

*Transformation of Records Management Environment
in the Public Sector – Embracing an e-Environment Work Culture*

Compliance to Recordkeeping Standards – An Overview

Judith Ellis – 18 June 2012

Agenda

- Principles for good recordkeeping
- Framework for good recordkeeping
- Strategic level (ISO 30300 – Management systems for records)
- Recordkeeping operations (ISO 15489 (MSS 2223) Information & documentation – Records management)
- Recordkeeping systems (ISO 16175 – Principles & functional requirements for records in electronic office environments)
- Compliance
- References

Principles for Good Recordkeeping

1. Records are evidence of business

- decisions, actions, transactions

2. Characteristics of records

- reliable, authentic, useable, integrity
(ISO 15489 & ISO 30300)

3. Characteristics of records systems

- reliable, secure, compliant, comprehensive, systematic (ISO 15489 & ISO 30300)

Framework for Good Recordkeeping

Q. What are the drivers in your organisation for good electronic recordkeeping?

e.g. better customer service, compliance, efficiency & effectiveness

STEPS:

1. Work out why you need good electronic recordkeeping – drivers?
2. Use the 3 principles to develop a framework & infrastructure for good electronic recordkeeping, e.g.

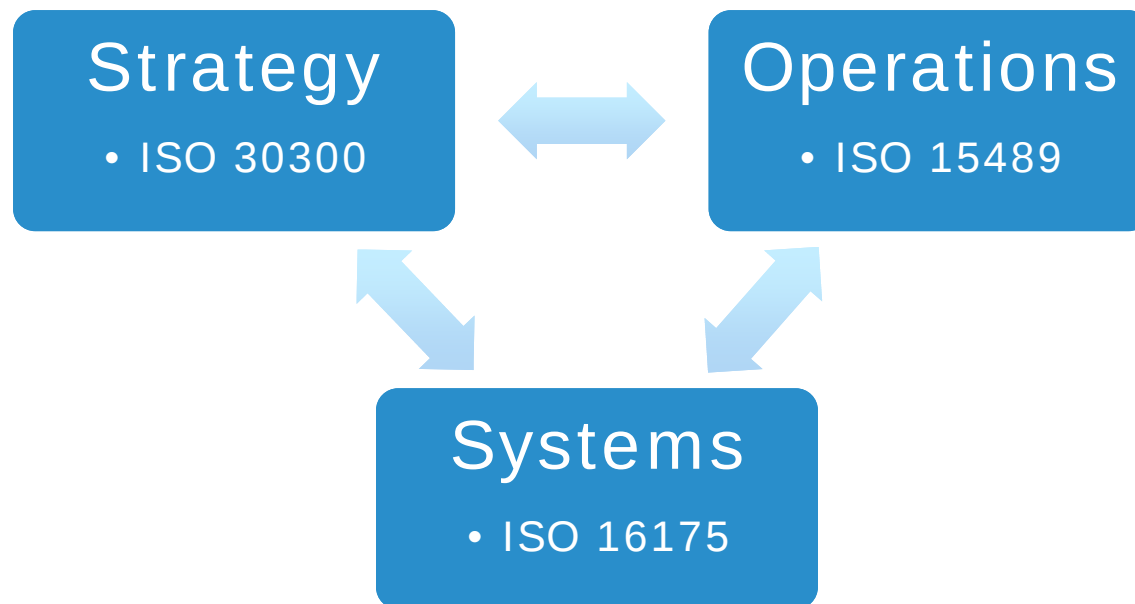
What elements are needed in your organisation's recordkeeping policy, or other organisational policies?

What software is needed to keep records reliable, authentic & useable?

