
RELATIONSHIPS BETWEEN THE ISO 16175 SERIES OF STANDARDS AND OTHER PRODUCTS OF ISO/TC46/SC11: Archives/Records Management

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1. PURPOSE

This paper explains the relationships between the three parts of ISO 16175 – *Principles and Functional Requirements for Records in Electronic Office Environments*, and related standards and technical reports produced by ISO TC46/SC11 – Archives/Records Management.

The three parts are:

- ISO 16175-1:2010. *Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 1: Overview and statement of principles*
- ISO 16175-2:2011. *Information and documentation -- Principles and functional requirements for records in electronic office environments -- Part 2: Guidelines and functional requirements for digital records management systems*
- 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*

This paper clarifies how these three documents can be used in conjunction with other ISO standards and technical reports to assist organizations to deliver good recordkeeping outcomes in support of their business.

2. BACKGROUND

ISO 16175 was originally developed by a multi-national project team under the auspices of the International Council on Archives (ICA) between 2006 and 2008. The three interrelated documents, which are often referred to collectively as 'ICA-Req', were published on the ICA website in August 2008. The ICA project team included some individuals who were also active within ISO TC46/SC11. As such, SC11 was informed about the ICA project and encouraged to provide input and comments on drafts.

Following the publication of ICA-Req in 2008 it was proposed that the three parts could be fast-tracked as ISO standards through TC46/SC11. ISO sought and received permission from the ICA Secretariat for the content of the three documents to be proposed as ISO standards. Balloting of national member bodies of ISO took place during 2010. As a result of comments resolutions processes for each part, slightly amended versions of Parts 1 and 3 were approved and published by ISO in 2010, with an amended Part 2 following shortly after in 2011.

3. OBJECTIVES AND USES OF ISO 16175

The original stated intention of the ICA in 2006, when it commenced developing ICA-Req, was to issue a globally harmonised set of functional requirements for software applications designed to manage digital records. The need for global harmonisation was evident from the growing number of jurisdiction-specific sets of functional requirements such as DoD5015.2 in the United States of America and the European Community's MoReq standards. Software vendors had often expressed concern about the difficulty of developing products for a global marketplace that have to satisfy multiple, sometimes contradictory, sets of functional requirements. ICA-Req was not intended to replace jurisdiction-specific statements of requirements, as there is often a legal need for these, but rather to encourage greater consistency and harmonisation between those different sets of requirements. It was also intended that ICA-Req would enable the global community of records professionals to speak with one voice to the global software development market. Another objective of ICA-Req was to assist records professionals in developing countries to communicate their requirements to software vendors and systems developers in jurisdictions that lack jurisdiction-specific statements of requirements.

Once the ICA project commenced it was decided to extend the scope of the project to also address the need for functional requirements and guidelines for managing records in business systems – that is systems not primarily intended for records management. This decision recognised that in many cases records can be made and kept in line of business systems, not in dedicated records management applications. The ICA project team decided to develop a separate set of functional requirements and guidelines for records in business systems, as it was recognised that some of the functional requirements for dedicated records management applications would be inappropriate or unnecessary in the context of a line of business system. It was also recognised that functional requirements for records in business systems would need to include less records management jargon and more generic language than might be acceptable in a set of requirements for a dedicated records management software application.

Once the ICA decided to have separate statements of requirements for records management applications (Part 2) and records in business systems (Part 3), it was also decided to have a separate high-level, principles-based overview document (Part 1) that could be used in conjunction with each of the other two Parts, and which could also be read by non-technical audiences who might not wish to read the more technical content in Parts 2 and 3.

In summary, the objectives of ISO 16175 are to:

- enable better recordkeeping in organisations, regardless of juridical domain;
- support the business needs of organisations by enabling greater effectiveness and efficiency of their operations;
- provide, through wider deployment of automated recordkeeping functionality, enhanced abilities to support auditing activities;
- improve capabilities to comply with statutory mandates specified in various information-related laws (for example, data protection and privacy);
- ensure good governance (for example, accountability, transparency and enhanced service delivery) through good recordkeeping;
- increase general awareness of automated recordkeeping capabilities via the dissemination of key principles; and
- maximise cross-jurisdictional consistency regarding the articulation of recordkeeping functional requirements and to enable the global archives, records and information management communities to speak with one voice to the software vendor community.

