Introducing ISO 15489-1:2016
Information and documentation - Records management –
Part 1: Concepts and principles

<Your name / affiliation / event name>

About the ISO 15489 series

- 1st edition released in 2011
- The first global standard for records management
- Adopted by approx. 50 countries worldwide and translated into over 15 languages
- But it was time for the next generation!

Records in the contemporary business environment

- Records are not just information assets, but *enablers* of business

- There are exciting opportunities for use and reuse of records in the digital world

- There is a need to extend records controls and processes beyond traditional organizational boundaries, such as collaborative and multi-jurisdictional work environments

- Records controls (such as classification or access rules) need to be implemented in flexible ways

- Our work depends on recurrent analysis of business context, stakeholders and risk

Review process

- The review ran from 2012 – 2016

- Participating, Observer and Liaison members from all over the world participated in the working group

- The editorial group who were responsible for the drafting included members from Sweden, France, USA, Estonia, Canada, Australia, The Netherlands and Korea.

About the 2nd edition of the standard

- Establishes concepts and principles to guide approaches to making and managing records, in any context

- Not a compliance standard, but a statement of what the work of managing records entails, its main elements

- 'Digital minded' but technology agnostic

- Designed to be 'self contained' but is supported by a range of existing and pending standards and other guidance

What's in the standard?

- Principles to guide the creation, capture and management of records – in any environment and over time

- Basic concepts – records, systems for records, metadata for records

- The role of appraisal

- How policies and responsibilities support what we do

- Records controls – metadata schemas, classification, disposition authorities, access and permissions rules

- Records processes

Principles

1. Creation, capture and management of records are integral parts of conducting business, in any context;

2. Regardless of form or structure, records are authoritative evidence of business possessing the characteristics of authenticity, reliability, integrity and usability;

3. Records consist of content and metadata which describe their context, content and structure, and their management;

4. Records creation, capture and management decisions are based on of business activities in legal, regulatory and societal contexts; and

5. Systems for managing records, depend on defined policies, responsibilities, monitoring/evaluation and training in order to meet identified records requirements.

Concepts

- Records - records' transactional nature and reliance on metadata are emphasised

- Metadata for records - referenced throughout the Standard, as well as in the explanation of key concepts, as the fuel that drives the recordkeeping engine.

- Records systems - sets of functionalities connected to a number of control tools for records. May exist in a variety of forms, not necessarily single or records-dedicated applications

Appraisal

- recurrent analysis of business context, business activity, processes and risk for the purpose of determining what records to make and keep and how to manage them

- this proactive, strategic and risk-based approach more essential than ever in dealing with the volume and complexity of contemporary recordkeeping

Records controls

- Metadata schemas
- Disposition authorities
- Classification
- Access and permissions

Records processes

- Creating records

- Capturing records

- Records classification and indexing

- Access control

- Storing records

- Use and reuse

- Migrating and converting records

- Disposition

Supporting guidance

- ISO 15489 sits at the heart of a suite of existing and pending standards and guidance

- Existing resources include: Metadata for Records (ISO 23081); Work Process Analysis for Records (ISO/TR 26122)

- Management Systems for Records (MSR) series offers a top management implementation framework for embedding records management policy and processes across organisations

What about Part 2?

- A decision was made by SC11 to let ISO 15489-1:2016 stand alone, at the centre of the available suite of standards and other products, which all provide implementation guidance. Despite the use of Part 1 in its title, there will be no Part 2

- In lieu of working on a Part 2, two new products being developed:
  - Technical Standard on Appraisal for Managing Records
  - Technical Standard on Systems Design for Records

- These two new products will fill gaps in the existing guidance from SC11 – and be aligned with the concepts and principles of 15489

- The previously issued ISO 15489-2:2002 has been withdrawn

Thank you

- For more information please visit our [TC 46/SC 11 Home page](#)
- ISO 15489-1:2016 is available now, please contact your [National Standard Organization](#) or visit the [ISO website](#).

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