# SLOVENSKI STANDARD
## SIST-TP ISO/TR 15489-2:2005

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**Informatika in dokumentacija – Upravljanje zapisov – 2. del: Smernice**

Information and documentation -- Records management -- Part 2: Guidelines

Information et documentation -- << Records Management >> -- Partie 2: Guide pratique

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# TECHNICAL
# REPORT

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# 15489-2

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# Information and documentation — Records management —

Part 2:
## Guidelines

*Information et documentation — «Records management» —*
*Partie 2: Guide pratique*

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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.

In exceptional circumstances, when a technical committee has collected data of a different kind from that which is normally published as an International Standard ("state of the art", for example), it may decide by a simple majority vote of its participating members to publish a Technical Report. A Technical Report is entirely informative in nature and does not have to be reviewed until the data it provides are considered to be no longer valid or useful.

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/TR 15489-2 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO/TR 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

This part of ISO 15489 provides guidelines that are supplementary to ISO 15489-1. Both ISO 15489-1 and this part of ISO 15489 apply to records in any format or media, created or received by any public or private organization during the course of its activities. Thus, in this part of ISO 15489, unless otherwise noted, systems may be interpreted as paper/manual or electronic, and a document may be either paper, microform or electronic.

ISO 15489-1 specifies the elements of records management and defines the necessary results or outcomes to be achieved. This part of ISO 15489 provides one methodology for implementation. However, it should be noted that national standards and legislation and regulation may dictate other factors and requirements for legal compliance.

In addition to using this part of ISO 15489, those seeking to implement the standard should consult requirements and guidance of national standards and legislation and regulation that apply in their jurisdictions. In addition, a variety of professional societies and associations have resources available to assist in the implementation of ISO 15489-1.

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# Information and documentation — Records management —

## Part 2:
## Guidelines

## 1  Scope

This part of ISO 15489 is an implementation guide to ISO 15489-1 for use by record management professionals and those charged with managing records in their organizations. It provides one methodology that will facilitate the implementation of ISO 15489-1 in all organizations that have a need to manage their records. It gives an overview of the processes and factors to consider in organizations wishing to comply with ISO 15489-1.

## 2  Policies and responsibilities

### 2.1  Introduction

ISO 15489-1:2001, clause 6 sets out, in general terms, the need for organizations seeking to comply with it to have a records management policy in place and to define and assign records-related responsibilities to individuals. This part of ISO 15489 provides additional guidance on records management policies and expands on the types of responsibilities to be defined and assigned.

### 2.2  Records management policy statements

Organizations should define and document policies for records management and should ensure that the policies are implemented and maintained at all levels in the organization.

A records management policy statement is a statement of intentions. It sets out what the organization intends to do and, sometimes, includes an outline of the programme and procedures that will achieve those intentions. However, a policy statement on its own will not guarantee good records management: critical to its success are endorsement and active and visible support by senior management and the allocation of the resources necessary for implementation. An effective policy statement will, therefore, identify a senior member of staff with lead responsibility for records management and for overseeing policy and programme implementation.

The policy statement should refer to other policies relating to information, for example, on information systems policy, information security or asset management, but should not seek to duplicate them. It should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other documents that together make up the records management regime.

Support and endorsement of the policy by all employees should be encouraged at all times. It is particularly important that the policy obliges all employees to create and maintain records that meet the legal, regulatory, fiscal, operational, and archival/historical needs of the organization. Monitoring of compliance with the policy is also important.

### 2.3  Responsibilities

#### 2.3.1  Objectives of defining responsibilities and authorities

The overriding objective of defining responsibilities, authorities and inter-relationships is to establish and maintain a records management regime that meets the needs of internal and external stakeholders.

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More specifically, the definition of responsibilities, authorities and inter-relationships should put in place standard practices or business rules that:

a) require employees to create records according to the business needs and business processes that adequately document the business activities in which they take part;

b) ensure that information and processing systems that support business activities create appropriate records as part of supporting those activities;

c) ensure the transparency of record processes and the adequacy of records systems throughout the active life of the records (records that are needed to perform current operations and that are subject to frequent use are usually located near the user, if it is a physical record, or online via a computer system);

d) ensure that records are maintained, stored and preserved for the period of their usefulness to the organization and, if appropriate, to external stakeholders such as archival institutions, researchers and auditors; and

e) ensure that records are disposed of only in accordance with a defined approval process.

