PD ISO/TR 21946:2018

BSI Standards Publication

Information and documentation — Appraisal for managing records

bsi.

National foreword

This Published Document is the UK implementation of ISO/TR 21946:2018.

The UK participation in its preparation was entrusted to Technical Committee IDT/2, Information and documentation.

A list of organizations represented on this committee can be obtained on request to its secretary.

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Published by BSI Standards Limited 2018

ISBN 978 0 580 51849 2

ICS 01.140.20

Compliance with a British Standard cannot confer immunity from legal obligations.

This Published Document was published under the authority of the Standards Policy and Strategy Committee on 30 November 2018.

Amendments/corrigenda issued since publication

Date	Text affected

PD ISO/TR 21946:2018

TECHNICAL REPORT

ISO/TR 21946

First edition
2018-11-28

Information and documentation — Appraisal for managing records

Information et documentation — Evaluation dans le cadre de (pour) la gestion des documents d'activité

Reference number
ISO/TR 21946:2018(E)

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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Introduction

Appraisal for managing records is the recurrent process of evaluating business activities to determine which records need to be created and captured as well as how and how long the records need to be kept. It combines an understanding of business activities and their contexts with

— the identification of business needs, regulatory requirements and societal expectations relating to records, and

— the assessment of opportunities and risks associated with the creation and management records.

Regular, systematic appraisal for managing records has a range of benefits, including:

— compliance with legal/regulatory requirements for records;

— satisfaction of business needs in managing records, and providing for timely disposition of records;

— identification of requirements for continuing retention of records as archives;

— implementation of measures to protect and manage records according to their level of criticality for the organization and/or their retention requirements;

— improvement of organizational efficiency through proper use of resources;

— the effective management of risk related to records;

— greater accountability for decisions about the creation, capture and management of records.

In some records and archives management traditions, appraisal for managing records is solely used as an instrument to identify retention requirements for records or to create a disposition authority. The concept of appraisal as described in ISO 15489-1 is, however, meant to be used in a broader way. It can be used to identify different types of requirements related to creating, capturing and managing records over time and to implement them in ways that are suited to changing contexts. In this way, appraisal can support accountability and more efficient business.

The results of appraisal can be used in the development of policies, systems and processes, as well as to develop a range of records controls. These controls include metadata schemas, business classification schemes, access and permissions rules and disposition authorities. In some jurisdictions, appraisal for managing records, or parts of it, can be required by law or regulation as a precursor to the development of such tools.

Appraisal is a strategic and proactive approach to the creation, capture and management of records, rather than a reactive one.

Appraisal is accountable and consultative, and, in certain cases, should be conducted in partnership with stakeholders with interests in the creation, capture and management of particular classes of records.

The advice on appraisal for managing records in this document can be used if an organization is implementing a management system for records (MSR) following ISO 30301. In the management system standards approach, appraisal can help to meet requirements related to the “Context of the organization” and “Operational planning”.

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TECHNICAL REPORT **ISO/TR 21946:2018**

Information and documentation — Appraisal for managing records

1 Scope

This document provides guidance on how to carry out appraisal for managing records. It describes some of the products and outcomes that can be delivered using the results of appraisal. As such, this document describes a practical application of the concept of appraisal outlined in ISO 15489-1.

This document:

a) lists some of the main purposes for appraisal;

b) describes the importance of establishing scope for appraisal;

c) explains how to analyse business functions and develop an understanding of their context;

d) explains how to identify records requirements;

e) describes the relationships between records requirements, business functions and work processes;

f) explains how to use risk assessment for making decisions related to records;

g) lists options for documenting the results of appraisal;

h) describes possible uses for the results of appraisal; and

i) explains the importance of monitoring and review of the execution of appraisal decisions.

This document can be used by all organizations regardless of size, nature of their business activities, or the complexity of their functions and structure.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 15489-1, *Information and documentation — Part 1: Concepts and principles*

3 Terms and definitions

For the purposes of this document, terms and definitions given in ISO 15489-1 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

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