RK/IT Recordkeeping Assessment Tool

Public Record Office Victoria

VICTORIA State Government

Full report (test)

Pennydale Council

Council – Metropolitan
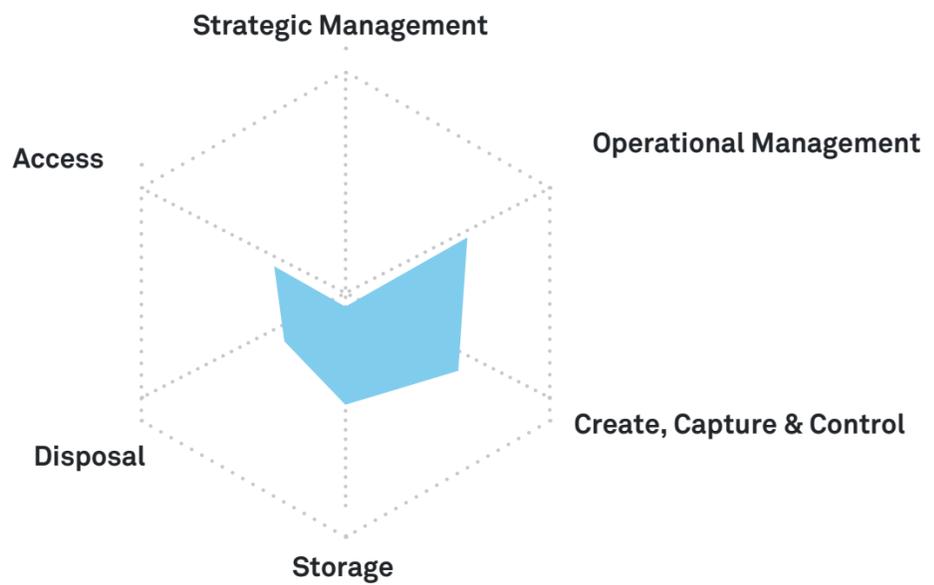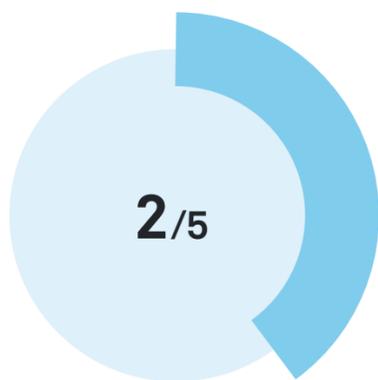50-99 full-time staff
1.5 dedicated record management staff

Assessment: System
System name: GMS
Purpose of system: Grants management
Submitted: 6 Oct 2020

Assessment completed by:
Name: Peter Francis
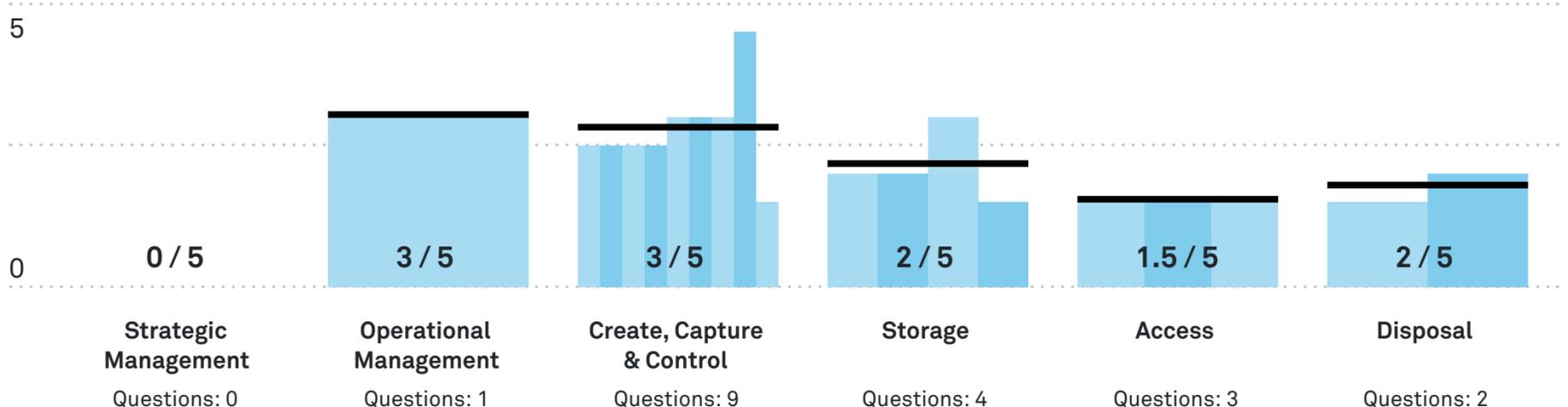**Role:** Manager Records and Information
Phone:

Overview

Overall rating:

This assessment has covered the high level recordkeeping requirements as they relate to the scope selected. It is not a definitive evaluation of your organisation's performance but should be used as an aid in identifying gaps in your management of public records. The assessment, and your plans for action, provide a form of evidence that you have reviewed your management of public records, and you have continuous improvement processes in place.

2/5

Strategic Management

Access

Operational Management

Disposal

Create, Capture & Control

Storage

Section ratings

5

0

| Strategic Management	Operational Management	Create, Capture & Control	Storage	Access	Disposal
0 / 5	3 / 5	3 / 5	2 / 5	1.5 / 5	2 / 5
Questions: 0	Questions: 1	Questions: 9	Questions: 4	Questions: 3	Questions: 2

Strategic Management

This section assessed practices against requirements for the establishment, governance and strategic management of the records management program.

0/5
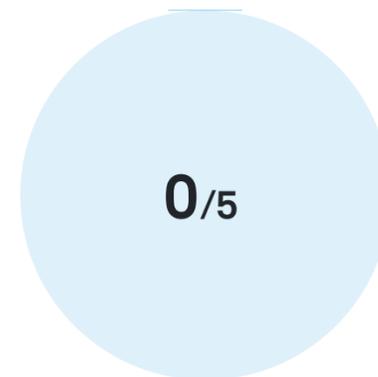
Operational Management

This section assessed practices for the effective management of day to day operations and processes.

3/5
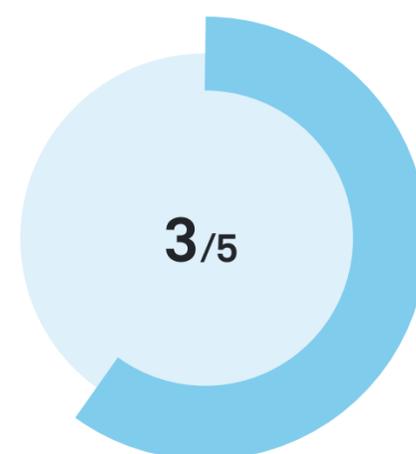
Is the system routinely maintained to ensure that it remains stable and reliable, with functionality working as expected?

0   5

Maintenance for system

The system is regularly checked to ensure it is stable and reliable and that functionality is working as expected. Documentation of checks is kept.Maintenance activities are routinely undertaken, but may be phased or partial, due to resourcing constraints.

Explanation and justification
Discussion with IT has revealed that they undertake regular and routine checks and maintenance for the system but it is unclear currently how well this meets recordkeeping requirements

Plans for action
Review the checks currently being done against recordkeeping requirements to ensure they are appropriate

Additional notes (optional)

Create, Capture & Control

This section assessed practices in relation to creating, capturing and controlling records. This included assessing whether the appropriate mechanisms and controls are in place so that records will meet current and future needs.

3/5
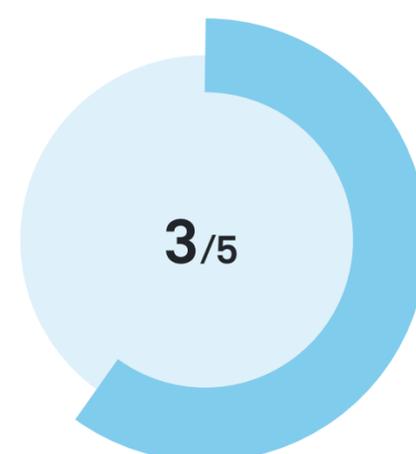
Are records defined and routinely captured within the system, at the appropriate points in processes or transactions?

