generated by electronic messaging systems, it may be able to indicate whether an electronic message in the system has an attachment. (<i>Noting requirement 17.</i>)	Conditional
19.	Where the business system creates or receives electronic records generated by electronic messaging systems it must be capable of capturing and identifying all incoming and outgoing electronic messages and attachments.	Conditional

Ref.	Requirement	Obligation
20.	Where the business system creates or receives web-based electronic records, such as a dynamic web page, it must be able to capture the record as: <ul style="list-style-type: none"> • a single compound record; • an aggregation of linked component records; • a snapshot – ‘frozen’ in time; • a collection of components that can be regenerated or reproduced on request; or • a combination of the above. 	Conditional
21.	The business system must provide mechanisms to ensure that an electronic record sent to the system can be captured, regardless of whether the format is supported by the business system.	Optional
22.	The business system must allow users to capture and store all electronic records received by the system in their native format.	Optional
23.	The business system must support the ability to convert an electronic record during the course of the capture process from its original format, native to the records-generating system, to a format compatible with the business system.	Optional
24.	Where the business system supports the conversion of electronic records from their original formats as part of the capture process, it must ensure that the context, content and structure of the original record format are retained and that relevant PROV requirements for conversion are adhered to.	Conditional
25.	The business system must provide an application programming interface or similar to support integration with other systems, including an electronic records management system, so as to: <ul style="list-style-type: none"> • enable electronic records created or received by the business system to be exported to an external system; • enable, where required, an electronic records management system to establish an interface with a business system so that it may apply appropriate records management controls on the electronic records contained within the business system; and • provide a mechanism to enable the business system to import electronic records directly from an external business system, as required to support the system’s core business functions. 	Optional
26.	The business system must be capable of sentencing on creation/capture by automatically applying a disposition class to a newly created or captured electronic record and associated metadata, or where applicable an aggregation of electronic records, based on a set of pre-defined instructions.	Optional

4.3.2 Aggregations of records

An aggregation is an accumulation of records at a level above that of the records themselves (i.e. a file, category, etc.). The relevance and nature of aggregations will vary depending on the type and function of the business system. The aggregation of records can improve the ability of the business system to apply records management processes to those records.

Ref.	Requirement	Obligation
27.	The business system must support the creation and/or receipt of aggregations of electronic records, whereby associated electronic records may be linked together through record metadata so that records management processes may be applied to all records within the aggregation.	Optional
28.	Where the business system supports the aggregation of records, it must be able to generate a unique identifier for each aggregation of records defined by the system.	Conditional
29.	Where the business system supports the aggregation of records, it must be able to automatically record the time and date of creation of an aggregation of records, within the metadata profile for the aggregation of records.	Conditional
30.	Where the business system supports the aggregation of records, it must allow authorised users to configure the naming mechanisms for aggregations of records.	Conditional
31.	Where the business system supports the aggregation of records, it must allow the re-assignment of records from one aggregation of electronic records to another by authorised users.	Conditional
32.	Where the business system supports the aggregation of records, it must ensure that records attached to an aggregation of records remain correctly allocated following reclassification of that aggregation of records, so that all structural links remain in place.	Conditional
33.	Where the business system supports the aggregation of records, it must ensure that details of any amendments made to the content of an aggregation of records are captured and maintained in the relevant metadata profile.	Conditional
34.	Where the business system supports the aggregation of records, it must prevent the destruction or deletion of aggregations of records at all times, except as specified by functions pertaining to the “ Error! Reference source not found. ” section of this specification.	Conditional
35.	Where the business system supports the aggregation of records, it must ensure that any disposition action applied to an aggregation of electronic records is carried out on all the records that comprise the aggregation.	Conditional

4.3.3 Record metadata

The useability of electronic records relies on the availability of relevant record metadata to provide sufficient context to the record. Metadata may be manually-entered by users and/or system-populated by either the business system itself or the system from which the record is sourced.

