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Information and documentation — Guidelines for standards drafters for stating records management requirements in standards

Information et documentation — Lignes directrices pour les rédacteurs de normes pour les exigences de «records management» dans les normes

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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 2.

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 document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 22310 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

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Introduction

More and more International Standards contain requirements that result in the creation, use and management of records. It is therefore important that these standards be complemented by ISO 15489-1 and ISO/TR 15489-2 so that the records remain consistent, authoritative and authentic.

The ISO TC 46/SC 11 has recognized the need to ensure interoperability of International Standards. As a result, this International Standard, on records management requirements in ISO standards, has been developed as additional guidance to the ISO/IEC Directives.

The objective of this International Standard is to assist those involved in the writing of documentation and records management requirements in standards, whether new or revised, to ensure that these requirements meet the above-mentioned key criteria of consistency and interoperability.

Use of these guidelines should result in the development of consistent records management requirements in all ISO/IEC standards, in line with the overall requirements in ISO 15489.

Use of these guidelines should also help ensure interoperability and enhance alignment between records management and management system standards with a view to facilitating the combined application of the standards by organizations that wish to do so.

The ISO technical committees responsible for developing generic records/document management requirements in standards are responsible for maintaining the integrity of their standards. These technical committees can establish a sector policy and provide further guidance and procedures for the development of sector-specific standards related to their scope. Such guidance is additional to that provided in this International Standard.

Information and documentation — Guidelines for standards drafters for stating records management requirements in standards

1 Scope

This International Standard allows the appropriate incorporation of records requirements, according to ISO 15489-1, ISO/TR 15489-2 and 23081-1, which are applicable to all standards that require the creation and retention of records, into other standards. It also highlights the different elements that need to be considered as components of a comprehensive records management framework.

This guidance is in addition to the procedures for technical work and the methodology for the development of International Standards established by the ISO/IEC Directives.

This International Standard is intended for use by all ISO bodies involved in the development of records management or documentation requirements in standards. It can also be used by non-ISO standards development organizations at the international, regional or national level, which are considering or are in the process of developing records management requirements in standards and/or comparable documents.

NOTE   Whenever in this International Standard the term "standard" is used, the whole range of ISO deliverables is meant [i.e. International Standards, ISO(/IEC) Guides, Technical Specifications, Technical Reports, Publicly Available Specifications and International Workshop Agreements] unless a specific type of document is referred to.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 15489-1:2001, *Information and documentation — Records management — Part 1: General*

ISO/TR 15489-2, *Information and documentation — Records management — Part 2: Guidelines*

ISO 23081-1, *Information and documentation — Records management processes — Metadata for records — Part 1: Principles*

ISO/IEC Guide 2, *Standardization and related activities — General vocabulary*

IEC 82045-1, *Document management — Part 1: Principles and methods*

ISO/IEC Directives, Part 2, *Rules for the structure and drafting of International Standards*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC Guide 2 and ISO 15489-1 apply.

4   General principles

4.1   Types of requirement that may be specified in other standards and that should reference ISO 15489

The types of requirements that should reference ISO 15489 include:

— records creation requirements — requirements that specify that specific records should be established or generated by an action and captured within a records system, the information that these records should contain and the data that should be captured about them (records management metadata);

— record retention requirements — requirements that specify how long records need to be kept and how transfer to other stakeholders and dispositions are organized;

— record access requirements — requirements that specify who is permitted access to records and how access is managed;

— record preservation requirements — requirements that specify how accessibility and useability of records should be maintained;

— requirements for systems with responsibility for making and keeping records;

— records management tools or procedures — tools such as metadata schemes, classification schemes, security and access classification schemes, disposition authorities.

4.2   Additional requirements

Relevance   Special records management requirements should only be developed when there are specific needs and when a reference to ISO 15489 is not sufficient.

Compatibility   Compatibility with ISO 15489 should be maintained.

5   Guidance on the development and structure of records management requirements in standards

5.1   General considerations

Most of the guidance provided in this subclause is additional to the rules given in ISO/IEC Directives Part 2, which covers the structure and drafting of International Standards.

In the drafting process, the output should be monitored for compatibility and ease of use with ISO 15489 and ISO/IEC 82045-1, by covering issues such as

— vocabulary and definitions;

— the inclusion of agreed common elements;

— the use of agreed structure and topics to be addressed in each section;

— the need for clarity (both in language and presentation);

— avoiding overlap and contradiction.

