



**NATIONAL STANDARD OF THE  
PEOPLE'S REPUBLIC OF CHINA**

**GB/T 26162-2021**

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**Information and documentation - Records management -  
Concepts and principles**

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### foreword

This document is in accordance with the provisions of GB/T 1:1-2020 "Guidelines for Standardization Work Part 1: Structure and Drafting Rules of Standardization Documents" drafted:

This document replaces GB/T 26162:1-2010 "Information and Documentation Document Management - Part 1: General Rules", which is the same as GB/T 26162:1-

Compared with:2010, except for structural adjustment and editorial changes, the main technical changes are as follows:

- Changed the scope (see Chapter 1, Chapter 1 of the:2010 edition);
- Changed terms and definitions (see Chapter 3, Chapter 3 of the:2010 edition);
- Added "Document Management Principles" chapter (see Chapter 4);
- Deleted "The Utility of Document Management" (see Chapter 4 of the:2010 Edition), "Regulatory Environment" (see Chapter 5 of the:2010 Edition), "Supervision  
"Control and Audit" (see Chapter 10 of the:2010 Edition) and "Training" (see Chapter 11 of the:2010 Edition);
- Deleted the content of "Principles of document management planning" (see 7:1 of the:2010 edition);
- Deleted the content of "Design and Implementation of File System" (see 8:3 of the:2010 edition);
- Changed the requirements of "characteristics of valid documents" (see 5:2:2, 7:2 of the:2010 edition);
- Added "file metadata" content (see 5:2:3);
- Changed the requirements of "Characteristics of the file system" (see 5:3:2, 8:2 of

the:2010 edition);

--- Changed the "Overview" in "Policy and Responsibilities" (see 6:1, 6:1 of the:2010 edition), "Policy" (see 6:2, 6:2 of the:2010 edition) and

"Responsibilities" (see 6:3, 6:3 of the:2010 edition) requirements;

--- Added the content of "Supervision and Evaluation" (see 6:4);

--- Added "skills and training" content (see 6:5);

--- Added "Identification" chapter (see Chapter 7);

--- Added "Document Control" chapter (see Chapter 8);

--- Changed the content of "the process of forming, capturing and managing documents" (see Chapter 9, Chapter 9 of the:2010 edition):

This document uses the translation method equivalent to ISO 15489-1:2016 "Information and Documentation Documents (Archives) Management - Part 1: Concepts and in principle":

The following editorial changes have been made to this document:

--- Change the standard name to "Information and Documentation (Archives) Management Concepts and Principles":

Please note that some content of this document may be patented: The issuing agency of this document assumes no responsibility for identifying patents:

## Introduction

The core concepts and principles of document formation, capture and management given in this document are a number of concepts and principles for document formation, capture and management:

A core standard in a series of standards and technical reports on technology and practice: The "document" 1) referred to in this document is equivalent to the authority in the Chinese context

Documents and archives of units or organizations:

1) According to the actual work of archives in China, "records" is translated into "documents", which are equivalent to the documents and archives of organs or organizations in the Chinese context (excluding

Archives Collection Archives), the title uses "documents (archives)", which is convenient for retrieval and maintenance of "records" in the series of international standards for document (archives) management:

The original intention is to maintain the consistency of the use of national standards that have been adopted and to promote wider application:

About files and file management

Documents are both evidence of business activities and information assets: Documents are distinguished from other information assets by their evidence in business transactions

Role and dependency on metadata: File metadata is used to describe and preserve contextual information and to provide appropriate rules for file management:

File management includes the following:

- a) form and capture documentation to meet evidentiary requirements for business activities;
- b) Take appropriate actions to ensure the authenticity, reliability and integrity of documents as the business environment for documents and document management requirements continue to change

and availability:

Note 1 to entry: "Business activities" referred to in this document broadly refer to activities that support the purpose of an organization's existence: Functions, activities, transactions and work processes are business activities

The specific presentation form of the form is defined in Chapter 3:

More and more documents are produced and preserved in the digital environment, providing a series of opportunities for new use and reuse of documents: digital ring

The environment also allows for more flexible file control within and between systems that manage files:

Changes in business models have expanded document responsibilities beyond traditional organizational and jurisdictional boundaries: This requires documentation professionals

staff understand and meet the requirements of a variety of internal and external stakeholders, such as the public, consumers, service users, document subjects and other document formation, capture

access, manage the growing demands of stakeholders for transparency in corporate and government decision-making, etc:

Note 2: In this document, "formation, capture and management" is used to generally describe the overall work of document management, including the document receiving behavior and the description of this document:

file process:

Taking these environmental factors into consideration, this document has been developed

with the knowledge that:

- a) the role of the document as a facilitator of business activities and information assets;
- b) growing opportunities for document utilization and reuse in the digital environment;
- c) Documentation, capture and management systems and rules need to extend beyond traditional organizational boundaries, such as collaborative and multi-jurisdictional work environment;
- d) file control independent of other components of the file system;
- e) the importance of routine analysis of business activities and context to identify which documents should be formed, captured and how they should be retained over the long term;
- f) Risk management in document management strategy design, and the importance of document management as a risk management strategy:

Because the concepts and principles of this document are applied in a variety of business and technical contexts, which may take different measures to implement document control, processes and systems: This document does not provide detailed implementation recommendations for a specific environment for document formation, capture and management, but rather defines core concepts,

Develop high-level principles for developing document control rules, processes and systems in any environment: For files in different file management environments

Recommendations for the design and implementation of controls, processes and systems are set out in subsequent sections and in other International Standards and Technical Documents:

benefit

An approach to document formation, capture and management based on the concepts and principles defined in this document ensures that evidence of business effectiveness is developed,

Capture and manage, and remain accessible when exploited: This makes it possible to:

- a) increase transparency and accountability;
- b) valid policy information;
- c) informed decisions;
- d) business risk management;
- e) continuity under disaster events;