



ISO/TC 46/SC 11  
Archives/records management

Email of secretary: [Clare.Hobern@standards.org.au](mailto:Clare.Hobern@standards.org.au)  
Secretariat: SA (Australia)

**Resolutions of the 33rd ISOTC46SC11 meeting May 2017 Pretoria**

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## Resolutions of the 33<sup>rd</sup> ISO/TC 46/SC 11 Archives/records management meeting

22-26 May 2016, Pretoria, South Africa

### Ad hoc Groups

#### **Resolution 01/2017-05 Establishment of Ad Hoc Group for Strategic Framework**

SC 11 resolves to form an Ad Hoc group

Scope: to produce a strategic framework for SC11 consisting of:

1. A conceptual diagram of records management and areas of interest for SC11
2. An assessment tool for proposed work (to apply before formal NWI proposals)
3. Mapping of existing products to 1 and 2
4. Implications /recommendations from 1-3
5. Recommended proposed changes to the SC11 Roadmap

by 31st March 2018 to be circulated as part of meeting papers and make a presentation of the results to the Plenary at the next SC 11 meeting in Portugal in May 2018

Rapporteur: Trish O'Kane (SNZ)

Participating members: Xiaomi An (SAC), Carlota Bustelo (UNE), Song-Ahm Cho (KATS), Adrian Cunningham (ICA), Paul Mullon (SABS), Karl Olsson (SIS), Angelina A. Owino (KEBS), Lucas Colet (ILNAS), Catherine McKinney (SCC) Marie-Francoise Nesme (AFNOR)

### Ad hoc Group 3 - Concepts common to SC11 standards

#### **Resolution 02/2017-05 Disbanding of AHG3**

ISO/TC 46/SC 11 disbands Ad Hoc Group 3 and the Group's work is to be continued by WG8 Management Systems for Records.

### Ad hoc Group 4 - Records management in relation to open data

#### **Resolution 03/2017-05 Disbands AHG 4**

ISO/TC 46/SC 11 disbands Ad Hoc Group 4 records management responsibilities in relation to open data, and thanks Ad Hoc Group 4 members and survey respondents. The work is to be transferred to ISO/TC 46/SC 11/JWG 7 Digital records preservation. (To be "JWG 7 Records Management as it relates to data")

#### **Resolution 04/2017-05 Whitepaper on records management principles in open data**

ISO/TC 46/SC 11 resolves to develop a whitepaper on how records management principles can support open data publication processes, to be published on the ISO/TC 46/SC 11 website, and to be used as an introductory paper when asking for liaisons or joint work with other ISO committees or organizations. The whitepaper is to be drafted by Charlotte Maday (AFNOR), Cassie Findlay (SA) and Monserrat Garcia (UNE) and the research on potential liaisons to be carried by Monserrat Garcia (UNE) by 31 December 2017.

## Working Groups

### WG7 - JWG on Digital records preservation

#### Resolution 05/2017-05 Change of name of JWG 7

ISO/TC 46/SC11 resolves to change the name of JWG 7 to “Records management as it relates to data.”

#### Resolution 06/2017-05 Continuation of work on issues related to records management as it relates to data

ISO/TC 46/SC 11 requests that JWG7 continue work on ‘Issues related to records management as it relates to data’ as described in Beijing Resolution 15/2015-16. The group (Barbara Reed, Leader (SA), Xiaomi An (SAC), Paul Mullan (SABS), Alan Shipman (UK) and Elisabeth Klett (SIS) will issue a draft document for distribution to JWG7 by end of February 2018 for discussion at the Lisbon meeting.

### WG08 Management systems for records

#### Resolution 07/2017-05 Revision of ISO 30300:2011

ISO/TC 46/SC 11 resolves to revise *ISO 30300:2011 Management systems for records – Fundamentals and vocabulary* as follows:

- The title of ISO 30300 is to be changed to *ISO 30300: Records management: Core concepts and vocabulary*.
- The scope remains unchanged.
- The work will be undertaken by WG8, Convened by Carlota Bustelo (UNE).
- The project leader is Xiaomi An (SAC)
- The timeframe is 24 months.
- A WG draft to be prepared by a drafting team (Karl Olson (SIS), Marie-Francoise Nesme (AFNOR), Trish O’Kane (NZSO), Cassie Findlay (SA), Marissa Paron (SCC), Paul Mullan (SABS), Elisabeth Klett (SIS), Song-ahm Cho (KATS), Wout van der Reijden (NEN) and Rod Stone (BSI)) to be circulated for comment by 01 November 2017 for one month, followed by a WebEx meeting on 15 December 2017, to determine the next steps for balloting, depending on the comments received.

