



Standardization and records management

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Song-ahm Cho (Korea)

Carlota Bustelo (Spain)



- **Carlota and Song-Ahm: Differences and similarities**
- Standardization on records management
- How standards on RM change/improve their works?
- How to implement RM standards along with ISO 9000 (Song-Ahm)
- The future: the new Management System Standard for Records

DIFFERENCES

- Lives in (Madrid) Spain (Europe)
- Speaks Spanish as mother tongue
- Writes in Latin alphabet
- Studied history at the University, and specialized in Records management

10.000
Km.

- Lives in (Seoul) South Korea (Asia)
- Speaks Korean as mother tongue
- Writes in “hangu”
- Studied mechanical engineering at the University, and specialized in Quality & Records Management



SIMILARITIES

- Both running a private company providing specialized records management consulting services to customers
- Both dedicated to developing ISO standards at TC46/SC11
- Both using same ISO standards as support, guidelines and marketing of their consulting services



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Standardization in the world

- ▶ Why standardize? Doing the same things in the same way is good for better results, cooperation and exchange.
- ▶ Who standardizes?
 - ▶ Organizations recognized by others
 - ▶ Organizations with enough funding
- ▶ What standardize?
 - ▶ Products. ISO beginning (1947) on electric field. (example plugs, or size of paper)
 - ▶ Instruments. Acronyms of languages and countries (KE for Kenya, SP for Spain, KR for Korea) or guides to technical work
 - ▶ Management. A new field for standardization (from late 80') with a very significant success lead by ISO 9000



Standardization in the world

- ▶ ISO structure.
 - ▶ One NMB (National Member Body) by country. In Kenya KEBS (Kenya Bureau of Standards)
- ▶ Technical work
 - ▶ Technical Committees and Subcommittees focus on different subjects or speciality areas. TC and SC are chaired by a NMB and have a Secretariat
 - ▶ National delegations nominated by NMB form the TC or SC
 - ▶ Delegates are experts working in different organizations with knowledge and interest in the field

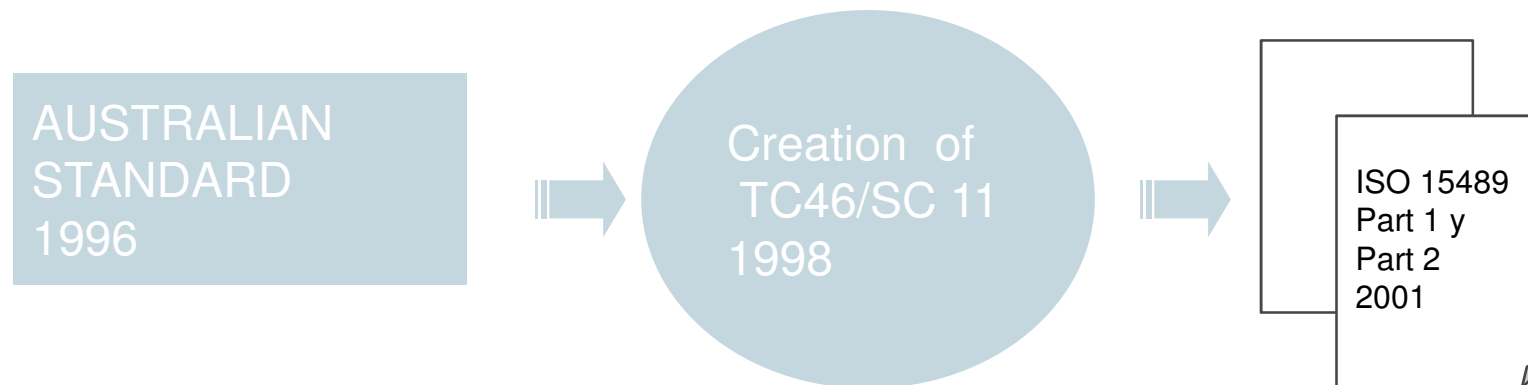


TC 46. Information
and documentation
SC11.
Archives/records
management
Chair by Standards
Australia

ISO standardization on records management

- ▶ Standardization on records management is new compared to other fields, but in the last ten years many standards have been produced. ISO is not the only publisher of standards in this field. As examples: International Council of Archives at international level, DLM Forum in Europe or national standards in Australia.
- ▶ The need for standardization is increasing because:
 - ▶ A new scenario is being built for the digital environment, where interconnectivity and interdependency between systems, organizations and countries is a must.
 - ▶ Pressure on all kind of organizations (private and public) for facilitating information access to stakeholders and transparency on governance.

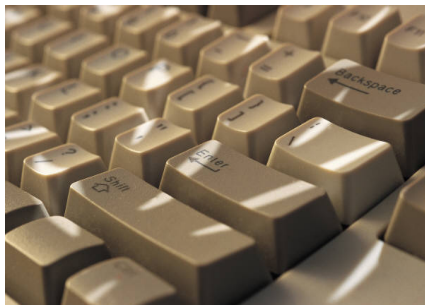
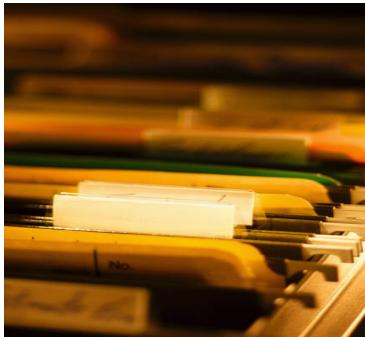
ISO standardization on records management



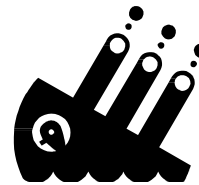
- ▶ Characteristics of ISO standards
 - ▶ Voluntary
 - ▶ Developed by consensus
 - ▶ All interested parties shall be involved in the development
 - ▶ Publicly available (normally commercially)

