FINAL DRAFT
Technical Specification

ISO/DTS 7538

Functional requirements for disposition of records

ISO/TC **46**/SC **11**

Secretariat: **SA**

Voting begins on:
2024-05-21

Voting terminates on:
2024-07-16

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

RECIPIENTS OF THIS DRAFT ARE INVITED TO SUBMIT, WITH THEIR COMMENTS, NOTIFICATION OF ANY RELEVANT PATENT RIGHTS OF WHICH THEY ARE AWARE AND TO PROVIDE SUPPORTING DOCUMENTATION.

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

Reference number
ISO/DTS 7538:2024(en)

© ISO 2024

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

COPYRIGHT PROTECTED DOCUMENT

© ISO 2024

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

Page

Foreword ... **iv**
Introduction ... **v**
1 Scope ... **1**
2 Normative references ... **1**
3 Terms and definitions ... **1**
4 Purpose and benefits ... **2**
5 Principles ... **2**
6 Disposition requirements ... **3**
6.1 General ... 3
6.2 Governance of disposition ... 3
6.2.1 General ... 3
6.2.2 Authorization of disposition ... 3
6.3 Reviewing and updating disposition authorities ... 4
6.3.1 Policies ... 4
6.3.2 Disposition policies ... 5
6.4 Disposition processes ... 5
6.4.1 General ... 5
6.4.2 Processes ... 5
6.4.3 Documenting disposition ... 6
6.4.4 Disposition actions ... 6
6.5 Exceptional circumstances and their implications for disposition ... 8
6.5.1 General ... 8
6.5.2 Disposition due to exceptional events ... 8
6.5.3 Disposition holds ... 8
7 Performance evaluation and improvement ... **9**
7.1 General ... 9
7.2 Monitoring, measurement, analysis and evaluation ... 9
Annex A (informative) **Disposition challenges** ... **10**
Bibliography ... **14**

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538

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 document 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).

ISO draws attention to the possibility that the implementation of this document may involve the use of (a) patent(s). ISO takes no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at www.iso.org/patents. ISO shall not be held responsible for identifying any or all such patent rights.

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.

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

© ISO 2024 – All rights reserved

Introduction

Disposition is an integral part of records management and allows organizations to reduce storage costs and save unnecessary time and expense managing records that are no longer required. Proper disposition also helps to ensure compliance, reduce risks, and preserve corporate and societal memory.

Disposition is the "range of records processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments". Disposition can be implemented:

a) on the receipt or creation of a record;

b) when the status of a record changes;

c) when records no longer have any administrative, legislative, historical, or cultural value; or

d) for long term preservation and archival purposes.

As set out in ISO 15489-1, taking a managed and documented approach to the disposition of records is an important aspect of the efficient and accountable management of records, and is part of a structured approach to records management.

Such an approach is normally considered during appraisal, subsequent retention schedule development, and records systems design. In best practice, disposition is part of business activities, rather than an ad hoc activity, and is done regularly according to records requirements.

Planning for, and having efficient and authorized systems and processes in place to guide disposition supports accountability, efficiency, and good governance, while ensuring that records are controlled in an appropriate manner for a range of purposes.

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

This document assumes that requirements related to the disposition of records are identified during appraisal, as described in ISO/TR 21946.

Appraisal is the process of analysing and evaluating business functions and processes, business context, and risk to determine records requirements. Results of the appraisal can be used in disposition decisions. Appraisal decisions should be implemented through processes documented in disposition authorities or other instruments.

This document is not intended to give guidance on how the appraisal processes is designed, implemented, or undertaken. Guidance on appraisal can be found in ISO/TR 21946.

Implementing a disposition authority involves carrying out the disposition actions identified through the appraisal process. It is a process that includes:

— reviewing whether it is permitted for records to be disposed of;

— undertaking the disposition action;

— documenting that the disposition has taken place.

Disposition actions are usually undertaken on a regular and routine basis. However, some disposition actions can require a one-off or ad hoc process. For example, when a record is sold to a third party for commercial purposes or when an organizational function is transferred to another agency. In these circumstances, the implementation of disposition is appropriate to the disposition action and risk management considerations.

