

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

### Part 4: Appraisal of records in business systems not covered by a Disposal Schedule

#### Introduction

*In Part 1: Checklist for Decommissioning Business Systems it was determined that the records in the business system were not covered by an existing Disposal Schedule. This guide and accompanying appraisal matrix will help agencies determine how long those State records are likely to be required to meet business, legal, social, historical and other needs. Knowing whether the State records need to be kept for the short or long term will help agencies to decide on a suitable management/ preservation/ disposal strategy.*

This Advice does not constitute an authority given by the State Archivist to dispose of State records. It is intended to provide additional supporting information to assist agencies in implementing their requirements under the Archives Act 1983. The information gathered here will form part of the supporting evidence the agency requires to complete the *Destruction Authority Checklist* which accompanies *Advice 10 - Disposal of Unscheduled records*.

#### Records covered by a Retention and Disposal Schedule scenario

If all of the records in the business system **are covered by a Disposal Schedule**, follow the process which is introduced in *Part 1: Checklist for Decommissioning Business Systems - Step One*, and is covered in detail in *Part 3: Sentencing records in business systems covered by a Disposal Schedule* of this Advice.

#### 1. What is appraisal?

In the recordkeeping context, appraisal is the process of evaluating business activities and their associated records to determine how long records need to be kept to meet business needs, accountability requirements and community expectations. Records appraisal looks at both the immediate value of records for day to day business, but also the potential future value of records beyond the purpose for which they were originally created. The appraisal process informs the State Archivist's decision on the appropriate minimum retention period for different types of State records.

It is useful to have an understanding of archival appraisal and the agency's recordkeeping requirements to conduct a high-level appraisal of the records in the business system as part of the decommissioning process. Contact the Government Recordkeeping Unit if you would like some additional assistance in conducting this appraisal.

## 2. What are the benefits of conducting this high-level appraisal?

It enables agencies to benchmark the value of the records using an independent value scale, and in the context of the process of decommissioning systems, it enables agencies to:

- Assess whether an application to the State Archivist for disposal authorisation for the records can be supported by the agency and the likelihood of its success, or
- Understand how long the records will need to be preserved.

The high level appraisal process described here does not provide agencies with a specific retention period, but rather a range or 'ball park' within which records are likely to fall. It is not intended to replace the need for agencies to develop an agency specific Disposal Schedule and have it authorised by the State Archivist. See *Advice 28 - Getting started on the development of an agency functional disposal schedule* for more information on developing a disposal schedule.

## 3. Using the appraisal matrix

Begin by understanding the business processes which the system is designed to support, the types of data captured as a result of those processes, and the ways in which the records are used by the agency in the immediate, medium and longer term. In *Part 1: Checklist for Decommissioning Business Systems - Step One – Determine what records are in the system*, you will have begun to gather information from a variety of sources. This list will provide further guidance on possible sources to determine the value.

1. Read system documentation to determine what business processes are recorded in the system, using sources of information such as system specifications, functional requirements mapped to replacement systems, migration plans, vendor websites, user guides and reports generated from system.
2. Consult business owners, record owners, Right to Information officers, Chief Information Officers, senior managers, and other stakeholders, such as the agency's auditors, lawyers and accountants.
3. Consult system users and business owners on how the information is used and re-used by the organisation and the broader community.
4. Process mapping may help to identify relationships between records and business processes, as well as stakeholders. *ISO/TR 26122 : 2008 Information and documentation – Work process analysis for records* provides guidance on work process analysis from the perspective of the creation, capture and control of records.
5. Agencies may also wish to consult Retention and Disposal Schedules issued to other government bodies within or outside of Tasmania for guidance on selecting an appropriate retention period category. This may be particularly useful if feedback from stakeholders varies between two or more categories.
6. Look for similar types of records created by agencies performing similar functions.

Remember to document the feedback and rationale provided by all the different stakeholders to support the future development of a functional Disposal Schedule, or, alternatively, to support the agency's application to the State Archivist for a one-off Destruction Authority, using *Advice 10 - Disposal of Unscheduled records*.

