

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

***Compliance to ISO 15489 (MS 2223)
– Information & documentation –
Records management***

Judith Ellis – 20 June 2012

Agenda

- Principles
- Framework for good recordkeeping
- ISO 15489 (MS 2223) & recordkeeping operations
- ISO 15489 approach
 - an enterprise view
 - functional analysis
- Uses of functional analysis
- Compliance
- References



What is a Record?



Information created, received, & maintained as evidence & information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

15489.3.15

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)

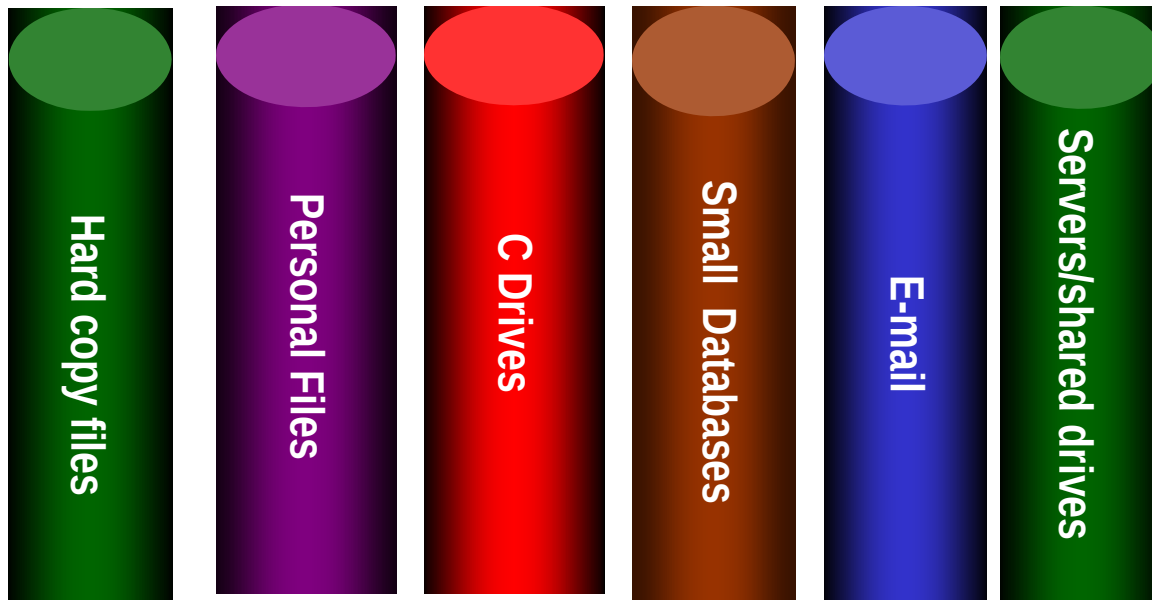
3. Characteristics of records systems

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

Current Situation

Does this look familiar?

Information silos



- Informal collections?
- Hidden collections?
- Mixture of electronic & paper?
- How to access?
- Duplication?
- Inconsistent information sets?

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.

