

INFORMATSIOON JA DOKUMENTATSIOON

**Dokumentide haldamise põhimõtted ja funktsionaalsusnõuded digitaalses kontorikeskkonnas
Osa 3: Juhised ja funktsionaalsusnõuded dokumentidele ärisüsteemides**

Information and documentation

Principles and functional requirements for records in electronic office environments

**Part 3: Guidelines and functional requirements for records in business systems
(ISO 16175-3:2010)**

EESTI STANDARDI EESSÕNA**NATIONAL FOREWORD**

See Eesti standard EVS-ISO 16175-3:2012 „Informatsioon ja dokumentatsioon. Dokumentide haldamise põhimõtted ja funktsionaalsusnõuded digitaalses kontorikeskkonnas. Osa 3: Juhised ja funktsionaalsusnõuded dokumentidele ärisüsteemides“ sisaldab rahvusvahelise standardi ISO 16175-3:2010 „Information and documentation – Principles and functional requirements for records in electronic office environments – Part 3: Guidelines and functional requirements for records in business systems“ identset ingliskeelset teksti.

Ettepaneku rahvusvahelise standardi ümbertrüki meetodil ülevõtuks on esitanud EVS/TK 22, standardi avaldamist on korraldanud Eesti Standardikeskus.

Standard EVS-ISO 16175-3:2012 on jõustunud sellekohase teate avaldamisega EVS Teataja 2012. aasta detsembrikuu numbris.

Standard on kättesaadav Eesti Standardikeskusest.

This Estonian Standard EVS-ISO 16175-3:2012 consists of the identical English text of the International Standard ISO 16175-3:2010 “Information and documentation – Principles and functional requirements for records in electronic office environments – Part 3: Guidelines and functional requirements for records in business systems”.

Proposal to adopt the International Standard by reprint method has been presented by EVS/TK 22, the Estonian standard has been published by the Estonian Centre for Standardisation.

This standard has been endorsed with a notification published in the official bulletin of the Estonian Centre for Standardisation.

The standard is available from the Estonian Centre for Standardisation.

Käsitlusala

Standard aitab organisatsioonidel tagada ärisüsteemides tehtud tegevuste tõenduse (dokumentide) asjakohase tuvastamise ja haldamise. Täpsemalt aitab see organisatsioonil:

- mõista protsesse ja nõudeid ärisüsteemides olevate dokumentide kindlaksmääramiseks ja haldamiseks;
- välja töötada spetsifikatsioonidesse lisatavaid funktsionaalsusnõudeid, kui ärisüsteemi tarkvara luuakse, uuendatakse või soetatakse;
- hinnata pakutava kohandatud või laiatarbe-ärisüsteemi võimekust hallata dokumente;
- vaadata üle või hinnata olemasolevate süsteemide funktsionaalsuste sobivust.

Standard ei paku täielikku spetsifikatsiooni, vaid rõhutab teatud hulka dokumendihalduse põhinõudeid koos soovitusliku kohustuslikkuse tasemega, mida saab kasutada kui lähtekohta toote arendamiseks. See ei vabasta organisatsiooni oma funktsionaalsusnõuete hindamisest, kohandamisest ja väljavalimisest vastavalt oma ärilisele, tehnilisele ja juriidilisele keskkonnale ning neile kehtivatele piirangutele.

Standardi see osa on suunatud ainult dokumendihalduse nõuetele ega käsitle üldist süsteemihaldust. Käsitlusalasse ei kuulu nõuded ärisüsteemi kasutatavusele, aruandlusele, otsimehhanismile, süsteemi administreerimisele ja toimimisele. Standardi kasutajalt eeldatakse teatud tasemel teadmisi spetsifikatsioonide koostamise, hankimise ja hindamise protsessidest, seega ei ole nendega seonduvat siin käsitletud.

Nõudeid digitaaldokumentide pikaajaliseks säilitamiseks ei ole siin otseselt käsitletud. Dokumendis toodud ekspordile esitatavad nõuded siiski toetavad pikaajalist säilitamist, kuna võimaldavad dokumente ekspordida pikaajalise säilitamise võimekusega süsteemi või migreerida uutesse süsteemidesse.

Kuna selles standardi osas esitatud juhised peaksid olema kohandatavad dokumendihaldusega tugevalt integreeritud teenustepõhiste tarkvaradele, kehtivad taolised põhimõtted ja protsessid üldiselt ning täpsemad juhiseid pole esitatud. Siiski on tarvilik teha täiendav analüüs selle kohta, millised erinevates süsteemides olevad andmed tõendavad teatud toimingut nõutud viisil.

