State Records Guideline No 22

Collaborative workspaces
Table of Contents

1 Introduction ................................................................................................................................. 3
  1.1 Purpose ............................................................................................................................... 3
  1.2 Authority ............................................................................................................................ 3
2 When is information in a collaborative workspace a State record? ........................................ 4
3 What needs to be considered in the management of collaborative workspaces? .................. 4
4 How should risks in the use of collaborative workspaces be managed? .................................. 5
5 What recordkeeping considerations exist when using collaborative workspaces? ............... 5
6 Definitions ................................................................................................................................... 6

Further Advice ............................................................................................................................... 6
Acknowledgements ......................................................................................................................... 6
Appendix ......................................................................................................................................... 7

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

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Issued: August 2013

Ross Latham
State Archivist
1 Introduction

Collaborative workspaces provide a real-time digital environment for multiple users to work together on documents or projects online regardless of their location and can be:

- developed in-house
- provided by proprietary software purchased by the agency, or
- a web-based application hosted by a third party.

Examples of collaborative workspaces include:

- SamePage, web-based wiki for knowledge management and collaboration
- Google Drive, web-based real-time collaboration including document editing
- Microsoft SharePoint Workspace, desktop collaboration application
- Oracle Beehive, combines email, team collaboration, and conferencing on one platform
- Blogtronix, web-based suite combining blogs, wiki, documents, multimedia, workflow and more.

For more TAHO guidance on social media applications please refer to State Records Guideline no 18 Managing Social Media records

1.1 Purpose

The purpose of this guideline is to set down requirements for agencies on the use of collaborative workspaces and the management of State records created in these spaces. This guideline sets down recordkeeping requirements when using collaborative workspaces and is not designed to provide specific technical guidance. The Tasmanian Archive and Heritage Office (TAHO) recommends having a working partnership between chief information officers, information technology staff, records managers and information management staff when considering an agency's recordkeeping approach in these digital environments.

1.2 Authority

This guideline is issued under the provisions of Section 10A of the Archives Act 1983. Guidelines issued by the State Archivist under this Section set standards, policy, and procedures relating to the making and keeping of State records. This section also requires all relevant authorities to take all reasonable steps to comply with these guidelines, and put them into effect.

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<td>MUST</td>
<td>The item is mandatory.</td>
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<td>Non-use of the item is mandatory.</td>
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<td>SHOULD</td>
<td>Valid reasons to deviate from the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.</td>
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<td>SHOULD NOT</td>
<td>Valid reasons to implement the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.</td>
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<td>The item is encouraged or suggested.</td>
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‘MUST’ and ‘MUST NOT’ statements are highlighted in capitals throughout the Guideline. Agencies deviating from these MUST advise TAHO of the decision to waive particular requirements.

Agencies deviating from a ‘SHOULD’ or ‘SHOULD NOT’ statement MUST record:

- the reasons for the deviation,
- an assessment of the residual risk resulting from the deviation,
- the date at which the decision will be reviewed, and
- whether the deviation has management approval.

Agencies deviating from a ‘RECOMMENDS’ or ‘RECOMMENDED’ requirement are encouraged to document the reasons for doing so.

2 When is information in a collaborative workspace a State record?

Information created or modified in a collaborative workspace is a State record if it provides evidence of an agency’s business activities such as decisions, actions, or provision of services.

For example, records created in a collaborative workspace MUST be retained if they:

- gather responses or information that is used to inform a decision or a policy
- are used to document decisions or actions regarding work flow, policy, program, project or service delivery.

Information created in a collaborative workspace is not a State record if it is:

- only a compilation of external resources (e.g. material provided by the other agency/agencies involved in the collaboration)
- providing information only about an agency’s programs or services not related to a staff member’s role or undertaken as part of their work activities (e.g. personal use)
- already captured or recorded in another form within the agency’s EDRMS

From a recordkeeping perspective, working in a collaborative workspace is no different to working in a traditional workspace. The same rules apply.

