



ISO 15489: Management Statement

Introduction

All organizations, regardless of their size or the nature of their business generate information from their work processes.

Records, as a type of information, are assets of the organization which enable it to achieve a range of outcomes.

Creation and control of records are integral to an organization's activities, processes and systems. Effective management of records enables an organization to manage risk and respond to the challenges of the open and global environment.

A range of ISO and national standards can be used to assess and design processes, practices and systems for managing records.

The role of records in the business context

Records are valuable for these reasons:

- Strategy, including effective conduct of business through informed decision-making; performance management; productivity improvement; consistency, continuity and quality assurance in management and operations
- Operations, including responsive and accurate service delivery, resource management and cost control
- Regulatory compliance, and legal protection and support
- Accountability, corporate governance, financial and practice audits
- Risk management, including security, reputation management, business continuity planning and implementation
- Ethics, including openness, trust and meeting expectations of external stakeholders
- Corporate memory, including innovation through capture and reuse of organizational knowledge, and use of strategic knowledge to support business.

The changing operating environment

Organizations are part of, and have obligations arising from, the local, national and global context in which they do business. Various factors are driving organizations to increase their responsiveness to the external environment, and to be financially sound and viable. These include:

- Transformation to providing services online
- Intensified commercial competition and increased shareholder interests
- Technological change leading to e-commerce and e-government practices
- Increasingly open environment that requires partnerships and collaboration,



- knowledge sharing, and peering
- Speed of communications and dissemination of information through the internet
- Increasing complexity of the regulatory environment – local, national and international (eg. international trade law, intellectual property law, international currency and trading regulations, privacy law, treaties for species or heritage protection or climate change)
- Increased expectations of citizens and customers that organizations should operate in a trustworthy, accountable, transparent and socially responsible manner
- Heightened risk from the external environment including security threats and natural disasters.

These trends can affect all types and sizes of organizations. There is a demand for increasing efficiency, cost effective operations and compliance with audit and governance standards, whether organizations depend on profit, government or private donors for funding.

Best practice records management

ISO and national standards meet documentation requirements contained in quality and risk management, compliance and security practice standards. They ensure that authoritative and reliable information about, and evidence of, business activities are created, managed, and made accessible to those who need them, for as long as they need them.

ISO 15489 – 2001 identifies the standard principles for managing records.

These principles apply to all records irrespective of the format or medium in which they are created or of the organization or individual which creates them.

They are:

- 1) An organization should have a policy, with defined roles and responsibilities, for creating, capturing, managing and using records, as evidence of business, for as long as they are needed.
- 2) The proper management of records should be integrated into business processes and systems.
- 3) The techniques, processes and systems used to create and manage records must align with the organization's specific business requirements.
- 4) The requirements for records, their management and ongoing use should be incorporated into the design and implementation of an organization's overall information framework.
- 5) Business rules should be developed for designing and implementing systems which hold records, and for managing, using and disposing of records.
- 6) The resources allocated to managing records generated by business should be commensurate with the assessment of risk, the nature of the activities and the size and type of organization.
- 7) Business systems and processes should be designed so that records are secure from unauthorised use or modification and can be relied on as accurate, authoritative, accessible and acceptable as evidence for as long as they are needed.



The standards promote:

- Identification of responsibilities for records creation and control
- Adoption of computerised and automated means of creating and managing records
- Integration of records creation and control with business processes
- Incorporation of records into organizations' information framework to enhance their value and encourage their use
- Retention for as long as the records are needed and timely destruction in accordance with legal requirements and society's expectations.