

Functional Requirements for Recordkeeping Systems
~ DRAFT ~
Last Revised June 28, 2001

1. The system shall be compliant.

The system meets legal and administrative requirements, national and international standards, and best practices for recordkeeping.

2. The system shall be accountable and reliable.

- a) System policies and procedures are defined and documented.
- b) The performance and reliability of system hardware and software are regularly tested.
- c) The system includes quality control mechanisms to ensure that consistent and accurate business records are created.
- d) The system maintains audit trails for all business processes, including activities relating to the creation, updating or revision, deletion, and access and use of records.

3. The system shall capture all business records and essential metadata.

- a) The system creates or captures a business record for all defined business functions and activities.
- b) Whenever possible, the system captures records in the context of automated business process or workflow models.
- c) The system maintains a logical relationship or a physical link between the record and the business transaction it documents.
- d) The system captures all essential metadata describing content and structure of the business record and the context of its creation.
- e) The system allows for the import of and linkage to other business records related to the business process or transaction.

4. The system shall maintain secure and inviolate records.

- a) The system maintains inviolate business records that are protected from accidental or intentional alteration and from deletion while the record still has value.
- b) The system controls access to the business records according to well-defined criteria.
- c) The system allows only authorized personnel to create, capture, update or purge records.

5. The system shall ensure access to and use of business records for current business and future research needs.

- a) The system ensures that business records can be easily accessed and retrieved in a timely manner in the normal course of all business processes or for reference or secondary uses.
- b) The system ensures that all components of a record, including relevant metadata, notes,

- attachments, etc., can be accessed, displayed and managed as a unit or as a complete record of a business transaction.
- c) The system ensures that records of similar or like transactions are logically and physically organized in a coherent filing system.
 - d) The system ensures that business records, including relevant metadata, notes, attachments, directories etc., can be converted or migrated to new system hardware, software and storage media without loss of any vital information.
 - e) The system maintains basic system documentation and audit trails of system modifications as long as they are required to facilitate continued access to business records.

6 The system shall include an automated, schedule-driven disposition management plan.

- a) The system maintains and implements, in many cases automatically, a schedule-driven disposition management plan that controls and monitors activities related to the disposal, retention and preservation of business records throughout their life cycle.
- b) The system provides for the automated retention of records with long-term value in accordance with authorized and approved records retention schedules.
- c) The system provides for the automated destruction of records in accordance with authorized and approved retention schedules.
- d) The system provides for the notification and approval of designated personnel in advance of disposition activities.
- e) The system provides for the interruption of disposition activities on records or classes of records that have been or are expected to become the subjects of litigation.