Ref.	Requirement	Obligation
36.	The business system must ensure that all electronic records created/received, captured and managed by the system possess appropriate metadata as per the relevant metadata standards (including Record Keeping Metadata Standard for Business Systems) and any other metadata required to support the organisation's business.	Mandatory
37.	The business system must be able to capture and present the range of metadata elements detailed in relevant metadata standards (including Metadata Standard for Business Systems) and any other metadata required to support the organisation's business.	Mandatory
38.	The business system must place no practical limitation on the number of metadata elements allowed for each record or component of a record within the system.	Optional
39.	The business system must capture all metadata specified during system configuration, and retain it with the electronic record in a tightly bound relationship at all times.	Mandatory
40.	The business system must allow the definition of: <ul style="list-style-type: none"> • customised metadata fields for electronic records; • selected metadata element set for particular record types; • obligation levels for selected metadata elements, either through specified requirements or through configuration by authorised users.	Optional
41.	The business system must be able to draw together all elements of metadata to create a metadata profile for an electronic record or, where applicable an aggregation of electronic records.	Mandatory
42.	The business system must be able to manage a metadata profile as a single entity.	Optional
43.	The business system must allow authorised users to define the source of data for each metadata element during system configuration.	Mandatory

Ref.	Requirement	Obligation
44.	The business system must allow specification (either through requirements specification or through configuration) of which metadata elements are to be manually entered and maintained.	Optional
45.	The business system must be able to capture metadata entered manually by a user.	Optional
46.	The business system must allow metadata values to be obtained from look-up tables or from calls to the operating system, application platform or other software applications, as required.	Optional
47.	The business system must support validation of metadata using calls to another software application.	Optional
48.	The business system must support mechanisms for validating the contents of metadata elements, such as: <ul style="list-style-type: none"> • format of the element contents; • range of values; • validation against a pre-defined list of values; and • valid classification scheme references (where supported). 	Mandatory
49.	The business system must support several formats or combinations of formats for metadata elements, including: <ul style="list-style-type: none"> • alphabetic; • alphanumeric; • numeric; • date/time; and • logical (i.e. Yes/No or True/False). 	Optional
50.	The business system must be able to manage a metadata profile over time – maintaining links to the record and adding process metadata about records management activities.	Mandatory
51.	The business system must be able to store selected metadata over time, regardless of whether the related record has been archived, deleted or destroyed.	Mandatory
52.	The business system must restrict the ability to amend record metadata, so that only selected metadata elements can be edited by an authorised user as part of a nominated process within the business system.	Mandatory
53.	The business system must restrict the ability to amend selected metadata so that only authorised users can edit metadata inherited by records and, where applicable, aggregations of records.	Mandatory
54.	The business system must be able to automatically capture metadata generated by the business system itself.	Mandatory
55.	The business system must be able to automatically capture metadata acquired directly from an authoring application, an operating system or an electronic records management system.	Mandatory

Ref.	Requirement	Obligation
56.	The business system must prevent the ability for users to amend selected metadata elements where that metadata has been acquired directly from an authoring application, an operating system, an electronic records management system or generated by the business system itself.	Mandatory
57.	The business system must allow user-defined metadata fields for the entry of descriptive information about the records or, where applicable, aggregations of records.	Optional
58.	The business system must have the ability to use the contents of a metadata element to determine a functional process, where the element can be related to the functional behaviour of the business system.	Mandatory
59.	Where the business system closely links record metadata to the functionality it represents, the metadata should provide both descriptive information and active support for achieving that functionality automatically.	Conditional
60.	Where the business system supports links between disposition functions and other records management mechanisms supported by the business system, it must warn authorised users when control mechanisms linked to disposition classes are updated, and protect disposition classes from amendment until revisions are complete.	Conditional
61.	The business system must allow the manual or automatic updating of all metadata attributes that are determined by classification, following reclassification of a record or, where applicable, an aggregation of record	Mandatory
62.	The business system must retain a history in the metadata profile of the reclassification of a record, or where applicable an aggregation of records, including the original location of an aggregation of records	Optional
63.	The business system must support the progressive addition of metadata to electronic records, and where applicable aggregations of electronic records, to support disposition as set out in relevant metadata standards.	Mandatory
64.	The business system must actively link disposition metadata to the functionality it represents, so that it can be used to trigger automated processes.	Mandatory
65.	The business system must be able to detect any metadata changes that affect the retention period of an electronic record, and calculate a new disposition date according to the disposition class.	Mandatory
66.	The business system must be able to restrict the amendment of metadata that affects the retention period of an electronic record to authorised users.	Mandatory

