

Resolutions of the 32nd ISO/TC 46/SC 11 Archives/records management meeting

9-12 May 2016, Wellington, New Zealand

Ad hoc Groups

Ad hoc Group 2 - Records in distributed platforms and services

Resolution 01/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to form a new Working Group 17 'Records in the cloud' and disband Ad hoc group 2.

Scope: To develop a Technical Report on '*Information and documentation – Records management in the cloud: Issues and concerns*'.

Convener: Cristina Fernandez (AENOR-Spain), Project Leader: Dr Youngkon Lee

Participating members: Barbara Reed (SA), Cristina Fernandez (AENOR), Mike Chapman (SNZ), Dr Youngkon Lee, Song-Ahm Cho, IL Jeon, Hye Won Lee, Taewan Park (KATS).

Resolution 02/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to send out a 30 day Letter ballot for SC11 to invite members to WG17 by end of May 2016.

Resolution 03/2016-05

ISO/TC 46/SC 11 resolves to request the Convener and Project Leader to distribute the Preliminary working draft for 30 days comment of ISO/DTR – '*Records management in the cloud: Issues and concerns*' to WG17 by end of February 2017.

Resolution 04/2016-05

ISO/TC 46/SC 11 resolves that WG17 will meet in South Africa, 2017 to discuss the revised draft.

Ad hoc Group 3 - Concepts common to SC11 standards

Resolution 05/2016-05

ISO/TC 46/SC 11 resolves to extend the work of Ad Hoc Group 3 to include the revision of terms, definitions and concept diagrams of ISO 30300 with the intention to produce a single vocabulary for ISO TC 46/SC 11 products.

Resolution 06/2016-05

ISO/TC 46/SC 11 resolves that the Ad Hoc Group 3 leader is Xiaomi An (SAC), and the group is composed of Judith Ellis (SA), Carlota Bustelo (AENOR), Alan Shipman (BSI), David Pryde (SNZ), Kathryn Lagrandeur (SCC) and Song Ahm Cho (KATS).

Resolution 07/2016-05

ISO/TC 46/SC 11 resolves that Ad Hoc Group 3 prepares a new draft of "*Information and documentation - Records management - Vocabulary*" plus recommendations and possible difficulties for the implementation as a single product to replace ISO 30300:2011 and definitions clauses of all SC11 products. Recommendations will also be made for a draft procedure for its maintenance after publication. This new draft is to be circulated to all members of SC11 by the end of March 2017 for discussion both at WG8 and the Coordination Group at South Africa meeting 2017.

Resolution 08/2016-05

ISO/TC 46/SC 11 resolves that all Conveners and Projects leaders of ongoing projects shall use the current draft of Vocabulary Standard (N1606) as a reference for the drafting of new products. Any need for addition or modification of a definition shall be reported by Conveners and Project Leaders to Ad Hoc Group 3 for its consideration.

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

Resolution 09/2016-05

ISO/TC 46/SC 11 resolves to continue Ad Hoc Group 4 work on 'The Relationship between Records Management and Open data'. The group Charlotte Maday (AFNOR – Leader), Cassie Findlay (SA - drafting leader), Elisabeth Klett (SIS); Judith Ellis (SA), Carlota Bustelo (AENOR) , Sarah Jane Saravani (SNZ) , Sharon Smith (SCC) will draft a “scoping paper” by end September 2016, based on the preliminary survey conducted in 2014. The draft “scoping paper” will be distributed to SC11 by end of 2016 for:

- publication on SC11 website by the end of 2016;
- discussion and further work at the South Africa meeting in 2017.

Resolution 10/2016-05

ISO/TC 46/SC 11 resolves to hold a meeting of Ad Hoc Group 4 in South Africa in 2017 to continue its work.

WG1 – Metadata

Resolution 11/2016-05

ISO/TC 46/SC 11 resolves to accept the recommendations of SC11 Special group on ISO 23081-1:2006 and to conduct a minor revision of the International Standard.

Resolution 12/2016-05

ISO/TC 46/SC 11 resolves to conduct a further final check of the proposed revision of ISO 23081-1:2006 *Information and documentation - Records management processes - Metadata for records - Part 1: Principles* (to be conducted by Barbara Reed (SA) and Marianne Aptel (AFNOR) and Agnes Ripoll-Ghys (AFNOR) by 15 June 2016. The Project Leader will send out the revised draft for WG 1 to review by 30 June 2016 and will request the Secretariat to submit the draft for FDIS ballot to ISO/CS by end of August 2016.