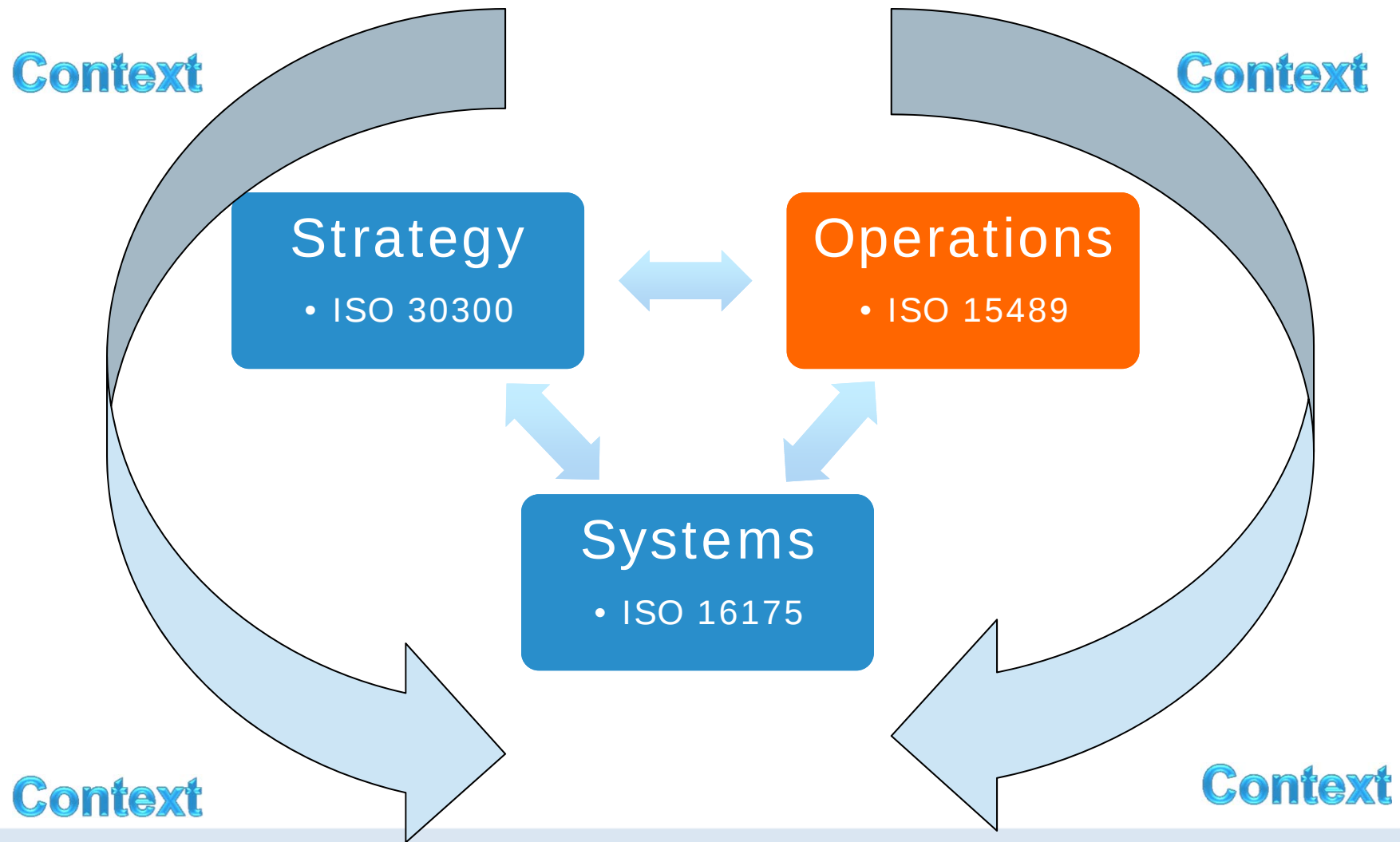
What elements are needed in your organisation's recordkeeping policy, or other organisational policies?

