

Australian/New Zealand Standard™

**Information and documentation—
Principles and functional requirements
for records in electronic office
environments**

**Part 1: Overview and statement of
principles**



AS/NZS ISO 16175.1:2012

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 19 June 2012 and on behalf of the Council of Standards New Zealand on 18 June 2012.
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Part 1: Overview and statement of principles

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems.

The objective of this Standard is to establish fundamental principles and functional requirements for software used to create and manage digital records in office environments. It is intended to be used in conjunction with ISO 16175-2 and ISO 16175-3.

This Standard is identical with, and has been reproduced from ISO 16175-1:2010, *Information and documentation—Principles and functional requirements for records in electronic office environments, Part 1: Overview and statement of principles*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) Its number appears on the cover and title page while the International Standard number appears only on the cover.
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ISO		AS ISO	
15489	Information and documentation— Records management	15489	Records management
15489-1	Part 1: General	15489.1	Part 1: General
15489-2	Part 2: Guidelines	15489.2	Part 2: Guidelines
23081	Information and documentation— Record management processes— Metadata for records	23081	Information and documentation—Record management processes—Metadata for records
23081-1	Part 1: Principles	23081.1	Part 1: Principles
		AS/NZS ISO	
23081	Information and documentation— Managing metadata for records	23081.2	Part 2: Conceptual and implementation issues
23081-2	Part 2: Conceptual and implementation issues		

Only international references that have been adopted as Australian or Australian/New Zealand Standards have been listed.

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AUSTRALIAN/NEW ZEALAND STANDARD

Information and documentation—Principles and functional requirements for records in electronic office environments

Part 1:

Overview and statement of principles

1 INTRODUCTION

A variety of functional specifications for records management software has been developed in the international community. In 2006, the International Council on Archives agreed to develop a harmonised, generic suite of functional requirements for software products for making and keeping records based on existing jurisdiction-specific specifications, and to do so in a manner consistent with the International Standard on Records Management, ISO 15489. It is hoped that this suite of guidelines and functional requirements will assist jurisdictions that are developing, or looking to adopt, their own functional specifications, as well as inform the update and revision of previously existing standards. The application of this set of functional requirements is meant to not only inform the development of electronic records management software, but also to aid in the incorporation of records functionality into generic business information systems software products, as well as specific line-of-business systems. These specifications can also be used by the private sector (for example, multinational corporations) as a stand-alone tool.

Principles and Functional Requirements for Records in Digital Office Environments was sponsored by the International Council on Archives as a project in its Electronic Records and Automation Priority Area, lead by George Mackenzie, Director of the National Archives of Scotland. Adrian Cunningham (National Archives of Australia) was Project Coordinator. Archives New Zealand (Stephen Clarke) acted as the Secretariat for the project. Other participating countries included Cayman Islands (Sonya Sherman), United Kingdom – England and Wales (Richard Blake), Germany (Andrea Hänger and Frank Bischoff), Malaysia (Mahfuzah Yusuf and Azimah Mohd Ali), Netherlands (Hans Hofman), Scotland (Rob Mildren and Steve Bordwell), South Africa (Louisa Venter), Sweden (Göran Kristiansson), France (Olivier de Solan) and the United States (Mark Giguere). The project was also supported by the Australasian Digital Recordkeeping Initiative, a collaborative venture sponsored by the Council of Australasian Archives and Records Authorities. ADRI member Queensland State Archives (Rowena Loo and Anna Morris) contributed to the drafting of Module 3.

1.1 Scope and purpose

The aim of the Principles and Functional Requirements for Records in Digital Office Environments project is to produce globally harmonised principles and functional requirements for software used to create and manage digital records in office environments. There currently exist a number of jurisdiction-specific functional requirements and software specifications. The project's objective is to synthesise this existing work into requirements and guidelines to meet the needs of the international archives, records and information management community and to enable that community to liaise, in a consolidated manner, with the global software industry.

The objectives of the project are to:

- enable better management of records in organisations;