ISO 15489 context of publication (2001)

Context



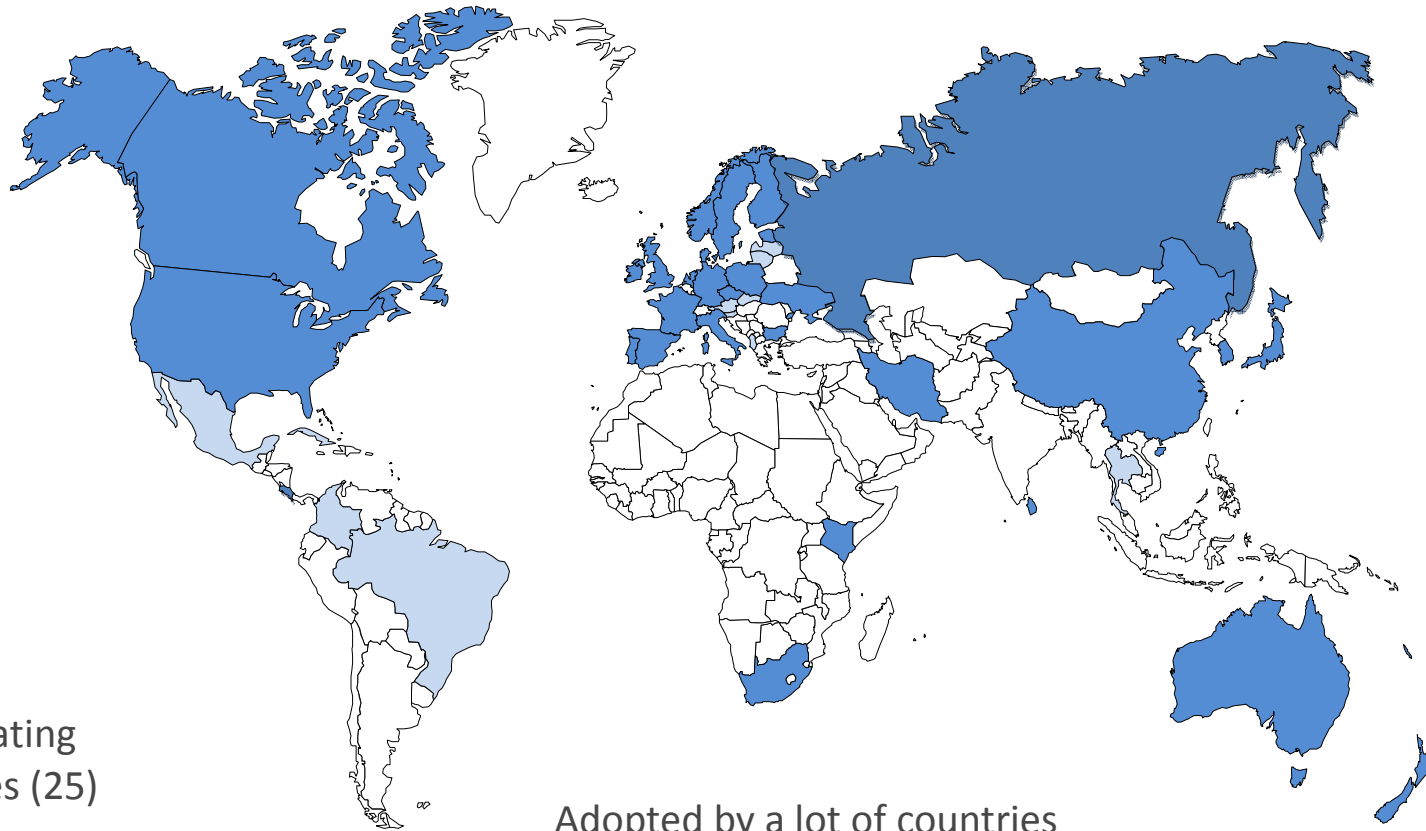
events



Reactions



ISO 15489 success



Participating countries (25)

Observer countries (13)

Adopted by a lot of countries

Estimates show ISO 15489 may be in top 10 highest selling ISO standard after ISO 9000

ISO 15489 success. Why?

Organizations need to manage their records as evidence of their activities has always existed for

- Accountability purposes (fiscal, administrative, economic, political, etc.)**
- Preservation of “know-how”, or an organization’s memory**

Records management

Operational level



Strategic level

Technological change

E-society (e-government, e-business)

Real risks

SO

A new vision was needed

ISO 15489 family

- ▶ Officially not a family, but all the products are linked and can be used together. Some are complementary
 - ▶ 15489-1 (2001) Record management. Part 1 General. The foundation standard.
 - ▶ 15489-2 (2001) Records management. Part 2. guidelines. A technical report as an explanation of part one
 - ▶ 23081-1 (2006). Metadata for records. Part 1. Principles
 - ▶ 23081-2 (2007). Metadata for records. Part 2. conceptual and implementation issues. A technical specification → standard very soon. Both metadata standards includes significant guidance added to 15489
 - ▶ 26122 (2008). Work process analysis for records. A technical report that helps when analyzing records requirements from business processes
 - ▶ ISO 22310 (2006) - Information and documentation -- Guidelines for standards drafters for stating records management requirements in standards

http://www.iso.org/iso/standards_development/technical_committees/list_of_iso_technical_committees/iso_technical_committee.htm?commid=48856