#### Resolution 08/2017-05 Revision of ISO 30301:2011

ISO/TC 46/SC 11 resolves to revise *ISO 30301:2011 Management systems for records – Requirements* as follows:

- Scope remains unchanged.
- The work will be undertaken by WG8, Convened by Carlota Bustelo (UNE).
- The Project Leader is Judith Ellis (SA).
- The timeframe is 24 months.
- A WG drafting team (Anki Steen (SIS), Andrea McIntosh (NZSO), Lisa Haralampus (ANSI), Song-Ahm Cho (KATS), Dewald Opperman (SABS), Catherine McKinney (SCC), Marie-Françoise Nesme (AFNOR), Anahi Casadesus (UNE) and Angelina Owino (KEBS)) will prepare a committee draft by 01 July 2017 to circulate for two-month comment period.
- A WebEx meeting will be held on 20 October 2017 to resolve comments for DIS draft for ballot.

#### Resolution 09/2017-05 ISO/TMB JTCG TF Representation

ISO/TC 46/SC 11 resolves that Carlota Bustelo (UNE) and Judith Ellis (SA) continue to represent ISO/TC 46/SC 11 on the ISO/TMB Joint Technical Coordination Group Task Force for the revision of the ISO publication *Integrated Use of Management Systems Standards*.

### WG10 Implementation guidelines for disposition of records

#### Resolution 10/2017-05 WG10 Editorial Group

ISO/TC 46/SC 11 resolves that WG 10

- form an editorial group consisting of Stephen Clarke (NZSO) Convenor, Mike Chapman (NZSO), Dewald Opperman (SABS), Anki Steen (SIS), Alan Shipman (BSI) to:
- finalise the updated scope
- develop a first discussion draft for review by the working group by end of 2017.

#### **Resolution 11/2017-05 Migration Experience information for SR of ISO 13008**

ISO/TC 46/SC 11 invites KATS and other P-members to provide information on the migration experience of the Korean National Archives 3-tier system and migration experience of other jurisdictions for review by the committee in its Systematic Review of ISO 13008.

#### **WG14 - Records requirements in enterprise architecture**

#### **Resolution 12/2017-05 Further comment for ISO/DTR 21965**

ISOTC 46/SC11 resolves to:

- Allow comment until end of July 2017 on the Discussion Draft of ISO/DTR 21965 Information and documentation - Records management in enterprise architecture
- Resolve comments on the Discussion Draft and issue a Draft Technical Report for vote by end of September 2017
- Requests WG14 convenor to meet at the next SC 11 meeting in Portugal in May 2018.

#### **WG 15 – Appraisal for managing records**

#### **Resolution 13/2017-05 Downgrade of ISO/DTS 21946**

ISOTC 46/SC11 resolves to downgrade the project for ISO/DTS 21946 to a Technical Report. There is no change to scope or project leader and it will progress against the following timeline:

- Document issued by September 2017
- Draft issued and circulated by November 2017.
- DTR launched by March 2018 for a four week ballot,
- Comments resolved and adoption by the 2018 meeting of SC11 in Lisbon in May 2018

#### **Resolution 14/2017-05 Meeting of WG15 in 2018**

- ISO/TC 46/SC11 requests WG15 convenor to meet at the next SC 11 meeting in Portugal in May 2018.

**WG 16 – Systems design for records****Resolution 15/2017-05 Revision and restructuring of ISO 16175**

ISO/TC 46/SC11 resolves to revise and restructure ISO 16175 into two parts incorporating ISO/TR 15489-2 (withdrawn) and requests its Secretariat to register two projects with the ISO/CS, as follows:

- ISO 16175-1: Processes and Functional Requirements for Designing and Implementing Records Systems: Guidance for records system design, implementation and maintenance
- ISO 16175-2: Processes and Functional Requirements for Designing and Implementing Records Systems: Functional requirements and associated guidance for any applications that manage digital records.
- Project Leader part 1: Barbara Reed
- Project Leaders part 2: Adrian Cunningham/Stephen Clarke
- The timeframe for part 1 is 36 months.
- The timeframe for part 2 is 36 months.

