

Redline version  
compares Second edition to  
First edition



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## Information and documentation — Records management —

### Part 1: Concepts and principles

*Information et documentation — Gestion des documents d'activité —  
Partie 1: Concepts et principes*

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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~~ The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the ~~rules given in~~ editorial rules of the ISO/IEC Directives, Part 32 (see [www.iso.org/directives](http://www.iso.org/directives)).

~~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~~ this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

~~ISO 15489-1 was prepared by Technical Committee~~ The committee responsible for this document is ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This second edition cancels and replaces the first edition (ISO 15489-1:2001), which has been technically revised.

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

- Part 1: ~~General~~ *Concepts and principles*
- Part 2: *Guidelines* [Technical Report]

## 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 establishes the core concepts and principles for the creation, capture and management of records. It sits at the heart of a number of International Standards and Technical Reports that provide further guidance and instruction on the concepts, techniques and practices for creating, capturing and managing records.

### About records and managing records

Records are both evidence of business activity and information assets. They can be distinguished from other information assets by their role as evidence in the transaction of business and by their reliance on metadata. Metadata for records is used to indicate and preserve context and apply appropriate rules for managing records.

Managing records encompasses the following:

- a) creating and capturing records to meet requirements for evidence of business activity;
- b) taking appropriate action to protect their authenticity, reliability, integrity and useability as their business context and requirements for their management change over time.

NOTE 1 Reference to “business activity” or “business activities” in this part of ISO 15489 is interpreted broadly to mean those activities that support the purposes of the organization’s existence. Functions, activities, transactions and work processes are representations of particular forms of “business activity” and are defined in [Clause 3](#).

Increasingly, records are made and kept in digital environments, offering a range of opportunities for new kinds of use and reuse. Digital environments also allow greater flexibility in the implementation of records controls, within and between systems that manage records.

Changing models of business are extending responsibilities for records beyond traditional organizational and jurisdictional boundaries. This requires records professionals to understand and meet a diverse range of internal and external stakeholder needs. These can include increased expectations of transparency of decision-making from business and government, the general public, customers, users of services, records’ subjects, and others with an interest in how records are created, captured and managed.

NOTE 2 In this International Standard (all parts), the phrase “creation, capture and management” is used to summarize the management of records as a whole. It is inclusive of the act of receipt of a record and of the range of records processes described in this part of ISO 15489.

With these environmental factors in mind, this part of ISO 15489 has been developed with an acknowledgement of the following:

- a) the roles of records as enablers of business activity and information assets;
- b) increased opportunities for records use and reuse in the digital environment;
- c) systems and rules for the creation, capture and management of records that need to extend beyond traditional organizational boundaries, such as in collaborative and multi-jurisdictional work environments;
- d) records controls that can be independent of other components of records systems;
- e) the importance of recurrent analysis of business activity and context to identify what records need to be created and captured, and how they should be managed over time;
- f) the importance of risk management in devising strategies for managing records and the management of records as a risk management strategy in itself.

While the concepts and principles of this part of ISO 15489 apply across varied business and technological environments, these environments can require different approaches to the implementation of records controls, processes and systems. This part of ISO 15489 is not intended to provide detailed implementation advice for specific environments in which records are created, captured and managed. Rather, it defines key concepts and establishes high-level principles from which records controls, processes and systems for managing records in any environment may be developed. Advice on the design and implementation of controls, processes and systems for managing records in these different environments is addressed in subsequent part(s) and in other International Standards and Technical Reports.

### Benefits

Approaches to the creation, capture and management of records based on the concepts and principles in this part of ISO 15489 ensure that authoritative evidence of business is created, captured, managed and made accessible to those who need it, for as long as it is required. This enables the following:

- a) improved transparency and accountability;
- b) effective policy formation;
- c) informed decision-making;
- d) management of business risks;
- e) continuity in the event of disaster;
- f) the protection of rights and obligations of organizations and individuals;
- g) protection and support in litigation;
- h) compliance with legislation and regulations;
- i) improved ability to demonstrate corporate responsibility, including meeting sustainability goals;
- j) reduction of costs through greater business efficiency;
- k) protection of intellectual property;
- l) evidence-based research and development activities;
- m) the formation of business, personal and cultural identity;
- n) the protection of corporate, personal and collective memory.

Policies, assigned responsibilities and procedures for the creation, capture and management of records support organizational information governance programs.

### Relationship to other standards

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;~~ is designed as a self-contained resource. However, it is also part of a family of International Standards and Technical Reports on a range of aspects of the creation, capture and management of records. These are listed in the ~~Records management as its starting point~~ Bibliography and may be consulted for more detailed advice on particular aspects of managing records.

The management of records in line with this International Standard (all parts) is fundamental to a successful Management System for Records (MSR), the management system defined by the ISO 30300 series of International Standards. An MSR links the management of records to organizational success and accountability by establishing a framework comprising policy, objectives and directives for records. It establishes requirements for the following:

- a) defined roles and responsibilities;

- b) systematic processes;
- c) monitoring and evaluation;
- d) review and improvement.

~~This International Standard is accompanied by a Technical Report (ISO/TR 15489-2) that is recommended for use with it. Managers and others seeking to implement, operate and improve an MSR are advised to use this part of ISO/TR 15489-2 provides further explanation and implementation options for achieving the outcomes in conjunction with the ISO 30300 series of this International Standard. It also includes a bibliography.~~Standards.

