TECHNICAL REPORT

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Information and documentation — Appraisal for managing records

Information et documentation — Evaluation dans le cadre de (pour) la gestion des documents d'activité

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Foreword

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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 editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso .org/iso/foreword.html.

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

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

Appraisal for managing records is the recurrent process of evaluating business activities to determine which records need to be created and captured as well as how and how long the records need to be kept. It combines an understanding of business activities and their contexts with

— the identification of business needs, regulatory requirements and societal expectations relating to records, and

— the assessment of opportunities and risks associated with the creation and management records.

Regular, systematic appraisal for managing records has a range of benefits, including:

— compliance with legal/regulatory requirements for records;

— satisfaction of business needs in managing records, and providing for timely disposition of records;

— identification of requirements for continuing retention of records as archives;

— implementation of measures to protect and manage records according to their level of criticality for the organization and/or their retention requirements;

— improvement of organizational efficiency through proper use of resources;

— the effective management of risk related to records;

— greater accountability for decisions about the creation, capture and management of records.

In some records and archives management traditions, appraisal for managing records is solely used as an instrument to identify retention requirements for records or to create a disposition authority. The concept of appraisal as described in ISO 15489-1 is, however, meant to be used in a broader way. It can be used to identify different types of requirements related to creating, capturing and managing records over time and to implement them in ways that are suited to changing contexts. In this way, appraisal can support accountability and more efficient business.

The results of appraisal can be used in the development of policies, systems and processes, as well as to develop a range of records controls. These controls include metadata schemas, business classification schemes, access and permissions rules and disposition authorities. In some jurisdictions, appraisal for managing records, or parts of it, can be required by law or regulation as a precursor to the development of such tools.

Appraisal is a strategic and proactive approach to the creation, capture and management of records, rather than a reactive one.

Appraisal is accountable and consultative, and, in certain cases, should be conducted in partnership with stakeholders with interests in the creation, capture and management of particular classes of records.

The advice on appraisal for managing records in this document can be used if an organization is implementing a management system for records (MSR) following ISO 30301. In the management system standards approach, appraisal can help to meet requirements related to the "Context of the organization" and "Operational planning".

Information and documentation — Appraisal for managing records

1 Scope

This document provides guidance on how to carry out appraisal for managing records. It describes some of the products and outcomes that can be delivered using the results of appraisal. As such, this document describes a practical application of the concept of appraisal outlined in ISO 15489-1.

This document:

a)   lists some of the main purposes for appraisal;

b)   describes the importance of establishing scope for appraisal;

c)   explains how to analyse business functions and develop an understanding of their context;

d)   explains how to identify records requirements;

e)   describes the relationships between records requirements, business functions and work processes;

f)   explains how to use risk assessment for making decisions related to records;

g)   lists options for documenting the results of appraisal;

h)   describes possible uses for the results of appraisal; and

i)   explains the importance of monitoring and review of the execution of appraisal decisions.

This document can be used by all organizations regardless of size, nature of their business activities, or the complexity of their functions and structure.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements 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, *Information and documentation — Part 1: Concepts and principles*

