INTERNATIONAL COUNCIL ON ARCHIVES

PRINCIPLES AND FUNCTIONAL REQUIREMENTS
FOR RECORDS IN ELECTRONIC OFFICE ENVIRONMENTS

RECORDKEEPING REQUIREMENTS
FOR BUSINESS SYSTEMS THAT DO NOT MANAGE RECORDS

OCTOBER 2013
INTERNATIONAL COUNCIL ON ARCHIVES


October 2013
## CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTRODUCTION</td>
<td>4</td>
</tr>
<tr>
<td>Business Systems</td>
<td>4</td>
</tr>
<tr>
<td>Records and Information</td>
<td>4</td>
</tr>
<tr>
<td>Business Systems that do not Manage Records</td>
<td>5</td>
</tr>
<tr>
<td>Scope of Functional Requirements</td>
<td>7</td>
</tr>
<tr>
<td>Audience</td>
<td>7</td>
</tr>
<tr>
<td>Related Standards</td>
<td>8</td>
</tr>
<tr>
<td>IDENTIFYING THE RECORDS</td>
<td>8</td>
</tr>
<tr>
<td>FUNCTIONAL REQUIREMENTS</td>
<td>9</td>
</tr>
<tr>
<td>Creation of Records</td>
<td>10</td>
</tr>
<tr>
<td>Managing and Maintaining Records</td>
<td>12</td>
</tr>
<tr>
<td>Import and Export of Records</td>
<td>14</td>
</tr>
<tr>
<td>APPENDIX – RELATIONSHIP BETWEEN THIS DOCUMENT AND THE ICA MODULE 3</td>
<td>15</td>
</tr>
</tbody>
</table>
INTRODUCTION

This document will assist business owners and implementers to build business systems that will manage information as proper evidence. The business systems are assumed to create records, but not to manage them over the long term. Instead, the records are exported shortly after creation to a separate electronic records management system.

Typically, this division of responsibilities is to avoid the business system from holding historical information. This can be desirable where the business system is a transactional system optimised to deal with a large volume of transactions.

The core of this document is section 3 that lists mandatory, conditional, and optional functional specifications for managing records. These specifications are written in a style such that they can be incorporated into requirements specifications.

The functional specifications are not complete. Instead, they focus on specific management functions that business owners often overlook when specifying systems. They do not include functions that are routinely included in business systems (e.g. access control), nor do they include the specific functions that are dependent on the business (e.g. the data formats used by the system).

The intended audience of this document is business owners and systems developers. It is not records professionals.

Business Systems

Business systems are defined as automated systems that create or manage data about an organisation’s activities. They include applications whose primary purpose is to facilitate transactions between an organisational unit and its customers – for example, an e-commerce system, client-relationship management system, purpose-built or customised database, or finance or human resources systems. Business systems are typified by containing dynamic data that is commonly subject to constant updates (timely), able to be transformed (manipulable) and holds current data (non-redundant).

This document is intended to be used to specify business systems that:

- Create or capture records
- Transfer the records to a records system to subsequently manage

Typically, this transfer of records is to avoid the need to dedicate the resources in the business system to managing the records once they were created, or to avoid implementing the necessary functionality.

Records and Information

Records are 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 more intuitive definition is that records are the subset of

---

1 International Standard on Records Management, ISO 15489.
information in the business system that needs to be maintained over time as evidence.

Evidence is used in a broader sense than just evidence used in a legal trial. Records are used to provide evidence for:

- Citizen or client entitlements (e.g. ownership of land, issue of licenses, rights to use services)
- Work undertaken (so that staff in the future can carry out further work).
- Actions and agreements in order to mount or defend legal action in the courts.
- Investigations into the actions of the organisation, such those carried out by internal or external auditors for senior management, an Ombudsman, the Auditor General, police, or a Royal Commission
- Historical understanding of what happened and why.

The reason for distinguishing between all of the information that a business system holds, and the subset of the information that form the records, is that this reduces the quantity of information that must be intensively managed.