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Carlota's case study

Client: Water Regional Agency

Type: Government

Project: Redefinition of Documents and Records Management Framework

- ▶ Pre-sale phase. ISO 15489 as an argument used with top management for approval
- ▶ Audit phase. ISO 15489 (part 1), and 23081 to compare requirements with current situation. Identification of improvement areas,
- ▶ Design phase. ISO 15489 as an inspiration
- ▶ Implementation phase:
 - ▶ ISO 15489 to identify levels of documentation needed and records processes and instruments to develop
 - ▶ ISO 22126 to follow methodology for work process analysis
 - ▶ ISO 23081 to design metadata schema needed in the implementation of EDRMS
- ▶ Evaluation phase: same as audit phase

Song-Ahm Typical Cases



- Post Implementation Check of the System
- Suggesting Improvement Recommendations
- *Same as No 1 stage*

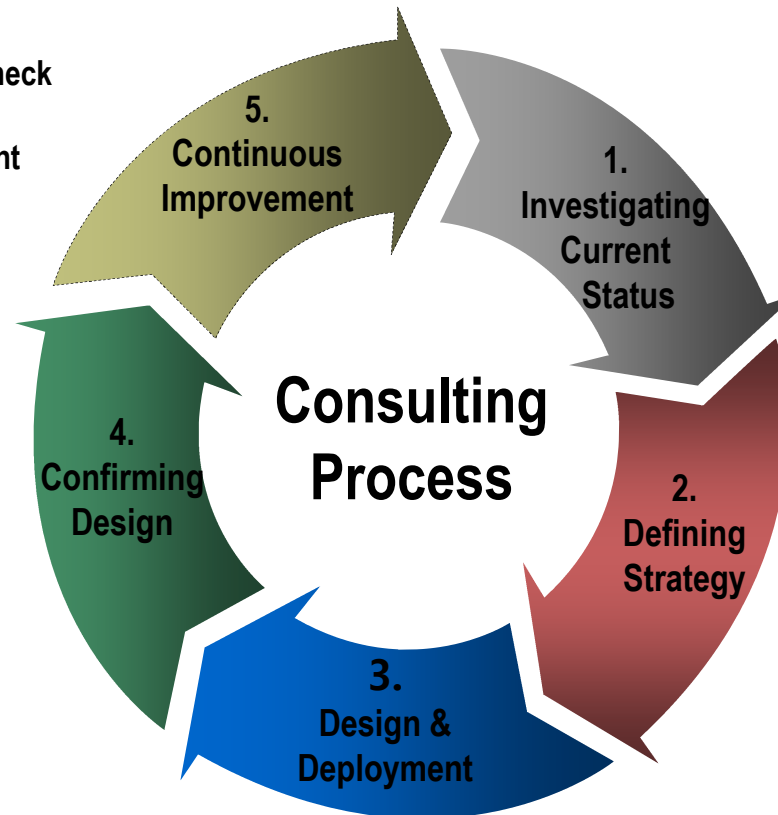
- Management Approval
- Critical Review and Communication with Field Staffs

- Strategy Deployment
- Inventorying records
- Designing Classification Scheme, Retention Schedule, and Records Process and Criteria to control

- *ISO 15489 to identify records processes and instruments to develop*
- *ISO 22126 to follow methodology for work process analysis*
- *ISO 23081 to design metadata schema needed in the implementation of EDRMS*

- Conduct Interview, Questionnaire Survey, and Site Visit
- Analyse Related Resource and IT Systems
- *ISO 15489 (part 1), and 23081 used to compare requirements with current situation*

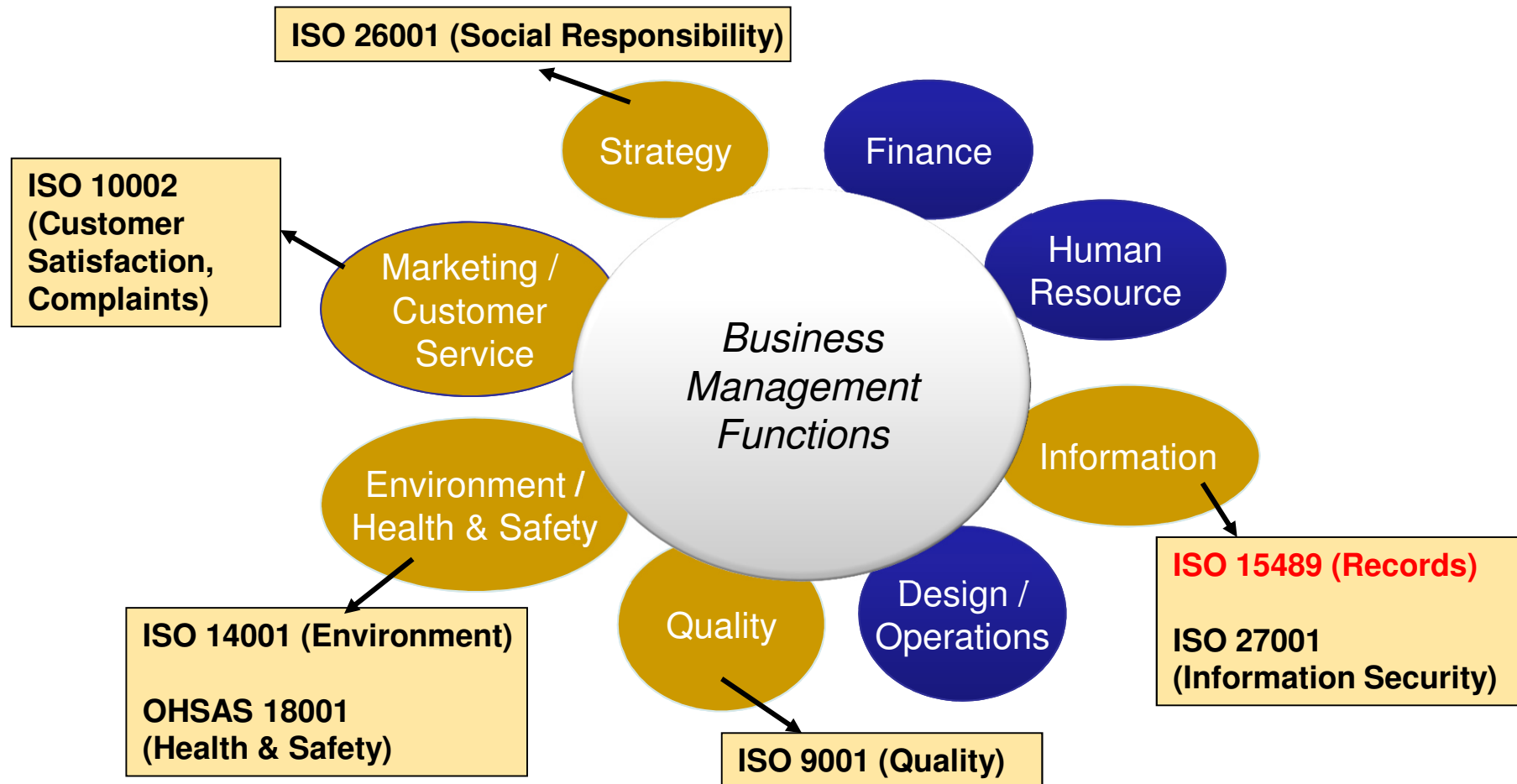
- Identifying and analyzing Issues
- Setting "To-be " Strategy
- *ISO 15489 (part 1), and 23081 used as a baseline model*



