A Records Management Standard: its Meaning, Content and Implications

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National Archives/TC46/SC11

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Overview

- Records management
- ISO 15489
- Role of the standard (Implementation issues)
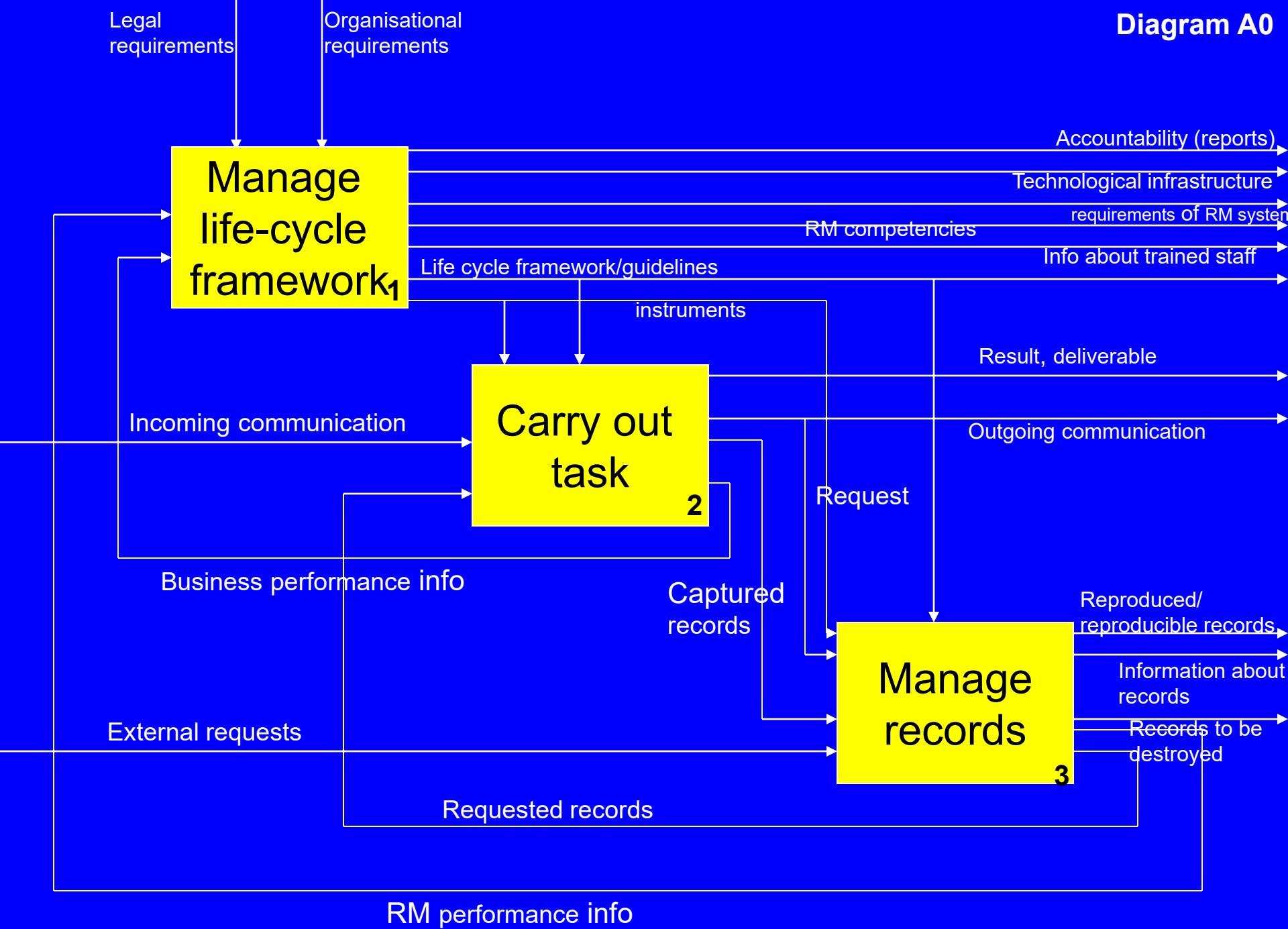- Records and metadata
- A model

Records

- 'information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business'

Records Management: what is it?