4. AUDIENCES

There are four key audiences for the three parts of ISO 16175:

- **jurisdictional standard-setters** – (All parts) these parts can serve as either a baseline for nascent standards development efforts, or as a basis for evaluating and revising already existing digital records management software specifications;
- **government agencies** – (All parts) so that **all** business functions and systems can be evaluated against, and facilitated via, the incorporation of automated records management capabilities; and
- **private-sector organisations** – (All parts) so that they can incorporate automated digital records management into their business operations.
- **software developers and vendors** – (mainly Part 2) including non-records management software, so this document can serve as a universal benchmark for recordkeeping compliance.

5. RELATIONSHIPS BETWEEN ISO 16175 AND OTHER ISO STANDARDS AND TECHNICAL REPORTS

The principles and functional requirements presented in ISO 16175 have been aligned with the records management principles that are set out in the International Standard on *Information and Documentation – Records Management – Part 1 – General*, ISO 15489. They provide guidance on the records

management requirements that are applied when records are captured and managed within digital records management systems and automated business systems that manage records.

ISO 15489 applies to records in all formats, whereas ISO 16175 relates only to digital records. While ISO 16175 is entirely consistent with ISO 15489, it provides a lot more specific detailed guidance on format-specific requirements for systems that are used to create and manage digital records. Guidance at this level of format-specific detail is out of scope for ISO 15489.

The Designing and Implementing Records Systems (DIRS) methodology that is described in Part 2 of ISO 15489 (Technical Report) is a useful companion to Part 3 of ISO 16175, especially Step C of the DIRS methodology, which addresses how to identify requirements for records that records systems need to satisfy. Another useful companion to Part 3 of ISO 16175 is ISO/TR 26122, *Information and documentation -- Work process analysis for records*. Using ISO/TR 26122 to conduct work process analysis of business conducted using a business system helps with identifying the points in a business process where systems should be generating and capturing records.

The reference metadata standard for the functional requirements is ISO 23081 – 1: 2006, *Information and Documentation –Managing Metadata for Records, Part 1 – Principles*. The high-level metadata element set found in ISO 23081 – 2: 2009, *Information and Documentation –Managing Metadata for Records, Part 2 – Conceptual and Implementation Issues* provides the basis for the metadata requirements.

Additionally, Parts 1-3 of ISO 16175 support the *Management Systems Standards for Records*, ISO 30300 and ISO 30301, by providing guidance to the owners and developers of records systems about how records systems can be designed to help deliver the strategic outcomes intended by overarching management systems.

APPENDIX

Possible Path for use of Digital Recordkeeping Standards: a roadmap

For an organization that is at the beginning stages of adopting digital recordkeeping standards, a possible path to follow would be:

1. ISO 30300 and 30301. This will give a view of the strategic outcomes required of overarching management systems as they relate to recordkeeping in general.
2. ISO 15489 Part 1 gives a high level view of recordkeeping requirements for records in all formats.

ISO 15489 Part 2, the Designing and Implementing Records Systems (DIRS) methodology, especially Step C, which addresses how to identify requirements for records that records systems need to satisfy.

ISO 16175 Part 1 provides a high level view of requirements for digital records.

3. ISO 16175 Parts 2-3 provides detailed set of recordkeeping requirements for digital records in both business and recordkeeping systems. These requirements apply regardless of jurisdiction.

Jurisdiction-Specific recordkeeping requirements such as DoD5015.2 and MoReq standards, based on legal requirements within that jurisdiction.

ISO/TR 26122, *Information and documentation -- Work process analysis for records* to help identify the points in a business process where systems should generate and capture records.

ISO 23081 Parts 1 and 2 to obtain metadata requirements for managing digital records.