Ref.	Requirement	Obligation
67.	The business system must allow authorised users to specify a subset of metadata to be retained for electronic records, and where applicable aggregations of electronic records, that have been transferred, destroyed or moved offline.	Optional
68.	The business system must be able to retain metadata for electronic records, and where applicable aggregations of electronic records, that have been transferred or destroyed.	Mandatory
69.	The business system must allow authorised users to archive the metadata retained for electronic records, and where applicable aggregations of electronic records, that have been transferred or destroyed.	Optional
70.	The business system must be able to record the date and details of all disposition actions within the metadata profile of the electronic record, or where applicable the aggregation of electronic records.	Mandatory
71.	The business system must allow users to add any metadata elements required for the archival management of electronic records selected for archival transfer. In accordance with relevant metadata standards (including Metadata Standard for Business Systems) and any other metadata required to support the organisation's business.	Optional
72.	The business system must be able to maintain a history of the disposition classes that have been applied to a particular electronic record.	Optional

4.3.4 Record control and management

Once records have been created and captured in the business system, they must be managed and maintained in a manner that ensures their authenticity, reliability, integrity and usability, for the entire duration of their retention period.

Ref.	Requirement	Obligation
73.	The business system must be capable of demonstrating that a record is authentic. That is the business system must: <ul style="list-style-type: none"> • be able to prove that the content is what it appears to be, who created it and when it was created; • be able to identify the user creating the record and the time it was created; and • ensure that information that demonstrates a record's authenticity must not be forgeable or capable of being altered. 	Mandatory
74.	The business system must be capable of demonstrating that a record has integrity. That is the business system must ensure that any alterations to a record are authorised and documented.	Mandatory

Ref.	Requirement	Obligation
75.	The business system must be able to demonstrate the data integrity, referential integrity and relational integrity of its electronic records and associated metadata, and where applicable, aggregations of records, at all times.	Mandatory
76.	The business system must ensure that electronic records are not 'overwritten' but rather 'amended' to ensure that the record's authenticity, reliability and integrity can be proven.	Mandatory
77.	The business system must prevent the unauthorised access to or action on (including amendment, movement or deletion) electronic records and associated metadata, or where applicable, aggregations of records. The term "unauthorised" is used here to include access or action: <ul style="list-style-type: none"> • by an unauthorised user, or • in an ad-hoc manner outside the established business and/or record keeping processes of the system. 	Mandatory
78.	The business system must ensure that the authorised access, amendment, movement or deletion of electronic records and associated metadata, or where applicable, aggregations of records, does not result in an unauthorised modification to another record.	Mandatory
79.	The business system must ensure that details of any authorised access, amendment, movement or deletion of electronic records (such as the content) and associated metadata, or where applicable, aggregations of records, is appropriately captured and maintained in the system (e.g. metadata profile and the audit trail).	Mandatory
80.	The business system must allow records, and where applicable aggregations of records, to be classified in accordance with the organisation's records/business classification scheme.	Optional
81.	Where the business system supports the classification of records against a classification scheme, it must allow authorised users to update/amend the scheme and for these changes to be applied to the appropriate records within the system.	Conditional
82.	Where the business system supports the classification of records against a classification scheme, it must allow electronic records to be reclassified by authorised users.	Conditional
83.	The business system must support close linkage and interaction between a record's classification and other records management processes, such as capture, access and security, disposition, searching and retrieval, and reporting.	Optional