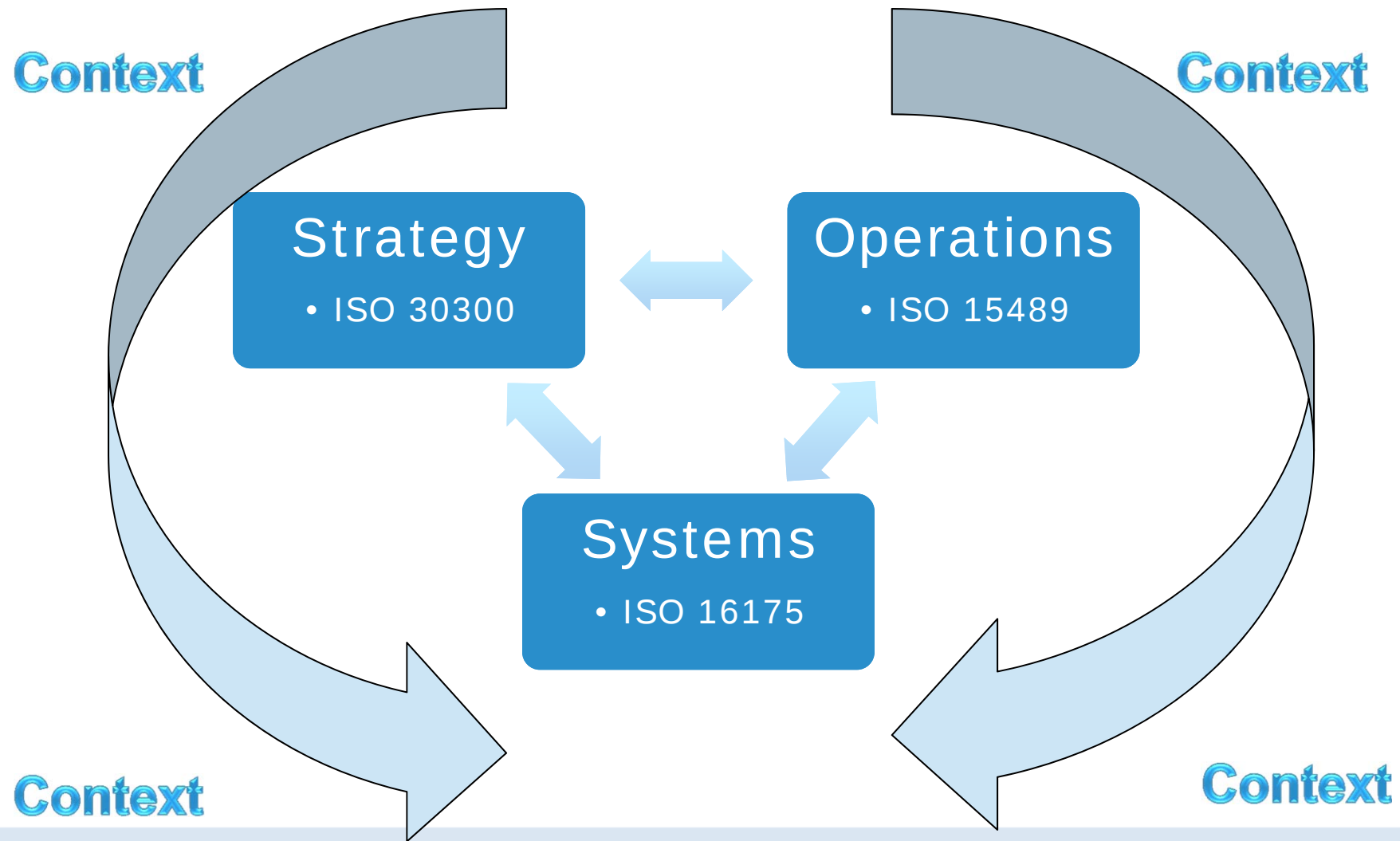
What rules are needed to ensure that systems operate in a continuous & reliable manner?

3. Develop & implement the infrastructure (recordkeeping operations & systems)

Framework for Good Recordkeeping



Framework for Good Recordkeeping



Why Use Standards?

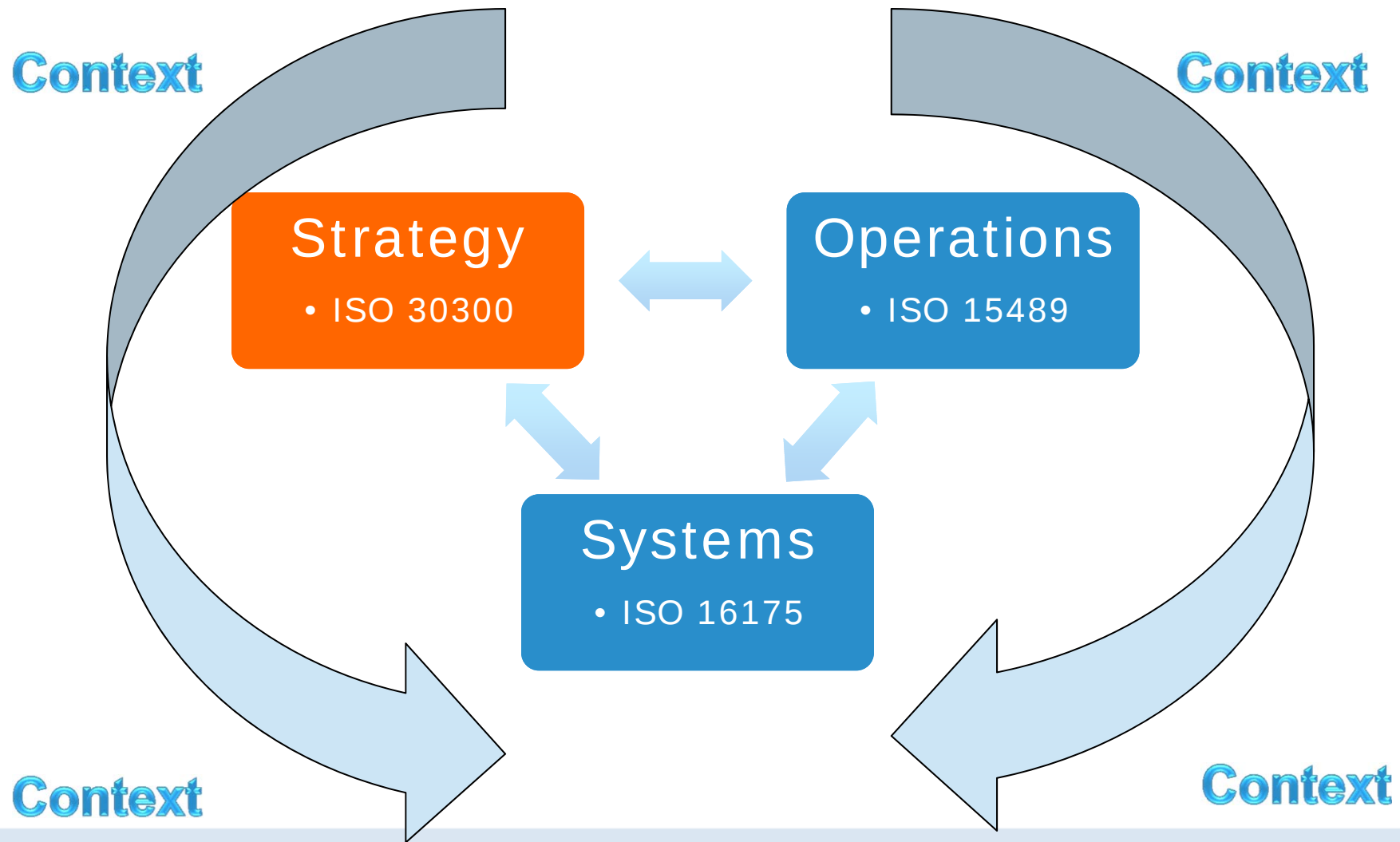
- Establishes a baseline – improve capability over time
- Simplicity – streamlines processes
- Consistency of understanding & practice
- Effectiveness, efficiency – avoid repeat work, store once – retrieve many times, add value & re use
- Cost avoidance – e.g. storage
- Improve business outcomes – business objectives tied to performance measurement
- Compliance – e.g. accountability, litigation protection
- Risk mitigation

