Information and documentation —
Principles and functional requirements for records in electronic office environments —

Part 2:
Guidelines and functional requirements for digital records management systems

Information et documentation — Principes et exigences fonctionnelles pour les enregistrements dans les environnements électroniques de bureau —

Partie 2: Lignes directrices et exigences fonctionnelles pour les systèmes de management des enregistrements numériques
Foreword

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The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 16175-2 was prepared by the International Council on Archives (as International Council on Archives and the Australasian Digital Recordkeeping Initiative Principles and functional requirements for records in electronic office environments — Module 2: Guidelines and functional requirements for digital records management systems) and was adopted, under a special “fast-track procedure”, by Technical Committee ISO/TC 46, Information and documentation, Subcommittee SC 11, Archives/records management, in parallel with its approval by the ISO member bodies.

ISO 16175 consists of the following parts, under the general title Information and documentation — Principles and functional requirements for records in electronic office environments:

— Part 1: Overview and statement of principles
— Part 2: Guidelines and functional requirements for digital records management systems
— Part 3: Guidelines and functional requirements for records in business systems
Information and documentation - Principles and functional requirements for records in electronic office environments

Part 2

Guidelines and functional requirements for digital records management systems
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INTRODUCTION

Effective management of records and information is fundamental to a well-functioning organisation as it supports business activity and provides a basis for efficient service delivery. It also provides the mechanism whereby organisations can account for their decisions and actions and retain corporate memory. Moreover, good records management is simply good business practice.

Digital records management systems facilitate:

a) efficiency, by making information readily available when needed for decision-making and operational activities;

b) sound use of financial resources, by allowing timely disposition of non-current records;

c) accountability, by enabling the creation of a complete and authoritative record of activities;

d) compliance, by demonstrating that legal requirements have been met; and

e) risk mitigation, by managing the risks associated with illegal loss or destruction of records, and from inappropriate or unauthorised access to records.

A fundamental underlying principle for this document, Principles and functional requirements for records in electronic office environments – Part 2: Guidelines and functional requirements for digital records management systems. (hereafter the term ‘part’ is used) is the distinction between business systems (or business information systems) and digital (or electronic) records management systems. Business systems contain data that is commonly subject to constant updates (dynamic), able to be transformed (manipulable) and contain data in current business use (non-redundant). By contrast, digital records management systems contain data that is not dynamically linked to business activity (fixed), unable to be altered (inviolable), and may be non-current (redundant). Therefore business systems are beyond the scope of this part (see ISO1617-3: 2010, Information and documentation - Principles and functional requirements for records in electronic office environments – Part 3: Guidelines and functional requirements for records in business systems.).

The records within a digital records management system are, however, still dynamic in the sense that they can be (re)used in new business activity/contexts, so new metadata will be added through the ongoing use of the record content. Digital records management systems provide the technological component of a framework for the systematic and structured management of records; they link digital and non-digital records to business activities, retain records of past actions, and fix the content and structure of records over time.

The primary audience for this document is staff responsible for designing, reviewing and/or implementing digital records management systems in organisations – whether
those systems are commercial off-the-shelf digital records management software applications, or custom-built applications.

This part primarily addresses the requirements of organisational records/information managers or system procurement project leaders, but will be relevant for jurisdictional standard-setters and the wider records management community.

Another key audience is software vendors and developers who market and/or develop digital records management system products. This part is intended to inform their decision-making when designing records management functionality within digital records management products.