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



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

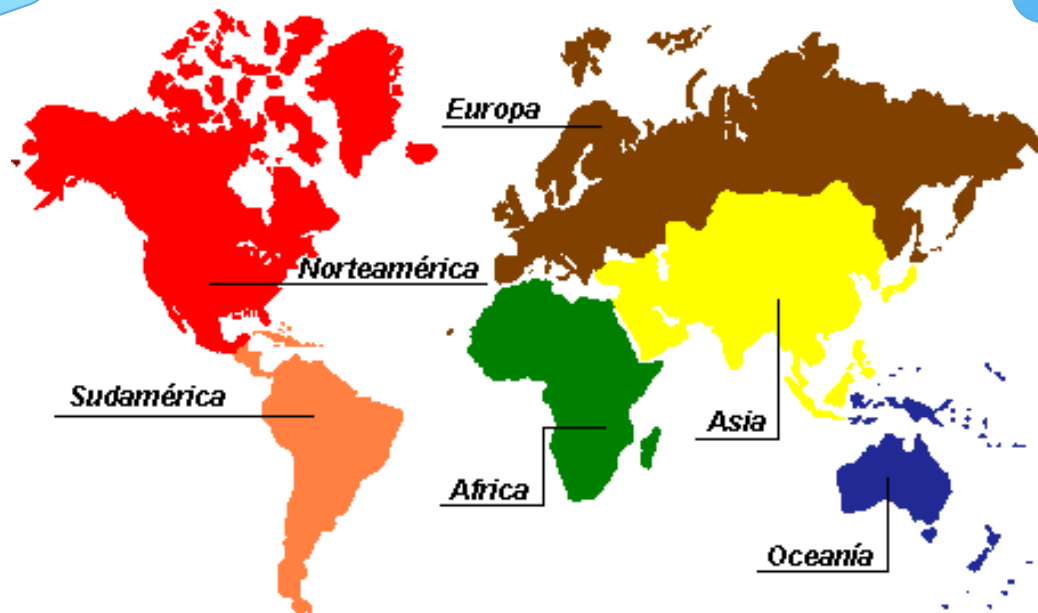
Outcomes from Using Standards

- 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

ISO 15489: A success story

2001
Publication

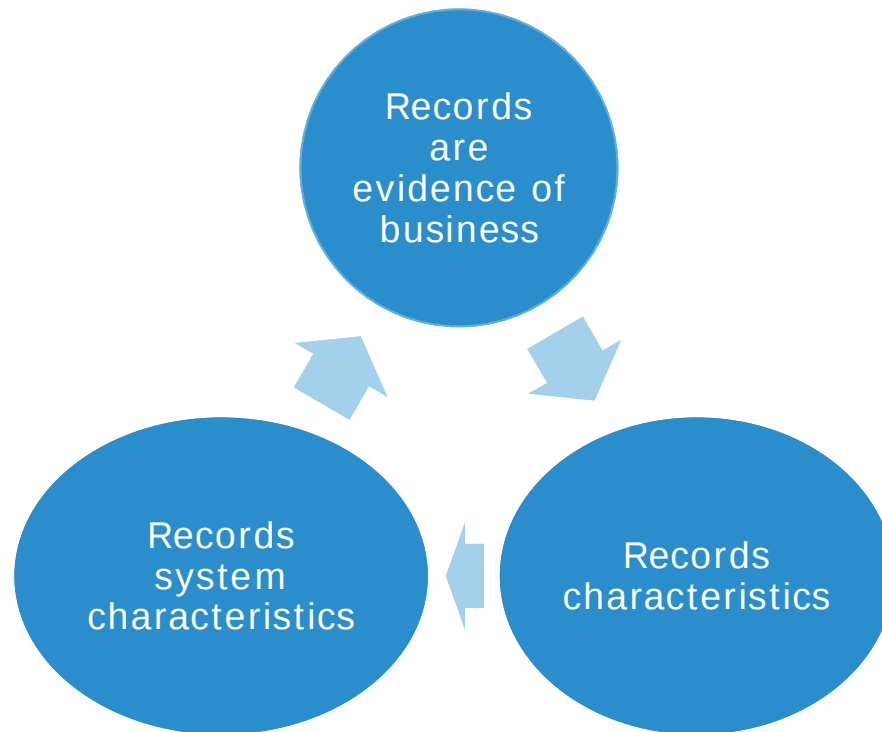
MS 2223
(2009)