0

5

System - Defined

The sets of information comprising the required digital records are defined. The system is capturing some of the required digital records at some points in processes or transactions but this is not occurring fully. This may be due to technical limitations.

Explanation and justification
The data in the system is being captured as records, but the relationships and other contextual information is not always captured

Plans for action
Review why the contextual information is not being captured - is it a metadata field issue for example or behavioural.

Additional notes (optional)

Does the system maintain digital records in formats which are expected to survive and be readable and usable for the required life of the records?

0

5

System - Formats

Some consideration has been given to the need to maintain records in formats which will survive and be readable and accessible for their minimum required retention period but this has only been partially achieved.

Explanation and justification
The majority of records in the system are in formats that are either sustainable or can be easily converted into sustainable formats. Some formats are unknown to the records team and may be proprietary formats from a platform or software used in conjunction with this system

Plans for action
Investigate the formats that aren't sustainable to see if they can be converted to a sustainable format

Additional notes (optional)

Does the system have controls and structures in place to ensure the records can be effectively managed for as long as they need to be retained?

0

5

System - Management controls

There are some controls in place but requirements have not been fully identified and implemented. Those responsible for records management may have been consulted but their advice not fully taken.

Explanation and justification
Some generic structures are in place, but there will need to be some additional mapping done to see how well the records can be managed over time

Plans for action
Complete mapping the controls and structures against recordkeeping functionality requirements to determine which can be undertaken by the system and which will need to be done manually

Additional notes (optional)

Has the necessary metadata been determined, in compliance with PROV's Minimum Metadata Specification, and is it being consistently captured and retained with the record?

0   5

System - Metadata

The necessary metadata requirements have been determined and PROV's minimum metadata requirements are being at least partially met.

Explanation and justification
We are currently working through to ensure that all records in the system have the minimum metadata applied going forward. It is not easy to do this retrospectively without making assumptions which would potentially affect the reliability of the records
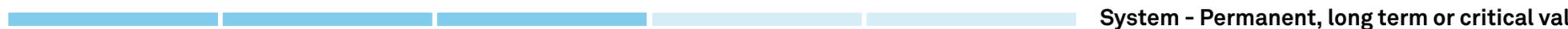
Plans for action
Investigate what additional steps can be taken.

Additional notes (optional)

Are permanent, long term or critical value records within the system being managed appropriately?

0   5

System - Permanent, long term or critical val

An assessment has determined whether or not the system holds permanent, long term or critical records. There is a reasonable level of confidence that any permanent, long term or critical value records are being managed appropriately within the system.

Explanation and justification
A preliminary assessment of the system would suggest that there are some permanent records in relation to grant applications. Currently all records are being managed as if they are permanent until the temporary and permanent records can be separated through a transfer of permanent records to PROV.

Plans for action
Plan for the transfer of permanent records to PROV, or at least for the migration of the permanent records to another system should this system be decommissioned.

Additional notes (optional)

Does the system enable digital records and required metadata to be effectively and reliably exported / migrated?

0   5

System - Export

There is some confidence that the system can enable digital records and required metadata to be effectively and reliably exported / migrated but this not been fully tested.

Explanation and justification
While in theory the system can export metadata, it hasn't been tested fully - data can be exported but the amount of metadata associated with the data is fairly minimal and exporting the metadata along with the record has not been tested.

Plans for action
Test exporting data along with metadata

Additional notes (optional)

Are controls built into the system to protect records against unauthorised access, alteration or destruction?

0   5

System - Protection

Controls are in place and are consistently applied within the system. There is a reasonable level of confidence that the controls are working effectively.

