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 2\textsuperscript{nd} 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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