3 Terms and definitions

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

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

—   ISO Online browsing platform: available at https://www.iso.org/obp

—   IEC Electropedia: available at http://www.electropedia.org/

4 Appraisal process

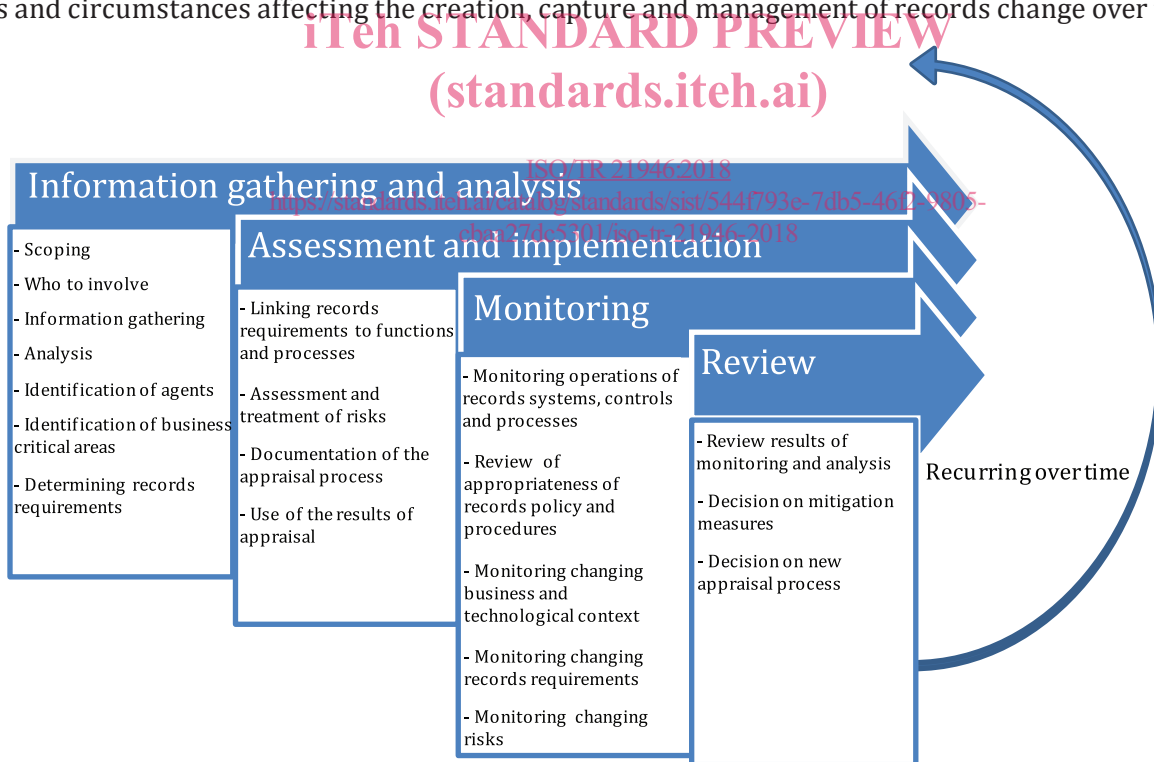Appraisal for managing records involves analysis of context(s) in which business activities occur, in order to

— determine records requirements,

— understand which areas of business are regarded, by stakeholders, as critical to achieving agreed goals in an organizations, and

— identify and assess risks related to records.

The results of the appraisal process should be used to proactively design records controls and processes to best support business activities and technologies in order to ensure agreed records requirements are met over time.

Appraisal for managing records considers the needs of the agents directly involved in the business activities, but also related internal and external stakeholders and wider societal needs. In this way, management of records for both business and other purposes can be designed cohesively.

The context in which business is conducted, the business activities themselves as well as their records requirements, and risk identification will change over time. As a result, appraisal for managing records is a necessarily recurrent activity.

The representation of appraisal activities shown in Figure 1 reflects the continuous cycle of this work, as needs and circumstances affecting the creation, capture and management of records change over time.

NOTE   Appraisal for managing records is a continuous improvement cycle.

Figure 1 — Recurrent appraisal for managing records

The results of the appraisal process can be used to achieve benefits in a variety of areas, such as in legal compliance, risk management, information security, protection of privacy, reuse of information or the protection of archival records. It could also be used as a means to determine which records can be made available to the public, in support of the implementation of public information disclosure laws and regulations.

Certain events could trigger appraisal for managing records.

For example, when there are new

— entities being established,

— legal and regulatory requirements, changes in legal practice and law enforcement, or contractual obligations,

— technologies and systems, or

— arrangements for managing records such as cross jurisdictional collaborations on shared projects.

Or, changes such as

— organizational structures or mergers,

— new or altered regulatory requirements,

— new or altered business functions or activities, or

— changes in public expectations regarding the management of records of the organization concerned, including new expectations regarding access and usability.

Issues relating to the creation and management of records, such as missing records (which should have been created), unauthorized access to records, or unauthorized disposal of records could also be triggers for a process of appraisal.

The frequency and scale in which appraisal for managing records is carried out will vary from one case to the next. For example, an organization with a very stable regulatory framework and business that rarely change could conduct appraisal less frequently than one that is subject to frequent change. The appraisal process can be modified in scale or scope, depending on the desired outcome (see 5.2).

Appraisal for managing records is conducted in a consistent and accountable way. This means:

— conducting appraisal with a clear mandate and authorization;

— keeping documentation of the research, analysis and consultation with stakeholders done as part of the process, as records;

— being consistent in decisions, and using past decisions to check precedents;

— justifying decisions made and keeping documentation of such justifications.

5 Information gathering and analysis

5.1 General

The appraisal process comprises a number of types of analysis, which can be carried out consecutively or simultaneously. They include the following:

— achieving an understanding of the context in which the appraisal work is being conducted, including organizational, technological and business-related features;

— analysis of the business functions themselves;

— analysis of requirements for records from a business, legal and societal point of view;

— identification and analysis of risks that are associated with the creation, capture and management of records.