Explanation and justification
There are some basic controls in the system that are being consistently applied. Mainly through use of access permission to the site. Once permission to access the site is granted the person can pretty much do anything. There are procedures to govern behaviour but it is unclear how consistently they have been followed.

Plans for action
Review the level of controls needed for the site and see whether additional controls are needed.

Additional notes (optional)

Does the system have controls which mean that records can be trusted to be authentic and reliable?

0   5

System - Trust and reliability

Controls are embedded into the system as part of a deliberate and planned approach, so there is a high level of confidence that the records are authentic, reliable and can be trusted.

Explanation and justification
To be sure that the records are authentic and reliable we would need to determine whether procedures have been consistently followed and applied. As this is a legacy system, it may be difficult to confirm authenticity / reliability.

Plans for action
Review a random sample against the procedures to see if there are any inconsistencies that would suggest authenticity and reliability; check system logs for the level of detail recorded to see if authenticity and reliability can be confirmed

Additional notes (optional)

Are digital records in forms that allow them to be managed for the period they are are required?

0   5

Management over time (digital)

It is unknown what the retention periods are for the records held in the system or, if it is known, it is not known whether they are being managed in accordance with recordkeeping requirements.

Explanation and justification
As per previous question, while some data can be exported, it is unclear whether the metadata will be exported along with it. Once we have undertaken more testing we will be able to respond to this question more effectively.
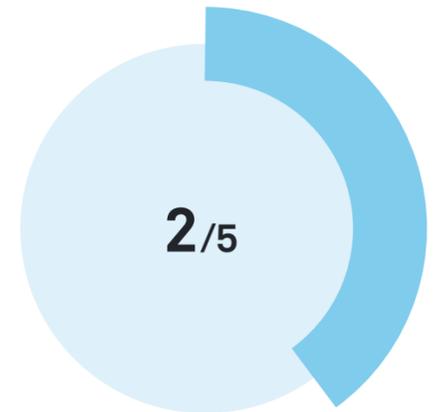
Plans for action
Undertake a test of what can be migrated to confirm.

Additional notes (optional)

Storage

This section assessed the arrangements and methods for storing records so that they are protected and can be used for authorised purposes for as long as they must be retained.

2/5

Does the system store records securely, preventing unauthorised access, use, alteration or deletion?

0   5

Security - System

Requirements for the security of records within the system have been determined and partly applied. But there is not full confidence that the system is effectively preventing unauthorised access, use, alteration or deletion of records. For example, the system might prevent unauthorised deletion of records but not unauthorised alteration.

Explanation and justification
The system has some security mechanisms - mainly through permission to access the system. Once in people can do pretty much anything. Procedures do exist but it is unclear as to how consistently they have been applied.

Plans for action
Review system logs to see if they contain any relevant information.

Additional notes (optional)

Does the "non-immediate access" storage used for digital records allow them to be easily identified and retrieved within reasonable timeframes when needed?

0   5

Methods (digital)

There is some confidence that digital records which are stored so that they can't be immediately accessed are able to be identified and retrieved in a timely way when needed. However, even when records can be retrieved, their value is sometimes limited, due to lack of metadata and uncertainty as to the status of the records (such as, draft, approved version, sent version, etc.).

Explanation and justification
The system is a legacy system. while it has some structures in place that enable the location of a record / data to be determined, much of it is guess work and use of the basic search function the system has

Plans for action
Determine whether the value of the information on the system warrants investment into improved locatability of records.

Additional notes (optional)

Is an effective maintenance program in place for the system?

0   5

Maintenance - System

A maintenance program for the system is in place, which means there is a high level of confidence that records could be restored if needed and that the system will continue to function reliably. For example, back ups are regularly validated and power supply is regularly tested for redundancy. Issues are rectified as they are identified.

Explanation and justification
IT are currently managing the system as if it is still online in case some of the financial data in the system is still needed as active use of the system only stopped around eighteen months ago

Plans for action
Review what will be needed for long term management in conjunction with IT

Additional notes (optional)

Are storage risks to digital records identified, monitored and managed to ensure they will be preserved for as long as needed?

