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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.

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 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

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: Concepts and principles*

— *Part 2: Guidelines* [Technical Report]

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Introduction

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

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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 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 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;

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d) review and improvement.

Managers and others seeking to implement, operate and improve an MSR are advised to use this part of ISO 15489 in conjunction with the ISO 30300 series of International Standards.

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Information and documentation — Records management —

Part 1: Concepts and principles

1 Scope

This part of ISO 15489 defines the concepts and principles from which approaches to the creation, capture and management of records are developed. This part of ISO 15489 describes concepts and principles relating to the following:

a) records, metadata for records and records systems;

b) policies, assigned responsibilities, monitoring and training supporting the effective management of records;

c) recurrent analysis of business context and the identification of records requirements;

d) records controls;

e) processes for creating, capturing and managing records.

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

2 Normative references

There are no normative references.

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 document, the following terms and definitions apply.

3.1
access
right, opportunity, means of finding, using or retrieving information

3.2
activity
major task performed by a business entity as part of a *function* (3.11)

3.3
agent
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.

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3.4
business classification scheme
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

3.6
conversion
process of changing records from one format to another

3.7
destruction
process of eliminating or deleting a record, beyond any possible reconstruction

3.8
disposition
range of processes associated with implementing records retention, *destruction* (3.7) or transfer decisions which are documented in *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
evidence
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
function
group of activities that fulfils the major responsibilities for achieving the strategic goals of a business entity

3.12
metadata for records
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
process of moving records from one hardware or software configuration to another without changing the format

[SOURCE: ISO 30300:2011, 3.3.8]

3.14
record(s)
information created, received and maintained as *evidence* (3.10) and as an asset by an organization or person, in pursuit of legal obligations or in the *transaction* (3.18) of business

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3.15
records management
field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and *disposition* (3.8) of records, including processes for capturing and maintaining *evidence* (3.10) of and information about business activities and *transactions* (3.18) in the form of records

3.16
records system
information system which captures, manages and provides *access* (3.1) to records 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
transaction
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
work process
one or more sequences of actions required to produce an outcome that complies with governing rules

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

4 Principles for managing records

Managing records is based on the following principles:

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

b) records, regardless of form or structure, are authoritative evidence of business when they possess the characteristics of authenticity, reliability, integrity and useability (see 5.2.2);

c) records consist of content and metadata, which describes the context, content and structure of the records, as well as their management through time (see 5.2.3);

d) decisions regarding the creation, capture and management of records are based on the analysis and risk assessment of business activities, in their business, legal, regulatory and societal contexts (see Clause 7);

e) systems for managing records, regardless of their degree of automation, enable the application of records controls and the execution of processes for creating, capturing and managing records (see 5.3). They depend on defined policies, responsibilities, monitoring and evaluation, and training in order to meet identified records requirements (see Clause 6).

These principles are expanded on in the concepts, controls and processes for managing records that are described in the following sections of this part of ISO 15489.

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