ISO 16175-3:2010-12 (E)

Information and documentation_- Principles and functional requirements for records in electronic office environments_- Part_3: Guidelines and functional requirements for records in business systems

CONTENTS

1 INTRODUCTION 1
- 1.1 Scope and purpose 1
- 1.2 Audience 2
- 1.3 Related standards 3
- 1.4 Terminology 3
- 1.5 Structure 4

2 GUIDELINES 5
- 2.1 Why is it important to have evidence of business processes and activities? 5
- 2.2 The business systems landscape and records 6
- 2.3 Determining needs for evidence of events, transactions and decisions in business systems 7
  - 2.3.1 Analyse the work process 7
  - 2.3.2 Identify requirements for evidence of the business 8
  - 2.3.3 Identify the content and its associated management information that record this evidence 9
  - 2.3.4 Identify linkages and dependencies 15
  - 2.3.5 Devise strategies to address core records processes based on an options assessment 16
  - 2.3.6 Risk and options assessment 20
  - 2.3.7 Implementation 21
- 2.4 Using the functional requirements 23
  - 2.4.1 Key outcomes 24
  - 2.4.2 Developing a software design specification for a business system with records management functionality 25
  - 2.4.3 Reviewing, assessing and auditing existing business systems 26
  - 2.4.4 Undertaking the review process 27
- 2.5 Entity relationship models 29
  - 2.5.1 Record categories and the records classification scheme 29
  - 2.5.2 Aggregations of digital records 30
  - 2.5.3 Digital records 31
  - 2.5.4 Extracts 31
  - 2.5.5 Components 31

3 FUNCTIONAL REQUIREMENTS 32
- 3.1 Creating records in context 34
  - 3.1.1 Creating a fixed record 35
  - 3.1.2 Record metadata 38
  - 3.1.3 Managing of aggregations of digital records 39
  - 3.1.4 Records classification 40

3.2 Managing and maintaining records 40
3.2.1 Metadata configuration 42
3.2.2 Record reassignment, reclassification, duplication and extraction 43
3.2.3 Reporting on records 44
3.2.4 Online security processes 44
3.3 Supporting import, export and interoperability 47
3.3.1 Import 48
3.3.2 Export 48
3.4 Retaining and disposing of records as required 49
3.4.1 Compliance with disposition authorisation regimes 50
3.4.2 Disposition application 52
3.4.3 Review 54
3.4.4 Destruction 55
3.4.5 Disposition metadata 55
3.4.6 Reporting on disposition activity 56

APPENDICES 58
A Glossary 58
B Integrating records considerations into the systems development life cycle 67
1 Project initiation 67
3 Requirements analysis 68
4 Design 68
5 Implementation 69
6 Maintenance 69
7 Review and evaluation 70
C Further reading 71