better records processes - better business

Outcomes from Using Standards

- Legal compliance & protection (e.g. private sector)
- Meeting regulatory & accountability requirements (any sector)
- Risk management
- Assessment of specific areas of the organisation, e.g. for quality certification
- Benchmarking - against other (like) organisations
- Gap analysis - but do something with it.....
- Set and assess performance measures
- Identify areas for corrective action
- Develop broad-based strategies for recordkeeping

Framework for Good Recordkeeping



Strategic Level *(ISO 30300)*

Published:

- ISO 30300 – Information & documentation – Management system for records – Fundamentals & vocabulary
- ISO 30301 – Information & documentation – Management system for records – Requirements

Under development:

- 30302 - Information & documentation – Management systems for records – Guidelines for implementation
- 30304 - Information & documentation – Management systems for records – Guidance for performance and audit

What is a Management System for Records?

Management system

'set of interrelated or interacting elements of an organisation to establish policies and objectives, and processes to achieve those objectives' (ISO 30300, 3.4.1)

Management system for records (MSR)

'management system to direct and control an organisation with regard to records' (ISO 30300, 3.4.2)

Records system

information system which captures, manages and provides access to records over time (ISO 30300, 3.4.4)

Why a Management System for Records?

- Demand for an overarching standard or statement of principles & requirements
- Aimed at management - to make the benefits of good records creation and control relevant to the modern organisation and get this on management agenda.
- Tight integration between records processes and business processes - aim is to provide a systematic & strategic approach to the creation & control of records
- Alignment with areas interested in evidence-based processes (e.g. risk, compliance, or other MSS such as Quality, Info Security)