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# Information and documentation — Records management —

## Part 1: Concepts and principles

### 1 Scope

~~This part of ISO 15489 provides guidance on managing records<sup>1)</sup> of originating organizations, public or private, for internal and external clients.~~

~~All the elements outlined in this~~ This part of ISO 15489 ~~are recommended to ensure that adequate records are created, captured and managed. Procedures that help to ensure the~~ defines the concepts and principles from which approaches to the creation, capture and management of records ~~according to the principles and elements outlined in this~~ are developed. This part of ISO 15489 ~~are provided in ISO/TR 15489-2 (Guidelines).~~ describes concepts and principles relating to the following:

~~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;~~
- a) ~~provides guidance on determining the responsibilities of organizations~~ records, metadata for records and records policies, procedures, systems and processes, systems;
- b) ~~provides guidance on records management in support of a quality process framework to comply with~~ policies, assigned responsibilities, monitoring and training supporting the effective management of ISO 9001 and ISO 14001, records;
- c) ~~provides guidance on the design and implementation of a records system, but~~ recurrent analysis of business context and the identification of records requirements;
- d) ~~does not include the management of archival records within archival institutions.~~ records controls;
- e) processes for creating, capturing and managing records.

~~This part of ISO 15489 is intended for use by~~ applies to the creation, capture and management of records regardless of structure or form, in all types of business and technological environments, over time.

- ~~— 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.~~

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

## 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 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. There are no normative references.

ISO 5127: <sup>2)</sup>, *Information and documentation — Vocabulary*

ISO 9001, *Quality management systems — Requirements*

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

**NOTE** This part of ISO 15489 is designed as a self-contained resource, meaning there are no documents which are indispensable for its application.

## 3 Terms and definitions

For the purposes of this part of ISO 15489 document, 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 activity

principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others major task performed by a business entity as part of a function (3.11)

### 3.3 action tracking agent

process in which time limits for actions are monitored and imposed upon those conducting the business individual, workgroup or organization responsible for, or involved in, record creation, capture and/or records management processes

[SOURCE: ISO 23081-1:2006, 3.1]

Note 1 to entry: Technological tools such as software applications can be considered agents if they routinely perform records processes.

### 3.4 archival authority business classification scheme

#### 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 tool for linking records to the context of their creation

### 3.5 classification

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

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

~~3.6~~  
~~classification system~~

~~SEE:~~

~~3.7~~ **3.6**  
**conversion**

process of changing records from one ~~medium to another or from one~~ format to another

SEE:

~~3.8~~ **3.7**  
**destruction**

process of eliminating or deleting ~~records~~ a record, beyond any possible reconstruction

~~3.9~~ **3.8**  
**disposition**

range of processes associated with implementing records retention, ~~destruction~~ destruction (3.7) or transfer decisions which are documented in ~~disposition authorities~~ disposition authorities (3.9) or other instruments

**3.9**  
**disposition authority**

instrument that defines the *disposition* (3.8) actions that are authorized for specified records

**3.10**

~~document~~ **evidence**

~~recorded information or object which can be treated as a unit~~ documentation of a transaction (3.18)

[SOURCE: ISO 30300:2011, 3.1.5]

Note 1 to entry: This is proof of a business transaction which can be shown to have been created in the normal course of business activity and which is inviolate and complete. It is not limited to the legal sense of the term.

**3.11**

~~indexing~~ **function**

~~process of establishing access points to facilitate retrieval of records and/or information~~ group of activities that fulfils the major responsibilities for achieving the strategic goals of a business entity

**3.12**

**metadata for records**

~~data describing context, content and structure of records and their management through time~~ structured or semi-structured information, which enables the creation, management, and use of records through time and within and across domains

[SOURCE: ISO 23081-2:2007, 3.7]

**3.13**

**migration**

~~act~~ process of moving records from one ~~system to another, while maintaining the records' authenticity, integrity, reliability and usability~~ hardware or software configuration to another without changing the format

~~SEE:~~

[SOURCE: ISO 30300:2011, 3.3.8]

~~3.14~~

**preservation**

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

~~3.15~~ 3.14

~~records~~ record(s)

information created, received and maintained as ~~evidence~~ evidence (3.10) and ~~information~~ as an asset by an organization or person, in ~~pursuance~~ pursuit of legal obligations or in the ~~transaction~~ transaction (3.18) of business

~~3.16~~ 3.15

~~records~~ management

field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and ~~disposition~~ disposition (3.8) of records, including processes for capturing and maintaining ~~evidence~~ evidence (3.10) of and information about business activities and ~~transaction~~ transactions (3.18) in the form of records

~~3.17~~ 3.16

~~records~~ system

information system which captures, manages and provides ~~access~~ access (3.1) to records ~~through~~ over time

Note 1 to entry: A records system can consist of technical elements such as software, which may be designed specifically for managing records or for some other business purpose, and non-technical elements including policy, procedures, people and other agents, and assigned responsibilities.

3.17

schema

logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (obligation level) of values

[SOURCE: ISO 23081-1:2006, 3.3]

3.18

~~registration~~ transaction

~~act of giving a record a unique identifier on its entry into a system~~ smallest unit of a work process (3.19) consisting of an exchange between two or more participants or systems

[SOURCE: ISO/TR 26122:2012, 3.5]

3.19

~~tracking~~ work process

~~creating, capturing and maintaining information about the movement and use of records~~ one or more sequences of actions required to produce an outcome that complies with governing rules

[SOURCE: ISO/TR 26122:2012, 3.6]

~~3.20~~

~~transfer~~

~~(custody) change of custody, ownership and/or responsibility for records~~

~~3.21~~

~~transfer~~

~~(movement) moving records from one location to another~~

#### 4 ~~Benefits of records management~~ Principles for managing records

~~Records management governs the practice both of records managers and of any person who creates or uses records in the course of their business activities. Records management in an organization includes~~ Managing records is based on the following principles:

- a) ~~setting policies and standards,~~ the creation, capture and management of records are integral parts of conducting business, in any context (see 5.1);