TECHNICAL SPECIFICATION

ISO/TS 16175-2

Information and documentation — Processes and functional requirements for software for managing records —

Part 2:
Guidance for selecting, designing, implementing and maintaining software for managing records

Information et documentation — Processus et exigences fonctionnelles applicables aux logiciels de gestion des documents d'activité —

Partie 2: Recommandations pour le choix, la conception, la mise en oeuvre et la tenue à jour des logiciels de gestion des documents d'activité d'activité

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This second edition of ISO/TS 16175-2 cancels and replaces ISO 16175-2:2011 and ISO 16175-3:2010, which have been technically revised. The main changes compared to the previous editions are as follows:

— functional requirements for software that were previously provided in ISO 16175-2:2011 and ISO 16175-3:2010 have been updated and consolidated;

— guidance on implementing software for digital records that was previously provided in all three parts of the previous edition of the ISO 16175 series has been updated and consolidated;

— in an updated form, some generic content on implementing records systems (both digital and analogue), that was previously provided in the now withdrawn ISO/TR 15489-2:2001 have been included.

A list of all parts in the ISO 16175 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

All organizations have at least one records system. Records systems are information systems which capture, manage and provide access to records over time. Records systems can consist of technical elements such as software, and non-technical elements such as policy, procedures and agents. Records systems as a whole include the policy, processes, software and people that use and manage records. Records systems exist in many variations: in paper systems, in software specifically designed to meet functionality for managing records, or as business software which capture and manage records. This document is focused on management of records in the digital environment, using software, but the general principles and considerations apply whatever the environment.

This document makes no distinction between software applications that are used for any business purpose and those applications specifically intended and designed to manage records. Examples of the former include Enterprise Content Management Systems and applications which create records as one part of their functionality such as Contracts Management Systems, Case Management Systems or transactional systems. The term used throughout is therefore "software for managing records", which is intended to encapsulate the totality of applications that manage records as part of their usual functioning. It is assumed that almost all business applications generates data that is needed to serve as evidence of business activity for future reference and as such, among other things, need to create, store and manage records, whether within their own functionality or in combination with other applications.

Clauses 4 and 5 provide guidance on assessing the context of the organization and on scoping a project to implement software for managing records. Clauses 6 to 8 provide guidance on identifying requirements for the functionality of the software, including those for conversion and migration. Clause 9 provides guidance on communication, training and change management. Clause 10 provides guidelines for post-implementation review.

ISO 16175-1 provides a set of model functional requirements and associated guidance for software for managing digital records.

Information and documentation — Processes and functional requirements for software for managing records —

Part 2:
Guidance for selecting, designing, implementing and maintaining software for managing records

1 Scope

This document provides guidance for decision making and processes associated with the selection, design, implementation and maintenance of software for managing records, according to the principles specified in ISO 15489-1.

This document is applicable to any kind of records system supported by software, including paper records managed by software, but is particularly focused on software for managing digital records.

This document provides guidance to records professionals charged with, or supporting the selection, design, implementation and maintenance of systems for managing records using a variety of software. It can also provide assistance to information technology professionals such as solution architects/ designers, IT procurement decision makers, business analysts, business owners and software developers and testers seeking to understand records requirements.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 30300, *Information and documentation — Records management — Core concepts and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

4 Assessing the organizational framework and context

4.1 General

Organizations have distinct cultures which usually affect their approach to managing records. These cultures are part of the organizational context. Factors that impact the information culture of an organization include:

— the values, attitudes and behaviours of organizational users;