Some types of analysis, such as an analysis of the business context, may already have been carried out by other disciplines in the organization, such as information security. It is recommended to check whether the required analysis has been carried out already and whether the results obtained can be reused for the purpose of appraisal.

It is important to note that the identification of risk occurs throughout the appraisal process in three different ways:

— when looking at the organizational context in which the process is occurring, internal and external risks affecting the organization and its stakeholders can be identified;

— during the analysis of business activity in relation to particular functions, activities or work processes during the analysis of business activity. For example, the risks associated with poor management of records of citizen-centric public services or with personally identifiable information could be greater than those associated with other administrative activities;

— during the identification of the risks that could be managed through meeting identified records requirements.

After the identification of risks, an analysis and evaluation should be done (in accordance with risk management practices of the organization, if these exist). This assists in making decisions about how requirements should be met, and the appropriate investment of resources to do so. This aspect of the assessment and treatment of risk is further described in 6.3.

The results of analysis conducted in appraisal for managing records can be used to develop other tools and resources that are valuable in the creation, capture and management of records (see 6.5).

5.2 Determining the scope of appraisal

Each time an appraisal process is commenced, its scope needs to be clearly defined. The events triggering appraisal and the role and responsibility of the person(s) doing the appraisal will directly influence its scope. In turn, the scope of appraisal will influence the kind of agents involved in the process. For instance, a scope with a strong societal focus will require a larger involvement of external agents in comparison to a scope with a strong business focus alone, which would require expanded involvement of business representatives. The scope of appraisal may change in terms of the business functions and activities it covers, or the parts of the analysis that receive the greatest attention.

EXAMPLE 1   An appraisal process could be carried out by a manager responsible for a business system that is being replaced. The system supports a single function but one that is performed by a number of organizational entities, working collaboratively online. Here, the scope is limited to the one function but considers the contexts of each of the participating organizational entities, their risks and requirements.

EXAMPLE 2   In the process of a merger, an organization's functions are analysed in order to make decisions regarding migration of records to new systems and other matters such as the integration of disposition authorities. The scope of the appraisal process here would need to cover the business functions of both entities.

EXAMPLE 3   An appraisal process that is being carried out with a view to defining records requirements for inclusion in the specifications of a new business system would involve a greater emphasis on the analysis of the business functions supported by the system, as opposed to appraisal that is done with a view to developing a disposition authority that covers all of an organization's business.

EXAMPLE 4   An appraisal process that is carried out in order to develop disposition rules across an entire jurisdiction, with a view to the identification of classes of records to be retained as archives, will have a broad scope encompassing a high level analysis of business context, functions and activities, requirements and risk across the entire jurisdiction. This is to ensure consistency in decisions made. In some cases, such appraisal is carried out in one stage covering the entire jurisdiction, and in others in multiple stages, in conjunction with organizations within the jurisdiction.

5.3 Determining who to involve in the appraisal process

Appraisal for managing records is fundamental to the work of records professionals, making them the most appropriate group to plan and lead appraisal activities.

Other individuals or groups should be involved in one or more steps of the appraisal process. The involvement of others will depend on the purpose and scope of the appraisal process, and the focus of the analysis. These will include internal agents and stakeholders, such as

— business representatives,

— legal representatives,

— senior/top management,

— governance bodies such as boards of directors or audit boards,

— allied information management professionals such as privacy officers, librarians, preservation specialists or those responsible for data and transparency,

— communications professionals, and/or

— information technology specialists.

External agents and stakeholders should also be consulted or involved as appropriate. These may include people and groups such as

— shareholders,

— customers or clients,

— external audit or regulatory authorities,

— subject matter experts, members of professional associations or academics,

— representatives of archival institutions,

— transparency advocates,

— privacy experts,

— information security experts,

— people or groups affected by government or corporate activities, and/or

— individuals who are the subjects of records, such as individuals who have been under the care of the state when they were children, or individuals who have received aid and services from governments.

5.4 Information gathering

Appraisal for managing records relies on the identification of stakeholders and other sources of information which contain information on the business and technological context, business functions, risks and requirements. Such sources and stakeholders should be recorded as they are identified, as part of an accountable, well-documented appraisal process.

Documentary sources relating to, as well as stakeholders in the business functions should be identified, as these are sources of information for the analysis. Such sources and stakeholders should be used for various types of analysis conducted throughout an appraisal process. Examples of documentary sources include

— structural charts,

— risk registers,

— enterprise architecture documents,

— reports to governing authorities or stakeholders,

— systems documentation,