

How does ICA-Req relate to other standards?

The principles and functional requirements presented in ICA-Req have been aligned with the records management principles that are set out in the International Standard on *Information and documentation – Records management*, ISO 15489.

A useful companion to Part 3 of ICA-Req is ISO/TR 26122, *Information and documentation – Work process analysis for records*. Using ISO-TR 26122 to conduct a work process analysis of activity undertaken within a business system helps identify points in a work process where a business system should be generating and capturing records.

Metadata references for the functional requirements and the metadata requirements in ICA-Req are based on ISO 23081, *Information and Documentation – Managing Metadata for Records*.

ICA-Req supports *the Management Systems Standards for Records* ISO 30300 and ISO 30301 by providing guidance to the owners and developers of records systems as to how records systems can be designed to deliver the strategic outcomes intended by overarching management systems.

What is the ICA?

The **International Council on Archives** is a non-governmental organisation founded in 1948. The ICA is dedicated to promoting the preservation and development of, and access to, archives across the world through international cooperation.

The ICA has a global network of more than 1400 institutional and individual members in 198 countries and territories.

Where to go for further information

For further information about the ICA or the Standard, ICA-Req visit: www.ica.org



INFORMATION FOR AUDITORS & OMBUDSMEN

ICQ REQ

International Standard for Digital Records Management

Any freedom of information legislation is only as good as the quality of the records to which it provides access.

Lord Chancellor's Code of Practice on the Management of Records, United Kingdom, 2002

What is the Standard?

ICA-Req is the common name given to the Standard *Principles and functional requirements for records in electronic office environments*.

ICA-Req is a standard designed to harmonise and expand on existing international standards, principles and functional requirements for records management. Applying these standards to digital business systems will enable them to create and manage authentic and reliable digital records.

ICA-Req was developed by the International Council on Archives (ICA) and has been endorsed by the International Standards Organization as ISO 16175 *Information and documentation – Principles and functional requirements for records in electronic office environments*.

It is organised into three parts:

ISO 16175-1:2010 Overview and statement of principles

ISO 16175-2:2011 Guidelines and functional requirements for digital records management systems

ISO 16175-3:2010 Guidelines and functional requirements for records in business systems

Why do we need the Standard?

Records provide evidence of decisions, actions and transactions. For digital records to be reliable, their authenticity must be ensured by systems that maintain effective records management controls. Because of the dynamic nature of digital business systems, the capture of digital records and their ongoing management can be challenging.

ICA-Req is a non-jurisdictional statement of requirements that addresses all digital records created and maintained by an organisation, in any business system, not only those in a document or record management system.

The value of ICA-Req is that it:

- assists jurisdictions that are developing or looking to adopt their own functional specifications, as well as inform the update and revision of previously existing standards;
- enables the world's archival institutions to speak to the global software market with a single voice;
- includes the expert input from stakeholders that included software vendors, governments, private sector organisations and the International Standards Organisation; and
- is principles based and therefore resonates with the wider ICA membership including low-resource environments.

How can ICA-Req help you?

Records are an indispensable element of transparency and therefore of accountability within an organisation. While the format of records may change, accountability obligations do not.

ICA-Req is useful to auditors and ombudsmen because it helps to ensure that records in digital form are authentic, discoverable and accessible.

ICA-Req therefore supports organisational accountability and transparency, and compliance with access to information laws.

By promoting the creation and retention of accurate, reliable and accessible digital records, ICA-Req helps to ensure that you have the necessary records and evidence to conduct effective audits and reviews of actions and decisions.

Systems that comply with ICA-Req will be capable of creating, capturing and storing reliable records. It will be possible for auditors and ombudsmen to inspect audit trails for every record maintained in ICA-Req compliant systems.