Because of the important function of records, there is a range of requirements placed on organisations, particularly government agencies, in creating, managing and finally disposing of records. These requirements are imposed on organisations by parliament, by government, by standards, and by the management of an organisation. These requirements affect all records held by an agency, even those held within business systems.

Due to the dynamic and manipulable nature of business systems, the capture of fixed records and the ongoing management of their authenticity, reliability, usability, and integrity can be challenging. Organisations are therefore faced with a significant risk of mismanagement, inefficiency, and unnecessary expenditure.

**Business Systems that do not Manage Records**

The document is based on the assumption that the business system creates records, but does not manage the records after creation. The records are exported to a records system after creation for management and subsequent disposal.

Typically, this division of responsibilities is to avoid the resource cost of managing records in an operational business system (e.g. in a high volume transactional system), or to avoid implementing the necessary functions in the business system.

It is NOT assumed that records are exported to the records system immediately after creation. This implies that records may need to be managed within the business system for some period of time. The extent of the management functionality is a key determinate of the complexity of this specification. It was decided that the business system must ensure that the record retains its record status (i.e. cannot be deleted or modified in an unauthorized fashion). However, other recordkeeping functions (e.g. disposal, modification of metadata) will not be supported.
A business system would normally create many different records; typically a record would be created as a result of a business action (e.g. creation of a license, modification of an address, cancellation of a license). It is the responsibility of the business owner to identify the records that need to be captured.

Export can be either automatic (e.g. via an API), or manual (e.g. by the printing of reports and the manual filing into a records system).

The business system may or may not implement a classification structure – this depends on the business requirements. The recordkeeping requirements are that:

- When exporting, the records can be mapped to the classification structure used in the records system.
- The linkage between the business system and the classification(s) in the records system must be maintained after export so that subsequently created related records are placed in the same classification as the original record.

Several scenarios are accommodated by these requirements. These scenarios are:

- The business system is linked to a single classification in the records system (i.e. the business system supports only a single function/activity within an agency, or a single subject). In this case the business system can be configured to export the records to the classification and no specific metadata needs to be associated with each record. It would be good practice to make the linkage to the classification configurable so that it can be easily changed.
- The business system is linked to several classifications in the records system (i.e. the business system creates records that support several distinct functions/activities or subjects). In this case the business system must hold sufficient information to correctly associate each record with the correct classification.
- The business system supports a general classification structure. In this case, the business system must hold sufficient information to link the classification structure it uses with that of the records system. Changes in one classification structure must be either directly reflected in the other classification structure, or the mapping between the two must be updated.

A similar analysis applies to any implementation of an aggregation of records. The business system may or may not implement aggregation of records (e.g. records aggregated into files) depending on the business requirements. The recordkeeping requirements are that

- When exporting to the records system, the records can be mapped to the aggregation system used in the records system.
- The linkage between the business system and the aggregation(s) in the records system must be maintained after export so that subsequently created related records are placed in the same aggregation as the original record.

Several scenarios are accommodated by these requirements. These scenarios are:

- The business system is linked to a single aggregation in the records system (e.g. the business system supports only a single subject). In this case the
business system can be configured to export the records to the aggregation and no specific metadata needs to be associated with each record. It would be good practice to make the linkage to the aggregation configurable so that it can be easily changed. This scenario is considered to be unlikely.

- The business system is linked to multiple aggregations in the records system (i.e. the business system creates records that support several subjects). In this case the business system must hold sufficient information to correctly associate each record with the correct aggregation.

- The business system supports a specific aggregation structure (e.g. all records relating to a specific license are placed in a ‘file’ aggregation labelled with the license number). In this case, the business system must hold sufficient information to link the records it creates with the aggregation structure used in the records system. If the business system is the master then a mechanism must be in place to create the aggregation in the records system (e.g. when a new license is created in the business system, the ‘file’ aggregation is created in the records system to hold the records related to that license). Further function may also need to be integrated – for example renaming aggregations and closing aggregations.

**Modification of records.** Although the original record is exported and managed in the records system, it is necessary to consider the case where the information contained in the record is subsequently modified in the business system (e.g. an address is updated). Two possible scenarios are supported:

- A new record is created and exported to the records system and associated with the original record.

