Revision of ISO 15489 – Records Management

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DISCLAIMER: THESE ARE MY PERSONAL VIEWS!

Agenda

- The role of standards – the pros and the cons
- The background – status of ISO 15489 and the review process
- What do we want? What has changed?
- How is it being undertaken, and when?
- 'Hot topics'
- What do YOU want?

The role of standard – the good and the bad

Why standards?

- Create authoritative body of knowledge

- Define domain

- A tactic (one of many) to improve uptake/influence

- Reflect community consensus
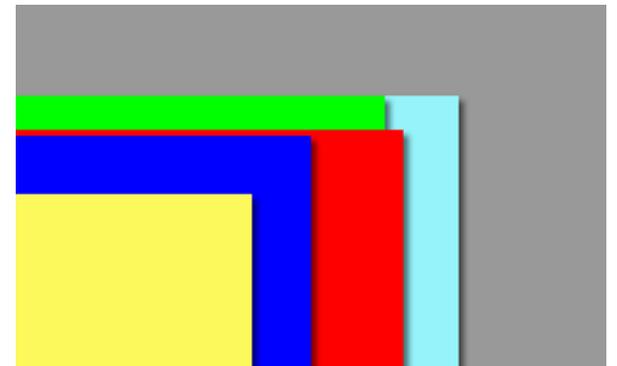
Standards – pros and cons

Pros

- Benchmark
- Stable and consistent
- Enable uptake
- Create environment of operation

Cons

- Always a compromise?
- Prescriptive?
- Constrain innovation?
- Too slow/resistant to change
- Bound to specific technology

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Status of ISO 15489 and the review process

ISO 15489 and its current status

- ISO 15489 based largely on Australian standard AS 4390 (with compromises!) issued in 2001

- Consists of Part 1, Part 2 (in Australia Part 2 is a technical report)

- Development process characterised by:
  – Big disputes/ multiple views of the world
  – Chaos followed by compromise

- The Committee responsible has over 26 countries actively participating and 12 observing. Every continent and region of the world represented

- It has been translated into French, German, Spanish, Chinese, Turkish, Urdu, Iranian, Estonian, Swedish, Dutch....

Review process

- All standards have a systematic review process
- In 2006 the Committee thought ISO 15489 needed update, but there was no consensus on what
- ISO 14589 had been an outstanding success
- Outstanding success – but different adoption rate makes it difficult to change
- Instead the Committee focussed on the development of Management Systems standard (ISO 30300 series)
- This time (2011) vote indicated it should stay the same, but active committee members thought change needed

What do we want? What's changed?

Previous Australian compromises

- No unified view of recordkeeping
- Implicitly accepts distinction between document/records
- Represents a skating over different conceptual views of recordkeeping
- Absence of appraisal as a continuous process

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Standards framework

Management System for Records Standards ISO 30300 series	Professional standards, ISO 15489, ISO 23081, ISO 16175, ISO 13008	Technical Reports (work process analysis, digitisation, long term electronic storage &access
Australian Standards AS5044 – AGLS; physical records	Australian handbooks, HB 278, Compliance, HB 5031 Records Classification	Jurisdictional and Industry standards (PROV, MoReq2010, DoD, Keyword AAA)

Tsunami of born digital

- Technology systems are the way business is done and delivered

- Concept of 'the record' now a dynamic not a static thing

- Need to remove physical vestiges

- Issue of sustainability as long as required

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Changing business models

- Records don't just occur in EDRMS! (the model is failing)
- Changing business models:
  - Supply chain management
  - Integrated systems
  - Shared services
- The web:
  - 24/7
  - Social media
  - End user empowerment

Fragmentation of concepts

- Recordkeeping and metadata are core to all information that needs to be authoritative and reliable

- Dying industries (image community) actively redefining their space to our space

- Technology driven initiatives redefining

- Recordkeeping as part of all discipline views, therefore fragmentation into specific standards
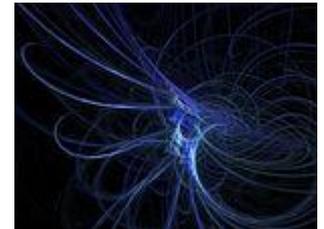
Starting points