The development and revision of all records management requirements in standards should follow the processes described in 5.3. Where a draft document is already available and is accepted, the extent to which the recommendations of 5.3 and 4.2 apply should be established, based on the maturity of the document.

All records management requirements should use consistent terminology so that they are easy to use and are compatible with each other. Where applicable, records management requirements should use common elements. (See 5.3.3.)

5.2 Sector specific requirements

5.2.1 General

Where the proposed records management requirements are sector specific, the following applies in addition to the guidance given in 5.3 and 4.2.

5.2.2 Sector specific record management requirements

a)   They should be compatible and aligned with the generic records management requirements.

b)   Their function and relationship with the generic records management requirements should be clearly defined (e.g. additional sector-specific requirements, elucidation or both, as appropriate).

c)   They should always show clearly (e.g. by using different typographical styles) the kind of sector-specific information being provided.

5.2.3 Design specification

In the case of development of records management requirements (see 3.16 of ISO 15489-1:2001), reference to ISO 15489-1 and ISO/TR 15489-2 (hereinafter mentioned as ISO 15489) should be given. If there are sector specific requirements, these should be added following the recommended structure as described in this International Standard.

5.2.4 Managing deviations

Any deviation from the design specification should be justified by the committee developing the standard and recorded to enable ISO and the technical committee to account for these deviations. Adequate procedures for corrective actions on deviations should be established. This is the responsibility of the technical committee carrying out the work and secretaries should remind committee members of this.

5.3 Records management model, structure and common elements

5.3.1 General

It is recommended that records management requirements for different purposes apply harmonized terminology and use an identified set of common elements. In this way they will provide organizations that are implementing the standards with a sound basis to do this in an integrated manner if they so wish.

Compatibility between requirements and ease of use can be improved by increasing commonality between standards. Factors such as the structure of the standard, and the number of common elements together with their wording and the terminology used, should all be considered.

5.3.2 Reference to ISO 15489 model and structure

The overall structure of the records management requirements should be based on a recognized model and a logical arrangement of the requirements following that model.

The model chosen should represent the underlying principles applied to ISO 15489 in order to assist

a)   users in understanding those principles and so assist the user in the implementation of records management systems and

b)   standard writers in establishing a consistent and logical structure.

Existing models for records management requirements will evolve over time, and new models may emerge. ISO technical committees that develop records management requirements in standards and who intend to adopt a different model should ensure compatibility with ISO 15489 and standards developed by other technical committees.

NOTE   Examples of the use of these models can be found in ISO 15489.

5.3.3   Common elements

If a technical committee drafting records management requirements chooses a set of elements which differs significantly from that in Table 1, cross-reference tables to other management standards should be included in their document to assist ease of use.

When drafting text for common elements of records management requirements, the same wording should be used when the same meaning is expressed. It is recommended that this arrangement of elements be followed to facilitate the use of the standard and also the joint implementation of the standard and ISO 15489.

6   Common elements of records management requirements

Purpose of records management systems, as well as details about the various aspects involved are descried in ISO 15489

Table 1 — Common elements of records management requirements

Main areas that are common to records management requirements	Common elements	Typical issues to be covered
Creation requirements	Administrative rules that determine which records should be generated and captured into the records system. Additionally, administrative rules for the control of the document status throughout its active life, and as tools for the classification and indexing of the record.	Creation requirements Business rules Classification rules Indexing rules Requirements for creating metadata
Retention requirements	Administrative rules to control retention and disposition of records.	Specific requirements on retention, e.g. • Juridical, liability, taxation regulatory • Organization business policy • Needs of other stakeholders • Organization history • Cultural requirement
Access requirements	Administrative rules to control and regulate access to and use of records.	Who has access – responsibility for: • security aspects (physical and logical) • ensuring access does not compromise integrity

Table 1 (*continued*)

Main areas that are common to records management requirements	Common elements	Typical issues to be covered
Preservation requirements	Administrative rules to control selection of record format and processes involved with maintaining record legibility and retrievability through time Requirements for creating and capturing metadata on activities performed on records	Migration rules Software selection rules Record format guidelines Requirements for metadata
Requirements for systems that make and manage records	Systems that make and manage records need to have qualities to ensure the records they contain are complete and support accountability requirements of the organization	Systems should be: • reliable • integrity • compliant • comprehensive • systematic
Requirements for records management tools or procedures	Records management tools or procedures may need to be developed to sustain records management frameworks required in management systems	Such tools could include: • metadata schemes • classification schemes • storage procedures • security and access classification schemes • retention schedules • disposition authorities
Responsibility	Responsibilities for information should be evaluated in a business context	