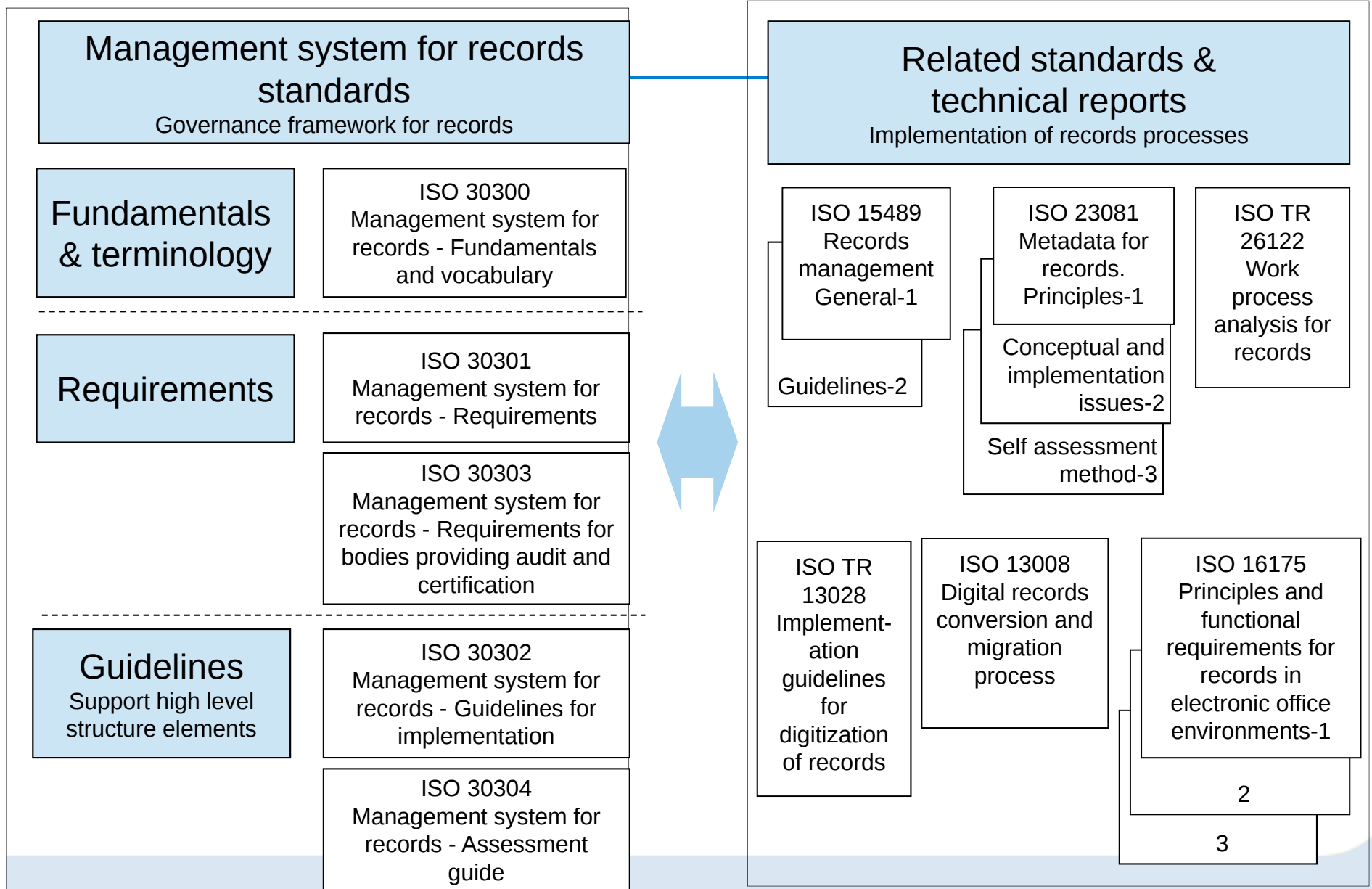


The Message to Management

‘Creation and management of records are integral to any organisation’s activities, processes and systems. They enable business efficiency, accountability, risk management and business continuity. They also enable organisations to capitalize on the value of their information resources as business, commercial and knowledge assets, and to contribute to the preservation of collective memory, responding to the challenges of the global and digital environment.’

‘Management System Standards (MSS) provide tools for a systematic and verifiable approach to organisational control in an environment that encourages good business practices.’

ISO 30300 & 30301 Introduction



MSR Approach

- To integrate records as part of the strategic objectives
- To link the overall management system to the operational records activities
- To implement a systematic framework for continual improvement
- To commit top management to provide the appropriate leadership, funds and people



Following a standardized model: ISO 30300 standards

Benefits of MSR Implementation

- Business efficiency
- Legislative and regulatory compliance
- Effective decision-making
- Elimination of redundant and duplicate information
- Information sharing
- IT performance improves
- Disaster recovery and business continuity
- Litigation protection
- Defense of stakeholders' rights and interests
- Corporate or collective memory
- Social responsibility support

Full control of information about an organisation's activities, for as long as needed, for any purpose

Which Organisations Might Implement an MSR?

- Organisations which have implemented any MSS (e.g. ISO 9000)
- Organisations which have formalized their recordkeeping model following best practices of ISO 15489
- Organisations where evidence of activities is a key issue (i.e. implementing social responsibility programme, regulatory environments, etc,)
- Organisations where managing information is the primary activity (i.e. regulatory bodies)
- Organisations implementing a framework to manage electronic records

How to implement - Strategic level

Top Management Responsibility

- Establish strategic direction – link the MSR to the organisation's goals, requirements & priorities
- Sign off the records policy & objectives
- Mandate adoption of MSR requirements – lead by example
- Define, assign & communicate RM responsibilities
- Assign resources
- Review adequacy & effectiveness of the MSR
- Direct & support continual improvement

How to implement - Strategic level

Records Policy



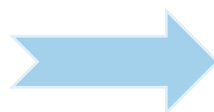
Appropriate to the organisation
Framework for records objectives
Management endorsed
Communicated, accessible
Meaningful



50 pages
Records processes & operations
Procedures
Understandable only by RM people

How to implement - Strategic level

Risk Assessment



Define Objectives

E.g.

- Compliance obligations
- Security
- Internal RM capabilities
- Environmental risks

E.g.

- Regulatory requirements for recordkeeping are defined, understood & implemented
- Roles and responsibilities for information management are defined and understood
- Rules exist & are implemented for information availability & access

How to implement - Strategic level

Planning

- Prioritize objectives – based on risk assessment
- Determine what is to be done
- Who is responsible
- What resources are needed (\$, people, skills, technology etc)
- Timelines
- How to evaluate results

How to implement – Operational level

Implementation of records processes in records systems

Best practices of ISO 15489
converted to requirements
of ISO 30301(Annex A)