- 'field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about ***business activities and transactions*** in the forms of records'

Legal requirements

Organisational requirements

Accountability (reports)

Technological infrastructure

requirements of RM system

RM competencies

Manage life-cycle framework 1

Info about trained staff

Life cycle framework/guidelines

instruments

Result, deliverable

Incoming communication

Carry out task 2

Outgoing communication

Request

Business performance info

Captured records

Reproduced/ reproducible records

Manage records 3

Information about records

External requests

Records to be destroyed

Requested records

RM performance info

Records Management: enabler

- of conducting business in an orderly, efficient and accountable manner

- of delivering services in a consistent and equitable manner

- of supporting and documenting policy formation and managerial decision making

- of facilitating the effective performance of activities throughout an organisation

What does that mean?

- Framework

- Digital environment

- Integration in business process

- Continuum

- Different implementation models

ISO RM standard 15489:2001

- Benefits
- Policy and responsibilities
- Requirements (for records and systems)
- RM Processes
- Developing and implementing ISO 15489
- Monitoring and auditing
- Training

Requirements for organisations

- Policy

- Responsibilities

- Processes and procedures

- Implementation

- Monitoring, Audit

Requirements for records

- Authenticity
- Reliability
- Integrity
- Usability
  - i.e. retrievable, readable, interpretable