Mõiste „süsteem“ kasutamine selles standardis viitab arvutitele ja IT-süsteemidele. See erineb dokumendi-halduses levinud mõistest, mis on seotud laiemas mõttes inimeste, poliitikate, protseduuride ja praktikatega. Organisatsioonid peavad sellist laiemat arusaama silmas pidama ja tagama, et põhilised dokumendihaldust toetavad abivahendid, nagu eraldamise volitused, infoturbe skeemid ja dokumenteerimise tava organisatsioonis, toimivad, et kindlustada ärisüsteemides olevate dokumentide asjakohane haldamine.

Tagasisidet standardi sisu kohta on võimalik edastada, kasutades EVS-i veebilehel asuvat tagasiside vormi või saates e-kirja meiliaadressile standardiosakond@evs.ee.

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1 INTRODUCTION

Organisations implement business systems to automate business activities and transactions. As a result, the digital information generated by a business system increasingly serves as the only evidence or record of the process, despite the system not being designed for this purpose. Without evidence of these activities, organisations are exposed to risk and may be unable to meet legislative, accountability, business and community expectations.

Because of the dynamic and manipulable nature of business systems, the capture of fixed records and the ongoing management of their authenticity, reliability, usability and integrity can be challenging. Organisations are therefore faced with a significant risk of mismanagement, inefficiency and unnecessary expenditure.

While these same organisations may have an electronic records management system (ERMS),¹ it may not capture all records of the organisation. This document is designed to address the records management gap caused by the increasing use of business systems.

It provides guidelines on identifying and addressing the needs for records, and a set of generic requirements for records management functionality within business systems software. It aims to:

- help organizations understand digital records management requirements;
- assist organisations to improve digital records management practices;
- reduce the duplication of effort and associated costs in identifying a minimum level of functionality for records in business systems; and
- establish greater standardisation of records management requirements for software vendors.

The document does not prescribe a specific implementation approach. The intent of these specifications can be realised through interfacing or integrating the business system with an electronic records management system or by building the functionality into the business system.

1.1 Scope and purpose

This document will help organisations to ensure that evidence (records) of business activities transacted through business systems are appropriately identified and managed. Specifically, it will assist organisations to:

- understand processes and requirements for identifying and managing records in business systems;

¹ An electronic records management system is a type of business system specifically designed to manage records. However, in the interests of clarity and brevity, for the purpose of this document, 'business system' should be taken as excluding an electronic records management system.

- develop requirements for functionality for records to be included in a design specification when building, upgrading or purchasing business system software;
- evaluate the records management capability of proposed customised or commercial off-the-shelf business system software; and
- review the functionality for records or assess compliance of existing business systems.

It does not provide a complete specification but rather outlines a number of key records management requirements, with recommended levels of obligation, which can be used as a starting point for further development. As outlined in the document, organisations will still need to assess, amend and select their requirements based on their business, technical and jurisdictional environments and constraints.

This Module only addresses records management requirements and does not include general system management. Design requirements such as usability, reporting, searching, system administration and performance are beyond the scope of this document. It also assumes a level of knowledge about developing design specifications, procurement and evaluation processes, therefore these related issues are not covered in any detail.

Requirements for the long-term preservation of digital records are not explicitly covered within this document. However, the inclusion of requirements for export supports preservation by allowing the export of records to a system that is capable of long-term preservation activities, or for the ongoing migration of records into new systems.

While the guidance presented in this Module should be applicable to records management in highly integrated software environments based on service-oriented architectures, such scenarios are not explicitly addressed. Similar principles and processes will apply in such environments, but additional analysis will be required to determine what processes and data constitute, across multiple systems, the required evidence or record of any particular transaction.

Use of the term 'system' in this document refers to a computer or IT system. This is in contrast to the records management understanding of the term that encompasses the broader aspects of people, policies, procedures and practices. Organisations will need to consider these wider aspects, and to ensure that fundamental records management supporting tools such as disposition authorities,² information security classifications and a records culture are in place, in order to ensure records from business systems can be appropriately managed.

1.2 Audience

The primary audience for this document is staff responsible for designing, reviewing and/or implementing business systems in organisations, such as business analysts

² A formal instrument that defines the retention periods and consequent actions authorised for classes of records described in the authority.