AS NZS ISO 16175 series - Information and documentation - Principles and functional requirements for records in electronic office environments

Presented by Judith Ellis
Agenda

- Origins of the 16175 suite
- Overview of the 3 modules
- Audience
- How might they be used
- Enterprise approach
- AS NZS ISO 16175 – Part 1
- SA SNZ TR ISO – Part 2
- SA SNZ TR ISO 16175 – Part 3
Origin

• ICA project (2005) - to develop globally harmonised statements of requirements for software products used to capture and manage records in office environments.

• Many statements of requirements for ERMS software products worldwide - international archives and records community should agree on a single generic set of requirements

• Developed guidelines and requirements for managing records in business systems
Examples of National Specifications

- US DoD 5015.2-0 - Design Criteria Standard
- European Union - MoReq (Model Requirements)
- Germany - DOMEA Concept
- Norway - NOARK 4
- UK National Archives - Requirements
- National Archives of Australia’s - ERMS Specifications
- Archives New Zealand - Systems Standard
- Victoria - VERS Standards
3 parts:

1. Overview & Statement of Principles
2. Guidelines & Functional Requirements for Records in Digital Office Environments
Who is the Audience?

• Software developers & vendors

• Standard setting bodies

• Government agencies

• Private sector organisations
How might these standards be used?

- Review records functionality in existing software
- Integrating ERM functionality into a business system
- A design specification for in-house software development
- Evaluating software you are buying -use as the RFQ specifications
- Designing/ redesigning software during software enhancement cycles
- Developing jurisdiction-specific specifications & standards
Overview & Statement of Principles

1. Core principles

2. Implementation issues

3. Risk assessment & the Business Case
AS/NZS ISO 16175-1
Core Principles

1. Information - managed & reliably maintained
2. Information - linked to business context (metadata)
3. Information – kept & accessible for as long as required
4. Information – disposed of in a managed, systematic & auditable way
5. Systems - support good business information management
6. Systems – rely on standardised metadata
7. Systems - ensure interoperability across platforms & domains
8. Systems - rely on open standards & technological neutrality
9. Systems – able to bulk import & export using open formats
10. Systems – maintain information in a secure environment
11. System generated metadata
12. Easy for users to create/capture records

Reproduced with permission from SAI Global Ltd under Licence 1407-c120
AS/NZS ISO 16175-1 Implementation Issues

- Policies
- Business process analysis
- Project management
- Change management
- Risk management
- Sustainability
- Capability development
- Quality management
- Configuration management
- Corporate culture
Risks

- Software selection
- Software development
- Technical compatibility
- Communication
- Documentation
- Project management
- Training
- Productivity decline
- Staff turnover
- Scalability
- Organisational change

Business Case

- Summary of expected benefits
- Acquisition strategy
- Program & project management
- The fit with IT architecture
- Analysis of alternatives
- Risk management & mitigation strategies
- Performance goals
- Change management strategy

AS/NZS ISO 16175-1 - Risk Analysis

Reproduced with permission from SAI Global Ltd under Licence 1407-c120
1. Scope

2. Audience

3. Functional requirements

Functional Requirements – Digital Recordkeeping Systems
• Relates specifically to digital (electronic) recordkeeping systems

• Manage the creation, use, maintenance & disposition of digitally created records

• Can be applied to paper records too
SA/SNZ TR ISO 16175-2 - Audience

Staff

- designing
- reviewing
- implementing ERMS

Systems

- commercial systems
- custom-built systems

Software vendors & developers

- design
- market
SA/SNZ TR ISO 16175-2 ERMS

Key attributes

- Create & capture records in context
- Manage records controls
- Maintain records for as long as needed
- Implement records disposal
- Manage recordkeeping metadata
SA/SNZ TR ISO 16175-2 Functional requirements

Create
- Capture
- Identification
- Classification

Maintain
- Access/security
- Hybrid records
- Retention/disposition

Disseminate
- Search/retrieve/render

Administer
- Administration

(Design)
- Non recordkeeping functionality

Reproduced with permission from SAI Global Ltd under Licence 1407-c120
Create

Capture
Identification
Classification

Inputs:
Desktop applications
Workflows
Websites
Databases
Imaging systems
Business systems

Metadata
Unique identifiers
Classification scheme
Linking records
Import/export of records
• Access controls
• Location tracking
• Control over alterations
• Authentication, encryption & digital rights management
• Hybrid recordkeeping
• Retention & disposal
SA/SNZ TR ISO 16175-2 - Disseminate

- Search
- Render
• Back up
• Space monitoring
• Users & groups
• User permissions
• Changes to the classification scheme
• Manage metadata
• Reporting
1. Scope

2. Audience

3. Determining the need for evidence

4. Key attributes
Relates to systems that create or manage data about an organisation’s activities

- documented output (records)
- dynamic (changeable) data
SA/SNZ TR ISO 16175-3 - Audience

Staff
• designing
• reviewing
• implementing business systems

Vendors
• system design

Records professionals
• advising
• assisting
• Analyse the work processes
  o What are the requirements for evidence?
  o What information forms that evidence?
• Identify linkages & dependencies
• Devise strategies
• Implement
SA/SNZ TR
ISO 16175-3
Options

• Manage them within the business system
• Integrate the business system with an ERMS
• Export the records to an ERMS

Issue

Data is updated, manipulable & current – so how to fix the record?
• Creating records in context
• Managing & maintaining records
• Supporting import, export & interoperability
• Retaining & disposing of records
• Creating a fixed record
• Record metadata
• Management of aggregations
• Records classification tools
• Metadata configuration
• Record duplication, reclassification, extraction & closure
• Reporting on records
• Online security processes
SA/SNZ TR
ISO 16175-3
Import, export, interoperability

- Import
- Export
• Compliance with disposition
• Applying disposition
• Review
• Destruction
• Disposition metadata
• Reporting on disposition activity
Acknowledgement

ISO material quoted in this paper are extracts from the relevant cited standard, or based on it, and is reproduced with permission from SAI Global Ltd under Licence 1208-c030 and 1407-c120. The Standards can be purchased online at:

http://www.saiglobal.com
THANK YOU