UNSW System of Record - Business System Assessment

This checklist is an assessment of business system recordkeeping functionality and compliance.
It is intended to be completed by the system and/or business owner of the business system and forms part of the UNSW System of Record framework:
https://www.recordkeeping.unsw.edu.au/recordkeeping/businesssystems.html

Further guidance on completing this assessment and on the requirements for business systems to capture and manage University records can be found here:
https://www.recordkeeping.unsw.edu.au/recordkeeping/businesssystems.html

This assessment is based on the NSW State Archives & Records Authority, *Business Systems Assessment Checklist for Recordkeeping,* the *NSW Standard on Records Management,* ISO 16175 *Principles and Functional Requirements for Records in Electronic Office Environments and the* National Archives of Australia*, Business System Assessment Framework.*

Staff should complete the Cover Page and as much of the assessment as possible and submit to records@unsw.edu.au to complete the process.

Ref: 2019/03858-001

01	Introduction	Response	Notes
	System Name		Please provide both the full commercial product name and any UNSW name used (if it differs) along with any acronyms in common use/
	System Version		Please identify which version of the system is being assessed.
	Business Owner		The business process owner of the system.
	System Owner		The technical owner of the system.
	Type of Information managed in system		Please be as descriptive as possible in identifying the business processes being captured, the user audience and the format/types of information.
	Integrated with other business systems (If yes, note which systems and nature of integration)		Is the system integrated with any other business systems. If so, which and what is the direction of information flow between systems?
	Will the system store all data in NSW?		If no, a risk assessment will need to be completed (if not already planned.) https://www.records.nsw.gov.au/node/493
	Has a Data Classification been completed?		Please refer here
	Person completing this assessment		Please include your Position Title and Unit/Division
	Date of completion		

02	Identify records	Response	Notes	NSW Standard on Records Management	Useful Links
2.1	Does the system manage any unique evidence of official business (i.e.;not published or duplicate information)		This unique information, evidence of the activities of the University, is a record and will need to be managed in accordance with the University's Recordkeeping Policy and the NSW State Records Act 1998 ('the Act'.)	2.1	https://www.gs.unsw.edu.au/policy/recordkeeping.html https://www.records.nsw.gov.au/recordkeeping/rules/legislation/overview
2.2	Are they any legislative and/or business requirements for the business this information supports? What are they?		Are you aware of any legislative requirements around the management of this information? Any specific reporting requirements? Any additional requirements around its security and retention? For how long does the business require access to this information?	2.1	(Z ID required): https://www.legal.unsw.edu.au/secure/compliance/overview.html
2.3	What are the minimum NSW State Records Retention periods for the information captured to the system?		Under the Act the disposal of records is authorised only through the application of General Retention and Disposal Authorites (GDAs) as issued by NSW State Records. These GDAs define the minimum period of time for which each class of records must lawfully be retained, a direct link can be access to the right. If you are unsure, please describe the nature of the information to be captured to the business system in as much detail as possible and a Records & Archives staff member will assist.	2.1, 2.5, 3.5	https://www.records.nsw.gov.au/recordkeeping/rules/general-retention-and-disposal-authorities
2.4	Will the system manage any records identified as high risk or high value?		Records deemed to be high risk and/or high value have additional requirements. Further information, including a listing, can be located here	2.2	https://www.recordkeeping.unsw.edu.au/documents/High_value_high_risk_records_register_v1.0.pdf
2.5	What is the expected lifetime of the system?		This might be the length of any contractual commitment with the vendor/service provider, or a reasonable estimate on how long the system will remain aligned with known current strategic goals.	2.1, 2.5, 3.5	https://www.records.nsw.gov.au/recordkeeping/advice/mitigating-digital-information-management-challenges
2.6	If the minimum retention requirements identified in either 2.2 or 2.4 exceed the system lifetime in 2.5, please ensure section 05 *Migration* is completed.		The system will need to be capable of migrating records to another system when it is decommissioned.	2.1, 2.5, 3.5	https://www.records.nsw.gov.au/recordkeeping/records-systems-characteristics-functions
2.7	If the minimum retention requirements identified in either 17 or 18 do not exceed the minimum period identfied in 19, please ensure the section 06 *Retention* is completed.		The system will need to be capable of managing the disposal of records in-system.	3.7	https://www.records.nsw.gov.au/recordkeeping/advice/retention-and-disposal/digital-disposal