Record Retention Period	Value indicators and record types	Management Strategy
< Less than 5 years	<p><b>Limited/low value</b></p> <p>These records have short-term administrative value. They may be required to be kept to enable reviewable decisions to be reviewed or appealed against. They have value for a limited time – normally only the period of time during which a decision/outcome may remain valid before it lapses. In many cases, the information captured in the records is recorded elsewhere in a summary form sufficient for demonstrating key facts.</p> <p>Examples of records in this category would include:</p> <ul style="list-style-type: none"> <li>• Applications / requests which are refused or rejected by the agency</li> <li>• Advice provided by the agency to clients which has no legal significance</li> <li>• Administrative arrangements, such as for events not covered by the General Disposal Schedule for Administrative Records.</li> </ul>	<p>Consult <i>Advice 10 - Disposal of Unscheduled records</i> and contact TAHO staff to request early disposal. Continue to <b>maintain the system</b> until retention period expires or until TAHO approves destruction.</p> <p>If the retention period for all records in the business system has expired, delete all data and decommission the system. For advice on the destruction of digital records please refer to <i>Guideline 21 – Approved destruction methods for State records</i>.</p> <p>Migration is <b>not</b> recommended.</p>
5 to 20 years	<p><b>Moderate value</b></p> <p>These records may impose rights or responsibilities which are subject to statutory limitations, and include records which may be used for audit purposes.</p> <p>Examples of records in this category would include:</p> <ul style="list-style-type: none"> <li>• Minor project documentation</li> <li>• Licensing and accreditation records (depending on portfolio)</li> <li>• Records required for the conduct of legal proceedings</li> <li>• Contracts (excludes intergovernmental and other major agreements).</li> </ul>	<p>Digital records must be maintained by the agency. Contact TAHO for advice on developing a functional Disposal Schedule or use <i>Advice 10 - Disposal of Unscheduled records</i> to submit an application for early disposal.</p> <p><b>Maintain the system</b> or <b>export/migrate</b> all records and associated metadata to an EDRMS or new business system with inbuilt recordkeeping functionality. Go to <i>Part 2: Assessing recordkeeping functionality in business systems</i> of this Advice.</p>

Record Retention Period	Value indicators and record types	Management Strategy
<p>20 to 120+ years and PERMANENT</p>	<p><b>High value</b>                      These records may relate to long term or ongoing rights, obligations and entitlements. They often need to be retained for the life of an individual or asset, or for long range data analysis or comparison and would be impossible or costly to recreate.                      Examples of records in this category would include:</p> <ul style="list-style-type: none"> <li>• Major project documentation</li> <li>• Records relating to children such as welfare records, including for individuals under a guardianship order</li> <li>• Disposal of hazardous waste materials</li> <li>• Licensing/permits and accreditation records (depending on functions)</li> <li>• Enforcement records</li> <li>• Building approvals for public infrastructure (other than historically significant infrastructure)</li> <li>• Employee health monitoring and incident management records</li> <li>• Commissioned research data/reports.</li> </ul> <p><b>Enduring value</b>                      Value is not extinguished over time and/or the information value may increase over time. Informational value is recognised by a broader audience than the original creating agency, including future generations. Includes records which may be relied upon to establish or prove identity of individual citizens.                      Characteristics of permanent records:</p> <ul style="list-style-type: none"> <li>• Authority, foundation and structure of government</li> <li>• Primary functions and programs of government</li> <li>• Enduring rights and entitlements</li> </ul>	<p>Few business systems which contain high value and enduring records will be nearing their minimum retention period. Digital records, including any potentially permanent value records, must be maintained by the agency. A functional Disposal Schedule covering the records must be developed by the agency and approved by the State Archivist. Contact TAHO for advice on developing a Disposal Schedule.</p> <p><b>Export/migrate</b> the long-term/permanent records and associated metadata to an EDRMS or to a new business system with inbuilt recordkeeping functionality. Go to <i>Part 2: Assessing recordkeeping functionality in business systems</i> of this Advice.</p>

<b>Record Retention Period</b>	<b>Value indicators and record types</b>	<b>Management Strategy</b>
	<ul style="list-style-type: none"> <li>• Significant impact on individuals</li> <li>• Substantial contribution to community memory</li> <li>• Environmental management and change</li> </ul> <p>Examples of these types of records include:</p> <ul style="list-style-type: none"> <li>• Precedent setting case files</li> <li>• Records documenting one-off unprecedented events such as natural disasters, state visits</li> <li>• Records documenting major investigations into government agencies, functions or actions</li> <li>• Research commissioned by the government on major policy issues</li> </ul>	

## Recommended Reading

- Guideline 2 - Retention and Disposal of State Records
- Guideline 21 – Approved destruction methods for State records.
- Advice 2 – All about Appraisal
- Advice 10 - Disposal of Unscheduled Records and the Destruction Authority checklist
- Advice 28 - Getting started on the development of an agency functional disposal schedule
- Form AOT 48 - Application to Dispose of State Records

## Further Advice

For more detailed advice, please contact:

Government Information Strategy Unit  
Tasmanian Archive and Heritage Office  
91 Murray Street  
HOBART TASMANIA 7000  
Telephone: 03 6165 5581  
Email: [gisu@education.tas.gov.au](mailto:gisu@education.tas.gov.au)

## Acknowledgements

- Queensland State Archives Fact Sheet: High-level appraisal of records in business systems with no Retention and Disposal Schedule coverage (2013)

## 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
1.0	16-04-2014	Samara McIlroy	Initial Release	All

### Amendments in this Release

Section Title	Section Number	Amendment Summary
		This is the first release of this document.

**Issued:** May 2014

Ross Latham  
State Archivist