Records systems mainly IT
systems for paper &
electronic records

Using related standards and technical reports

General

ISO 15489 Records
management, 1&2

Specific

ISO TR 26122 Work
process analysis

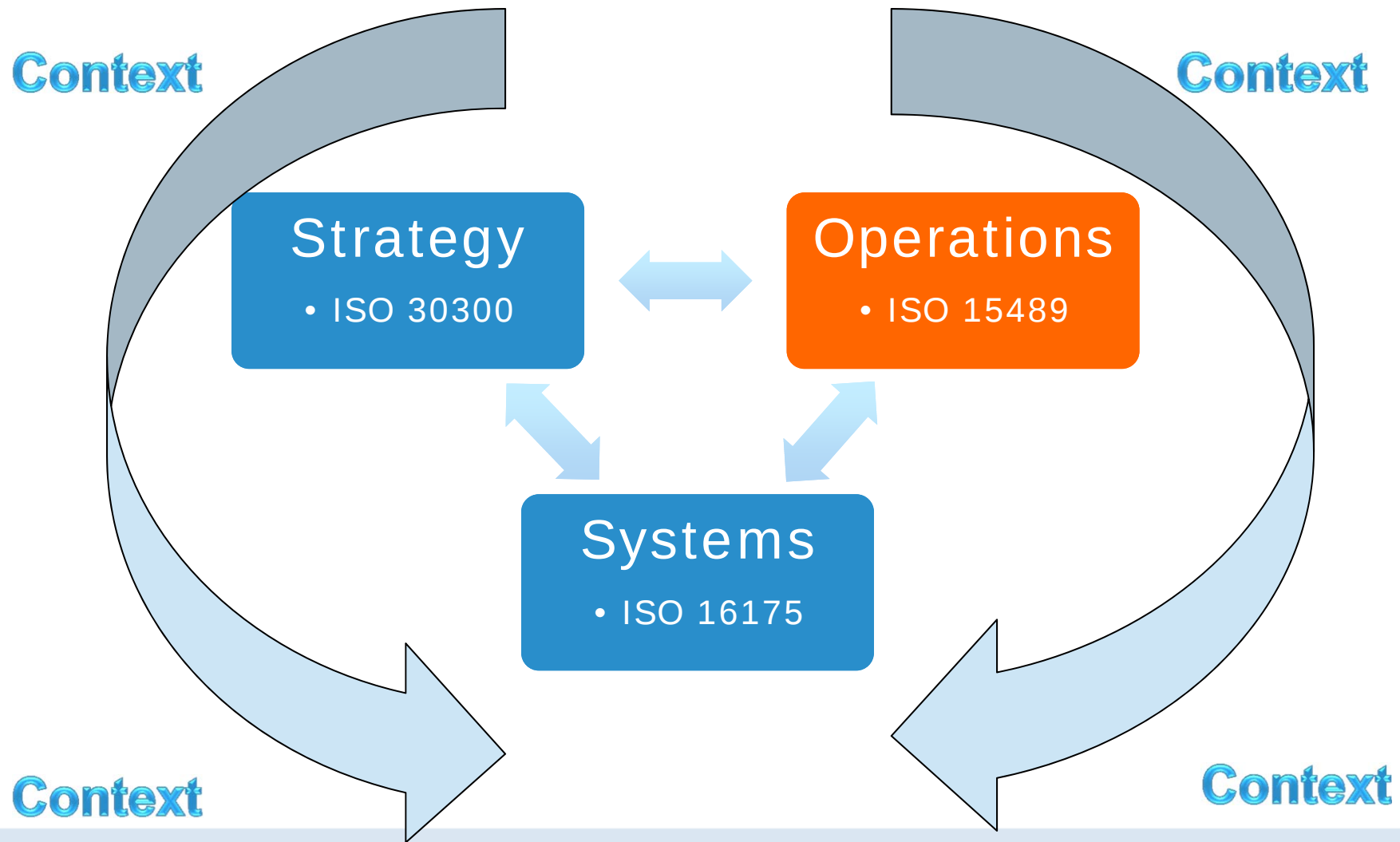
ISO 13028 Digitization

ISO 23081, 1-3 Metadata

Records systems

ISO 16175 Functional
requirements, 1-3

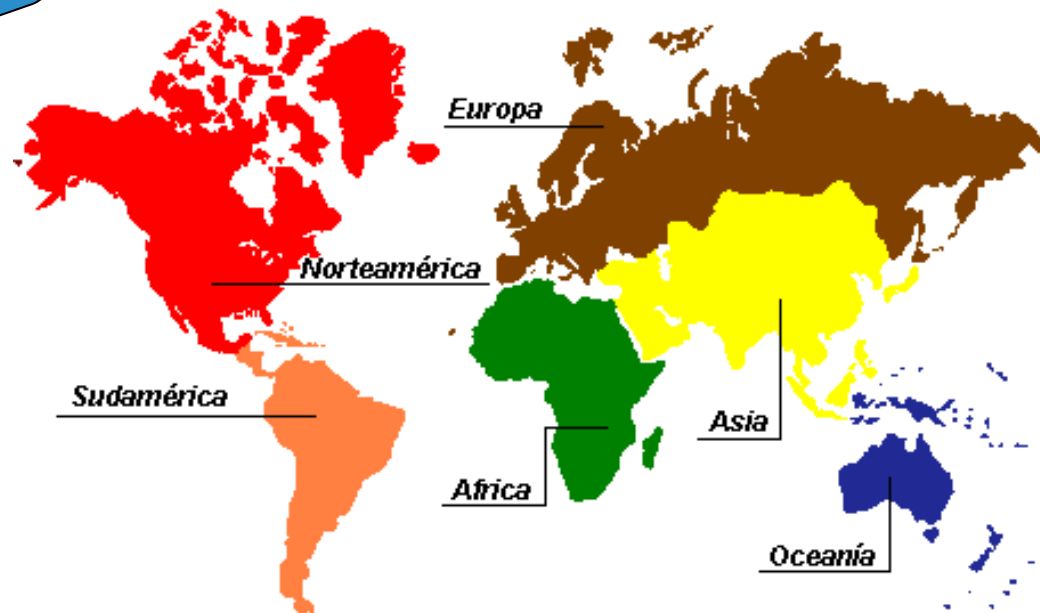