0   5

Preservation risks (digital)

Storage risks to the preservation of digital records have not been identified and are not monitored. Arrangements are reviewed only after records have been lost, damaged or a security breach has occurred.

Explanation and justification
The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.
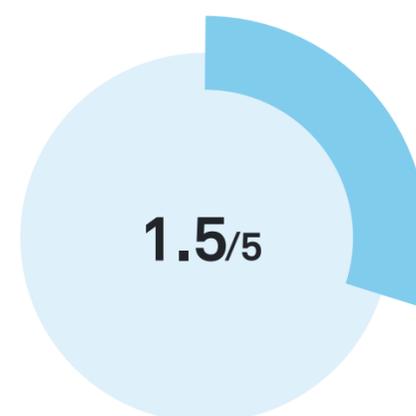
Plans for action
Confirm that the checks conducted would flag anticipated storage related risk to records
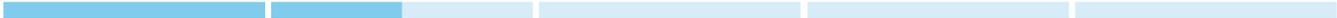
Additional notes (optional)

Access

This section assessed the arrangements for ensuring records are made accessible for authorised purposes, in line with relevant legislative, regulatory and policy requirements.

1.5/5

Is the system designed and configured to effectively manage access to records?

0   5

System - Access controls

The system is not designed or configured to ensure that records can be effectively managed over time. Metadata requirements have not been identified or set. There is little or no control over how individuals title, describe or classify records.

Explanation and justification
The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.
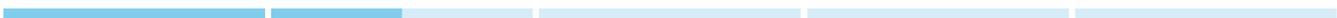
Plans for action
Confirm that the checks conducted would flag anticipated storage related risk to records

Additional notes (optional)

Is the system effectively used to describe and structure records so that they can easily and quickly be identified and found over time?

0   5

System - Record description

Little consideration has been given to ensuring the records are described and structured within the system to allow them to be easily and quickly identified and found over time. Few controls are designed into the system and practice is inconsistent.

**Explanation and justification**
The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.

Plans for action
Confirm that the checks conducted would flag anticipated storage related risk to records

Additional notes (optional)

Does the system ensure that inappropriate access or release is prevented or detected?

0   5

System - Security controls

There are some security measures in place but these are not sufficient to detect or prevent inappropriate access or release. The measures are only monitored in the event of an obvious breach.

Explanation and justification
The system is being actively managed currently as it contains some financial records and active use was only stopped eighteen months ago. As such it has the same checks as the other current systems.

Plans for action
Confirm that the checks conducted would flag anticipated storage related risk to records

Additional notes (optional)

Disposal
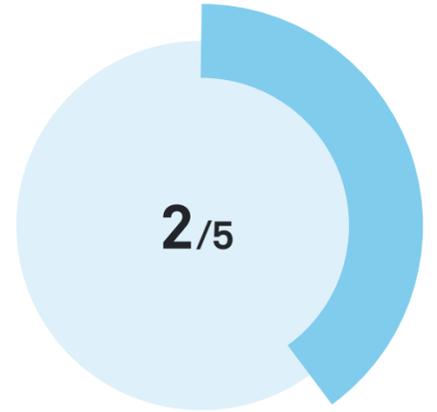
This section assessed whether the disposal of records is being carried out in a lawful and efficient manner, as part of a planned program.

2/5

Does the system enable records to be disposed of in a managed, systematic and auditable way?

0   5

System - Managed disposal

Disposal action for records in the system must be manually executed, (i.e., identified, decisions made about retention and disposal, and disposal action).

Explanation and justification
The system was not designed with disposal in mind. While some disposal actions would be easy to do, the metadata regarding them may not match requirements. Others may be more difficult.

Plans for action
Review the system against disposal requirements

Additional notes (optional)

Is the system's end of life planned, to ensure records will be protected and accessible for as long as they must be retained?

0   5

System - End of life

There is awareness that the system's end of life needs to be planned, to ensure records will be protected and accessible for as long as they must be retained. This is starting to be considered and planned.

Explanation and justification
Currently actively managing - as per previous response

Plans for action
Review the system against disposal requirements

Additional notes (optional)

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