Ref.	Requirement	Obligation
84.	The business system must support the naming of electronic records, either: <ul style="list-style-type: none"> • by the manual entry of names by users; or • through an automatic naming process pre-defined by authorised users or through specified requirements. 	Optional
85.	Where the business system supports the naming of electronic records, it should provide features to support the process of naming of electronic records. For example: <ul style="list-style-type: none"> • an automated spell check; or • a warning if a user attempts to create a record using a name that already exists within the business system. 	Optional
86.	Where the business system supports the naming of electronic records, it should be able to restrict the ability to amend the name of an electronic record to authorised users.	Optional
87.	The business system must allow authorised users to search and retrieve electronic records and associated metadata, and where applicable aggregations of electronic records, stored within the system, via a variety of search methods and render them for display.	Mandatory
88.	Where the record is comprised of more than one component, the business system must be able to display all components as a single unit, or if this is not possible, present the components in a way that allows the user to understand the relationship between components.	Conditional
89.	The business system must support the movement of electronic records including the reassignment or reclassification of records within the system (including reassignment of records from one aggregation of records to another, where the aggregation of records is supported), record export, duplication, etc.	Optional
90.	Where the business system supports the movement of records, it must ensure that appropriate metadata regarding the movement process is captured and stored in the record's metadata profile (in addition to the audit trail).	Conditional
91.	Where the business system supports the movement of records, it must ensure that the content of the records remains intact and unaltered by the movement process.	Conditional
92.	Where the business system is able to copy the contents of an existing electronic record in order to create a new and separate electronic record, it must ensure that the original record remains intact and unaltered.	Conditional

Ref.	Requirement	Obligation
93.	Where the business system supports the duplication of electronic records, it may provide a controlled copy facility or allow the business system to link to an external system capable of providing a controlled copy facility.	Optional
94.	Where the business system supports the duplication of electronic records, it may facilitate the tracking of copies made of an identified electronic record, recording information on access to copies in the audit log.	Optional
95.	The business system must support the creation of an extract from an electronic record, whereby sensitive information is removed or hidden from view in the extract, while the originating record remains intact.	Optional
96.	Where the business system supports extraction, it must note the creation of an extract in the metadata of the originating electronic record, including date, time, creator and reason for creation of the extract.	Conditional
97.	Where the business system supports extraction, it must be able to copy metadata attributes from the originating electronic record to an extract – allowing selected elements to be amended as necessary.	Conditional
98.	Where the business system supports extraction, it may create a navigable link between an extract and the electronic record from which it was taken. Such a link should preserve the relationship between the extract and the electronic record without compromising the access and security controls applicable to the record	Optional
99.	The business system must provide solutions for expunging sensitive information by producing redacted copies of records in all formats supported by the system, including audio and video.	Optional

4.3.5 Record security

Functionality to accommodate the specific security requirements of users and information within the system (e.g. user permissions and access rights) are considered part of the business system's inherent functionality.

Ref.	Requirement	Obligation
100.	The business system must automatically record the details of all security processes (for example, in an audit trail).	Mandatory

Ref.	Requirement	Obligation
101.	The business system must ensure that any encryption of electronic records is configured, applied and managed in accordance with relevant standards.	Mandatory
102.	Where the business systems supports the encryption of electronic records, it must ensure that an encrypted record can only be accessed by those users associated with the relevant cryptographic key, in addition to other access controls allocated to the record.	Conditional
103.	Where the business system supports the capture, identification and/or transmission of encrypted electronic records and associated metadata, it must: <ul style="list-style-type: none"> • support the separate, secure storage of encrypted records and their associated decryption keys, • support the implementation of a key management plan, and • be able to maintain cryptographic keys for the life of the electronic record, or records, with which they are associated. 	Conditional
104.	Where the business system supports the encryption of electronic records, it should: <ul style="list-style-type: none"> • be able to store encrypted electronic records in unencrypted form, and • allow encryption to be removed when a record is captured or identified, unless the encryption is required to maintain the security of the record while within the business system. 	Optional
105.	Where the business system is able to store digital certificates for encrypted records and digitally signed records, it should warn authorised users of any certificates approaching expiry.	Optional
106.	The business system must be capable of ensuring that any electronic records created or captured by the business system that employ the use of digital signature technology can be identified and managed by the system along with associated authentication metadata.	Mandatory
107.	Where the business system supports the use of digital signatures, it must support the capture and use of metadata for electronic records transmitted or captured bearing digital signatures, in accordance with relevant standards.	Conditional
108.	Where the business system supports the use of digital signatures, it must be able to: <ul style="list-style-type: none"> • check the validity of a digital signature at the time of capturing an electronic record, and • store all necessary confirmation details with the electronic record in such a way that they can be retrieved with the record, without compromising the integrity of a private key. 	Conditional