Framework for Good Recordkeeping



ISO 15489: A success story

2001
Publication

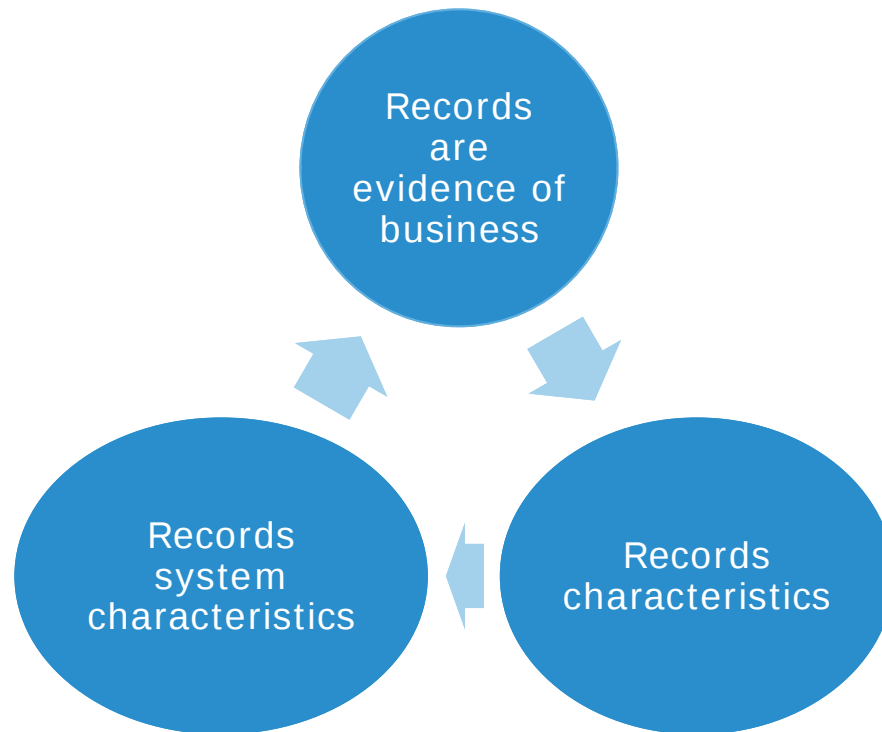
MS 2223
(2009)



- Used by >50 countries
- Translated to >15 languages
- Within the top of ISO sales

Recordkeeping Operations - ISO 15489

ISO 15489 defines the recordkeeping principles



ISO 15489 key components

(s.1 – Scope, s.2 - Normative references)