Requirements for systems

- Reliability
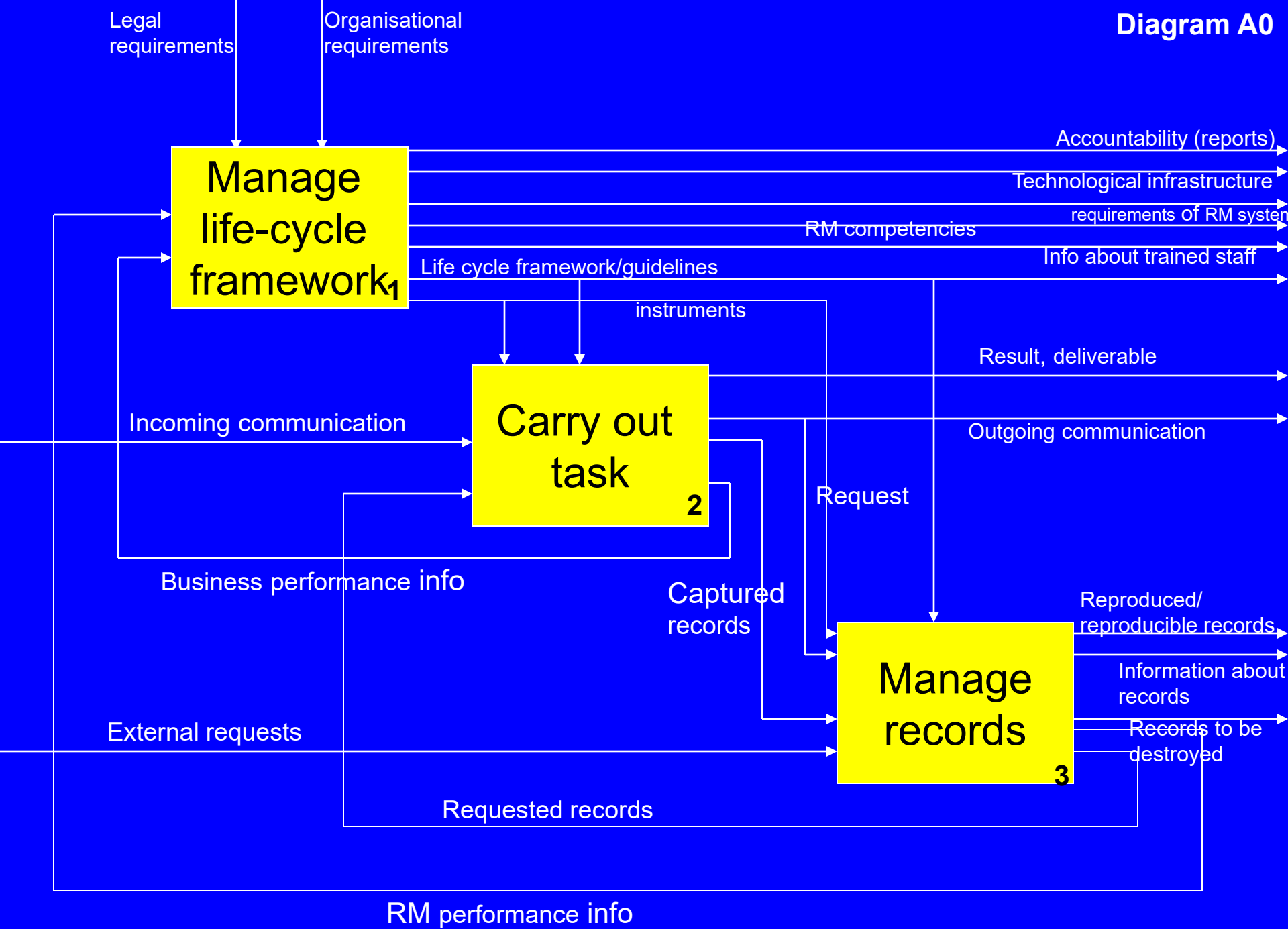