- The business system modifies the record in the records system. This requires some form of programmatic interface between the business system and the records system.

**Scope of Functional Requirements**

This set of functional requirements only addresses those requirements that are necessary to manage records and does not include

- General system functions (e.g. access control, reporting, searching)

- Specific functions necessary to support the business.

**Audience**

The primary audience for this document is staff responsible for designing, reviewing and/or implementing business systems in organisations, such as business analysts and groups overseeing information and communications technologies procurement or investment decisions.

The audience also includes records professionals, who are involved in advising or assisting in such processes, and software vendors and developers who wish to incorporate records functionality within their products.
Given the target audience for this document, the use of specific records management terminology has been kept to a minimum.

**Related Standards**

Under its Electronic Records and Automation Priority Area, the International Council on Archives has developed a suite of guidelines and functional requirements as part of the Principles and Functional Requirements for Records in Electronic Office Environments project:

- **Module 1: Overview and Statement of Principles** (ISO 16175-1:2010);
- **Module 2: Guidelines and Functional Requirements for Records in Electronic Office Environments** (ISO 16175-2:2011); and

This functional specification is based on Module 3. It is important to understand, however, that these functional requirements are intended to replace those in Module 3 when record keeping functionality is required for a particular implementation scenario (business systems based on database technologies, where the business system creates and manages the records). This set of functional requirements is intended to be a stand alone document that can be understood without reference to Module 3. It is also not intended as an explanatory guide to Module 3.

However, readers that are interested in a broader understanding of records and business systems are referred to Module 3. Appendix A of this document gives a mapping between the requirements in Module 3 and the requirements in this document.


**IDENTIFYING THE RECORDS**

A record is defined as 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. Not all information in a business system is a record (or part of a record). Consequently, by identifying the important records held within a business system it is possible to reduce the implementation and operational cost of managing records in a business system.

From the point of view of a designer or implementer of a business system, the purpose of identifying the records is to identify the subset of the information in the business system that must be formally managed in order to meet legal and other
requirements. Only managing a subset of the total information held by the business system in this way is expected to reduce the cost of the business system.

A specific process for identifying the records held within a business system is beyond the scope of this document. In outline, however, the process requires three steps.

*Step 1* – *determine the broad business functions and specific activities and transactions carried out, in full or in part, by the business system*

The result of this step will allow the identification of what records the business system needs to create and manage, how long the records need to be held and how they are to be disposed of.

*Step 2* – *for each function, activity and transaction or business process managed by the system, consider what evidence is required to be retained by the organisation*

The result of this step will allow the identification of what information comprises the records.

This business analysis should not just identify the information required for the immediate day-to-day operational needs, but should identify the information required by other parts of the organisation (e.g. management, compliance, and legal).

*Step 3* – *for each requirement for evidence, identify the content or data that make up the evidence*

The result of this step will allow the identification of the data held within the business system that forms the information that comprises the records.

It is recommended that this analysis should be carried out by the business owner in conjunction with the staff of the agency’s recordkeeping unit.

**FUNCTIONAL REQUIREMENTS**

This section contains the functional requirements for recordkeeping required of a business system.

In order to apply this section, the business system must satisfy the following requirements:

- The business system is linked to an electronic records system that will manage the records after creation.
- The functional requirements are divided into four broad areas:
  - Creation (capture) of records
  - Management of the records prior to export to the records system
  - Export of the records to the records system

Each of these sections commences with a short explanation of the goals the functions are attempting to achieve.
Creation of Records

In order for information to be evidence, it is necessary to be able to prove (in a court of law, if necessary) what the information was at any point in time. The key to creating a record, consequently, is the concept of ‘putting the information aside’ in a way that it is either not possible to subsequently modify the information, or, if it is modified, to record how it was modified, when it was modified, and who carried out the modification.