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Business Functions and Management System Standards

- To be successful, organization need to manage various business functions.
- ISO helps organization to provide a **model to follow** in setting up and operating a management system. This model incorporates the features on which experts in the field have reached a consensus as being the **international state of the art**.



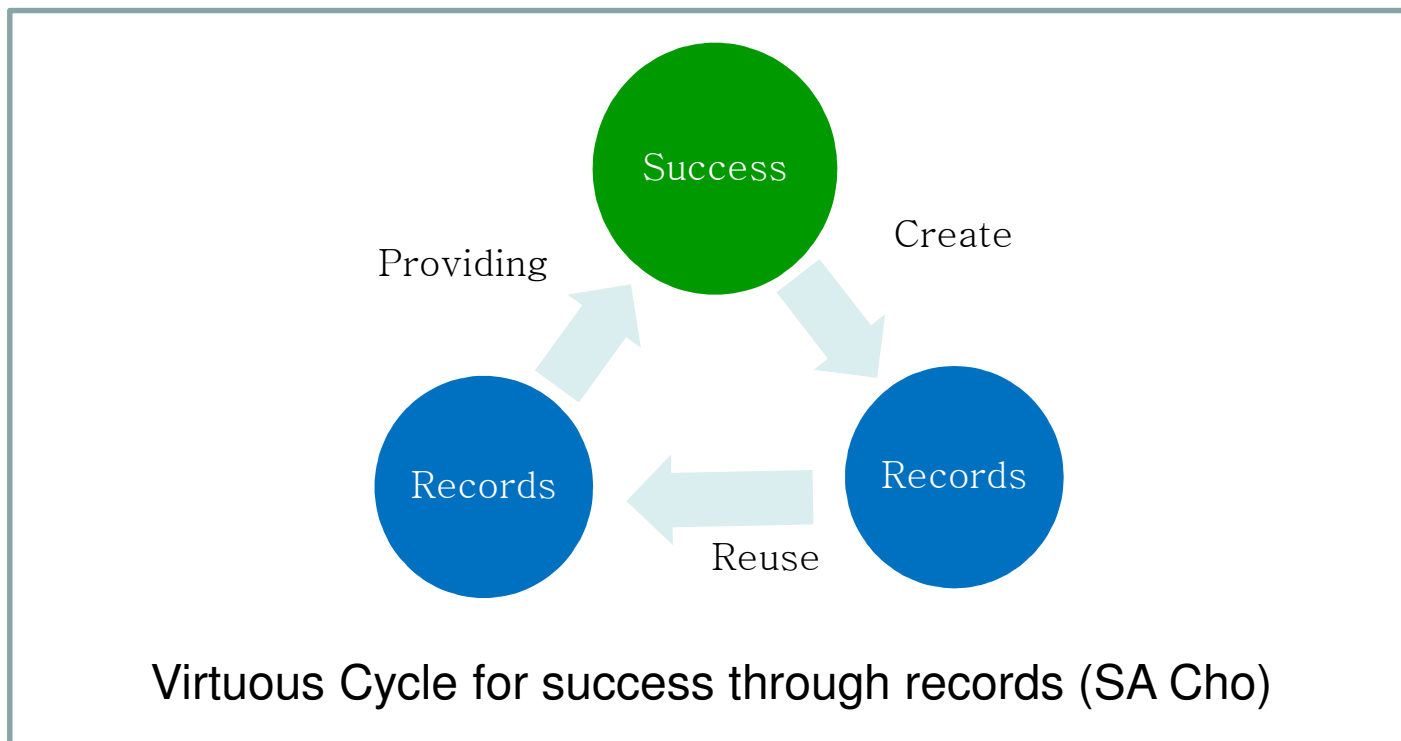
Every MSS has document & records requirement sections!