Agreed principles for standards development - 2004

- We will deal with records and the related processes from their formative stages through all subsequent stages as long as they exist regardless their custody (including secondary use, including use in an archival environment). We will stress that requirements for the authenticity, reliability, integrity and useability of records should be built into the design of business/records systems, and that these essential characteristics of records should be maintained for however long the records are required to be preserved.
- We will see the record as a concept rather than an object (records as isolated objects or a physical thing).
- We will see the record in its context and as such are also dealing with the environments in which the record needs to operate (context based relationships to business context, relationships among records and records systems, relationships to legal and societal context, and relationships to people who create and who see to use records), not limited to an organisation, but also across organisations. That is, we need to take a holistic approach
- As a consequence we acknowledge that records have to be seen from multiple viewpoints (perspectives), where records are not static objects, but objects potentially used in ever new environments/contexts and as such continuously being recreated and accruing new meaning. Viewpoints include, but are not limited to, the creators of records, those who use the records to conduct business, those who receive the records in the course of business, and those who seek to use the records for purposes other than for their original business purpose.
- We will also include in our work, a recognition of the concept of reuse, both within and beyond the business context.
- We will stress an outcomes oriented approach. That is, we will seek to align the management of records to the business requirements of the context in which they are created and managed. We will stress that the proper management of records has to be integrated in business processes and systems and not a separate activity.
- We will stress the importance of records to a variety of groups, including managers, policy and legal staff, and IT professionals. We will deal with the responsibilities for these groups for creating records and for maintaining the authenticity, reliability, integrity, and useability of records. We will stress the importance of records as information assets as well as their importance for corporate governance, transparency, and societal responsibility.
- We will stress the importance of enabling the delivery of records services by multiple parties.

Starting directions for review

- It must be principles based:
  - It will need to last c10 years
- Digital environment and impact on the record as a static object
- Notion of records system and the need for records controls independent of dedicated records management software
- Treatment of records as a business asset linked to business processes
- Importance of appraisal and the analysis of a record within its context of creation and use
- Importance of risk management in devising strategies for the management of records, and
- Need for systems and rules for records that extend beyond traditional organisational boundaries, in line with changing business models

Understand context

How is it being undertaken and when?

Where are we?

- All participating countries were asked for input – 2011-2012

- A working group was established in 2012

- An Editorial group was established to produce an initial working draft that was developed in the first half of 2013

- Presented to the Committee and discussed in Paris, June 2013

How we got here

- Drafting methodology of the Working Group
  - Focus on Part 1
  - Established principles
  - Established structure, drafted sections
  - Face to face meeting The Hague

Next steps – and when?

- Prepare a further Working Draft for internal committee comment in late 2013

- Develop a Committee Draft for vote in early 2014

- Comments on voting and draft available for review in Washington, May/June 2014

- Earliest expected (all going well) in 2015
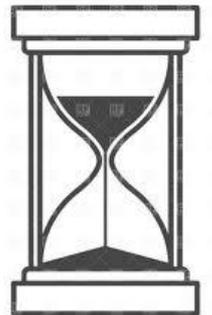
Discussion of 'hot topics'

Relationship to other standards

- This is the foundational standard outlining approach to recordkeeping in the modern age

- It will be self contained, so this will involve some repetition from other standards

- It will be a single high level document

- Further detail will be dealt with in other products

- It will be a set of principles and approaches to the management of records that will work in any environment
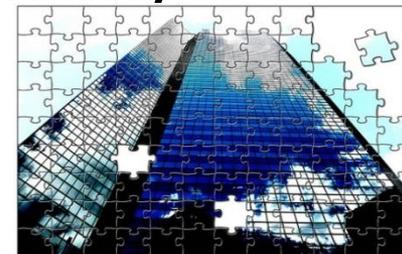
Image: Flikr Stream Adam _T4

Audience/scope

- As a foundational standard, largely aimed at professional practitioners

- Also relevant to:
    - those with responsibility for records in organisations
    - Related disciplines

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Structure

- Will concentrate on revision of Part 1 of existing standard

- Will attempt to make relationship to existing structure to ensure continuity (if possible)