Requirements

<table>
<thead>
<tr>
<th>Record creation – business systems must</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
</tr>
<tr>
<td>----</td>
</tr>
<tr>
<td>1.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>2.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>3.</td>
</tr>
<tr>
<td>4.</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

---


4 That is, a robust connection inextricably linking the metadata and the digital record to which it relates.
### Record Creation – business systems must

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| 5. | Restrict the ability to amend record metadata, so that:  
• only selected metadata elements can be edited by any user during creation;  
• selected metadata elements can only be edited by an authorised user during creation; and  
• selected metadata elements can be edited by an authorised user.  
The restrictions may be specified in requirements or through configuration by a business system administrator. (Source: ICA Req 15) |

| 6. | The design of the business system must indicate how the records are to be assigned to record files in the record system (or other aggregations in the records system) when the records are exported. The business system must be able to:  
• Allow the re-assignment of records from one file to another by a business system administrator or other authorised user.  
• Ensure that records attached to a file remain correctly allocated following reclassification of that file, so that all structural links remain in place.  
• Ensure that details of any amendments made to the content of a file are captured and maintained in the relevant metadata profile.  
• Prevent the destruction or deletion of files at all times.  
Where the business system creates the files in the records system (e.g. by using an API), the business system must be able to:  
• Generate a unique identifier for each file that is created within the record system.  
• Allow the business system to configure the naming mechanisms for files.  
• Automatically record the time and date of creation for each file. (ICA Req 24) |

| 7. | The business system must contain sufficient information to associate records or aggregations of records with the classification system supported by the records system. (ICA Req 25 & 26) |

### Record Creation – a business system should

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td>Provide an application programming interface (or similar) to support integration with a records system to enable the records created or received by the BS to be exported to the records system. (ICA Req 5)</td>
</tr>
</tbody>
</table>

| 9. | Retain information about the reclassification of a record, or where applicable an aggregation of records. This information includes the original information. (ICA Req 22) |

### Record Creation – a business system may

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.</td>
<td>Allow the organisation to specify the format or pattern of the unique identifier, either through configuration or through specified requirements. (ICA Req 8)</td>
</tr>
</tbody>
</table>

| 11. | Be required to convert an electronic record during the course of the capture process from its original format to a format compatible with the records system. (ICA Req 9, 9.1). Where the BS supports the conversion of electronic records from their original formats as part of the capture process, it must ensure that the context, content, and structure of the original record format are retained and that relevant requirements for conversion are adhered to. (Noting the usual audit trail requirements for systems. This requirement also applies to format conversion undertaken as part of a bulk import process, as described in Requirement 54. ‘Structure’ is used in the records management sense of the relationship between the component parts of the record, as opposed to data storage structures within a particular system.) |
Record Creation – a business system may

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| 12. | Support the naming of electronic records, either:  
• by the manual entry of names by users; or  
• through an automatic naming process pre-defined by the business system administrator or through specified requirements.  
Where the BS supports the naming of electronic records, it should provide features to support the process of naming of electronic records. For example:  
• an automated spell check; or  
• a warning if a user attempts to create a record using a name that already exists within the business system. (ICA req 10) |
| 13. | Support the aggregation of records (e.g. files) (ICA Req 24)  
Where the business system supports aggregation of records, it must:  
• Be able to generate a unique identifier for each aggregation of records defined by the system.  
• Be able to automatically record the time and date of creation of an aggregation of records.  
• Allow a business system administrator to configure the naming mechanisms for aggregations of records.  
• Allow the re-assignment of records from one aggregation of electronic records to another by a business system administrator or other authorised user.  
• Ensure that records attached to an aggregation of records remain correctly allocated following reclassification of that aggregation of records, so that all structural links remain in place.  
• Ensure that details of any amendments made to the content of an aggregation of records are captured and maintained in the relevant metadata profile.  
• Prevent the destruction or deletion of aggregations of records at all times, except as specified in Section 3.4: Retaining and disposing of records as required.  
• Ensure that any disposition action applied to an aggregation of electronic records is carried out on all the records that comprise the aggregation. |

Managing and Maintaining Records

Once records have been created, they must be managed and maintained until they are exported to the records system.