Resolution 13/2016-05

ISO/TC 46/SC 11 WG1 thanks the team working on minimum records entity metadata set, and endorses the further development of the metadata survey and results for publication as a white paper on the SC11 website. This task will be led by Agnes Ripoll-Ghys (AFNOR) and Marianne Aptel (AFNOR). The draft will be circulated by 30 November 2016 to WG1 for 30 days comment.

Resolution 14/2016-05

ISO/TC 46/SC 11 and WG1 thanks Hans Hofman, Convenor for his extraordinary contribution and his dedication to the work of WG1 on metadata for records.

Resolution 15/2016-05

ISO/TC 46/SC 11 resolves to appoint Mike Chapman (SNZ) as new Convenor of WG1, with Project Leader Barbara Reed (SA), to continue the operation of WG1.

WG7 - JWG on Digital records preservation

Resolution 16/2016-05

ISO/TC 46/SC 11 resolves to send the finalised draft of ISO/DIS 17068 to its Secretariat by the end of May 2016 for submission to ISO/CS for publication.

Resolution 17/2016-05

ISO/TC 46/SC 11 resolves to continue work on '*Issues related to records management as it relates to data*'

as described in Beijing Resolution 15/2015-06. The group (Barbara Reed, Leader (SA), Xiaomi An (SAC), Stephen Clarke (SNZ), Kathryn Lagrandeur (SCC), Elisabeth Klett (SIS) and Paul Mullan (SABS)) will issue a draft document for distribution to WG7 by end of February 2017 for discussion at the South African meeting.

Resolution 18/2016-05

ISO/TC 46/SC 11 WG7 resolves to hold a meeting in South Africa in 2017 to review '*Issues related to records management as it relates to data*' document.

WG08 Management systems for records

Resolution 19/2016-05

ISO/TC 46/SC 11 resolves that Carlota Bustelo (AENOR) 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*. They will be supported by a 'reference group' to provide our representatives with case studies, examples and reviews of documents. The reference group will comprise: Xiaomi An (SAC), Paul Mullan (SABS), Anki Steen (SIS), Michel Cottin (AFNOR) and Song-Ahm Cho (KATS).

Resolution 20/2016-05

ISO/TC 46/SC 11 resolves that WG8 revise the explanatory paper "*Guidance for implementing documented information clause using processes and controls of ISO 30301:2011 Management system for records*", with the aim of making it more appealing to a non-records audience.

This will be done by:

- a) The editorial group led by Song-Ahm Cho (KATS), to include Judith Ellis (SA), Anki Steen (SIS), and Michel Cottin (AFNOR) who will send a draft to WG8 by 30 November 2016;
- b) WG8 providing feedback on the text by 31 December 2016;
- c) The final draft to be sent to SC11 for any comment by 14 January 2017;
- d) Publishing on the SC11 website and sending to other MSS committees through its Secretariat and via liaison representatives.

Resolution 21/2016-05

ISO/TC 46/SC 11 resolves that WG8 commence preparatory work on revising *ISO 30300 Management systems for records – Fundamentals and Vocabulary* in conjunction with the development of a single vocabulary for ISO TC 46/SC 11 products. This will be done as follow:

- a) Judith Ellis (Leader - SA), Xiaomi An (SAC) and Trish O'Kane (SNZ) to review Clause 2 '*Fundamentals of a MSR*', to identify if the text could be incorporated into ISO 30301 *Introduction*, in some of the sections/pages of ISO/TC46/SC11 website, or requires an independent standard. Recommendations are to be distributed to WG8 by 27 March 2017 for consideration at the May 2017 meeting.
- b) Revision on Vocabulary (terms, definitions and concept diagrams) to be developed by Ad Hoc Group 3 (see resolution 7/2016-05).

Resolution 22/2016-05

ISO/TC 46/SC 11 resolves to maintain the white paper "*Relationships between ISO 30300 series of standards and other products of ISO TC46/SC11 - Part 1: Processes and controls, and Part 2: Vocabulary*, including a note about the work in progress due to the publication of new standards. This will be done by Convenor and Project Leader of WG8 before end of May 2016 and the HOD of Spain and China for the translated versions.