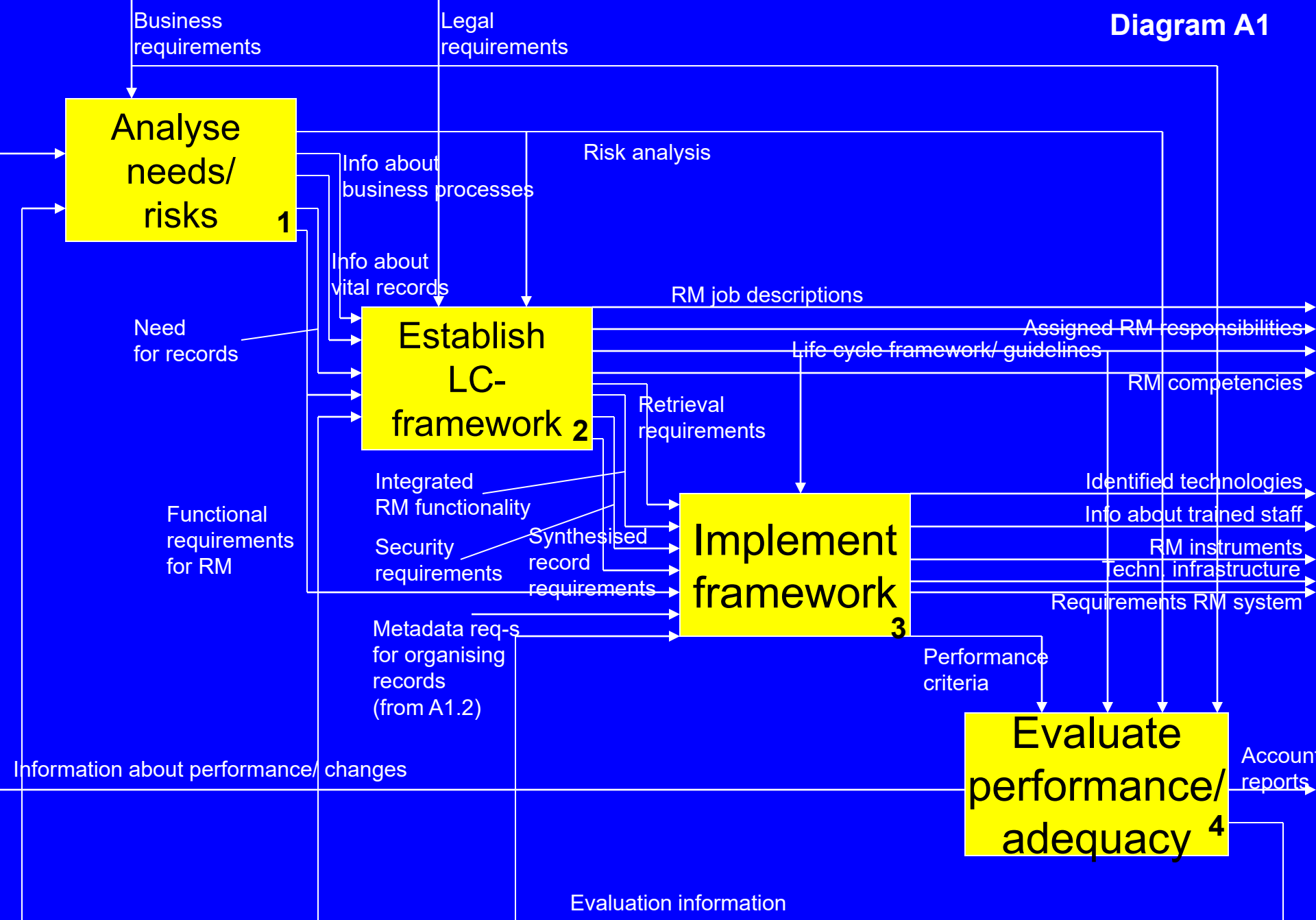- Integrity
- Compliance
- Comprehensiveness
- Systematic