- 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

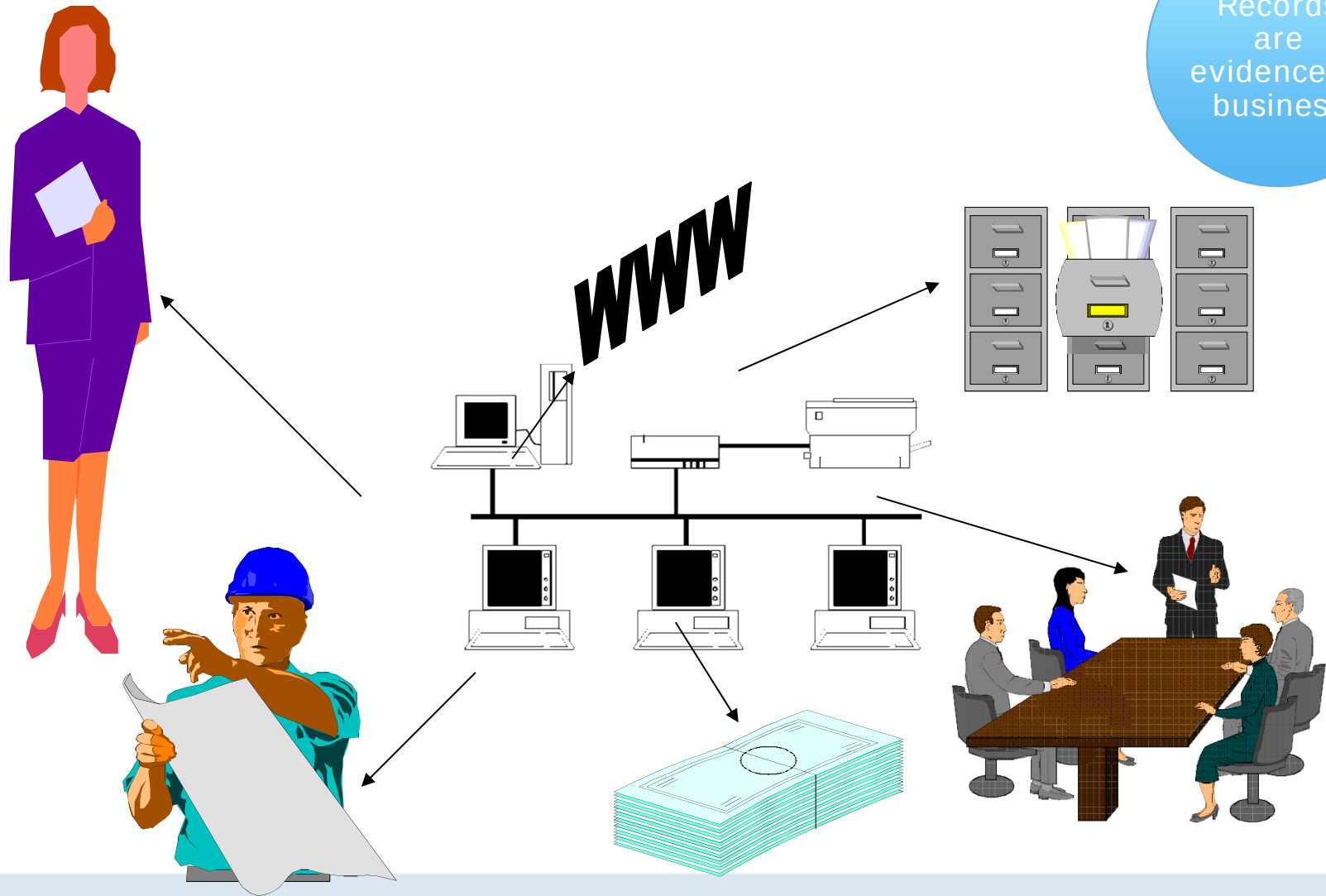
s.9 - Records management processes & controls