Resolution 23/2016-05

ISO/TC 46/SC 11 resolves that WG8 commence preparatory work on revising *ISO 30301 Management systems for records – Requirements* prior to the ballot for systematic review in October 2016. This Standard will be revised to align with Annex SL of *ISO/IEC Directives Part 1 and Consolidated ISO Supplement*, and will also be aligned with *ISO 15489 Records Management – Part 1: Concepts and principles*.

This will be done by two drafting teams:

- a) Song-Ahm Cho (Leader - KATS), Kathryn Lagrandeur (SCC) and David Pryde (SNZ), revising Annex A to align it with ISO 15489-1:2016.
- b) Carlota Bustelo (Leader – AENOR), Michel Cottin (AFNOR) and Anki Steen (SIS), revising the main text to align with Annex SL.

Reviewed drafts by each team are to be distributed to WG8 by 27 March 2017 as a basis for the final drafting at the May 2017 meeting.

WG10 Implementation guidelines for disposition of records

Resolution 24/2016-05

ISO/TC 46/SC 11 resolves to update the scope of WG10 to reflect the guidance in the publication of ISO 15489-1:2016 and its alignment with the definition of disposition authority records control. This will be drafted by Stephen Clarke (SNZ) and circulated to WG10 by the end of July 2016; for comments back from WG10 by end of August 2016; to be circulated as a working draft to WG10 by the end of 2016.

Resolution 25/2016-05

ISO/TC 46/SC 11 resolves that WG10 will reconvene at the next SC 11 meeting in South Africa to review the working draft and consider options for the development of a New Work Item Proposal

WG13 Revision of ISO 15489-1 and ISO/TR 15489-2

Resolution 26/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to withdraw the ISO/TR 15489-2:2001 *Information and documentation - Records management - Part 2: Guidelines*

Resolution 27/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to disband WG13 *Revision of ISO 15489-1 and ISO/TR 15489-2* and thanks Hans Hofman (Convenor), Cassie Findlay (Project Leader) and WG 13 members for their dedications and contributions on the development of the 2nd edition for ISO 15489-1:2016 *Information and documentation - Records management - Part 1: Concepts and principles*

WG14 - Records requirements in enterprise architecture

Resolution 28/2016-05

ISO/TC 46/SC 11 resolves to appoint José Borbinha (IPQ), as Project Leader and requests its Secretariat to register the Project ISO/DTR Records Management in Enterprise Architecture – with ISO/CS, with the following schedule to develop a Technical Report:

- | | |
|----------------------------|---|
| 1. End December 2016 | Draft to WG 14 for comment |
| 2. End January – 8 March | Prepare for DTR Ballot |
| 3. 8 March – 8 May | 1st DTR Ballot |
| 4. May 2017 | WG 14 meeting in South Africa, discuss DTR comments |
| | If a 2nd DTR Ballot is necessary, |
| 5. June – July 2018 | Resolve 1st DTR comments |
| 6. August – September 2018 | 2nd DTR Ballot |
| 7. October 2018 | Resolve comments |

Resolution 29/2016-05

ISO/TC 46/SC 11 resolves that WG14 will meet in South Africa, 2017 to discuss the 1st DTR ballot result and received comments.

SC 11 Coordination group**Resolution 30/2016-05**

ISO/TC 46/SC 11 resolves to request its Secretariat to establish a new Working Group 15

Appraisal for Managing Records

Scope: To develop a Technical Specification on Appraisal for Managing Records

Convener: Cassie Findlay (SA), Project Leader: Wout Van Der Reijden (NEN)

Participating members: Elisabeth Klett (SIS), Erna-Marie Pretorius (SABS), Dewald Opperman (SABS), John Martinez (ANSI), Du Mei (SAC), Sharon Smith (SCC), Ivo Pet (BDS) and Xiaomi An (SAC)

Resolution 31/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to send out a New Work Item proposal for 3 month ballot to SC11 by end of May 2016.