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Manage life-cycle framework₁

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Diagram A1

Business requirements

Legal requirements

Analyse needs/ risks 1

Info about business processes

Risk analysis

Info about vital records

Need for records

Establish LC- framework 2

RM job descriptions

Assigned RM responsibilities

Life cycle framework/ guidelines

RM competencies

Retrieval requirements

Functional requirements for RM

Integrated RM functionality

Security requirements

Synthesised record requirements

Implement framework 3

Identified technologies

Info about trained staff

RM instruments

Techn. infrastructure

Requirements RM system

Metadata req-s for organising records (from A1.2)

Performance criteria

Information about performance/ changes

Evaluate performance/ adequacy 4

Account reports

Evaluation information

# New items: specific aspects (SC 11 working groups)

- RM metadata (--> ISO 23081)
- Access (issues and rules)
- Relationships with related domains (e.g. workflow, information management, document management)
- How to comply with ISO 15489?
- Review of ISO 15489

Some implementation issues

- Approach
- Metadata

Developments

- From paper to digital: digitising the business process
  - requirements and instruments
  - quality of personnel and organisation
  - quality assurance system
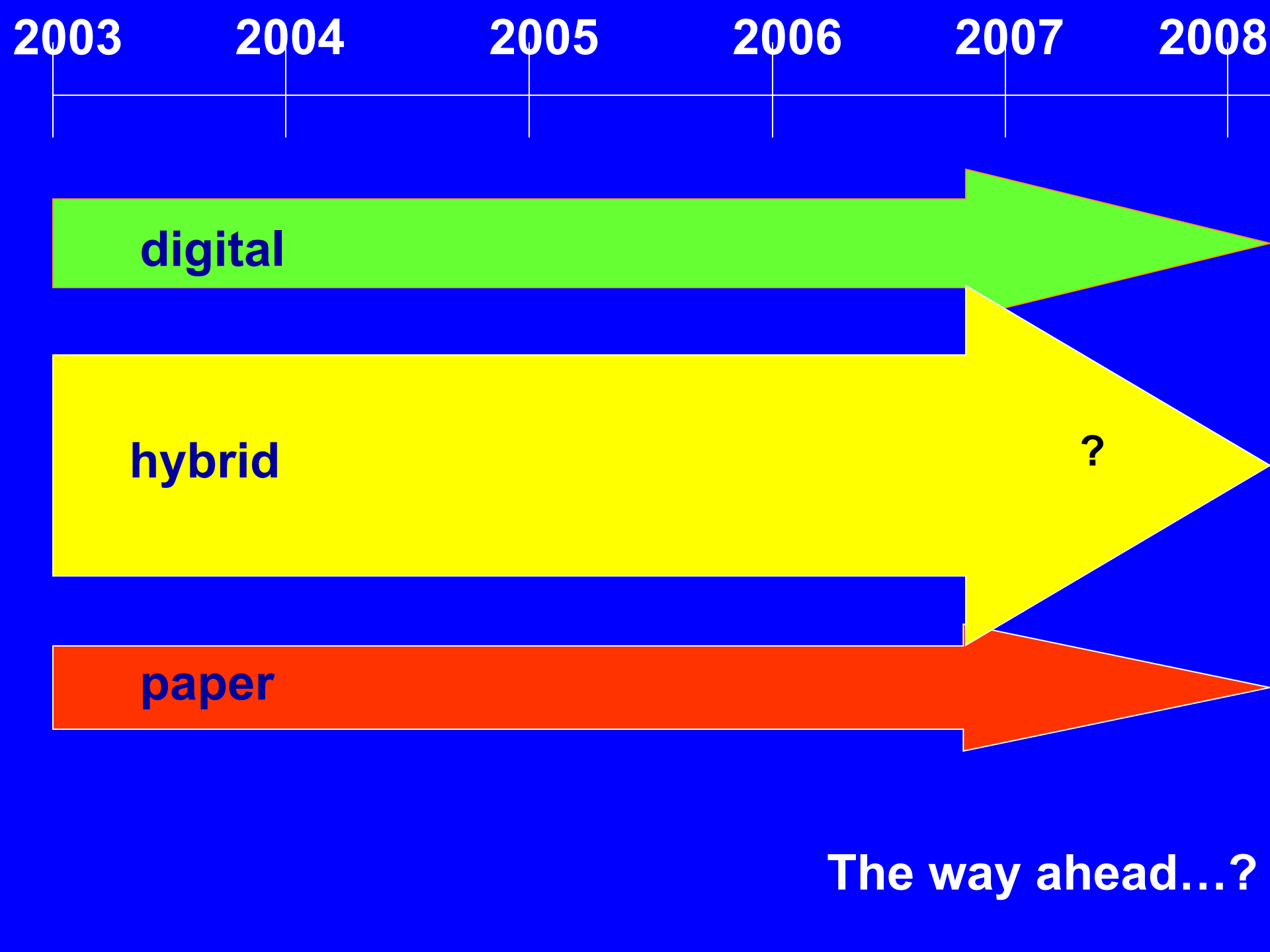
Records Management Standard ISO 15489

Core set requirements records management ← Legal check

Detailed requirements RMS based on type of business process → Deriving metadata

Functional requirements for records management applications (e.g. MoReq) → 'Launching customer'

Pilot projects

Implementation

available
To be achieved
in preparation

Components for implementing RM

(HH, 1-12-2003)

Societal requirements

Regulatory requirements

Organisational requirements

…….

Develop records management program

Risk analysis

Functional requirements

Design of RM system

implementation

people
procedures
facilities

RM functionality
in Business and Records
systems

RMS

Records Management Metadata

- Three parts: principles, implementation issues, assessment

- New Technical Specification, ISO/TS 23081 to be published Spring 2004

Principles of RM metadata

- Definition of RM metadata

- Purposes

- Roles and responsibilities

- Management of metadata

- Types of metadata
  - about records, agents, business policies/rules/mandates, business processes, RM processes

Definition

- RM metadata:
  - "..is data describing the context, content and structure of records and their management through time (ISO 15489-1, Clause 3.12)."
  - "..can be used to identify, authenticate and contextualise records and the people, processes and systems that create, manage, maintain and use them and the policies that govern them."

Perspectives on RM Metadata

- ***Metadata at point-of-record-capture***, e.g. Agent, Business Process, Date(s), Subject, Mandate, Addressee, etc.

- ***Process metadata***, e.g. Administrative data, Metadata about records management processes, new/other uses, policies, rules, authenticity, etc.

Observations

- Important and authoritative framework for organisations

- Impact on/ relationship with archival management?

- Still much work to do (for ISO TC46/Sc11) !