ISO 9001:2008	ISO 14001:2005	ISO 27001:2005
<ul style="list-style-type: none">1 SCOPE2 NORMATIVE REFERENCES3 TERMS AND DEFINITIONS 4 QUALITY MANAGEMENT SYSTEM<ul style="list-style-type: none">4.2. DOCUMENTATION REQUIREMENTS<ul style="list-style-type: none">4.2.1 GENERAL4.2.2 QUALITY MANUAL4.2.3 CONTROL OF DOCUMENTS4.2.4 CONTROL OF RECORDS 5. MANAGEMENT REQUIREMENTS6. RESOURCE REQUIREMENTS7. REALIZATION REQUIREMENTS8. MEASUREMENT, ANALYSIS AND IMPROVEMENT	<ul style="list-style-type: none">1 SCOPE2 NORMATIVE REFERENCES3 TERMS AND DEFINITIONS 4 ENVIRONMENTAL MANAGEMENT SYSTEM REQUIREMENTS<ul style="list-style-type: none">4.1 GENERAL REQUIREMENTS4.2 ENVIRONMENTAL POLICY4.3 PLANNING 4.4 IMPLEMENTATION AND OPERATION<ul style="list-style-type: none">4.4.4 DOCUMENTATION4.4.5 CONTROL OF DOCUMENTS 4.5 CHECKING<ul style="list-style-type: none">4.5.4 CONTROL OF RECORDS 4.6 MANAGEMENT REVIEW	<ul style="list-style-type: none">1 SCOPE2 NORMATIVE REFERENCES3 TERMS AND DEFINITIONS 4 INFORMATION SECURITY MANAGEMENT SYSTEM REQUIREMENTS<ul style="list-style-type: none">4.2 ESTABLISHING AND MANAGING THE ISMS4.3 DOCUMENTATION REQUIREMENTS<ul style="list-style-type: none">4.3.1 GENERAL4.3.2 CONTROL OF DOCUMENTS4.3.3 CONTROL OF RECORDS 5 MANAGEMENT RESPONSIBILITY6 INTERNAL ISMS AUDITS7 MANAGEMENT REVIEW OF THE ISMS8 ISMS IMPROVEMENT

It implies that documents and records management are essential elements for the successful operation of MS.

Managing records of success

- A person can really be understood not by his titles but by what he thinks and what vision he has.
- Records and information of an organization are just the same as the thinking of a person.
- A successful organization can be identified not only by its business title and size but by what vision and how much records of the successful experiences it has .
- To keep the virtuous cycle for success, organization should manage records successfully.



4.2.3 Control of Documents (from ISO 9001)

Documents required by the QMS shall be controlled and a documented procedure shall be established.

Records are a special type of document and shall be controlled.

The controls shall cover;

- a) documents approval prior to issue
- b) review and update as necessary and re-approve documents,
- c) changes and the current revision status of documents identified,
- d) relevant versions of applicable documents are available at points of use,
- e) documents remain legible and readily identifiable,
- f) documents of external origin are identified and their distribution controlled,
- g) obsolete documents to prevent the unintended use, and suitable identification, if retained

4.2.4 Control of Records (from ISO 9001)

Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled.

The organization shall establish a documented procedure to define the controls needed for;

- identification,
- storage,
- protection,
- retrieval,
- retention and disposition of records.

Records shall remain legible, readily identifiable and retrievable.

MSS documentation section



- 1) Every Management System (MS) standard such as ISO 9001, 14001, 27001 has a documentation section. The documentation section consists of general documents control and records control parts as below.
 - The general part specifies a list of documents, including records, which shall be included in the MS.
 - The documents control part specifies the requirements about documents preparation, review, approval, revision status control, distribution and availability, identification and prevention of misuse.
 - The records control part requires preparing procedures for records preparation, identification, storage, protection, retrieval, retention time, and disposition.

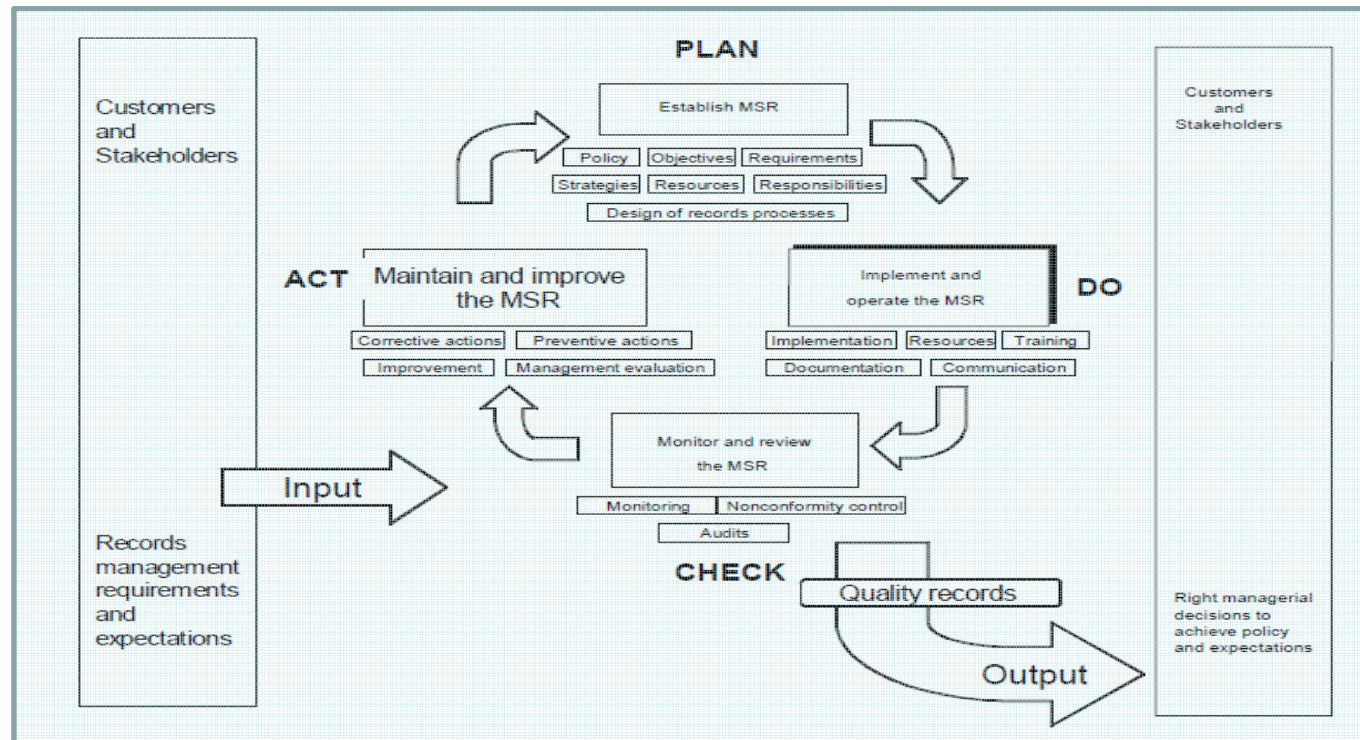
- 2) While records are a special type of documents for evidences and information assets, documents which are identified and determined as records at each MS shall be controlled to satisfy both the documents and the records control requirements during the life cycle of documents (from preparation, through distribution, use, and to disposal).

