Phase 2 Approval requirements

Module 1
Stakeholder identification and agreement

1. EXISTING PROCEDURES
Are there existing procedures documenting the business process and approval requirements?

- YES
  - Refer to relevant procedures and add any specific requirements for the digital approval.

- NO
  - Refer to the applicable approval delegations for any specific requirements that need to be included in the digital approval.

2. DELEGATION
Are there specific approval delegations that apply to the business process?

- YES
  - Refer to the applicable approval delegations for any specific requirements that need to be included in the digital approval.

- NO

Electronic Transactions Act 1999 requirements

3. IDENTIFICATION
Can each stakeholder [or entity] sending, receiving and actioning the approval be clearly identified?

- YES
  - Document the method for identifying each stakeholder or entity.

- NO
  - Implement controls for identifying individuals and or entities involved in the approval process.

4. CONSENT
Do all the stakeholders involved in the approval process agree to sending, receiving and managing the approval digitally?

- YES
  - Document stakeholder agreement and retain with associated approval in a compliant information management system.

- NO
  - Obtain agreement from applicable non-Australian Government stakeholders to conduct the approval process digitally before proceeding.

5. APPROVAL INTENT
Can approval intent from the approver/s and the information or data subject to approval be clearly identified?

- YES
  - Document method for identifying approval intent and the information or data subject to approval.

- NO
  - Implement controls for identifying approval intent and the information or data subject to approval before proceeding.

Continue to Module 2
- Security & Access
**Phase 2 Approval requirements**

1. **ROLE-BASED ACCESS CONTROL**
   Does the requestor or approver need to be in a specific position to carry out an approval action?
   - **YES**: Identify and document the applicable position details and controls required to carry out the approval.
   - **NO**: Continue to Module 2 – Security and Access

2. **PRIVACY**
   Does the approval involve classified, sensitive or personal information or data that require extra protection?
   - **YES**: Ensure the approval process meets the requirements of the Australian Privacy Principles and any agency specific requirements. Document the details of information or data that requires extra protection.
   - **NO**: Continue to Module 3 – Business requirements

3. **SECURITY CLASSIFICATION**
   Does the approval process involve information or data subject to security classifications or dissemination limiting markers (DLM)?
   - **YES**: Refer to your agency’s security policy and procedures for specific guidance, or speak with your ICT security adviser. Document details of information or data subject security classification or DLMs.
   - **NO**: Continue to Module 2 – Security and Access
**Phase 2 Approval requirements**

1. **APPROVAL REVOCATION**
   - Do you need a mechanism in place for revoking the approval?
   - **YES**
     - Document the need for the approval to be revoked if necessary as a functional requirement for the digital process.
   - **NO**

2. **MULTIPLE APPROVERS**
   - Is approval required from multiple stakeholders?
   - **YES**
     - Document the need for approval by multiple stakeholders as a functional requirement for the digital process.
   - **NO**

3. **REPORTING**
   - Will the status or outcome of the approval need to be reported?
   - **YES**
     - Document the need for the reporting of approval status or outcomes as a functional requirement for the digital process.
     - Consider existing reporting procedures and align where appropriate.
   - **NO**

4. **NOTIFICATION**
   - Is there a need for users to be alerted when a part of the approval process requires their action?
   - **YES**
     - Document the need for notification of users when their action is required as a functional requirement for the digital process.
   - **NO**

5. **OUTSOURCING**
   - Can the approval process be entirely managed within your agency?
   - **NO**
     - If managed outside your agency, ensure the approval and associated information or data is appropriately controlled.
   - **YES**
     - Document details of the approval process.

Continue to Module 4 – Information Management
Phase 2 Approval requirements

1. SYSTEM FUNCTIONALITY
   Will the approval and associated information or data be kept in either an electronic document records management system (EDRMS) or in a compliant information management system?
   - NO: Implement appropriate controls for managing the approval and associated information or data in the current system or integrate with a compliant information management system.
   - YES: Document the system and relevant file references.

2. ENCRYPTION
   Will the approval and associated information or data be encrypted?
   - NO: You may need to manually link or relate information or data supporting the approval.
   - YES: Ensure the policy and procedures for encryption and decryption are documented and align with the Information Security Manual.

3. MULTIPLE SOURCES OF INFORMATION
   If the approval process involves multiple sources of information or data, can the approval request, final approval and the information or data subject to approval be clearly linked?
   - NO: Consider how access to the authoritative version of the information or data can be made available for all stakeholders.
   - YES: Ensure all information or data supporting the approval can be linked throughout the approval process.

4. ACCESS TO AUTHORITATIVE INFORMATION
   Will all relevant stakeholders have access to the authoritative version of the information or data subject to approval?
   - NO: Identify level of event logging and auditing functionality required or consider available risk mitigations.
   - YES: Document the details of the authoritative version and any relevant file references.

5. EVENT LOGGING AND AUDITING
   Can the system or location where the approval is being made track actions and events on the approval and associated information or data?
   - NO: Define an appropriate method for applying disposal practices to the approval and associated information or data between the business and information management areas.
   - YES: Document what functionality the system or location has to track actions and events related to the approval and associated information or data.

6. DISPOSAL REQUIREMENTS
   Can you apply current disposal practices to the approval and associated information or data when required?
   - NO: Apply disposal action/s in accordance with business and agency requirements, and the applicable records authority issued by the National Archives.
   - YES: Continue to Phase 3 – Approval method selection