s.3 - Terms and Definitions

s.4 - Benefits of records management

s.5 - Regulatory environment

s.6 - Policy & responsibilities

s.7 - Records management requirements

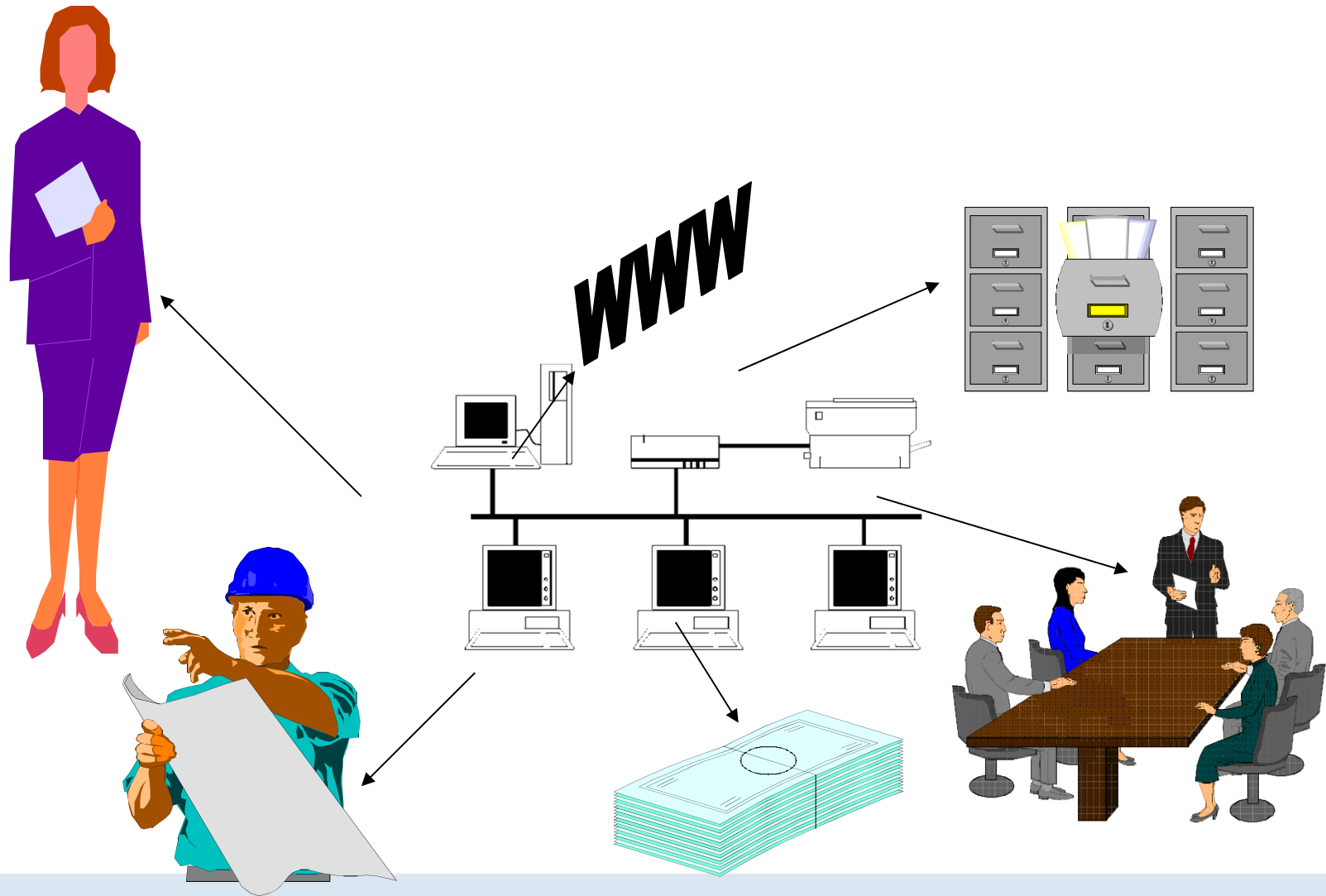
s.8 - Design & implementation of a records system

s.9 - Records management processes & controls

s.10-Monitoring & auditing

s.11-Training

ISO 15489 - an Enterprise View



Core = Business & Functional Analysis

= Analysis of the business functions & activities of the organisation + the environment in which it operates.

Purpose:

- Determine what are the functions & accountabilities of the organisation + what records should it be capturing (& keeping).
- Ensure that recordkeeping is placed in the broader legal & social context.

ISO 15489, cl 5, 8.4 & 9

Functional analysis - 3 steps

1. Organisational environment

- legal & compliance framework
- internal & external stakeholders
- community expectations

2. Organisation's business context

- Sector, structure, products or services, etc etc
- Business imperatives/drivers
- Organisational culture

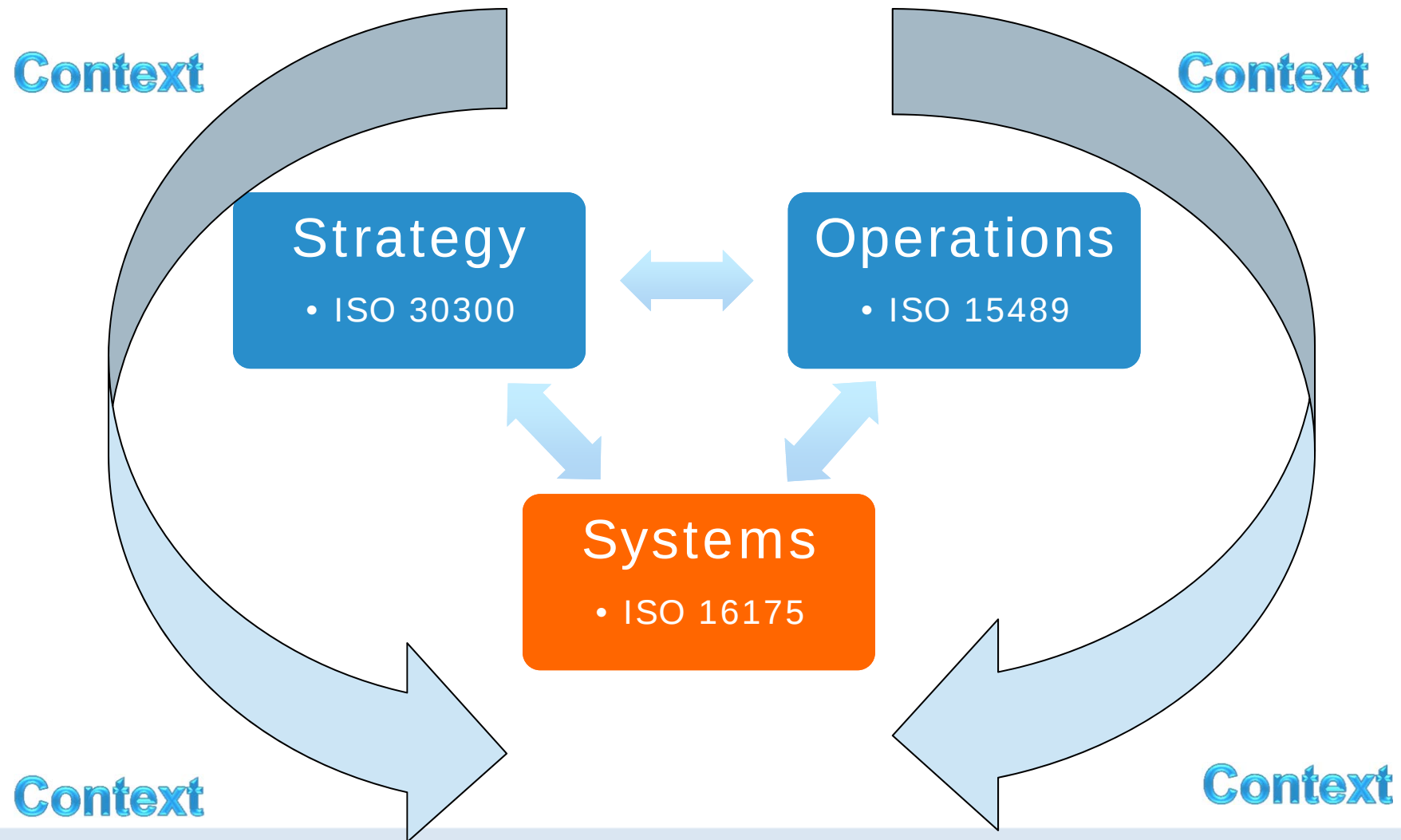
3. Business functions/activities of the organisation