s.10-Monitoring & auditing

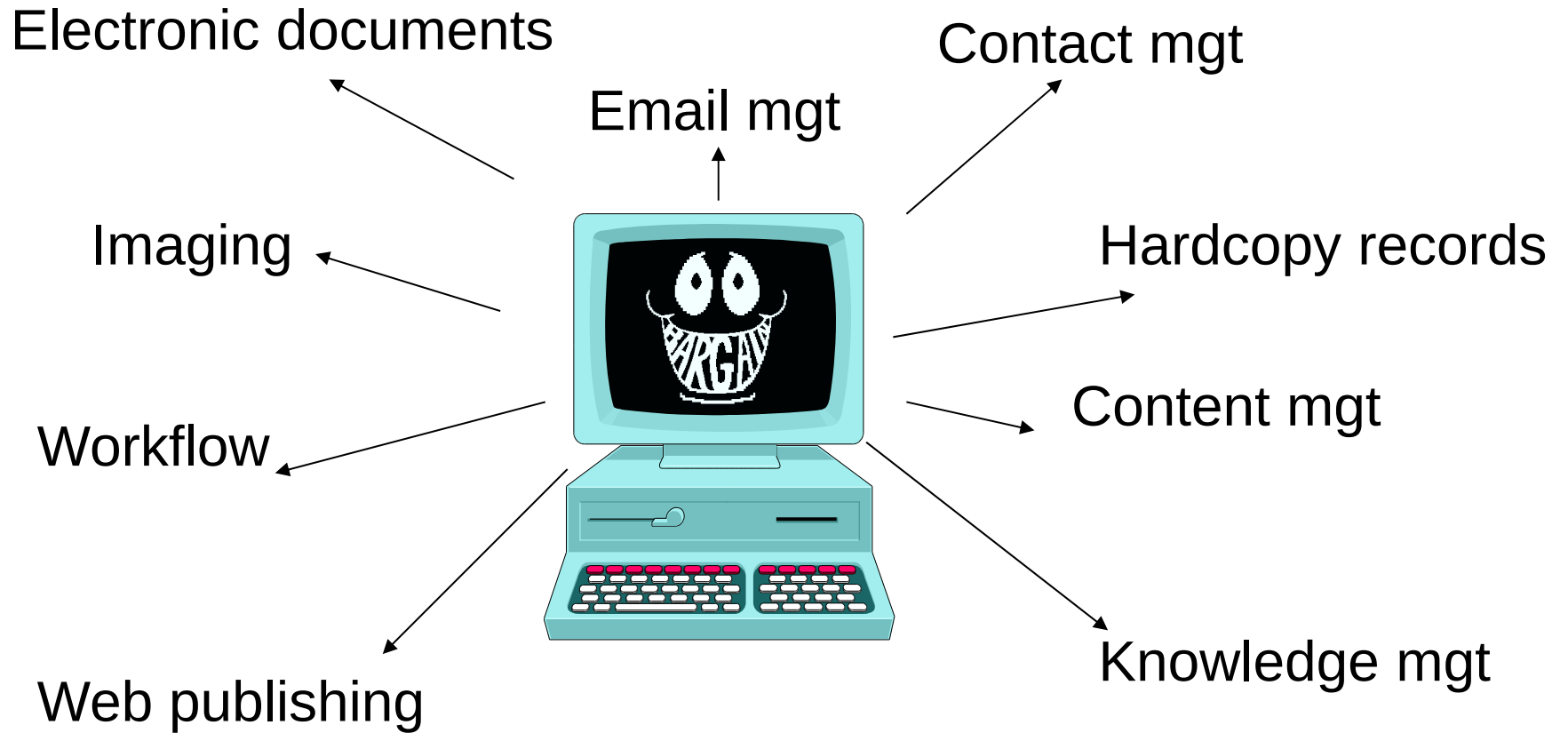
s.11-Training

ISO 15489 - an Enterprise View

Records
are
evidence of
business



Records Across the Organisation



ISO 15489 = 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

Organisational environment

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

Organisation's business context

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

Business functions/activities of the organisation

- goals, strategies
- functions, activities & recurring actions

Uses of Functional Analysis

Identify the essential elements of the recordkeeping policy

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 (eg. ISO 9000)