- 3) However the requirements specified for control of records in every MS standard are insufficient, as we just have seen, to implement and control records, including documents.

- 4) The ISO 30201 standard about Management System for Records (MSR) which are under development will provides guidance to control the records required in other MS standards.

MSR structure under development

- This new MSR also follows the Plan-Do-Check-Act Model like ISO 9001 and has consistent structure and content proposed by ISO Guide 72.
- It can be easily aligned and integrated into one management system with ISO 9001.
- And also give guidance to implement the documentation requirements of ISO 9001 by providing Matrix between ISO 9001 and Records Controls.



Matrix between ISO 9001 and Records Controls



ISO 9001 Documentation requirements	Creation and capture					Control				
	A.1 (identification)	A.2 (records metadata)	A.3 (form and structure)	A.4 (media & format)	A.5 (creation & capture)	B.1 (records transaction)	B.2 (control metadata)	B.3 (use & maintenance)	B.4 (disposition)	B.5 (records system)
4.2.1 General The quality management system documentation shall include; • a quality policy and quality objectives, • a quality manual, documented procedures, • records and other documents as necessary	★									
4.2.3 Control of documents A documented procedure shall be established to define the controls needed; a) documents approval prior to issue						★				
b) review and update as necessary and re-approve documents		★				★			★	
c) changes and the current revision status of documents identified										
d) relevant versions of applicable documents are available at points of use								★		
e) documents remain legible and readily identifiable			★					★		
f) documents of external origin are identified and their distribution controlled		★					★			
g) obsolete documents to prevent the unintended use, and suitable identification, if retained							★	★	★	

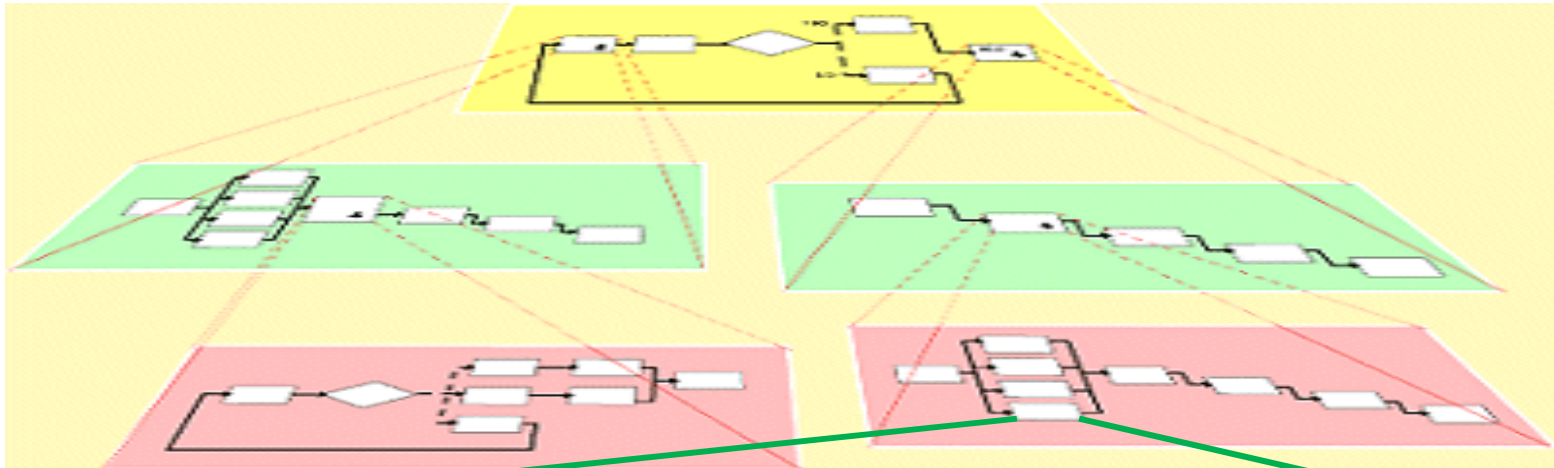
Matrix between ISO 9001 and Records Controls



ISO 9001 Documentation requirements	Creation and capture					Control				
	A.1 (identification)	A.2 (records metadata)	A.3 (form and structure)	A.4 (media and format)	A.5 (creation and capture)	B.1 (records transaction)	B.2 (control metadata)	B.3 (use & maintenance)	B.4 (disposition)	B.5 (records system)
4.2.4 Control of records Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the quality management system.	★	★				★				
Records shall remain legible, readily identifiable and retrievable.			★					★		
The organization shall establish a documented procedure to define the controls needed for; <ul style="list-style-type: none"> • identification, • storage, • protection, • retrieval, • retention and disposition of records. 	★					★		★	★	

Processes Analysis and Records requirements

- ISO 9001 requires to determine the processes needed for the QMS and their application throughout the organization.
- Analyze work processes and identify records according to each process and activities will be the first step to manage records along with ISO 9001.



