

**Informatsioon ja dokumentatsioon.
Dokumendihaldus. Osa 2: Juhised**

Information and documentation - Records management
- Part 2: Guidelines

EESTI STANDARDI EESSÕNA

NATIONAL FOREWORD

Käesolev Eesti standard EVS-ISO/TR 15489-2:2004 sisaldab rahvusvahelise standardi ISO/TR 15489-2:2001 ingliskeelset teksti.

Standard on kinnitatud Eesti Standardikeskuse 17.05.2004 käskkirjaga ja jõustub sellekohase teate avaldamisel EVS Teatajas.

Standard on kättesaadav Eesti standardiorganisatsioonist.

This Estonian standard EVS-ISO/TR 15489-2:2004 consists of the English text of the international standard ISO/TR 15489-2:2001.

This standard is ratified with the order of Estonian Centre for Standardisation dated 17.05.2004 and is endorsed with the notification published in the official bulletin of the Estonian national standardisation organisation.

The standard is available from Estonian standardisation organisation.

ICS 01.140.20

Standardite reprodutseerimis- ja levitamiseõigus kuulub Eesti Standardikeskusele

Andmete paljundamine, taastekitamine, kopeerimine, salvestamine elektroonilisse süsteemi või edastamine ükskõik millises vormis või millisel teel on keelatud ilma Eesti Standardikeskuse poolt antud kirjaliku loata.

Kui Teil on küsimusi standardite autorikaitse kohta, palun võtke ühendust Eesti Standardikeskusega:
Aru 10 Tallinn 10317 Eesti; www.evs.ee; Telefon: 605 5050; E-post: info@evs.ee

Right to reproduce and distribute Estonian Standards belongs to the Estonian Centre for Standardisation

No part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying, without permission in writing from Estonian Centre for Standardisation.

If you have any questions about standards copyright, please contact Estonian Centre for Standardisation:
Aru str 10 Tallinn 10317 Estonia; www.evs.ee; Phone: +372 605 5050; E-mail: info@evs.ee

**Information and documentation — Records
management —**

**Part 2:
Guidelines**

Information et documentation — «Records management» —

Partie 2: Guide pratique



PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

© ISO 2001

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.ch
Web www.iso.ch

Printed in Switzerland

Contents

| | |
|---|-----------|
| Foreword..... | v |
| Introduction..... | vi |
| 1 Scope | 1 |
| 2 Policies and responsibilities | 1 |
| 2.1 Introduction | 1 |
| 2.2 Records management policy statements | 1 |
| 2.3 Responsibilities | 1 |
| 2.3.1 Objectives of defining responsibilities and authorities | 1 |
| 2.3.2 Authorities and responsibilities within the organization | 2 |
| 3 Strategies, design and implementation | 2 |
| 3.1 Introduction | 2 |
| 3.2 Design and implementation of a records system | 2 |
| 3.2.1 General | 2 |
| 3.2.2 Step A: Preliminary investigation | 3 |
| 3.2.3 Step B: Analysis of business activity | 3 |
| 3.2.4 Step C: Identification of requirements for records | 4 |
| 3.2.5 Step D: Assessment of existing systems | 4 |
| 3.2.6 Step E: Identification of strategies for satisfying records requirements | 5 |
| 3.2.7 Step F: Design of a records system | 5 |
| 3.2.8 Step G: Implementation of a records system | 6 |
| 3.2.9 Step H: Post-implementation review | 7 |
| 4 Records processes and controls | 7 |
| 4.1 Introduction | 7 |
| 4.2 Instruments | 8 |
| 4.2.1 Principal instruments | 8 |
| 4.2.2 Business activity classification | 8 |
| 4.2.3 Vocabulary | 10 |
| 4.2.4 Records disposition authority | 10 |
| 4.2.5 Security and access classification scheme | 12 |
| 4.3 Records management processes | 13 |
| 4.3.1 Introduction | 13 |
| 4.3.2 Capture | 14 |
| 4.3.3 Registration | 15 |
| 4.3.4 Classification | 16 |
| 4.3.5 Access and security classification | 17 |
| 4.3.6 Identification of disposition status | 17 |
| 4.3.7 Storage | 18 |
| 4.3.8 Use and tracking | 19 |
| 4.3.9 Implementation of disposition | 20 |
| 5 Monitoring and auditing | 22 |
| 5.1 General | 22 |
| 5.2 Compliance auditing | 22 |
| 5.3 Evidential weight | 22 |
| 5.4 Performance monitoring | 23 |
| 6 Training | 23 |
| 6.1 Introduction | 23 |
| 6.2 Training programme requirements | 23 |
| 6.3 Personnel to be trained | 23 |
| 6.4 Training for records management professionals | 23 |

