Introduction

The standards on Principles and Functional Requirements for Records in Electronic Office Environments as developed by the ICA is currently under ballot (ISO/DIS 16175-1, 2 and 3). The ballot closes on June 7, 2010.

From comments we received it became obvious that it would be useful to clarify how this standard relates to existing standards with functional requirements.

This document intends to provide answers to the main questions that may help NMBs in their decision about the ballot.

Where did this standard come from?

A variety of functional specifications for records management software has been developed by a number of jurisdictions and communities from around the world. In 2006, the International Council on Archives agreed to develop a globally harmonised, generic suite of recordkeeping functional requirements for software products based on existing jurisdiction-specific specifications, and to do so in a manner consistent with the International Standard on Records Management, ISO 15489-1:2001. A multi-national project team was appointed by the ICA for this purpose. The resulting suite of guidelines and functional requirements was intended to assist jurisdictions that are developing, or looking to adopt, their own functional specifications, as well as to inform the update and revision of previously existing standards.

Who are the audiences for the different modules?

There are four key audiences for these modules:

- **jurisdictional standard-setters** – (All modules) so these modules can serve as either the baseline for nascent standards development efforts, or as a basis for evaluating the already existing electronic records management standards;
- **government agencies** – (All modules) so that all business functions can be evaluated against, and facilitated via, the incorporation of automated records management capabilities; and
- **private-sector organisations** – (All modules) so that they can incorporate automated electronic records management into their business operations.
- **software developers and vendors** – (mainly Module 2) including non-records management software, so this document can serve as a universal benchmark for recordkeeping compliance;

How does this relate to other sets of requirements?

The requirements are intended to be at a high level and generic in nature to ensure a level of flexibility for implementation. Further detailed specifications can be found in the US DoD 5015.2 and the
European Union MoReq2 requirements documents. In particular, ICA Module 2 does reflect many of the key functional requirements that are found in both the US DoD 5015.2 and the European Union MoReq2 documents. Current mapping exercises have shown a natural congruency with MoReq2.

In particular, Module 3 is considered to be ground-breaking work that introduces recordkeeping (records management) into other business systems that manage records. This module provides scenarios that explains/interpret how the requirements can be applied.

**What about my specific country/jurisdiction requirements?**

The aim of the Principles and Functional Requirements for Records in Electronic Office Environments Modules are to produce globally harmonised principles and functional requirements for software used to create and manage electronic records in office environments. There currently exist a number of jurisdiction-specific functional requirements and software specifications.

The objectives are to:

- enable better recordkeeping in organisations at all levels of government regardless of juridical domain;
- support the business needs of an organisation by enabling greater effectiveness and efficiency of the operations;
- provide, through wider deployment of automated recordkeeping functionality, enhanced abilities to support auditing activities;
- improve capabilities to comply with statutory mandates specified in various information-related legislation (for example, data protection and privacy);
- ensure good governance (for example, accountability, transparency and enhanced service delivery) through good recordkeeping;
- increase general awareness of automated recordkeeping capabilities via the dissemination of key principles; and
- maximise cross-jurisdictional consistency regarding the articulation of recordkeeping functional requirements and to enable the global archival community to speak with one voice to the software vendor community.

Given the objectives cited above it is expected that each country/jurisdiction would evaluated the three Modules in light of their own unique requirements by either developing there own requirements based on the three Modules (possibly including MoReq2) or by making direct reference to these possible new ISO standards.

**How does this proposed standard relate to other ISO standards?**

The recommendation requirements have been aligned with the records management principles that are set out in the International Standard on Information and Documentation – Records Management – Part 1 – General, ISO 15489, which provide guidance on the records management requirements that are applied when records are captured and managed within electronic records management systems and business systems that manage records.


The high-level metadata element set found in ISO 23081 – 2: 2009, Information and Documentation – Managing Metadata for Records, Part 2 – Conceptual and Implementation Issues provides the basis for the metadata requirements.

Additionally, Modules 1-3 would be included into the Management System Standards for Archives and Records Management.
Who will maintain the standard?
If a positive vote is received, ISO TC46/SC11 Archives/records management committee will maintain the standard in liaison with the International Council of Archives. Formal responsibility for maintaining the standard rests with ISO TC46/SC11.

Will there be certification?
ISO will not undertake certification. However other organisations may choose to develop and administer certification processes.

What is the procedure for voting?
You can vote for any or all of the modules. Workable results to publish as a standard would be:
• Vote for all modules
• Vote for Modules 1 and 2
• Vote for Modules 1 and 3
Note: A positive vote for only one module would not provide a workable solution for standards development.

What happens next?
The Draft International Standards (ISO/DIS 16175-1, 2 and 3) have been circulated to all member bodies by the ISO/CS for voting and comment for a period of 5 months. Voting closes on June 07-2010.

The DIS is approved if
• accepted by 2/3 majority of the P-members of the TC/SC, and
• not more than 25% of the total numbers of votes cast are negative.

Any comments must be reconciled. This may lead to a revised document. After reconciling any comments, the Chairperson may
• register the revised document as a Final Draft International Standard (FDIS), or
• if no negative votes were cast, to send it directly to publication [=100% DIS, see TMB Resolution 11/1998].

The document for FDIS must be sent to ISO before October 11. The FDIS voting period is two months.

The FDIS is approved if it is:
• accepted by a 2/3 majority of the P-members of the TC/SC, and
• not more than 25% of the total numbers of votes cast are negative.

How can functional requirements be modified?
The modification of the standards will be through the normal maintenance process of ISO TC46/SC11 along with the liaison committee of ICA.
**Are there procedures to translate this standard?**
Yes, there will be an official French version and Spanish and Chinese versions are under development. Other national member bodies may choose to translate for adoption at a national level.

**Do I have to pay for this standard?**
Yes, you can buy these standards through the International Standards Organisation (www.iso.org).