INTERNATIONAL STANDARD

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Information and documentation — Principles and functional requirements for records in electronic office environments —

Part 1:
Overview and statement of principles

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Information et documentation — Principes et exigences fonctionnelles pour les enregistrements dans les environnements électroniques de bureau —

Partie 1: Aperçu et déclaration de principes

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Foreword

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ISO 16175-1 was prepared by the International Council on Archives (as International Council on Archives and the Australasian Digital Recordkeeping Initiative *Principles and Functional Requirements for Records in Electronic Office Environments — Module 1: Overview and Statement of Principles*) and was adopted, under a special "fast-track procedure", by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*, in parallel with its approval by the ISO member bodies.

ISO 16175 consists of the following parts, under the general title *Information and documentation — Principles and functional requirements for records in electronic office environments*:

— *Part 1: Overview and statement of principles*

— *Part 2: Guidelines and functional requirements for records in electronic office environments*

— *Part 3: Guidelines and functional requirements for records in business systems*

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International Council on Archives

Principles and functional requirements for
records in digital office environments

Module 1

Overview and statement of principles

Australasian
Digital
Recordkeeping
Initiative

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1 INTRODUCTION

A variety of functional specifications for records management software has been developed in the international community. In 2006, the International Council on Archives agreed to develop a harmonised, generic suite of functional requirements for software products for making and keeping records based on existing jurisdiction-specific specifications, and to do so in a manner consistent with the International Standard on Records Management, ISO 15489. It is hoped that this suite of guidelines and functional requirements will assist jurisdictions that are developing, or looking to adopt, their own functional specifications, as well as inform the update and revision of previously existing standards. The application of this set of functional requirements is meant to not only inform the development of electronic records management software, but also to aid in the incorporation of records functionality into generic business information systems software products, as well as specific line-of-business systems. These specifications can also be used by the private sector (for example, multinational corporations) as a stand-alone tool.

Principles and Functional Requirements for Records in Digital Office Environments was sponsored by the International Council on Archives as a project in its Electronic Records and Automation Priority Area, lead by George Mackenzie, Director of the National Archives of Scotland. Adrian Cunningham (National Archives of Australia) was Project Coordinator. Archives New Zealand (Stephen Clarke) acted as the Secretariat for the project. Other participating countries included Cayman Islands (Sonya Sherman), United Kingdom – England and Wales (Richard Blake), Germany (Andrea Hänger and Frank Bischoff), Malaysia (Mahfuzah Yusuf and Azimah Mohd Ali), Netherlands (Hans Hofman), Scotland (Rob Mildren and Steve Bordwell), South Africa (Louisa Venter), Sweden (Göran Kristiansson), France (Olivier de Solan) and the United States (Mark Giguere). The project was also supported by the Australasian Digital Recordkeeping Initiative, a collaborative venture sponsored by the Council of Australasian Archives and Records Authorities. ADRI member Queensland State Archives (Rowena Loo and Anna Morris) contributed to the drafting of Module 3.

1.1 Scope and purpose

The aim of the Principles and Functional Requirements for Records in Digital Office Environments project is to produce globally harmonised principles and functional requirements for software used to create and manage digital records in office environments. There currently exist a number of jurisdiction-specific functional requirements and software specifications. The project's objective is to synthesise this existing work into requirements and guidelines to meet the needs of the international archives, records and information management community and to enable that community to liaise, in a consolidated manner, with the global software industry.

The objectives of the project are to:

- enable better management of records in organisations;

- support the business needs of an organisation by enabling greater effectiveness and efficiency of the operations;

- provide, through wider deployment of automated records functionality, enhanced abilities to support auditing activities;

- improve capabilities to comply with statutory mandates specified in various information-related legislation (for example, data protection and privacy);

- ensure good governance (for example, accountability, transparency and enhanced service delivery) through good management of records;

- increase general awareness of automated records management capabilities via the dissemination of key principles; and

- maximise cross-jurisdictional consistency regarding the articulation of functional requirements for managing records and to enable the global archives, records and information management community to speak with one voice to the software vendor community.

The primary focus of this suite of guidelines and requirements is the creation and management of digital records. While the modules support the long-term preservation of digital records, processes to achieve this are beyond the scope of the project. It is anticipated that the application of the requirements will be global in nature. Therefore, it is impossible, given the wide juridical range of potential applications, to include detailed implementation guidelines. In addition, as the ultimate testing environment for the basis of these modules is yet to be determined, inclusion of specific software test cases or scripts was deemed beyond the scope of the modules.

1.2 Audience

There are four key audiences for these modules:

- software developers and vendors – including non-records management software, so this document can serve as a universal benchmark for records management compliance;

- jurisdictional standard-setters – so these modules can serve as either the baseline for nascent standards development efforts, or as a basis for evaluating the already existing digital records management standards;

- government agencies – so that **all** business functions can be evaluated against, and facilitated via, the incorporation of automated records management capabilities; and

- private-sector organisations – so that they can incorporate automated digital records management into their business operations.

1.3 Related standards

The requirements are aligned with the records management principles in the *International Standard on Information and Documentation – Records Management – Part 1: General*, ISO 15489, which sets out the records management requirements

that also apply when records are captured and managed within electronic records management systems.

The reference metadata standard for these requirements is *ISO 23081 – 1: 2006, Information and Documentation – Records Management Processes – Metadata for Records, Part 1 – Principles*. The high-level metadata element set found in *ISO 23081 – 2: 2009, Information and Documentation – Records Management Processes – Metadata for Records, Part 2 – Conceptual and Implementation Issues* provides the basis for the requirements.

Useful implementation guidance can be found in *ISO/TR 15489 – 2: 2001, Information and Documentation – Records Management – Part 2: Guidelines* and in *ISO/TR 26122:2008 Information and Documentation – Work Process Analysis for Records*.

The requirements are core, high-level and generic requirements for records. Readers seeking guidance in other areas of software functionality not addressed in this document should refer to other more detailed specifications such as US DoD 5015.2 and MoReq2. Readers should also take account of other relevant jurisdiction-specific standards, statements of requirements and specifications.

1.4   Structure and use

The suite of guidelines and functional requirements is organised into three modules:

- *Module 1: Overview and Statement of Principles*: background information, organisation, fundamental principles and additional context;

- *Module 2: Guidelines and Functional Requirements for Records in Digital Office Environments*: a global high-level statement of core and optional requirements, including application guidelines and a compliance checklist; and

- *Module 3: Guidelines and Functional Requirements for Records in Business Systems*: guidelines and generic core and optional functional requirements for records in business systems.

Module 2 is intended for use by organisations seeking to implement dedicated electronic records management systems. It is meant to be read in conjunction with Module 1.

Module 3 is intended for use by organisations wishing to incorporate records functionality into business systems. It is meant to be read in conjunction with Module 1.

Several non-mutually exclusive use scenarios are presented below to exemplify how these modules might be used:

- Reviewing records functionality in existing software – an organisation could use these modules as a checklist to establish which required and desirable records management functions are present in deployed, non-records management software.