This document also supports organizations in implementing disposition by design, which involves analysing disposition requirements and implementing measures at early stages of the design and development of products, processes, systems or services that involve handling records.

© ISO 2024 – All rights reserved

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

Functional requirements for disposition of records

1 Scope

This document identifies the purpose and benefits of disposition and provides organizations with guidance about how to manage disposition-related processes. In particular, it:

— specifies responsibilities for records disposition processes;

— provides guidance on the key areas against which records disposition processes can be assessed;

— provides requirements and guidance for those implementing disposition processes; and

— provides guidance on how to integrate records disposition processes into an organization's operations.

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 — Records management — Part 1: Concepts and principles*

ISO 18128, *Information and documentation — Records risks — Risk assessment for records management*

ISO 16175-1:2020, *Information and documentation — Processes and functional requirements for software for managing records — Part 1: Functional requirements and associated guidance for any applications that manage digital records*

ISO 30300, *Information and documentation — Records management — Core concepts and vocabulary*

ISO 31000, *Risk management — Guidelines*

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/f6e34eb4-1fb4-461b-a419-b443439a3087/iso-dts-7538

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300 and the following 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 https://www.electropedia.org/

3.1
disposition action
action taken to dispose of a record in response to the applicable disposition authority

Note 1 to entry: individual entry in the disposition authority usually include a disposition action along with a retention period and an event from which the disposal date should be calculated.

3.2
disposition trigger
event that triggers the start of the retention period or the execution of the disposition action

© ISO 2024 – All rights reserved

4 Purpose and benefits

Disposition supports effective business, compliance and mitigation of security and privacy risks. Examples of benefits of disposition are listed below.

From a business point of view:

— cost reduction, workload reduction, release of resources and storage (including cloud);

— reduction of the cost of supporting legacy infrastructure;

— enhancement of operating efficiency (e.g. search efficiency);

— elimination of health hazards (e.g. mould or pest infestation); and

— management of corporate data, information, records, and knowledge (including rearrangement, archiving).

From a societal point of view:

— preservation of memory and knowledge of permanent value; and

— reduction of the environmental impact of storage and management to support action on climate change.

From a legal point of view:

— compliance (e.g with archival law, privacy laws); and

— enhancement of legal and evidentiary value of digital copies by disposing of paper-based originals, after following the guidelines for digitization of records as described in ISO/TR 13028

From a risk management point of view:

— reduction of the risk of security incidents, such as disclosure of sensitive and confidential information; and

— reduction of the risks to the business that can occur when records retention is not managed in accordance with business requirements.

Disposition benefits should be considered along with the relevant costs and risks.

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/1ed9d9ed-d4ed-4b9a-a439a3087/iso-dts-7538

5 Principles

The organization shall comply with the following principles when performing disposition:

— legality: decisions about dispostion of records are based on applicable legal requirements;;

— authority: disposition of records shall be authorized by top management or delegate;

— accountability: top management shall be accountable for the disposition of records for which they are responsible;

— informed decision making: disposition actions shall be based on an informed decision-making process;

— justification: disposition actions and retention periods for the records shall be justified;

— planning: disposition of records shall be planned and undertaken according to any existing external and internal requirements and integrated into the organization's business processes and programs;

— timeliness: records shall be disposed of in a timely manner;

— security: disposition of records shall be undertaken using a secure method so that the content is protected and is not inadvertently released or lost;

© ISO 2024 – All rights reserved

— by design: disposition of records shall be considered from the first stages of systems and processes design; and

— sustainability: disposition of records shall be undertaken in accordance with sustainability requirements.

6 Disposition requirements

6.1 General

Disposition is an integral part of records management. Organizations shall consider decisions about disposition throughout the records management process. The development of disposition authorities, including retention schedules, and determination of whether records should be destroyed at the end of their life-cycle or transferred to another entity are informed by the results of the appraisal process. Consideration of disposition processes can also help prevent the imposition of legal or regulatory sanctions.