3 What needs to be considered in the management of collaborative workspaces?

Managing collaborative workspace technology in agencies requires a combination of technical and administrative controls. Technical controls SHOULD include a secure log-in, version control, revision history and ability to lock-down certain pages. Administrative controls MUST include the agency’s policies and procedures to manage involvement in collaborative workspaces.
These administrative controls MUST deal with:

- the circumstances under which collaborative workspaces should be used for the purpose of transacting business
- establishing the type of State records to be created from those business activities, and
- determining how and when a record needs to be captured into your agency’s records management system from this environment.

4 How should risks in the use of collaborative workspaces be managed?

Use of collaborative workspaces may involve risks to the security, privacy, integrity and long term accessibility of State records. Agencies SHOULD conduct adequate risk assessments in determining the appropriate use and management of this technology. Consideration needs to be given to the level of risk involved with the business activity being conducted and how this is reflected in the State records created.

Different approaches SHOULD be employed depending on the collaborative workspace being utilised and the agencies that are involved. For example, the use of an external third party site or software versus utilising the agency’s internal software. If an online meeting is being conducted between different areas of the same agency using their purchased in-house SharePoint software, the risk is much lower than if they are utilising external third party owned and managed software such as Google Drive. Similarly, the risk is greater if the collaborative workspace involves agencies outside Tasmania or overseas.

5 What recordkeeping considerations exist when using collaborative workspaces?

Decisions about the use of collaborative workspaces in the State sector SHOULD be made in partnership with chief information officers, information technology staff, records managers, and information management staff. This will ensure the range of issues and responsibilities related to the recordkeeping implications of these tools are suitably addressed.

Remember: Recordkeeping obligations under the Archives Act 1983 must be met when managing State records created through the use of collaborative workspaces.

Agencies MUST ensure they have a suitable policy which includes details on collaborative workspace arrangements. This MUST note which agency is responsible for capturing records of transactions created in a collaborative workspace.

Management strategies MUST allow for access throughout the lifecycle of any State records created in these spaces.
In summary, the same recordkeeping requirements apply in a collaborative workspace as in a traditional workspace. Organisation-wide consultation is RECOMMENDED when considering the agency’s recordkeeping approach in these digital environments to ensure the full range of issues and responsibilities related to recordkeeping are suitably addressed.

6 Definitions

agency - is used in this guideline to refer to all agencies, authorities, statutory offices, departments, councils and other organisations that are subject to, and defined in, the Archives Act 1983.

record - is a document or an object that is, or has been, made or kept by reason of any information or matter that it contains or can be obtained from it or by reason of its connection with any event person, circumstance, or thing.

State records - records of State government agencies/departments, State authorities, or local authorities. These public bodies are defined in Section 3 of the Archives Act 1983.

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

Acknowledgements

Queensland State Archives Public Records Brief (December 2011) ‘Collaborative workspaces and recordkeeping’¹

Appendix

Some practical steps for agencies in the use of collaborative workspaces include:

Step 1 - assess what collaborative workspaces are to be used by the agency and what business is to be transacted in them.

Step 2 - ensure staff are aware that recordkeeping responsibilities apply to work activities carried out in collaborative workspaces: i.e. in accordance with the *Archives Act 1983* and … State records are determined by content, not format

Step 3 - conduct risk assessments and build recordkeeping requirements related to the use of collaborative workspaces into policies and workflows. This may require:

- ensuring business and electronic document records management systems (eDRMS) capture State records created in collaborative workspaces and relevant metadata is assigned
- understanding software terms and conditions of use
- producing clear guidelines regarding who is responsible for capturing the records created by these activities and incorporating these requirements into contracts or Memorandum of Understanding where multiple parties are collaborating.

Step 4 - consider how records from collaborative workspaces will be managed within the corporate recordkeeping system. Can the recordkeeping system keep digital records? If it cannot, how will such records be managed?

Step 5 - ensure records created in collaborative workspaces are sentenced using approved Retention and Disposal Schedules.