Functional Analysis - Step 1

Regulatory & Social Context

Legislation & regulations

Mandatory standards of practice

Voluntary codes of practice

Codes of conduct or ethics

Business, social & ethical expectations of stakeholders

Functional Analysis – Step 2



Sector

Industry

Location & distribution

Structure

Subsidiary entities & relationships

Products or services

Customers, clients, stakeholders

Competitors

Business Environment

- Governance for RM & archives
- Business drivers/imperatives
- Corporate culture

Sources

- Documentary sources
- Interviews/consultation
- Website
- Project reports



Functional Analysis – Step 3

Functions & Activities

Goals & objectives

High level functions (to achieve the goals & objectives)

Activities (major tasks performed to accomplish the functions)

Transactions (smallest unit of business activity that make up the activities)

unctions

Not based on organisational structures

Can be dispersed across structures

Common examples - HR, finance, asset management, IT/IS,
marketing, corporate reporting

Functions relating to your core business, eg. health care, primary
industry, housing, education etc

Example - functions & activities

Function	Sub Function	Activity
Human Resources	Industrial relations	
	Health & safety	
	Staff development	Training course development
		Training needs analysis
		Annual plans

unctions, activities, transactions

Where is this information?

The organisation's charter, eg. annual reports, strategic plans, business plans

Website

Project reports involving analysis of business activity

Business class schemes

Interviews, consultation, focus groups

Uses of a Functional Analysis

Business Classification Scheme (BCS)

The functions and activities of the agency are derived from the analysis of business activity, containing terms (& scope notes) that represent functions, activities, transactions or other elements and shows their relationships.

The structure of the scheme is hierarchical, moving from the general to the specific.

Example - Business Classification Scheme

Function	Sub Function	Activity	Transaction
Human Resource s	Industrial relations		
	Health & safe ty		
	Staff developme nt	Training course development	Develop course scope
			Develop course materials
			Venue & equipment arrangements
			Develop course evaluation form
			Develop course program
			Market course
			Receive registrations
			etc
		Training needs analysis	
		Annual plans	

Steps of a Functional Analysis

Function-based Retention Schedule

Starts with Appraisal

The process of evaluating business activities and records to determine which records need to be captured and how long those records need to be kept to meet business needs, accountability requirements and community expectations.

Appraisal - how long to retain records?

Current & future business needs

Compliance with legal requirements

Current & future needs of internal & external stakeholders

15489, 9.2



praisal - criteria for continuing retention

Evidence & information about the organisation's policies & actions

Evidence & information about the organisation's interaction with its client community

Documentation of rights & obligations of individuals & organisations

Contributes to organisational memory

Evidence & information about activities of interest to internal & external stakeholders

Documenting retention/disposal decisions

Records retention/disposal schedule

Documentation of the analysis

Details of business activities & retention periods

Identification of disposal “triggers”

Instructions for alternative storage

Submission for approval

How to treat electronic records?

Entire process is the same -
functional analysis, appraisal,
retention schedule, sentencing

Automated sentencing - ED/RMS
based

Special forms of destruction,
transfer, conversion or migration

Special requirements for storage &
access over time, eg. VERS, e-
Permanence

E-records standards & guidelines



ases of a Functional Analysis

Strategies for Recordkeeping

Designing records systems

Documenting records systems

Training

Record conversions

Setting standards & measuring compliance

Determining retention/disposal policy

Steps of a Functional Analysis

Design & Implementation of a Recordkeeping System

- Preliminary investigation
- Analysis of business activity
- Identification of requirements for records
- Assessment of existing systems
- Identification of strategies for recordkeeping
- Design of a recordkeeping system
- Implementation of a recordkeeping system
- Post-implementation review

es of a Functional Analysis

Recordkeeping Business Rules

Regulatory requirements

Governing policies

Responsibilities

Standard operating procedures

Language schemes/taxonomies

Access privileges & security

System design parameters

Audit & monitoring guidelines, etc.

Compliance



What Do We Mean By 'Compliance'?