Activity Number	Activity Name	Process Level	Input Records	Output Records	Owner
4E.8.0	Project Management	Major			
4E.8.1	PJT Management Criteria	Unit Process			
4E.8.1.1	PJT Scheduling Criteria	Activity	Contract documents	Scheduling Criteria	Kim
4E.8.1.2	PJT Accounting Criteria	Activity	Contract documents	Accounting Criteria	Park
4E.8.3	PJT Plan Review	Unit Process			
4E.8.3.2	Plan Review	Activity	Project Plan	Review Report	Lee
4E.8.4	Risk Management	Unit Process			
4E.8.4.1	Risk Identification	Activity	Contracts	Assessment Reports	Lee
4E.8.4.1.1	Review Design Documents	Activity	Design drawings, Specs.	Risk Reports	Cho
4E.8.4.4	Risk Monitoring & Feedback	Activity	Risk Indicators	Progress Reports	Kim

Link records with every procedures

- Performing a work following to a procedure may always produce documents.
- If there are documents identified as records with that work, it is a good way to insert the records retention table in the ISO 9001 procedure.

Records Retention Table

- 1) Name or Identification
- 2) Retention time
- 3) Disposition
- 4) Responsibility
- 5) Storage
- 6) Protection
- 7) Etc.

DOCUMENT CONTROL PROCEDURE (DPM-P002)
DCSS – Process Management

5.3.2 Procedures: Departmental Manager/Director/Supervisor

5.3.3 Work Instructions: Departmental Manager/Director/Supervisor

5.3.4 Forms: Departmental Manager/Director/Supervisor

5.4 Revisions or deletions of documents are reviewed and approved by the person(s) who originally approved the documents prior to implementing the revision or deletion, or as designated on the document control form.

5.5 Documents are reviewed on a regular basis through internal audits and normally to determine the need for revisions.

5.6 The most current documentation is made readily available to those performing the tasks defined and/or those having responsibility for the document. Availability is primarily through the documentation web site;

5.7 Documentation is legible and readily identifiable with changes and revision history to ensure proper use and deployment of the Dougherty Process Management System.

5.8 Documentation which is controlled external to the process management system is listed on an External Documents list, including distribution of controlled copies, and controlled in a way appropriate to the process requiring the document.

5.9 Any obsolete documents are either removed from the web site or hard copy location to prevent unintended use. In the event obsolete documentation is retained, it is identified as "Obsolete" and appropriately filed.

6.0 ASSOCIATED DOCUMENTS:

6.1 Document Control Work Instruction, DPM-W001

6.2 Document Control Form, DPM-F001

7.0 RECORD RETENTION TABLE:

Identification	Storage	Retention	Disposition	Protection
Document Control Form (or Memos of Approval)	Hard copy in Co-Management Representatives files	Minimum 3 years of most recent revision	Discard as desired	Maintained in a secure area by a Co-Management Representative
Document Master List	Electronic by a Co-Management Representative	Ongoing current revisions	Maintain current revision ongoing	Back-up on server
External Document Master List	Electronic by a Co-Management Representative	Ongoing current revisions	Maintain current revision ongoing	Back-up on server

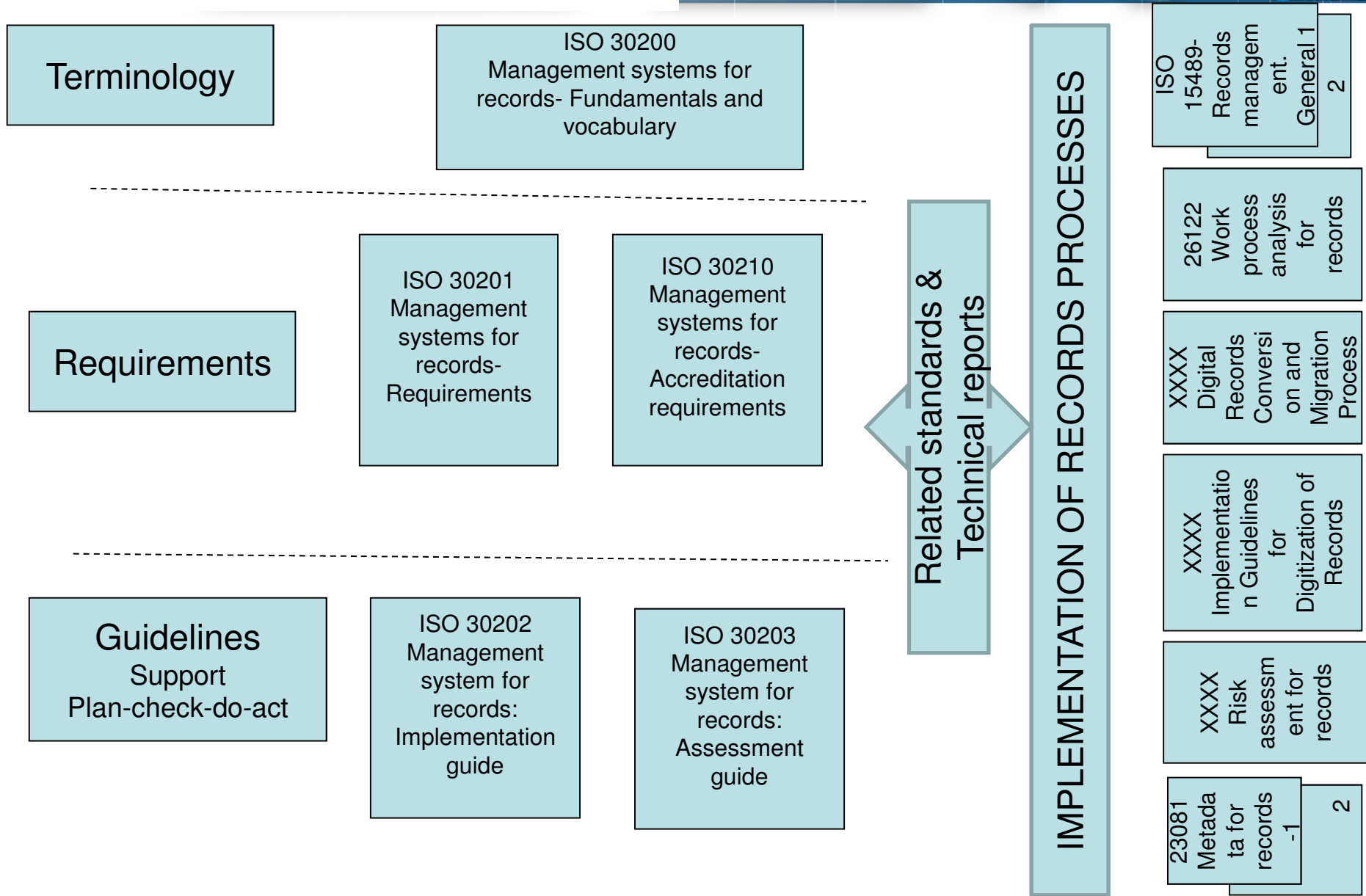
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Sample



