Have Records Management Fundamentals Changed with the Revision of ISO 15489?

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About us

In-Form Consult (IFC) is a leading independent information management consultancy that helps businesses transform enterprise-wide information into a powerful business asset. Our impartial solutions help you solve your information management needs whilst improving policies, processes, and procedures. Through consultancy, technology, training, and resourcing, we can help you reduce cost, minimise risk and increase the value of your information.

Our services

IFC provides consulting expertise in the areas of information and records management, information governance, knowledge management, data management and enterprise solutions. We offer a wide range of bespoke consulting services including health checks, strategy development, process improvement and development, and technology selection and implementation all of which are delivered to industry best practice for information and change management. Our consulting team are industry-leading experts and individually are specialists within public, private and not-for-profit sectors.
Our Clients
History

- ISO 15489 originated as an Australian standard (AS 4390:1996)
- Published in 2001
- Very successful
- Two parts
  - Part 1: *General* – Framework for recordkeeping
  - Part 2: *Guidelines* – Putting part 1 into practice.
Why Revise ISO 15489?

- Records management is becoming part of a much more integrated and holistic approach to managing an organisation
- Growth of electronic record keeping
  - Revised standard is still format neutral
- Introduction of ISO 30300 series
  - Management Systems for Records
Progress to Date

2011
Agreement reached that revision needed

2012
Revision working group established

2013
First working draft produced

2014
Revised working drafts

Jan 2015
Draft International Standard (DIS) released for public consultation

Dec 2015
Final draft international standard (FDIS) released for ballot

Feb 2016
Revised Standard approved

ISO publication: PUBLISHED
BSI publication: July 2016

Ballot results:

yes=19  abstain=4  no=1
What has changed?

- Definition of a record
  - E.g. definition of a record is now “information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business.”
Characteristics of a record
Characteristics of a record

- Authoritative records still depend on:
  - authenticity,
  - reliability,
  - integrity, and
  - useability.

- Metadata is also a necessary characteristic of an authoritative record.
Records Systems

SOMEONE GET ME THE JOHNSON FILE RIGHT AWAY!

YES SIR...UHH... COMING RIGHT UP
Records Systems

- More emphasis is placed on records systems. A system is a number of elements which combine to ensure records requirements are met:
  - Applying records controls
  - Carrying out processes to create, capture and manage records
  - Create and maintain relationship between content and metadata

- A records system must be reliable, secure, compliant, comprehensive and systematic.
Design and Implementation

- ISO 15489:2001 was closely linked to DIRKS
- The new version specifies what design and implementation processes should achieve, not how they are undertaken.
ISO 15489 Requires...

- Policies – same as before
- Define responsibilities – same as before
- Monitor and evaluation – more emphasis in new version
- Competence and training – more emphasis in new version
Appraisal

- This is the change I found most difficult to adjust to.
- Appraisal is now described as “the process of evaluating business activities to determine which records need to be created and captured and how long the records need to be kept”.
- Includes analysis of:
  - Business context
  - Business activities
  - Risk
Controls

- Much greater emphasis on records controls
- A control stops us just doing what we like!
- Four categories of control:
  1. Metadata schemas
  2. Business classification schemes
  3. Access and permission rules
  4. Disposition authorities
Processes

- Processes now should be integrated into procedures and applicable systems.
  - This reflects the reality that records cannot sit in isolated systems
- Processes include:
  - creating records
  - capturing records
  - classification and indexing
  - access control
  - storing records
  - use and reuse
  - migration or conversion
  - disposition.
Issues

- Where does the standard fit with other standards such as ISO 30300 and ISO 23081 (metadata standard)?
- Little reference to other areas such as:
  - information governance
  - information security
  - business resilience and risk management
- With greater integration, greater clarity on responsibilities is required
Next Steps

- ISO 15489-2 has now been withdrawn.
- Revision of Part 2 is now being addressed and three Technical Specifications are being considered including appraisal guidance.
Conclusions

- Have the fundamentals of records management changed? – NO
- Will a Records Manager have to significantly change the way they work because of the new standard? – No
Any Questions?