# NAA
**NATIONAL ARCHIVES OF AUSTRALIA**

DIGITAL
AUTHORISATIONS
FRAMEWORK

**BUILDING
TRUST
IN THE PUBLIC
RECORD**

## PHASE 2 APPROVAL REQUIREMENTS

| MODULE 1 Stakeholder identification and agreement | MODULE 2 Security and Access | MODULE 3 Business requirements | MODULE 4 Information management |
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### MODULE 1 — Stakeholder identification and agreement

**Q1. Existing procedures**

Are there existing procedures documenting the business process and approval requirements?

**Q2. Delegation**

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

*Electronic Transactions Act 1999 requirements*

**Q3. Identification**

Can each stakeholder (or entity) sending, receiving and actioning the approval be clearly identified?

**Q4. Consent**

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

**Q5. Approval intent**

Can approval intent from the approver(s) and the information or data subject to approval be clearly identified?

### MODULE 2 — Security and Access

**Q1. Role-based access control**

Does the requestor or approver need to be in a specific position to carry out an approval action?

**Q2. Privacy**

Does the approval involve classified, sensitive or personal information or data that requires extra protection?

**Q3. Security Classification**

Does the approval process involve information or data subject to security classification or dissemination limiting markers (DLM)?

### MODULE 3 — Business requirements

**Q1. Approval revocation**

Do you need a mechanism in place for revoking the approval?

**Q2. Multiple approvers**

Is approval required from multiple stakeholders?

**Q3. Reporting**

Will the status or outcome of the approval need to be reported?

**Q4. Notification**

Is there a need for users to be alerted when part of the approval process requires their action?

**Q5. Outsourcing**

Can the approval process be entirely managed within your agency?

### MODULE 4 — Information management

**Q1. System functionality**

Will the approval and associated information and data be kept in either an electronic document records management system (EDRMS) or in a business system with compliant information management functionality?

**Q2. Encryption**

Will the approval and associated information or data be encrypted?

**Q3. Multiple sources of information**

If the approval process involves multiple sources of information or data, can the approval request, final approval and the information subject to approval be clearly linked?

**Q4. Access to authoritative information**

Will all relevant stakeholders have access to the authoritative version of the information or data subject to approval?

**Q5. 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?

**Q6. Disposal requirements**

Can you apply current disposal practices to the approval and associated information or data when required?