### 2.3.2 Authorities and responsibilities within the organization

An organization should define the authorities and responsibilities of all employees involved in records management. These are likely to include the following categories.

a) Senior management should be assigned the highest level of responsibility for ensuring a successful records management programme. Senior management support is translated into the allocation of resources at a lower level. It promotes compliance with records management procedures throughout the organization.

b) Records management professionals have primary responsibility for the implementation of ISO 15489-1. In particular, they establish the overall records management policies, procedures, and standards for the organization and implement the processes outlined in ISO 15489-1:2001, clause 4.

c) Managers of business units or organizational groupings are responsible for ensuring that their staff create and keep records as an integral part of their work and in accordance with established policies, procedures and standards. They provide the resources necessary for the management of records and liaise with records management professionals on all aspects set out in ISO 15489-1:2001, clause 4.

d) Others in the organization have specific records-related duties. They include, in particular, staff responsible for security, staff responsible for designing and implementing systems using information and communication technologies, and staff responsible for compliance.

e) All staff create, receive and keep records as part of their daily work, and should do so in accordance with established policies, procedure and standards. This includes disposing of records only in accordance with authorized disposition instruments.

Where contractors carry out the organization's records management programme, it is important to ensure that they meet the standards laid down in the organization's policies.

## 3 Strategies, design and implementation

### 3.1 Introduction

ISO 15489-1:2001, clause 8 describes the essential characteristics of records systems and provides a framework for their implementation. This clause amplifies ISO 15489-1:2001, subclause 8.4 only. It provides some guidance on designing and implementing systems for managing records.

### 3.2 Design and implementation of a records system

#### 3.2.1 General

It should be noted that the steps in this process are expansions of the general descriptions provided in ISO 15489-1:2001, subclause 8.4 and that Step A is linked to item a), Step B to item b) and so on.
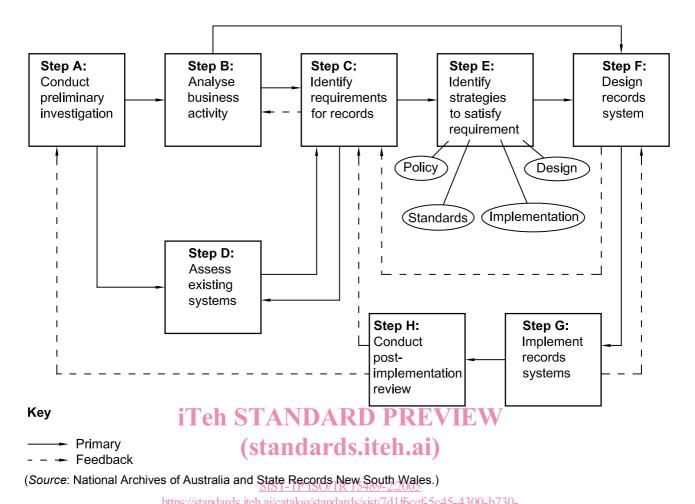
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Key

⟶ Primary

- - ► Feedback

(*Source*: National Archives of Australia and State Records New South Wales.)

**Figure 1 — Design and Implementation of Records Systems (DIRS)**

### 3.2.2 Step A: Preliminary investigation

The purpose of Step A is to provide the organization with an understanding of the administrative, legal, business and social contexts in which it operates so that it can identify the major factors that influence its need to create and maintain records.

Step A will also provide a general appreciation of an organization's strengths and weaknesses in managing its records. It represents a sound basis for defining the scope of a records project and presenting a business case for managerial support.

The preliminary investigation is needed to make effective decisions about an organization's records systems. It will help define records problems within an organization, and assess the feasibility and risks of various potential responses.

Step A is an important precursor to the compilation of a business classification scheme and the development of functions-based processes for deciding what records need to be captured and how long they should be retained. In conjunction with the two subsequent steps, B and C, the preliminary investigation will also help assess the organization's responsibility for records and its compliance with external requirements to create and keep records. It is also a useful basis for assessing existing systems.