The following schedule will be followed for progressing both drafts to Committee ballot:

- Circulate new drafts to WG16 members by the end of September 2017
- WG16 members to comment on drafts by the end of December 2017
- Draft for Committee Ballot to be ready by the end of February 2018
- Committee ballot to take place during March and April 2018
- Resolve ballot comments by the end of May 2018

ISO/TC 46/SC 11 will seek input and feedback from the target audience in the development of part 2.

**Resolution 16/2017-05 Meeting of WG16 in 2018**

ISO/TC 46/SC11 requests WG16 convenor to meet at the next SC 11 meeting in Portugal in May 2018.

**WG 17 – Records in the Cloud****Resolution 17/2017-05 DTR for Records management in the cloud: Issues and concerns**

ISO/TC 46/SC11 resolves to appoint Youngkon Lee (Republic of Korea), as Project Leader and requests its secretariat to register the Project ISO/DTR “Records management in the cloud: Issues and concerns” in WG17—with ISO/CS, with the following schedule to develop a Technical Report:

- End September 2017      Draft to WG17 for comment
- End November 2017      Prepare for DTR Ballot
- End January 2018        1st DTR Ballot
- End April 2018            prepare disposition of DTR comments and new draft

**Resolution 18/2017-05 Meeting of WG17 in 2018**

ISO/TC 46/SC11 requests WG17 convenor to meet at the next SC 11 meeting in Portugal in May 2018.

**Resolution 19/2017-05 Preparatory work for Records management in the cloud: Service quality and SLA**

ISO/TC 46/SC11 requests that WG17 commence preparatory work on Technical Report for Record Management in the cloud: Service Quality and SLA and requests Youngkon Lee as a project leader to prepare a draft for circulation for WG17 by end of March 2018.

**Resolution 20/2017-05 Preparatory work for Records management with Blockchain**

ISO/TC 46/SC11 requests that WG17 commence preparatory work on Technical Report for Record Management with Blockchain and requests Sungjae Kim as a project leader to prepare a draft for circulation for WG17 by end of March 2018.

### SC 11 Coordination group

#### **Resolution 21/2017-05 Change of scope and title for LinkedIn Group**

ISO/TC 46/SC 11 resolves to change the scope and the title of the LinkedIn group on ISO 30300 series to cover all the work and products of SC11, using the Communication plan for the key messages and communication objectives. The title will be ISO/TC 46/SC 11 Archives/Records Management.

#### **Resolution 22/2017-05 Inclusion of Marketing Discussion in WG Agendas**

ISO/TC 46/SC 11 requests Working Group (WG) Agendas to include discussion and decisions on marketing issues. This includes:

- revision of information and content published on the ISO/TC 46/SC 11 website. Suggestions to be made to the website Editorial Team.
- Recommendations to ISO/TC 46/SC 11 on drafting promotional material such as white papers, promotional brochures, etc. In the absence of objection, outcomes will be directly published on the ISO/TC 46/SC 11 website.
- creation of promotional presentations on the products drafted by the WG to be freely used for any interested person
- any other ideas for the Communication Plan.

### Appreciations

#### **Resolution 23/2017-05 Appreciations**

ISO/TC 46/SC 11 thanks the secretariat of ISO/TC 46 for organizing the 44<sup>th</sup> annual meeting, the South African Bureau of Standardization for hosting the May 2017 ISO/TC 46 and SCs plenary meetings.

ISO/TC 46/SC 11 thanks them for their warm hospitality and organizational support.

In particular:

- Thabisa Mbungwana, Senior Manager, Strategic Partnership and International Relations
- Yvonne Ndlhovu, Program Manager, Systems and Services,
- Neo Thibedi, Local Organizing Committee,
- Sazi Zangga, Local Organizing Committee,
- Mmakgabo Maheya, Local Organizing Committee,
- Dinky Masetla, Local Organizing Committee,
- Louisa Venter, Local Mirror Committee, Chairperson,
- Erna-Marie Pretorius, Local Mirror Committee, Organizer,
- Nolwazi Gaza, Executive Standards Division,