It is important to recognize disposition as a part of good records management processes, controls, and systems. Effective disposition requires records to be managed in accordance with ISO 15489-1. Disposition is part of a management system for records as described in ISO 30301.

Records systems and processes shall be designed to support disposition.

In cases where records are created within a business system, incorporating disposition by design as an integral component of systems architecture is particularly important. This integration enables the efficient and effective disposition of records when the time is right. By integrating disposition considerations during the design phase, organizations can ensure the appropriate management and disposition of records in compliance with legal and operational requirements.

iTeh Standards
(https://standards.iteh.ai)
Document Preview

When records system and process are designed, it is important to consider data, information, and/or records disposition issues from the early stages of their development. Such an approach follows the principle of disposition by design, and covers:

— the disposition-related functionality in systems;

— the defining and assigning tasks and responsibilities as part of disposition processes; and

— the information architecture of the solutions (e.g. database structures).

ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/b4a0d0ff-ff0c-4f0c-a0ff-b443439a3087/iso-dts-7538

Implementing disposition by design means adhering to the following principles:

— integrating disposition requirements into the design of systems and processes; and

— proactive implementation of disposition measures to anticipate risks and prevent negative events.

6.2 Governance of disposition

6.2.1 General

Regular and routine disposition begins with a records management framework, including procedures for the creation and classification of records, and is supported by appropriate technical and personnel support.

Staff undertaking disposition shall have an appropriate knowledge of the value of the records and the organizational policies and procedures relevant to the disposition activities that they carry out.

It is important that disposition is appropriately authorized.

6.2.2 Authorization of disposition

Disposition authorities are instruments that define and prescribe the disposition actions for different record groups or classes. They support organizational accountability by providing evidence of decisions and justification of actions, in the event that they are challenged.

© ISO 2024 – All rights reserved

Disposition authorities shall be based on the analysis of the legal, regulatory, policy, business, and societal requirements that impact different record types. This means that the level of detail shall match the nature of the records being disposed of and the contingent risks. The decision makers shall be confident that there is no legitimate operational, legal or audit need for the organization to retain the records. This means that the nature of the records being disposed of shall determine the appropriate level of organizational authorization. For example, disposition of ephemeral or facilitative records may be authorized by an organizational policy and implemented by the records' creator. Disposition of core operational records, however, shall be documented with the appropriate detail, and then approved by an appropriate person(s) who can ensure that there is no legitimate operational, legal or audit need for the records to be further retained.

Disposition authorities should be concise and easy to understand and use.

In public organizations, disposition authorities can be authorized by an external archive authority or regulator. However, private organizations can also develop disposition authorities based on their own business needs and regulatory requirements.

The development of disposition authorities is described in ISO 15489-1.

Disposition shall be undertaken as set out in authorised disposition authorities. Some disposition authorities can cover the whole organization where others can represent different functions or parts of the organization. Care shall be taken to ensure that all relevant disposition authorities are taken into account (and reconciled where appropriate) in the framework of an organisation's disposition program. This is particularly so in organizations that operate across multiple jurisdictions.

It is also possible that some records are covered by several disposition authorities or parts of disposition authorities. In such cases, they shall be retained until the longest retention period elapses.

From a records management point of view, an entry in a disposition authority typically defines:

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO/DTS 7538
https://standards.iteh.ai/catalog/standards/iso/ffc3d4-1fb4-461b-a419-b443439a3087/iso-dts-7538

— the records covered;

— the status of a record;

— relevant legislative and regulatory references;

— references to other relevant disposition authorities;

— the disposition trigger initiating the retention period;

— retention periods;

— disposition actions;

— due diligence (see 6.4.2); and

— roles and responsibilities for managing the disposition.

6.3 Reviewing and updating disposition authorities

6.3.1 Policies

Context changes can affect records management requirements in ways that require a revision of the original appraisal decision or the application of a disposition authority. These can include:

— ongoing business needs;

— the need to retain records for foreseeable, pending, or actual legal action or investigations;

— changes to legislative or regulatory requirements;

— administrative changes affecting an organization's functions or business activities; and

— changes in societal expectations for the disposition of records.

© ISO 2024 – All rights reserved