The length of time the business system needs to manage and maintain the records depends on the method of integrating the business system into the records system. Where, for example, the record is exported upon creation to the records system via an API, the business system has no need to manage or maintain the record. On the other hand, where periodically exported to the records system, the business system must manage and maintain the records for the period they are held in the business system. However, it is not intended that a business system should implement significant record management functionality. Instead, the focus will be on maintaining the records as records until they can be exported to a records system.

Records must be managed to ensure they have the following characteristics:9

- **Authenticity** – the record can be proven to be what it purports to be, to have been created or sent by the person that created or sent it, and to have been created or sent at the time purported.
- **Reliability** – the record can be trusted as a full and accurate representation of the transactions to which they attest, and can be depended on in the course of subsequent transactions.

---

8 The identifier must be unique within the system. If a records aggregation is to be exported beyond the system, the identifier may need to be unique within the organisation, for example, by adding a prefix to it.
9 These are taken from ISO 15489.1 Records Management, Section 7.2 Characteristics of records.
- **Integrity** – the record is complete and unaltered, and protected against unauthorised alteration. This characteristic is also referred to as 'inviolability'.

- **Usability** – the record can be located, retrieved, preserved, and interpreted.

The functional requirements in this section assist in ensuring that the records held by a business system retain these characteristics.

However, the functional requirements detailed below are not sufficient to ensure that records in business systems have all these characteristics. Normal system controls over access and security support the maintenance of authenticity, reliability, integrity, and usability, and therefore should be appropriately implemented. However, as noted in Section 1, as this functionality is common to business systems, these have not been included in the functional requirements below.

A risk assessment should be carried out to inform business decisions of how rigorous the controls need to be. For example, in a high-risk environment, it may be necessary to prove exactly what happened, when and by whom. This links to the system's permissions and audit logging to prove that approved actions are undertaken by authorised people.

### Requirements

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>14.</td>
<td>The business system must prevent the destruction of the record (including its metadata) except when destruction takes place as part of an authorised disposal activity. (ICA Req 27)</td>
</tr>
</tbody>
</table>
| 15. | Where records can be modified before export to the records system, the business system must document all modifications (including modifications to metadata and linkages to other information). The documentation must record:  
  - sufficient information to determine the previous value of the record  
  - the result of the modification  
  - who performed the modification  
  - the date and time the modification was performed  
  The documentation of alterations itself must be secure against tampering. (It is understood that in normal business systems it is generally impossible to absolutely prevent tampering by a user with direct administrator access to the database tables.) |
| 16. | Where records can be modified after they have been exported, the modification is to be considered a new record, and this new record must be exported to the records system and associated with the original record. If the new record contains all of the information in the original record (including all the information discussed in the previous requirement), the new record can replace the original record in the records system. |
| 17. | The business system must be capable of reporting on the execution of all recordkeeping functionality over a specified period. The functionality to be reported on is  
  - Creation of records  
  - Export of records to the records system  
  - Modification of records (including the modification of associated metadata or linkages)  
  - Migration of record content from one format to another (including the set-up details and the results)  
  - Disposal of records  
  (ICA Req 43, 44) |
Managing and maintaining – a business system may

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>18.</td>
<td>Be able to produce statistical information about records captured and maintained by the system, such as the number and location of records by application type and version. (ICA Req 45)</td>
</tr>
<tr>
<td>19.</td>
<td>Be capable of closing a record. In this case, the metadata associated with the record must record the closure date/time.</td>
</tr>
</tbody>
</table>

Import and Export of Records

The ability to export records from the business system to a records system is a critical requirement in this scenario as the business system does not support functions to manage records after creation.