- Characteristics of records will be maintained:
  - Authenticity
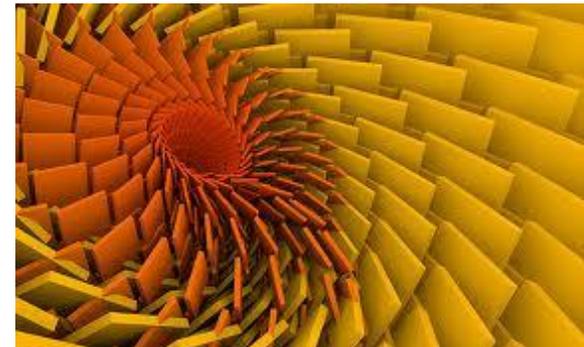 - Reliability
  - Integrity
  - useability

Image:
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Clarify language (within rules)

- System (short hand for any management system applying to the organisation: may include business application software system, records system or records application software system)

- Management system for records: the broader definition of system from ISO 30300 to include policies, procedures, technologies, people etc. (NOTE: this is recordkeeping system in Australia!)

- Records system: information system which captures, manages and provides access to records over time (from ISO 30300 and existing ISO 15489). Therefore this term is intended to encompass business systems that may provide records functionality, and may or may not include a specific records application software system.

- Records *application software* system: specific computer software system deployed to undertake the operations of managing records

- Business *application software* system: specific computer software system deployed to undertake specific business functions. Business application systems also commonly create records. In some cases business application software systems may also undertake some or all functionality required to manage records, and thus conform to requirements of a records system.
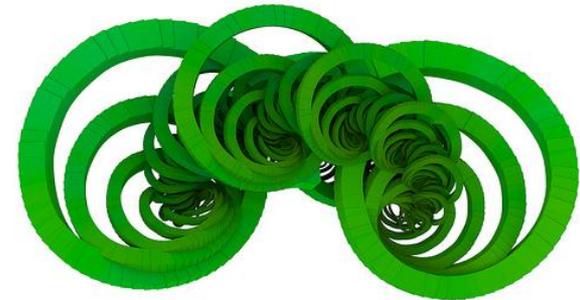
Metadata

- Metadata will be emphasised much more in this standard, given that the future is digital and metadata is no longer peripheral (if it ever was) but

- The recordkeeping metadata requirements will follow ISO 23081:
  a) metadata about the record itself;
  b) metadata about the business rules or policies and mandates;
  c) metadata about agents;
  d) metadata about business activities or processes;
  e) metadata about records management processes.

- Concept of provenance will be used more proactively

- This work will NOT include a metadata set for records (NB: Controversial!)
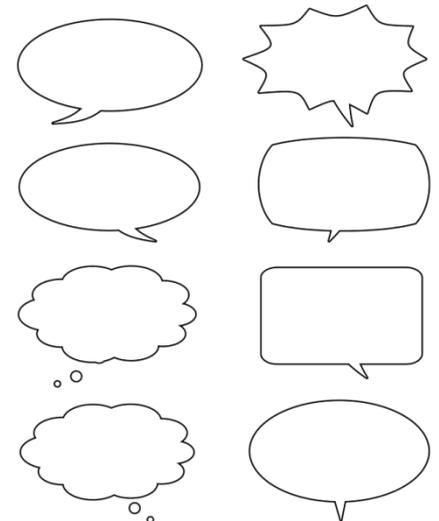
Appraisal

- Appraisal is a recurrent process of analysing business activity in order to identify records requirements. It is core business for records managers.

- Appraisal is not about evaluating existing records, but rather it is about analysing business to understand business and other requirements for records, affecting decisions to create records, manage them in certain ways and keep or destroy them . Appraisal is proactive, as opposed to reactive.

- When managing records in the digital environment:
  - the examination of records after record creation to assign them value is not feasible in terms of volume,
  - does not suit the dynamic nature of records in the digital world,
  - Will not result in good business outcomes in terms of managing risk across business processes.

- Appraisal should not be regarded as meeting narrow needs to do with long term or permanent value records, but rather as an essential element of systems design, of business process change, of disposition.

- Still contentious!

What do YOU want?