### 3.2.3 Step B: Analysis of business activity

The purpose of this step is to develop a conceptual model of what an organization does and how it does it. It will demonstrate how records relate to both the organization's business and its business processes. It will contribute to decisions in subsequent steps about the creation, capture, control, storage and disposition of records, and about access to them. This is particularly important in an electronic business environment where adequate records will not be captured and retained unless the system is properly designed. This step provides the tools to undertake and document the business analysis in a systematic way and to make best use of its results.

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An analysis of business activity and processes will provide an understanding of the relationship between the organization's business and its records.

The products coming from this step may include

a) documentation describing the organization's business and business processes,

b) a business classification scheme that shows the organization's functions, activities and transactions in a hierarchical relationship, and

c) a map of the organization's business processes that shows the points at which records are produced or received as products of business activity.

The analysis provides the basis for developing records management tools, which may include

a) a thesaurus of terms to control the language for titling and indexing records in a specific business context, and

b) a disposition authority that defines the retention periods and consequent disposition actions for records.

The analysis will also help in identifying and implementing appropriate metadata strategies and in formally assigning responsibilities for keeping records.

### 3.2.4   Step C: Identification of requirements for records

The purpose of this step is to identify an organization's requirements to create, receive and keep records of its business activities, and to document the requirements in a structured and easily maintainable form. Keeping the appropriate records facilitates the proper conduct of business. It ensures that individuals and organizations are accountable for their actions in matters of law and administration. It also ensures that they are accountable to business and related interest groups, internal and external, and sensitive to their needs and expectations.

These requirements for records are identified through a systematic analysis of business needs, legal and regulatory obligations and any broader responsibilities to the community. An assessment of an organization's exposure to risk, if records are not created and kept, will also help identify requirements. The step also provides the rationale for the creation, maintenance and disposition of records, the basis for designing systems that will capture and maintain records, and the benchmark for measuring the performance of existing systems.

Some of the products that may emerge from the completion of this step include

a) a list of all sources containing records requirements relevant to the organization,

b) a list of the regulatory, business and any more general community requirements to keep records,

c) a risk assessment report endorsed by management, and

d) a formal document for management and staff that sets out the organization's requirements to keep records.

### 3.2.5   Step D: Assessment of existing systems

The purpose of this step is to survey an organization's existing systems for records and any other information systems to measure the extent to which they capture and maintain records of business activities. The assessment will help to reveal any gaps between an organization's agreed requirements for records and the performance and capabilities of its existing systems. This will provide the basis for developing new systems or redesigning existing systems to meet the need for records that have been identified and agreed in previous steps.

Products from this step may include

a) an inventory of the organization's existing business systems, and

b) a report outlining the extent to which they address the organization's agreed requirements for records.

#### 3.2.6    Step E: Identification of strategies for satisfying records requirements

The purpose of this step is to determine the most appropriate policies, procedures, standards, tools and other tactics that an organization should adopt to ensure that it makes and keeps the necessary records of its business activity. The choice of strategies may take into account

a)    the nature of an organization including its goals and history,

b)    the type of business activities it carries out,

c)    the way it conducts business activities,

d)    its supporting technological environment,

e)    the prevailing corporate culture, and

f)    any external constraints.

Selection will also be influenced by the potential of each strategy to achieve its desired result and the risk to the organization if the approach fails.

In some cases, archival authorities may help to develop record strategies.

Strategies might include

a)    adopting policies and procedures,

b)    developing standards,

c)    designing new system components, or

d)    implementing systems,

in a way that satisfies the identified requirements to keep and maintain records.

When this step is complete, there will be a planned, systematic and appropriate approach to the creation, capture, maintenance, use and preservation of records that will provide the basis for the design or redesign of the records system.

Products coming from this step are likely to include

a)    a list of strategies that will satisfy the organization's requirements for records while meeting its other business needs,

b)    a model that maps strategies to requirements, and

c)    a report for senior management recommending an overall design strategy.

#### 3.2.7    Step F: Design of a records system

This step involves converting the strategies and tactics selected in Step E into a plan for a records system that fulfils the requirements identified and documented during Step C and remedies any organizational records management deficiencies identified during Step D.

Step F, like the other steps in this methodology, adopts a broad definition of systems, encompassing people and processes as well as tools and technology. Therefore, this step is likely to involve

a)    designing changes to current systems, processes and practices,

b)    adapting or integrating technological solutions, and

c)    determining how best to incorporate these changes to improve the management of records across an organization.