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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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**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

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.

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).

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. 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).

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

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”.

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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/>

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4 Appraisal process

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

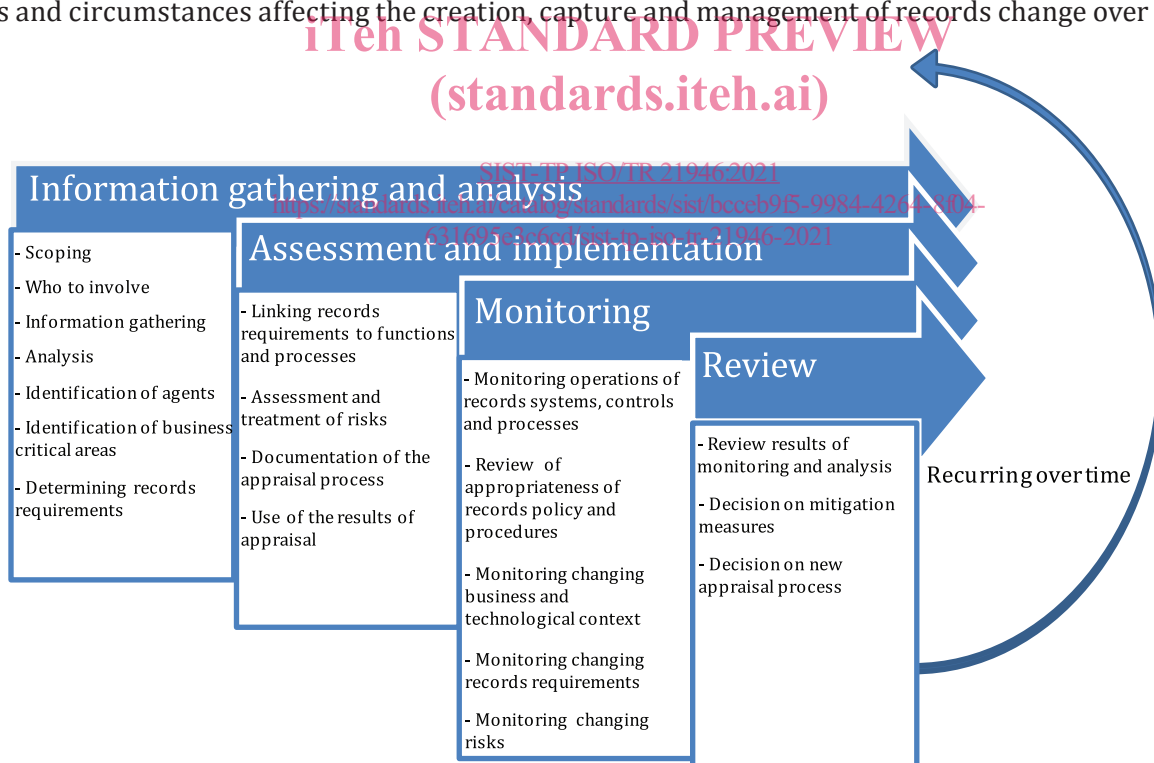
- determine records requirements,
- understand which areas of business are regarded, by stakeholders, as critical to achieving agreed goals in an organizations, and
- identify and assess risks related to records.

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.