Compliance refers to the requirements of laws, industry and organizational standards and codes, principles of good governance and accepted community and ethical standards (AS 3806-2006, cl 1.3.3)

Can have a compliance program for any of these elements and/or areas of business operations, eg. environment, OH&S, governance, recordkeeping

Recordkeeping - compliance with:

- laws (e.g. financial services sector)
- State & National records-specific laws (e.g. Archives Act, Privacy)
- Local, National or international records standards (e.g. MS2223, ISO 16175)

Another View Of 'Compliance'

Capability

Competence

Continuous improvement

Focus = building knowledge, skills & ability

Why Do It ?

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

compliance – formal certification?

ISO 15489 (MS 2223)

is a standard that enables 'certification'

possible adoption by National Archives of Malaysia as mandatory requirements for government agencies

agencies can establish their own compliance/capability assessment method or use other models. E.g. HB278 (Aust)

turn requirements into checklists

Note: software vendors cannot claim their products are 'certified' against ISO 15489

How To Do It - Options

Self assessment

Independent assessment or audit

Combination of the two above

Checklist - pass/fail

Checklist - graded response

How To Do It - The Best Fit

Choose an approach which is fit-for-purpose

Clear purpose and outcome - what are you measuring against, and why?

Compliance or capability assessment?

Scope (Suggest - focus on high-risk functions, areas of the business, and/or processes - can focus on specific records processes)

Exclusions

Scaled use of the compliance tool

Reporting outcomes - how, to whom?

Follow up action

Compliance (Capability) Models - Features

Recordkeeping
'mandate' (e.g. Act, regulation,
standard, policy, principles)

Key assessment area, e.g.
Recordkeeping processes
(creation, capture, control, etc)

Criteria (indicators) - form
assessment questions

Assessment questions

Capability levels - used for
scoring - varies from 3-5
levels

Level 1	Ad hoc —no systematic or formal approach exists in relation to this component of records management activity. Processes and practices are fragmented or non-existent. Where processes and practices exist they are applied in an ad-hoc manner.
Level 2	Defined — processes and practices are defined to varying degrees but are not applied consistently. Basic management controls and disciplines are in place.
Level 3	Repeatable —processes and practices are defined, documented, well understood and used consistently across the organisation.
Level 4	Managed —processes and practices are actively managed and routinely measured to ensure delivery of desired results.
Level 5	Optimal —processes and practices are continuously improved through innovation and organisational learning based on ongoing monitoring and review.

How To Do It - Key Steps

Background research on the organisation or component

Interviews - internal & possibly external (e.g. suppliers)

Verification - sighting evidence of compliance/capability

Scrutinising - detailed review of specific documents and/or processes to assess conformance or verify results

Analysis - depends on purpose

Reporting - findings, recommendations, summary of compliance/capability

Example – ISO 15489, 6.2 – Policy

Organisations should define a policy for RM.

Organisations should ensure that the policy is communicated & implemented at all levels in the organisation.

The policy should be adopted & endorsed at the highest decision-making level.

Responsibility for compliance should be assigned.

The policy should be derived from an analysis of business activities.

Policies should be regularly reviewed... etc

Example – Compliance – Policy

Criteria

Policy/ies for records management
have been established,
documented, maintained and
promulgated

Verification

Recordkeeping policy statement
signed off by the organisation's
CEO or senior management
delegate

