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Information and documentation -- Records management -- Part 1: General

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Information et documentation -- Records management -- Partie 1: Principes directeurs
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INTERNATIONAL STANDARD

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Part 1:
General

Information et documentation — «Records management»
Partie 1: Principes directeurs

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this part of ISO 15489 may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 15489-1 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO 15489 consists of the following parts, under the general title *Information and documentation — Records management*:

— *Part 1: General*

— *Part 2: Guidelines* [Technical Report]

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Introduction

The standardization of records management policies and procedures ensures that appropriate attention and protection is given to all records, and that the evidence and information they contain can be retrieved more efficiently and effectively, using standard practices and procedures.

This part of ISO 15489 was developed in response to consensus among participating ISO member countries to standardize international best practice in records management using the Australian Standards AS 4390, *Records management* as its starting point.

This International Standard is accompanied by a Technical Report (ISO/TR 15489-2) that is recommended for use with it. ISO/TR 15489-2 provides further explanation and implementation options for achieving the outcomes of this International Standard. It also includes a bibliography.

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Information and documentation — Records management —

Part 1:
General

1 Scope

This part of ISO 15489 provides guidance on managing records[1] of originating organizations, public or private, for internal and external clients.

All the elements outlined in this part of ISO 15489 are recommended to ensure that adequate records are created, captured and managed. Procedures that help to ensure the management of records according to the principles and elements outlined in this part of ISO 15489 are provided in ISO/TR 15489-2 (Guidelines).

This part of ISO 15489

⎯ applies to the management of records, in all formats or media, created or received by any public or private organization in the conduct of its activities, or any individual with a duty to create and maintain records,

⎯ provides guidance on determining the responsibilities of organizations for records and records policies, procedures, systems and processes,

⎯ provides guidance on records management in support of a quality process framework to comply with ISO 9001 and ISO 14001,

⎯ provides guidance on the design and implementation of a records system, but

⎯ does not include the management of archival records within archival institutions.

This part of ISO 15489 is intended for use by

⎯ managers of organizations,

⎯ records, information and technology management professionals,

⎯ all other personnel in organizations, and

⎯ other individuals with a duty to create and maintain records.

2 Normative references

The following normative documents contain provisions which, through reference in this text, constitute provisions of this part of ISO 15489. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this part of ISO 15489 are encouraged to investigate the

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1) In some countries, the management of records also applies to archives management. Archives management is not covered in this part of ISO 15489.

1

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possibility of applying the most recent editions of the normative documents indicated below. For undated references, the latest edition of the normative document referred to applies. Members of ISO and IEC maintain registers of currently valid International Standards.

ISO 5127:—[2], *Information and documentation — Vocabulary*

ISO 9001, *Quality management systems — Requirements*

ISO 14001, *Environmental management systems — Specification with guidance for use*

3   Terms and definitions

For the purposes of this part of ISO 15489, the following terms and definitions apply. For terms not included here, see ISO 5127.

3.1
access
right, opportunity, means of finding, using, or retrieving information

3.2
accountability
principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others

3.3
action tracking
process in which time limits for actions are monitored and imposed upon those conducting the business

3.4
archival authority
archival agency
archival institution
archival programme
agency or programme responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records

3.5
classification
systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system

3.6
classification system

SEE **classification** (3.5)

3.7
conversion
process of changing records from one medium to another or from one format to another

SEE **migration** (3.13)

3.8
destruction
process of eliminating or deleting records, beyond any possible reconstruction

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2)   To be published. (Revision of all previous parts of ISO 5127)

3.9
disposition
range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments

3.10
document, noun
recorded information or object which can be treated as a unit

3.11
indexing
process of establishing access points to facilitate retrieval of records and/or information

3.12
metadata
data describing context, content and structure of records and their management through time

3.13
migration
act of moving records from one system to another, while maintaining the records' authenticity, integrity, reliability and useability

SEE **conversion** (3.7)

3.14
preservation
processes and operations involved in ensuring the technical and intellectual survival of authentic records through time

3.15
records
information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business

3.16
records management
field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records

3.17
records system
information system which captures, manages and provides access to records through time

3.18
registration
act of giving a record a unique identifier on its entry into a system

3.19
tracking
creating, capturing and maintaining information about the movement and use of records

3.20
transfer
⟨custody⟩ change of custody, ownership and/or responsibility for records

3.21
transfer
⟨movement⟩ moving records from one location to another