Ref.	Requirement	Obligation
109.	Where the business system supports the use of digital signatures, it must be able to store with the electronic record: <ul style="list-style-type: none"> • the digital signature associated with that record; • the digital certificate authenticating the signature; • any other confirmation details; in such a way that they can be retrieved with the record, but without compromising the integrity of a private key.	Conditional
110.	Where the business system supports the use of digital signatures, it must allow authorised users to configure the extent to which authentication metadata is routinely stored with the electronic record.	Conditional
111.	Where the business system supports the use of digital signatures, it must be able to demonstrate the continued integrity of a digitally signed record, whether or not authorised changes have been made to the metadata of the record.	Conditional
112.	The business system must be able to support authentication through interface with PKI-based security technologies.	Optional
113.	Where the business system supports authentication interface with PKI-based security technologies, it must be able to store metadata about the process of authentication, including: the serial number or unique identifier of the digital certificate; the registration and certification authority responsible for authentication; and the date and time of authentication.	Conditional
114.	Where the business system supports authentication, it must allow authentication metadata to be stored either with the electronic record to which it relates; or separately but closely linked to the electronic record.	Conditional

4.3.6 Importing and exporting records

Functionality to support interoperability and interfacing activities, like importing and exporting, are expected to be identified as part of the business requirements of the system.

Note: the export/transfer of records to the PROV must comply with the current specifications, standards and advices issued by PROV.

Ref.	Requirement	Obligation
115.	The business system must be able to import any audit trail information that may be directly associated with electronic records, and where applicable aggregations of electronic records, captured and maintained by the system and guarantee the integrity of the imported information.	Optional
116.	The business system must be able to undertake a bulk import of electronic records exported from records-generating systems, capturing: <ul style="list-style-type: none"> • electronic records in their existing format, maintaining their content and structure; • electronic records and their associated metadata, so as to maintain the relationships between them and map the metadata to the receiving structure; and • the system structure to which the records and associated metadata, and where applicable aggregations of records, are assigned, maintaining all relationships between them. 	Optional
117.	Where the business system supports the bulk import of electronic records, it may allow the use of mechanisms to support the import process, including: <ul style="list-style-type: none"> • pre-defined batch file transaction imports; • edit rules to customise automatic identification of records; • data integrity validation processes; and • input queues, including multiple queues for different component types. 	Optional
118.	The business system must be able to perform an indirect import of electronic records with no associated metadata, or metadata that is presented in a non-standard format, mapping this to the receiving structures.	Optional
119.	The business system must be able to export electronic records and associated metadata, and where applicable aggregations of electronic records, to: <ul style="list-style-type: none"> • another system within the organisation; • a system in a different organisation; or • the Public Records Office Victoria for the long-term preservation of electronic records appraised as having permanent archival value. 	Mandatory
120.	Where there is a need for the business system to export/transfer electronic records to the PROV, the business system must comply with the current version of the VERS Specification.	Conditional

Ref.	Requirement	Obligation
121.	The business system must ensure that any export action is able to include: <ul style="list-style-type: none"> • all electronic records, and where applicable aggregations of electronic records; • all metadata associated with exported electronic records and, where applicable aggregations of electronic records; and • all audit trail data associated with exported electronic records. 	Mandatory
122.	The business system must be able to export electronic records, and where applicable aggregations of electronic records, in one sequence of operations such that: <ul style="list-style-type: none"> • the content and structure of electronic records, and where applicable aggregations of electronic records, are not degraded; • associations are retained between exported electronic records and their associated metadata; and • relationships are maintained between exported documents/components of an electronic record, between exported electronic records, and where applicable aggregations of electronic records, so that their structural links can be re-built in the receiving system. 	Mandatory
123.	The business system must be able to export all the types of records it can capture, regardless of format or the presence of the generating application.	Mandatory
124.	The business system must be able to export electronic records in their native format, or where this is not possible, in the current format in which they are stored in the system.	Mandatory
125.	The business system must be able to export metadata as specified by relevant metadata standards.	Optional
126.	The business system must allow objects to be exported more than once.	Mandatory
127.	The business system must ensure that any export action is documented in metadata associated with the record.	Optional
128.	The business system must be able to export electronic records that have been converted into open, fully documented file formats.	Optional

4.3.7 Record Disposition

Disposition authorities are essential for ensuring the appropriate retention and authorised disposition of records. The ability to demonstrate compliance with disposition authorities is an important component of record management obligations.