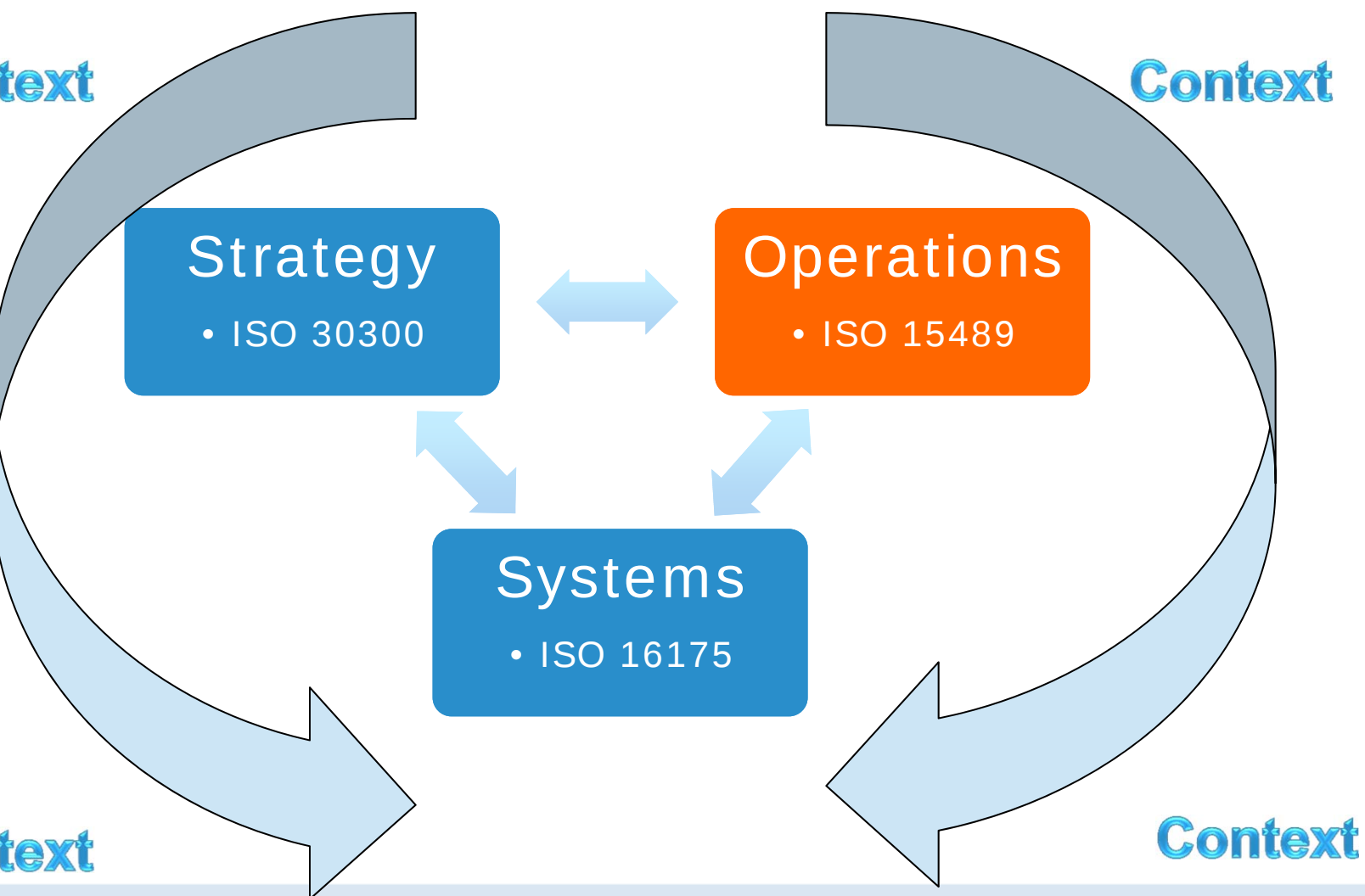
The policy is promulgated at all
levels

The policy is supported by
operating procedures, business
processes, manuals etc..

Questions

- Does the organisation have a recordkeeping policy?
- Has the policy been authorised at an appropriate senior level?
- Does the policy cover all records, in all formats, in all business systems.
- Does the policy identify legislation, standards and codes of practice that the organisation or its employees are subject to.
- Has the policy been promulgated throughout the organisation?
How?

Framework for Good Recordkeeping



References

ISO 30300 – Management systems for records

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

ISO 16175 – Principles & functional requirements for records in electronic office environment

Standards Australia, HB 278-2009, Recordkeeping compliance

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

Archives New Zealand, Public Records Act Audit Tool, 2009

ARMA, International Maturity Model for Information Governance, 2010

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