| | | |
|-------|--|----|
| 6.4.1 | General..... | 23 |
| 6.4.2 | Methods of training..... | 24 |
| 6.5 | Evaluation and review of training | 24 |
| | Annex A Reference tables to compare ISO 15489-1 and its accompanying Guidelines ISO/TR 15489-2 | 25 |
| | Annex B Comparison of ISO/TR 15489-2 Guidelines and ISO 15489-1 | 32 |
| | Bibliography | 37 |
| | Index..... | 38 |

This document is a preview generated by EVS

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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

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.

In exceptional circumstances, when a technical committee has collected data of a different kind from that which is normally published as an International Standard ("state of the art", for example), it may decide by a simple majority vote of its participating members to publish a Technical Report. A Technical Report is entirely informative in nature and does not have to be reviewed until the data it provides are considered to be no longer valid or useful.

Attention is drawn to the possibility that some of the elements of this part of ISO 15489 may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/TR 15489-2 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO/TR 15489 consists of the following parts, under the general title *Information and documentation — Records management*:

- *Part 1: General*
- *Part 2: Guidelines* [Technical Report]

Introduction

This part of ISO 15489 provides guidelines that are supplementary to ISO 15489-1. Both ISO 15489-1 and this part of ISO 15489 apply to records in any format or media, created or received by any public or private organization during the course of its activities. Thus, in this part of ISO 15489, unless otherwise noted, systems may be interpreted as paper/manual or electronic, and a document may be either paper, microform or electronic.

ISO 15489-1 specifies the elements of records management and defines the necessary results or outcomes to be achieved. This part of ISO 15489 provides one methodology for implementation. However, it should be noted that national standards and legislation and regulation may dictate other factors and requirements for legal compliance.

In addition to using this part of ISO 15489, those seeking to implement the standard should consult requirements and guidance of national standards and legislation and regulation that apply in their jurisdictions. In addition, a variety of professional societies and associations have resources available to assist in the implementation of ISO 15489-1.

Information and documentation — Records management —

Part 2: Guidelines

1 Scope

This part of ISO 15489 is an implementation guide to ISO 15489-1 for use by record management professionals and those charged with managing records in their organizations. It provides one methodology that will facilitate the implementation of ISO 15489-1 in all organizations that have a need to manage their records. It gives an overview of the processes and factors to consider in organizations wishing to comply with ISO 15489-1.

2 Policies and responsibilities

2.1 Introduction

ISO 15489-1:2001, clause 6 sets out, in general terms, the need for organizations seeking to comply with it to have a records management policy in place and to define and assign records-related responsibilities to individuals. This part of ISO 15489 provides additional guidance on records management policies and expands on the types of responsibilities to be defined and assigned.

2.2 Records management policy statements

Organizations should define and document policies for records management and should ensure that the policies are implemented and maintained at all levels in the organization.

A records management policy statement is a statement of intentions. It sets out what the organization intends to do and, sometimes, includes an outline of the programme and procedures that will achieve those intentions. However, a policy statement on its own will not guarantee good records management: critical to its success are endorsement and active and visible support by senior management and the allocation of the resources necessary for implementation. An effective policy statement will, therefore, identify a senior member of staff with lead responsibility for records management and for overseeing policy and programme implementation.

The policy statement should refer to other policies relating to information, for example, on information systems policy, information security or asset management, but should not seek to duplicate them. It should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other documents that together make up the records management regime.

Support and endorsement of the policy by all employees should be encouraged at all times. It is particularly important that the policy obliges all employees to create and maintain records that meet the legal, regulatory, fiscal, operational, and archival/historical needs of the organization. Monitoring of compliance with the policy is also important.

2.3 Responsibilities

2.3.1 Objectives of defining responsibilities and authorities

The overriding objective of defining responsibilities, authorities and inter-relationships is to establish and maintain a records management regime that meets the needs of internal and external stakeholders.