Ref.	Requirement	Obligation
129.	The business system must support the controlled disposition of records legally authorised for disposition.	Mandatory
130.	The business system must allow the definition of disposition classes, which can be applied to electronic records and associated metadata and, where applicable aggregations of electronic records, either through the internal functionality of the business system software or via an automatic or manual external mechanism (noting Requirement 1).	Mandatory
131.	The business system must support a minimum of one disposition class for each classification of records it manages. These disposition classes must be mapped and applied to the appropriate records.	Mandatory
132.	The business system must support the definition of disposition classes from multiple disposition authorities.	Optional
133.	The business system must be able to import and export a set of disposition classes in a standard format.	Optional
134.	The business system must allow one or more disposition authorities to be merged during the import process.	Optional
135.	The business system must ensure that the definition of each disposition class consists of: <ul style="list-style-type: none"> • a disposition trigger to initiate the retention period; • a retention period to establish how long the record must be maintained; and • a disposition action, to prescribe the fate of the record. 	Mandatory
136.	The business system must support the definition and application of the following disposition actions: <ul style="list-style-type: none"> • review; • export; • transfer (comprising export, confirmation then destruction); and • destruction. 	Mandatory
137.	The business system must enable flexibility in the definition of disposition classes to allow authorised users to assign non-standard retention periods and disposition actions.	Mandatory
138.	The business system must allow a unique identifier to be assigned to each disposition class and, where applicable, allow the disposition class to be associated with the appropriate disposition authority.	Mandatory
139.	The business system must allow retention periods to be defined from one day to an indefinite length of time.	Mandatory
140.	The business system must restrict the ability to create, edit and delete disposition classes and disposition authorities to authorised users.	Mandatory

Ref.	Requirement	Obligation
141.	The business system must be able to maintain a history of all changes to disposition classes, including date of change and reason for change.	Mandatory
142.	The business system must ensure that amendments to a disposition class take immediate effect on all records and associated metadata, and where applicable aggregations of electronic records, to which that class has been applied.	Mandatory
143.	The business system must support the ability to allocate a one-to-one relationship for linking a disposition class to an electronic record, or where applicable an aggregation of electronic records, and must permit authorised users, to manually determine and map the appropriate disposition class with the highest applicable retention period.	Mandatory
144.	The business system must be able to manage a many-to-one relationship where multiple disposition classes may be linked to a single electronic record, or where applicable an aggregation of electronic records.	Optional
1.	The business system must allow disposition classes to be systematically applied to electronic records and associated metadata, and where applicable aggregations of electronic records. The means employed by the business system to apply disposition classes and related disposition processes may include: <ul style="list-style-type: none"> • the incorporation of disposition functionality within the business system software; • the integration of external software applications with the business system so as to enable the application of disposition functionality; • manual mapping and application of disposition authorisation to the records of the business system by authorised users; or • any combination of the above. 	Mandatory
2.	o Where the business system supports the use of pre-defined system rules, it must enable the manual update or retrospective inheritance of disposition classes when a new disposition class is applied following a change to the pre-defined system rules.	Conditional
3.	The business system must allow disposition classes to be applied to any and all electronic records and associated metadata, or where applicable aggregations of electronic records, captured by the system.	Mandatory
4.	The business system must record all disposition actions in the metadata profile (in addition to the audit trail).	Mandatory