Resolution 32/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to register a project for ISO/DTS *Information and documentation – Appraisal for managing records* with ISO/CS, the project schedule as follows:

- | | | |
|----|------------|---|
| 1. | 10-07-2016 | Draft to Working Group 15 for 30 days comment |
| 2. | 30-08-2016 | Prepare for DTS Ballot |
| 3. | 30-09-2016 | 1st DTS Ballot |
| 4. | 31-01-2017 | Ready for Publication |

Resolution 33/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to establish a new Working Group 16 *Systems design for records*

Scope: To develop a Technical Specification on *Systems design for records* and incorporate ISO 16175 Part 1 as appropriate

Convener: Gemma Lee (KATS), Project Leader: Barbara Reed (SA)

Participating members: Gemma Lee (KATS), Barbara Reed (SA), Adrian Cunningham (SA), Stephen Clarke (SNZ), Jean-Daniel Zeller (Switzerland), Mathias Weber (DIN), Micah O. Rachuonyo (KEBS), Paul Mullon (SABS), Raivo Ruusalepp (EVS), Steffen Schwalm (DIN) Trish O’Kane (SNZ), Charlotte Maday (AFNOR) and Xiaomi An (SAC).

Resolution 34/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to send out a New Work Item Proposal for a 3 month ballot by end of May 2016.

Resolution 35/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to register a project for ISO/DTS *Information and documentation – System design for records* with ISO/CS, the project schedule as follows:

- | | | |
|----|------------|------------------------------------|
| 1. | 10-07-2016 | Draft to WG 16 for 30 days comment |
| 2. | 30-08-2016 | Prepare for DTS Ballot |
| 3. | 30-09-2016 | 1st DTS Ballot |
| 4. | 31-01-2017 | Publication |

Resolution 36/2016-05

ISO/TC 46/SC 11 resolves to accept the recommendations of the ISO/TC 46/SC11 Special group on ISO 16175 series (Part 1, -2, -3) and revise the standards as follows:

- Revise and integrate Part 1 as appropriate into the proposed Technical Specification on Systems Design for Records
- Revise Part 2 and Part 3 to be a single set of high level functional requirements, and issue as the new ISO 16175 International Standard.

ISO/TC 46/SC 11 resolves that a first draft of the revision of ISO 16175 Parts 2 and 3 is circulated to WG16 for comments by October 1 2016. This work is to be led by Stephen Clarke (SNZ) and will be allocated to WG16.

Resolution 37/2016-05

ISO/TC 46/SC 11 resolves to establish a team to create a communication plan for SC 11, the team will be led by Carlota Bustelo (AENOR) and Sharon Smith (SCC). The draft communication plan will be distributed to SC 11 for review by 15th of July 2016, and in accordance with the plan, actions will be implemented from 1st of August 2016.

The communication plan will be continuously updated by the Coordination group during each annual ISO/TC 46/SC 11 meeting.

Resolution 38/2016-05

ISO/TC 46/SC 11 resolves to request ISO/CS to open Twitter and Weibo accounts for ISO/TC 46/SC 11 to promote the subcommittee publications and activities. The Content creator will be Anahi Casadesus (AENOR).

Resolution 39/2016-05

ISO/TC 46/SC 11 resolves to request its Secretariat to request SC 11 Members to provide their National Activity reports before the annual SC 11 meetings.

Appreciations

Resolution 40/2016-05

ISO/TC 46/SC 11 thanks the secretariat of ISO/TC 46 for organizing the 43rd annual meeting, Archives New Zealand and the National Library of New Zealand (Department of Internal Affairs) and Standards New Zealand (Ministry of Business, Innovation and Employment) for co-hosting the May 2016 ISO/TC 46 and SCs plenary meeting.

ISO/TC 46 and its Subcommittees thanked them for their warm hospitality and organisational support.

In particular:

- Hon. Peter Dunne, Ministry of Internal Affairs,
- Mr. Peter Murray, Deputy Chief Executive, Information and Knowledge Services, Department of Internal Affairs (DIA)
- Ms. Marilyn Little, Chief Archivist, Archives New Zealand,
- Mr. Chris Szekely, Acting Chief Librarian, National Library of New Zealand
- Mr. Grant Lyons, Chief Information Officer, Ministry of Business, Innovation and Employment
- Mr. James Fowler, Team Asparona
- Ms. Rebecca Schasching, President of GOVIS
- International Review Group (IRG) and the ISO/TC 46 NZ 2016 Organising Committee
- Students from the School of Information Management, Victoria University of Wellington
- DIA (Department of Internal Affairs) and MBIE (Ministry of Business, Innovation and Employment) staff
- Leonore Kaveney-Decout, Trish O'Kane and Mike Chapman and Helen Vaughan-Dawkes.