

## Information Management Advice 18 - Managing records in business systems: Overview

### Introduction

*The purpose of this Advice is to assist agencies to identify and manage State records in business systems, especially during decommissioning and data migration. In particular, this advice is intended to offer a recordkeeping perspective to IT staff supporting business information systems.*

*Part 1: Checklist for decommissioning business systems is intended for agencies to assess the value of State records held in business systems before decommissioning the system. Part 2: Assessing recordkeeping functionality in business systems and the accompanying worksheet is intended for agencies that have identified business systems that contain enduring and high-value records. It will also be useful for agencies intending to migrate to a new business system, or to benchmark existing business systems against minimum recordkeeping requirements. Additional guidance about managing State records in business systems can be found in the accompanying Parts 3 to 5 of the Advice.*

*This Advice does not replace specific Guidelines, Advices and Retention and Disposal Schedules that have been issued by the State Archivist to provide a framework for recordkeeping and through which retention requirements are determined and approved. It is intended to provide additional supporting information to assist agencies in implementing their requirements under the Archives Act 1983.*

### Toolkit Contents

#### Part I: Checklist for decommissioning business systems

Step One involves conducting an investigation of the system to understand what records are held in the business system and how long they need to be retained. In Step Two, agencies will use the records retention period to select the most appropriate management strategy for the business system based on the following scenarios:

**Scenario 1** Records are covered by a Disposal Schedule, system is accessible and

- a) System contains records with short-term value,
- b) System contains records with enduring or high value, or system contains both records with short-term value and enduring or high value.

**Scenario 2** Records are not covered by a Disposal Schedule, system is accessible and

- a) System contains records with short-term value,
- b) System contains records with enduring or high value, or system contains both records with short-term value and enduring or high value.

**Scenario 3** All data has already been migrated to a new business system and

- a) records are covered by a Disposal Schedule
- b) records are not covered by a Disposal Schedule

**Scenario 4** The system is not accessible and

- c) records are covered by a Disposal Schedule
- d) records are not covered by a Disposal Schedule

## **Part 2: Assessing recordkeeping functionality in business systems**

In Step One, agencies will benchmark the business system that holds State records of enduring or high value against minimum recordkeeping requirements. Step Two introduces strategies to bridge gaps in recordkeeping capability, if the business system is assessed as not meeting the minimum functional requirements. Agencies should use the *Minimum recordkeeping requirements in business systems worksheet* (Microsoft Excel) which accompanies this Advice to assess recordkeeping requirements in the business system.

## **Part 3: Sentencing records in business systems covered by a Disposal Schedule**

Agencies can use this part of the Advice to help determine the minimum period of time the records must be retained if they are covered by a Disposal Schedule. Sentencing records will assist agencies to determine the most appropriate management strategy for the business system.

## **Part 4: Appraisal of records in business systems with no disposal coverage**

This appraisal matrix will assist agencies determine how long State records in the business system are likely to be required to meet business, legal, social, historical and other needs in order to decide on a suitable management/ preservation/ disposal strategy if the records are not covered by a Disposal Schedule.

## **Part 5: Strategies for improving recordkeeping functionality in business systems**

This part of the Advice introduces various techniques that can be utilised to improve the quality of records within a business system. These can be applied both within the system, and to the broader system environment, including the creation of business rules and procedures, not just modifying software functionality.

## Definitions

IT staff and Records staff speak slightly different languages. They do not necessarily mean the same thing when they refer to a 'record'. The table below compares some key definitions in digital recordkeeping with those in data management:

Term	Digital Recordkeeping	Data Management
Archiving.	Digital archiving is defined as the identification, appraisal, description, storage, preservation, management and retrieval of digital records, including all of the policies, guidelines and systems associated with these processes, so that the logical and physical integrity of the records is securely maintained over time, despite the obsolescence of technology.	Information technology professionals often use the term 'archiving' to describe back-up regimes. However, archiving in a digital environment is not simply conducting back-ups. Data archiving is the process of moving selected, usually inactive, data from online, more expensive storage to cheaper, offline storage. Data archiving is designed to create a copy of all relevant data for the purposes of recovery – disaster recovery or business continuity.
Backup	Backup systems are not recordkeeping systems; they cannot be relied upon as the means to maintain access to organisational records.	Backup is a process used to support active data from loss or corruption. The backup process creates a copy of all relevant data for the purposes of recovery, usually in a simple container format.
Metadata	Information about the content, context and the processes that manage and maintain records. Metadata ensures that records can be found, read and understood both in the immediate and long term. Examples of recordkeeping metadata include the record's title, who has seen it and when, the level of security around the record, and when it should be destroyed or transferred.	Metadata describes the specific characteristics about an individual data item. Metadata in a database typically store the relationships that link up numerous pieces of data
Migration	A preservation activity that transfers digital information from one hardware or software configuration to another or from one generation of technology to another. Migration is necessary because the many protocols and software components that enable digital information to be read and used are constantly evolving.	The process of transferring data between storage types or computer systems. Data migration occurs for a variety of reasons, including server replacements or upgrades and deploying new systems.

Term	Digital Recordkeeping	Data Management
Record	Information created, received and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business	A line of data in a table in a database
Deletion	Erasing digital information contained in a business system	File or data deletion is a way of removing data from a computer's file system in order to free disk space, duplicate or unnecessary data and make sensitive information unavailable. This differs from destruction because deleted data can often be recovered.

## Recommended Reading

- Guideline 8 - Management of source records that have been copied, converted or migrated
- Guideline 17 - Managing recordkeeping risks associated with Cloud Computing.
- Guideline 19 - Digital Preservation Formats
- Advice 9 - Disposal of Scheduled Records
- Advice 10 - Disposal of Unscheduled Records and Destruction Authority checklist for unscheduled records
- Advice 14 - Recordkeeping Metadata Standard
- Advice 25 - Management of Backups
- Advice 29 - Advice for Agencies on Managing Legacy Records
- Advice 37 - Keeping Digital Records Accessible
- Advice 38 - Information Custodians and Digital Continuity
- Advice 39 - Developing an Information Asset Register
- Form AOT 48 - Application to Dispose of State Records

## Further Advice

For more detailed advice, please contact:

Government Information Strategy Unit  
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## Acknowledgements

- Queensland State Archives Methodology on Decommissioning Business Systems and
- State Records NSW Recordkeeping in Brief 42 - Checklist for assessing business systems (2010)

## Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

## Document Development History

### Build Status

Version	Date	Author	Reason	Sections
2.0	28-04-2014	Samara Mcllroy	General revision and development of toolkit	All
1.0	26-11-2007	Inter Agency Policy and Projects Unit (IAPPU), Department of Premier and Cabinet	Initial release	All

## Amendments in this Release

Section Title	Section Number	Amendment Summary
Title		<i>Title changed from 'Recordkeeping Requirements within Business Information Systems' to 'Managing Records in business systems'.</i>
Business Information Systems and records		<i>Revised and included in Part 1: Checklist for decommissioning business systems</i>
Quality of Records		<i>Removed</i>
Retention Requirements and Data Cleansing		<i>Revised and included in Part 1: Checklist for decommissioning business systems</i>

Decommissioning Business Information Systems		<i>Revised and included in Part 1: Checklist for decommissioning business systems</i>
Improving Quality of Records		<i>Removed from advice and included in Part 5: Strategies for improving recordkeeping functionality in business systems.</i>

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