Ref.	Requirement	Obligation
5.	The business system must support the entry of management metadata for disposition classes and disposition authorities, including: <ul style="list-style-type: none"> • a scheduled review date; • date and details of revision; and • date and details when superseded. 	Optional
6.	The business system must support the ability to automatically track the initiation and progress of retention periods, in order to determine disposition dates for electronic records and associated metadata, or where applicable aggregations of electronic records.	Mandatory
7.	The business system must allow authorised users to apply a different disposition class to an electronic record at any time.	Mandatory
8.	The business system must restrict the ability to apply and reapply disposition classes to authorised users.	Mandatory
9.	The business system must support a disposition process consisting of: <ul style="list-style-type: none"> • identification of electronic records and associated metadata, and where applicable aggregations of electronic records, for which the retention period has elapsed; • notification of authorised users; • reapplication of a disposition class if required; • execution of the relevant disposition actions after confirmation by authorised users; which may be applied automatically or manually as determined by the disposition mechanism employed by the business system, as noted in requirement 1.	Mandatory
10.	The business system must restrict the operation of the disposition process to authorised users.	Mandatory
11.	The business system must support a range of disposition triggers based on active metadata. For example: <ul style="list-style-type: none"> • date of record creation; • date of last retrieval of a record; • opening or closing date of an aggregation of records (where applicable); • date of last review of a record, or where applicable an aggregation of records. 	Mandatory
12.	The business system must support external disposition triggers based on notification of a defined event either manually entered into the system by a user or automatically acquired via an external business system integrated with the disposition mechanism.	Mandatory
13.	The business system must ensure that a retention period is calculated in real time and cannot be artificially advanced.	Mandatory

Ref.	Requirement	Obligation
14.	The business system must allow a disposition freeze to be placed on an electronic record and associated metadata, or where applicable an aggregation of records, in order to prevent any disposition action from taking place for the duration of the freeze.	Mandatory
15.	The business system must prevent the deletion or destruction of any electronic record subject to a disposition freeze.	Mandatory
16.	The business system must restrict the ability to remove a disposition freeze to authorised users.	Mandatory
17.	The business system must be able to identify any conflict of disposition actions and either: <ul style="list-style-type: none"> • automatically apply the correct disposition action according to precedence defined by the organisation; or • notify authorised users and request remedial action. 	Mandatory
18.	The business system must be able to notify authorised users on a regular basis of all disposition actions due to occur in a specified period of time.	Optional
19.	The business system must support automatic sentencing of an electronic record and associated metadata, or where applicable an aggregation of electronic records, based on its contents, specified metadata elements, or a combination of both.	Optional
20.	<ul style="list-style-type: none"> o Where the disposition is automatic, the business system must automatically seek confirmation from authorised users before implementing any disposition action. 	Conditional
21.	The business system must provide a means by which the content of an electronic record, or where applicable an aggregation of electronic records, identified for disposition can be reviewed prior to the application of a disposition action.	Mandatory
22.	The business system must make the entire contents of an electronic record, or where applicable aggregation of electronic records, under review available to the reviewer, subject to applicable access restrictions.	Mandatory
23.	The business system must allow authorised users to reapply a disposition class that could: <ul style="list-style-type: none"> • mark electronic records, and where applicable aggregations of electronic records, for further retention and later review; • mark electronic records, and where applicable aggregations of electronic records, for immediate export, transfer, preservation treatment (through a technique such as migration) or destruction; • mark electronic records, and where applicable aggregations of electronic records, for further retention and later export, transfer, preservation treatment (through a technique such as migration) or destruction; when a review disposition action is triggered. 	Mandatory

Ref.	Requirement	Obligation
24.	The business system must make the disposition class details applicable to the electronic record, or where applicable aggregation of electronic records, being reviewed available to the reviewer either by searching or navigation.	Optional
25.	The business system must automatically record the date of last review as active metadata, and allow the reviewer to add the reasons for the review decision as descriptive metadata.	Optional
26.	The business system must ensure that destruction results in the complete obliteration or inaccessibility of all electronic records (including all components of each record) as authorised, and that they cannot be restored through operating system features or specialist data recovery techniques.	Mandatory
27.	The business system must seek confirmation of destruction from an authorised user as part of the disposition process.	Mandatory
28.	The business system must prevent the destruction of electronic records, or where applicable aggregations of records, until confirmation is received, and allow the process to be cancelled if confirmation is not received.	Mandatory
29.	The business system must distinguish between an ad hoc delete function and the destruction function within the disposition process, so that each can be allocated individually to authorised users.	Mandatory
30.	The business system must prevent the delete function being used within the disposition process, so that immediate destruction of identified electronic records can only be achieved through the allocation of a disposition class.	Mandatory
31.	The business system must have the ability to ensure that when an electronic record is authorised for destruction, all alternative instances of that record are also destroyed.	Optional
32.	<ul style="list-style-type: none"> o Where the business system supports the destruction of alternative instances, it should allow authorised users to turn off the functionality outlined in requirement 30 if required. 	Optional

4.3.8 Reporting on records

Reporting is an effective way of monitoring the use of a business system and the records contained in it. It is acknowledged that the business system itself may not possess reporting functionality, however, the business system must be able to allow the reporting to be undertaken by an appropriate third-party reporting tool.

