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## **Information and documentation — Risk assessment for records processes and systems**

*Information et documentation — Evaluation du risque pour les  
processus et systèmes d'enregistrement*



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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](http://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](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

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## Introduction

All organizations identify and manage the risks to their functioning successfully. Identifying and managing the risks to records processes and systems is the responsibility of the organization's records professional.

This Technical Report is intended to help records professionals and people who have responsibility for records in their organization to assess the risks related to records processes and systems.

NOTE System means any business application which creates and stores records.

This is distinct from the task of identifying and assessing the organization's business risks to which creating and keeping adequate records is one strategic response. The decisions to create or not create records in response to general business risk are business decisions which should be informed by the analysis of the organization's records requirements undertaken by records professionals together with business managers. The premise of this Technical Report is that the organization has created records of its business activities to meet operational and other purposes and has established at least minimal mechanisms for the systematic management and control of the records.

The consequence of risk events to records processes and systems is the loss of, or damage to, records which are therefore no longer useable, reliable, authentic, complete, or unaltered, and therefore can fail to meet the organization's purposes.

The Technical Report provides guidance and examples based on the general risk management process established in ISO 31000 (see [Figure 1](#)) to apply to risks related to records processes and systems. It covers

- a) risk identification,
- b) risk analysis, and
- c) risk evaluation.

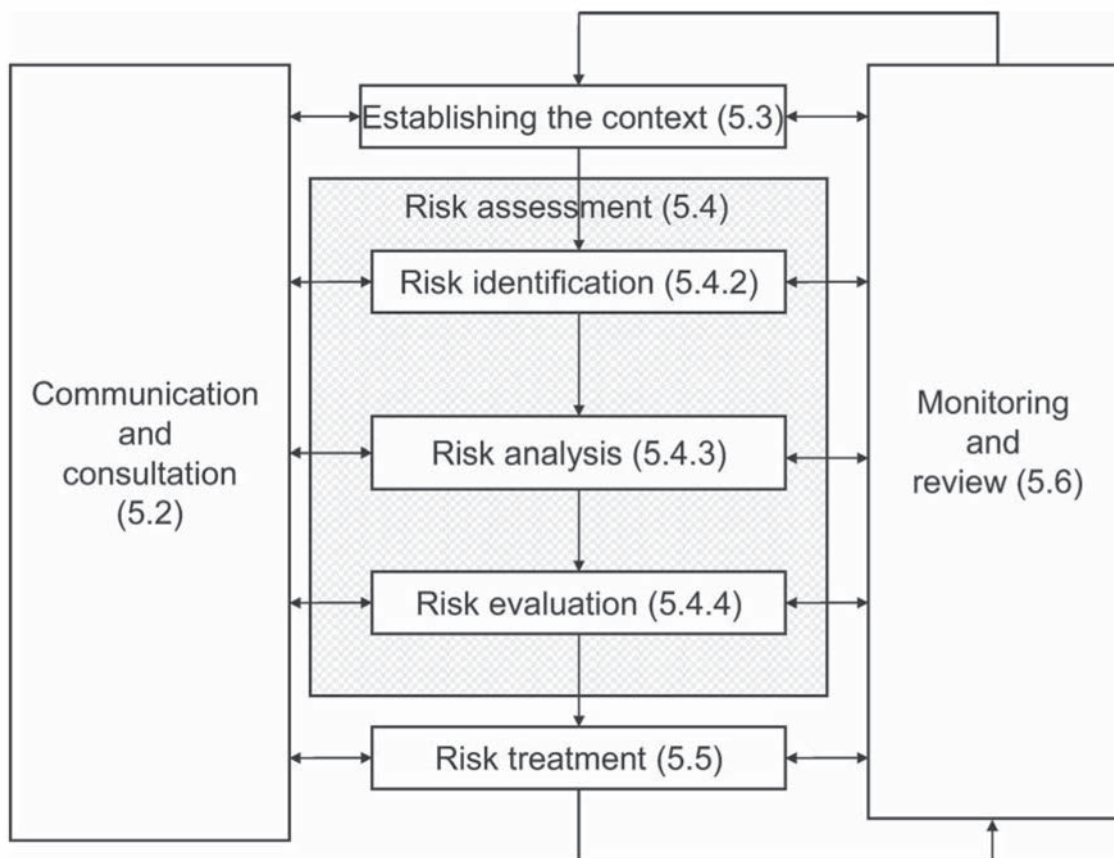
The results of the analysis of risk to records processes and systems should be incorporated into the organization's general risk management framework. As a result, the organization will have better control of its records and their quality for business purposes.

[Clause 5](#) provides a comprehensive list of areas of uncertainty related to records processes and systems as a guide for risk identification.

[Clause 6](#) provides guidance to determining the consequences and probabilities of identified risk events, taking into account the presence (or not) and the effectiveness of any existing controls.

[Clause 7](#) provides guidance to determining the significance of the level and type of risks identified.

The report does not deal with risk treatment. Once the assessment of risks related to records processes and systems has been completed, the assessed risks are documented and communicated to the organization's risk management section. Response to the assessed risks is undertaken as part of the organization's overall risk management program. The priority assigned by the records professional to the assessed risks is provided to inform the organization's decisions about managing those risks.



**Figure 1 — Risk Management process**

NOTE Figure 1 from ISO 31000:2009. Numbering refers to text of ISO 31000.