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Funkcionalne zahteve za razporejanje zapisov

Functional requirements for disposition of records

Exigences fonctionnelles pour le sort final des documents d'activité

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Functional requirements for disposition of records

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Foreword

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

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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.

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.

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*

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

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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.

5 Principles

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

- **legality:** decisions about disposition 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;