

AS 5090 Work Process Analysis and - A brief history of the RM-AS Standardization process

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Agenda

- **Why is Australia leading the RM push**
- **Records Management Standards – A “world first” for Australia**
- **RM - It's applicability to business**
- **AS5090**
- **What is the current state of Australian RM Standards & what is in the pipeline**

Why is Australia leading the RM push

- **Early adopters of Quality Systems**
- **Early “cultural” marriage between the functions of Archives and Records Management (Recordkeeping)**
- **Life-cycle Vs. Continuum debate**
- **Compliance difficult to achieve without incentives**
- **Documentation - major cause of business failure**
- **Completeness and Accuracy of business records**
- **Evidence of business practice (recordkeeping)**
- **Needed to conduct business (eg GST, etc.)**
- **Corporate Governance**

Records Management – A “World First” for Australia

- **1990 - BHP-IT seeks accreditation to AS3902 & AS3563**
 - Queried Standards Australia how to implement “quality records”
 - 1991 - Project proposal for a “business RM Standard” lodged with Standards Australia
- **1992 - Standards Australia commits to project - IT21 formed**
- **1993 - 3 Subcommittees formed**
- **1995 - draft RM Standard released to public**
- **1996, 5 February - AS4390 released**
- **1996 May - Passed to ISO Technical Board**
- **1996 – First meeting of ISO TC46 SC11 (Archives/Records Management) – SAI Secretariat**

Records Management – A “World First” for Australia

- **2001 – ISO 15489 launched Montreal**
- **2002 – AS ISO 15489 launched in Australia**
- **2002 – AS 5044 (AGLS metadata element set) - launched in Australia**
- **2003 Today – AS 5090 (Work Process Analysis)**
- **2003 – Australian Compliance Standard for AS ISO 15489 Draft**

Recent examples of Recordkeeping in Business (or the good, the bad & the ugly of business)

- **British American Tobacco vs. Rolah McCabe**
- **John Elliott (Waterwheel)**
- **ICAC Royal Commission (in fact all Royal Commissions)**
- **Children overboard affair**
- **BHP OK Tedi**
- **IRAQ (where are the records to prove WMD have been destroyed by IRAQ???)**
- **HIH**
- **Enron**
- **OneTEL**

- **ALL discovery and litigious processes**

- **Organizations have begun to realise that the true ERP system is Information Management NOT Financials, CRM or HR**
- **Work process analysis is the foundation activity for recordkeeping**
- **Clearly labels the CEO as the owner of work processes**
- **At last, a common language when describing work processes**
- **Thank you to Anne Picot & friends**

AS5090 - Work Process Analysis

- **Not Workflow as defined by the WMC. This Standard eliminates the confusion between recordkeeping work processes from the profusion of products called “workflow”.**
- **For the purposes of this Standard, work process refers to the sequence of steps or actions to produce a business outcome that complies with governing rules. All organizations, no matter what their size or nature of business, employ such work processes.**
- **Work Process Analysis enables a precise mapping of work processes in relation to the organization's functions, its systems and rules.**
- **It may be extended to describe the derivation of the organizational procedures and rules from the socio-legal context in which the organization is located.**

- **Work Process Analysis for recordkeeping is specific – it describes and analyses what happens in a specific activity in a specific business context.**
- **Presents a methodology**
- **Identifies outcomes**
- **Provides checklists**
- **Describes process mapping and analysis based on decomposition..... Helps identify the critical points of business when records should be made and retained**
- **And then there was EMAIL.....**

Mission & Scope of IT/21

Mission

The mission of TC46 SC11 is to provide direction and best practice guidance for the design and application of Recordkeeping practices, processes and functions.

Scope

Standardization of practices relative to the management of documents, records and archives as evidence of transactions in organizations to ensure authoritative and reliable information and evidence of business activity. This includes establishing a managerial framework to ensure the efficient and systematic control of the processes of creation, capture, registration, classification, access, preservation and disposition of records in all formats. It also includes the specification of frameworks within which technical solutions should exist

IT/21 (Standards Australia) – State of Affairs

- **36 Participating Organizations**
- **Many liaisons**
 - Private Sector
 - Public Sector
 - Other standards bodies and committees
 - Other like industries
- **Meets five - six times per year**
- **7 Sub - Committees**
- **120+ participants including sub-committees**

- **IT21 SC4 – Work Process Analysis**
 - AS 5090
 - Work Process Analysis enables a precise mapping of work processes in relation to the organization's functions, its systems and rules. It may be extended to describe the derivation of the organizational procedures and rules from the socio-legal context in which the organization is located.
 - Work Process Analysis for recordkeeping is specific – it describes and analyses what happens in a specific activity in a specific business context.

- **IT21 SC5 – Compliance**
 - Development of a Compliance Standard to support implementation of AS ISO 15489 - DRAFT will be available soon
 - Auditor-General has already used AS ISO 15489 to audit recordkeeping activities and report has been presented to Federal Parliament

- **IT 21 SC6 – New Zealand**
 - Don't tell anyone!!!!

- **IT21 SC7 – Recordkeeping Metadata**
 - Provides watching brief and input to work in SC11 via head of Australian Delegation

- **IT21 SC8 – AGLS Metadata**
 - AS 5044
 - The Standard is intended for use by any organization or individual creating or managing information sources or services that are locatable via the Internet. In particular, it is intended for information about resources and services on the World Wide Web.

- **IT21 SC9 – Records Management Classification**
 - To produce a Technical Paper on the construction of records classification tools that support compliant recordkeeping systems developed in accordance with ISO 15489: Records Management. This Technical Paper is to provide a preliminary step towards the possible development of an Australian standard for records classification tools required to support recordkeeping systems.

Sub-Committees

- **IT21 SC10 – PDF(A)**
 - Provides watching brief and input to ISO TC171. This committee and TC46 SC11 have a joint project to standardize work for an archival version of the PDF format [PDF(A)].

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