Requirements

<p>| Managing and maintaining – a business system must |</p>
<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>20.</td>
<td>The business system must be able to export all electronic records (including associated metadata, aggregations of records, and audit records) to a records system. Be able to export all the types of records it can capture, regardless of format or the presence of the generating application. Ensure that any export action is documented. (ICA Req 56, 57, 59, 61)</td>
</tr>
</tbody>
</table>
| 21. | Be able to export electronic records, and where applicable aggregations of electronic records, in one sequence of operations such that:  
  - the content and structure of electronic records, and where applicable aggregations of electronic records, are not degraded;  
  - associations are retained between exported electronic records and their associated metadata; and  
  - relationships are maintained between exported components of an electronic record, between exported electronic records, and where applicable aggregations of electronic records, so that their structural links can be re-built in the receiving system. (ICA Req 58) |
| 22. | Allow records to be exported more than once. Note that while a business decision may be made to delete information in the system after export, the purpose of this requirement is to ensure that the system itself does not limit the export process. (ICA Req 60) |

Record Creation – a business system should

<table>
<thead>
<tr>
<th>No</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>23.</td>
<td>Ensure that the export is documented both in the business system and in the records that are exported (ICA Req 61)</td>
</tr>
</tbody>
</table>
APPENDIX – RELATIONSHIP BETWEEN THIS DOCUMENT AND THE ICA MODULE 3

Some of the functional requirements in the Principles and Functional Requirements for Records in Electronic Office Environments Module 3: Overview and Statement of Principles (ISO 16175-1:2010) have not been included in the functional requirements in this document. This section briefly lists these requirements and the reasons they have not been included. Note that the requirement number references the ICA numbers.

Requirement 1. This is a general requirement that has been replaced by more concrete requirements.

Requirements 2 and 3. It is assumed that the business analysis has identified the information that the business system must capture and manage, including sources and formats of the information. If the business system fulfils its business requirements, it will automatically fulfil the ICA requirements 2-3. The critical requirement is to ensure that the identified records are captured from this information.

Requirement 6. The function of being able to store electronic records in their native format will be governed by the business analysis, primarily depending on the use of the record outside the business system. It is consequently not considered a recordkeeping requirement in this document.

Requirement 7. The number of records that the system can store will be governed by the business analysis. It is consequently not considered a recordkeeping requirement in this document.

Requirement 10.2. Restricting the ability to modify the name of a record is considered to be governed by the business analysis.

Requirement 13. The source of the information/metadata associated with each record will be governed by the business analysis. It is good practice to capture as much of the metadata as possible automatically to minimise rekeying.

Requirement 16. Supporting the ability to override metadata depending on the organisation of the records is governed by the business analysis.

Requirement 17. While this requirement is desirable if the business system supports either aggregation or classification, these requirements should be driven by business need, not a recordkeeping specification.

Requirement 18. The ongoing management of records is the responsibility of the records system, hence this requirement is not required.

Requirement 19. The requirement to be able to capture metadata manually entered by the user is governed by the business analysis.

Requirement 20. The requirement to support customised metadata fields, selected metadata sets for particular record types, and customised obligation levels for metadata elements is governed by the business analysis.
Requirement 21. The requirement to allow user entered descriptions of records or aggregations of records is governed by the business analysis.

Requirement 22. The requirement to retain information in the history of a record or aggregation of records when the history or aggregation is reclassified is more properly in the managing and maintaining records section.

Requirement 23. The requirement to support the assignment of default values for metadata elements upon record creation is governed by the business analysis.

Requirement 24. The organisation of records within a particular business system is described by the database schema. This schema may describe a physical or logical hierarchical aggregation of records. It may, on the other hand, describe a more complex structure, such as multiple hierarchies. In any case, from a recordkeeping perspective, aggregations allow the management of groups of records, and so are more properly examined in the managing and maintaining records section.

Requirements 25 and 26. It is assumed that the business system supports one function/activity within an organisation. Hence, support of a classification system within the business system is not required.

Requirements 28-38. The minimum metadata to be associated with each record is controlled by this recordkeeping plan. Any further metadata will be governed by the business analysis. Requirements concerning metadata are consequently not considered a recordkeeping requirement in this document.

Requirements 39-42. The functionality of reassigning/reclassification, duplication, extraction, or redaction of records is assumed to be carried out by the records system. They are not considered to be a recordkeeping requirement in this document.

Requirements 46-52. It is assumed that the business system will not use online security processes including encryption of record contents; the use of digital signatures to sign external traffic; and supporting authentication.

Requirements 53-55. It is assumed that the initial bulk loading of the business system (e.g. from the superseded system) will be governed by a business analysis.