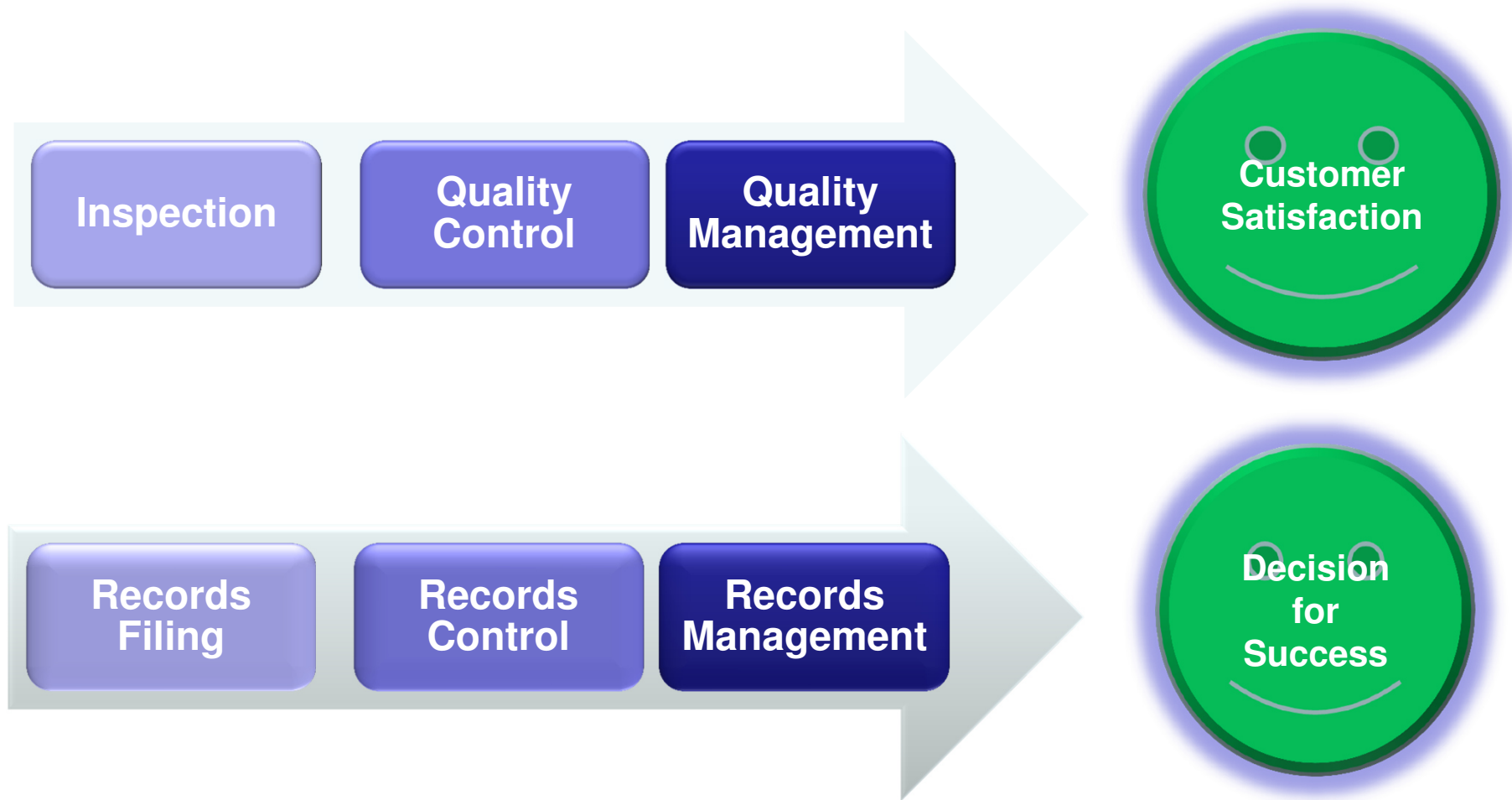
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Management system for records. Family structure



Purpose of ISO 30201 MSR

The Ultimate purpose of MSR is not only for managing records well but for organizational success through timely and correct managerial decisions by supporting the mission and vision accomplishment.



Managing records of success

- Managing records is just managing organization!
- Managing records of success to make virtuous cycle for success of the organization.