- goals, strategies
- functions, activities & recurring actions

Uses of Functional Analysis

- Identify where records should be created & managed
- Taxonomies/language schemes
- Retention/disposal policy
- Designing & implementing a recordkeeping system
- Strategies for recordkeeping - priorities
- Monitoring & compliance points
- Supports implementation of other standards (e.g. ISO 9000)

Framework for Good Recordkeeping



Recordkeeping Systems - ISO 16175

3 modules:

1. Overview & Statement of Principles
1. Guidelines & Functional Requirements for Records in Digital Office Environments
1. Guidelines & Functional Requirements for Records in Business Systems

Recordkeeping Systems - ISO 16175

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

Recordkeeping Systems - ISO 16175

Implementation Issues

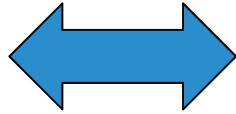
- Policies
- Business process analysis
- Project management
- Change management
- Risk management
- Sustainability
- Capability development
- Quality management
- Configuration management
- Corporate culture



Recordkeeping Systems - ISO 16175

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

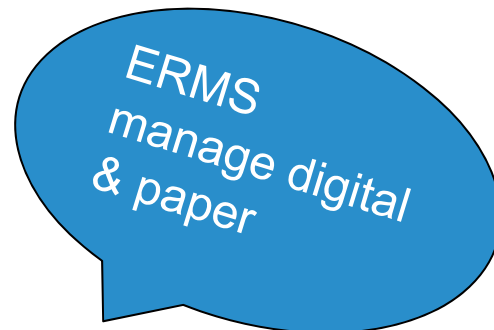
Recordkeeping Systems - ISO 16175

Functional Requirements – Digital Recordkeeping Systems

Relates specifically to digital (electronic) recordkeeping systems



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



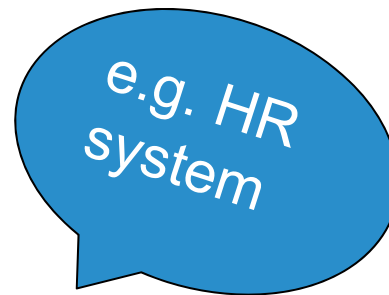
Can be applied to paper records

Recordkeeping Systems - ISO 16175

Functional Requirements – Records in Business Systems

Relates to systems that create or manage data about an organisation's activities

Systems manage dynamic (changeable) data



Compliance



Compliance

Conforming to the requirements of laws, industry and organisational standards and codes, principles of good governance and accepted community and ethical standards
(3806-2006, cl 1.3.3)

Another view:

Capability

Competence

Continuous improvement

Focus = building knowledge, skills & ability

Compliance

Options

- Develop own self-assessment model
- Use published compliance tool (see References)
- Compliance or capability?

Plan

- Decide purpose & scope of assessment
- How to do the assessment
- How to present results
- What action to take on results

Compliance

ISO 30300

Will be certification – depends on national standards bodies
Establishing a regime (eg. ISO 9000 certification)

Certification in place yet – reliant on future products to assist (e.g.
ISO 30302 Implementation guide)

ISO 15489 (MS 2223)

Not a standard that enables 'certification'

Adoption by National Archives of Malaysia as mandatory requirements
for government agencies

Establish own compliance/capability assessment tool/method or use
other models. E.g. HB278 (Aust)

ISO 16175 (MS ISO 16175)

Related to - ISO 15489

Can turn requirements into checklists

References

ISO 30300 Information & documentation – Management systems for records – Fundamentals & vocabulary

ISO 30301 Information & documentation – Management systems for records - Requirements

ISO 15489 (MSS 2223) Information & documentation – Records management

ISO 16175 (MS ISO 16175) Information & documentation – Principles & functional requirements for records in electronic office environments, Parts 1-3

Standards Australia, HB 278-2009, Recordkeeping compliance

British Standards Institution, Effective records management. How to comply with BS ISO 15489-1, 2007

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