Ref.	Requirement	Obligation
33.	The business system must be able to report on all actions carried out on electronic records, or where applicable aggregations of electronic records, either by the system itself or by an integrated or interfaced external records management mechanism, during a specified period of time.	Mandatory
34.	The business system must support the ability to produce a report listing the details and outcome of any migration process to ensure the integrity of electronic records.	Mandatory
35.	The business system must support the ability to produce statistical information about electronic records, or where applicable aggregations of electronic records, captured and maintained by the system, such as the number and location of electronic records by application type and version.	Mandatory
36.	The business system must be able to produce reports on all disposition activity undertaken by the system, including disposition activity undertaken by external disposition mechanisms integrated or interfaced with the system.	Mandatory
37.	The business system must be able to produce reports listing: <ul style="list-style-type: none"> • all disposition classes currently defined in the system; • all electronic records and associated metadata, and where applicable aggregations of records, to which a particular disposition class is currently applied; • all electronic records for which a particular disposition action will occur over a given period of time; • all electronic records due for disposition within a given period of time (providing quantitative information on the volume and type of records); and • all electronic records that are overdue for disposition at a given point in time (providing quantitative information on the volume and type of records). 	Mandatory
38.	The business system must be able to produce a report detailing any failure during an export of electronic records from the system, identifying those electronic records which have generated processing errors or were not successfully exported.	Mandatory
39.	The business system must be able to produce a report detailing the outcome of a destruction process, detailing all electronic records	Mandatory

	successfully destroyed and identifying those electronic records which were not successfully destroyed	
40.	The business system must be able to report on all electronic records subject to a disposition freeze	Optional
41.	The business system must be able to report on review decisions over a given period of time	Optional

4.3.9 Decommissioning

This covers the record keeping requirements that must be considered when decommissioning any business applications systems.

Ref	Description
42	Records need to be evaluated and its retention period determined if this has not already been done. Disposal covers the destruction of records that are no longer required for reference purposes or has reached its destruction date in accordance with the identified GDA and RDA. Records that are required to be retained and needs to be migrated to an archiving solution for a defined period of time, and data that has long term value to the corporation and needs to be converted into VEO's or the business application must be converted using SIARD.
43	Where the application currently has been flagged for SIARD conversion records that are currently held must be transferred to this or a new archiving solution if this records needs to be retained beyond the decommissioning date of the application.
44	Records that has exceeded its retention period is to be destroyed in accordance with the agency's Records Disposal policy and a destruction notification must be forwarded to the Records Manager verifying that the records were actually destroyed in accordance with policies and procedures.
45	Any source code for which agency retains Intellectual Property (IP) must be retained after the decommissioning process until all IP responsibilities are discharged.

4.3.9 Business Process Requirements

This section is where business process requirements relating to record keeping are captured.

Ref #	Description
46	Processes will be developed to action: <ul style="list-style-type: none"> • migration of data to the Archiving solution • report/retrieval of specific records

Ref #	Description
	<ul style="list-style-type: none"> • retention period extensions for legal or other reasons • Other Work Requests as defined
47	Processes will be developed for the notification of records destruction and approval for the deletion of data as per the agencies policies and processes.
48	Processes will be developed to ensure that records are only accessed by agency staff with the appropriate authorisation.
49	Processes will be developed to ensure that records are only sent to clients whose identity has been confirmed, or has authority to access this data.
50	<p>A process will be developed to ensure disposal of data that has exceeded its defined retention period is managed in conjunction with stakeholders (i.e. Records Manager, business owners, legal). The process should cover:</p> <ul style="list-style-type: none"> • Timing of disposal • Assessment of specific disposal requirements • Approval from stakeholder • Audit of process usage (i.e. are correct procedures being used)
51	<p>A methodology must be developed to effectively validate application components migrated and this validation must include:</p> <ul style="list-style-type: none"> • Ability to execute • Accuracy • Performance
52	Procedural and training documentation will incorporate record keeping requirements.