03	Capture records			NSW Standard on Records Management	Useful Links
3.1	Does the system keep a fixed and complete version of each record that is defined, whether in documentary form or a collection of data representing a transaction?		Records must be fixed and unalterable to enable them to be valued as evidence of actions.	3.1	https://www.records.nsw.gov.au/recordkeeping/advice/establishing-effective-information-management#What_is_the_difference_between_information_and_records
3.2	Does the system uniquely identifying each record as defined, for example with a system generated reference, a document number or other identifier.		Records must be identifiable, retrievable and accessible for as long as they are required.	3.2, 3.3	https://www.records.nsw.gov.au/recordkeeping/rules/standards/records-management#Principle_3:_Records_and_information_are_well_managed
3.3	Does the system capture and manage core recordkeeping metadata?		Core recordkeeping metadata documents; a description of the content, the structure, the business context and relationships with other records, information and metadata, business actions and events, and any information needed to retrieve and present records and information.	3.2, 3.3	https://www.records.nsw.gov.au/node/951 https://www.records.nsw.gov.au/recordkeeping/advice/developing-systems-considerations
3.4	Can the system maintain a metadata profile over time? This should be linked to the record and accumulating process metadata for the record as events occur. The metadata should remain linked to the record even if the records are migrated out of the original system.		Metadata must be configured in systems and carried forward through system changes in order to sustain records immediately and through time.	3.3	https://www.records.nsw.gov.au/node/956

04	Manage records			NSW Standard on Records Management	Useful Links
4.1	Does the system prevent the deletion of records and associated metadata at all times? (Except when as part of an authorised disposal activity.)		Records must be protected from unauthorised or unlawful deletion or alteration.	3.4, 3.7	https://www.records.nsw.gov.au/recordkeeping/advice/retention-and-disposal/digital-disposal
4.2	Does the system have a mechanism to log and show events such as additions, alterations and deletions carried out on the record, date of the action and by whom?		This requirement ensures the use of the system is accountable and transparent whilst enhancing system security. System audits must be able to test management controls of systems, including information integrity.	3.2, 3.4	https://www.records.nsw.gov.au/recordkeeping/advice/metadata-for-records-and-information/what-metadata-can-achieve#Use_metadata_to_make_records_and_information_reliable_and_trustworthy
4.3	Is the system able to set and manage access and security permissions?		Records must be protected from unauthorised or unlawful access. Access, security and user permissions for systems managing records and information must be documented and implemented.	3.4, 3.5	https://www.records.nsw.gov.au/recordkeeping/advice/faqs-information-security

05	Migration			NSW Standard on Records Management	Useful Links
5.1	Is the system able to export all or select records, including associated metadata and system logs and regardless of format, without the loss of content or metadata?		All business systems will eventually become legacy systems due to rapidly changing technology and business environments. Decommissioning requires analysis of the data in the system, identifying the data, metadata and system documentation that must be brought forward and retained, and an accountable process for deletion of residual data in the system.	3.2, 3.3, 3.4, 3.6	https://www.records.nsw.gov.au/recordkeeping/advice/decommissioning-systems#Migrating_digital_records_required_for_further_retention
5.2	Is the system able to produce a report detailing success or failure during the export process including identification of those records which generated errors or were not successfully exported?		Post migration testing must ensure that; all records identified for migration have been migrated, all necessary functionality and essential characteristics have been retained, and that users are satisfied with the authenticity, completeness, accessibility and useability of the migrated records.	3.4, 3.6	https://www.records.nsw.gov.au/recordkeeping/migrating-records%3A-managing-source-records-after-migration#Post_migration_testing

06	Retention			NSW Standard on Records Management	Useful Links
6.1	Is the system able to support controlled deletion of records legally authorised for disposal?		Controlled disposal means that; record destruction is linked to the relevant disposal authority class, a documented approval process precedes any destruction and, destruction can be delayed or amended when there is a legal requirement to do so.	3.7	https://www.records.nsw.gov.au/recordkeeping/advice/retention-and-disposal/overview#Digital_disposal
6.2	Is the system able to report on the controlled deletion of records to identify what information has been destyored, why when and by whom?		This means that evidence is retained that records were destroyed in accordance with an authorised retention and disposal authority.	3.7	https://www.records.nsw.gov.au/recordkeeping/advice/retention-and-disposal/overview#Destroying_records