

Australian Standard™

Records Management

Part 2: Guidelines

[ISO title: Information and documentation—Records management—
Part 2: Guidelines]

This Australian Standard was prepared by Committee IT-021, Records Management. It was approved on behalf of the Council of Standards Australia on 21 February 2002 and published on 13 March 2002.

The following interests are represented on Committee IT-021:

- Australian Society of Archivists
- Department of Immigration Australia
- Health Information Management Association of Australia
- Institute of Internal Auditors Australia
- Institute of Information Management
- Monash University
- National Archives of Australia
- New South Wales Technical and Further Education Commission
- Public Record Office, Victoria
- Records Management Association of Australia

Additional interests participating in the preparation of this Standard:

- Archival consultants
- Document management consultants
- Image management consultants
- Knowledge management consultants
- Records Management consultants
- Roads and Traffic Authority of New South Wales

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Originated as part of AS 4390.1—1996, AS 4390.2—1996, AS 4390.3—1996, AS 4390.4—1996, AS 4390.5—1996, and AS 4390.6—1996.
AS 4390.1—1996, AS 4390.2—1996, AS 4390.3—1996, AS 4390.4—1996, AS 4390.5—1996, and AS 4390.6—1996 revised, amalgamated and redesignated as AS ISO 15489.2—2002.

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Published by Standards Australia International Ltd
GPO Box 5420, Sydney, NSW 2001, Australia

ISBN 0 7337 4347 1

PREFACE

This Australian Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021 on Records Management. After consultation with stakeholders in both countries, Standards Australia and Standards New Zealand decided to develop this Standard as an Australian, rather than an Australian/New Zealand Standard. It is identical with and has been reproduced from ISO TR 15489-2, *Information and documentation—Records management—Part 2: Guidelines*.

Committee IT-021 provides input to the ISO Committee, ISO/TC 46/SC 11 on Archives/Records Management, in the preparation of the ISO 15489 series.

This Standard is Part Two of a series dealing with records management. The series consists of the following Standards:

AS 15489	Records Management
AS 15489.1	Part 1: General
AS 15489.2	Part 2: Guidelines (this Standard)

The objective of this Part Two is to provide implementation guidelines for records management policies and procedures.

For AS ISO 15489 the following specific changes in terminology should be noted:

For the purpose of this Australian Standard, the ISO text should be modified as follows:

Terminology—The words ‘this Australian Standard’ should replace ‘this International Standard’.

Disposition and disposal—For all references to ‘disposition’ use ‘disposal’.

Disposition authority and disposal authority—For all references to ‘disposition authority’ use ‘disposal authority’.

Records requirements and recordkeeping requirements—For all references to ‘records requirements’ use ‘recordkeeping requirements’.

Records system and recordkeeping system—For all references to ‘records system’ use ‘recordkeeping system’.

As this Standard is reproduced from an international Standard, its number does not appear on each page of text and its identity is shown only on the cover and title page.

The informative annexes are provided for information and guidance.

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INTRODUCTION

This part of ISO 15489 provides guidelines that are supplementary to ISO 15489-1. Both ISO 15489-1 and this part of ISO 15489 apply to records in any format or media, created or received by any public or private organization during the course of its activities. Thus, in this part of ISO 15489, unless otherwise noted, systems may be interpreted as paper/manual or electronic, and a document may be either paper, microform or electronic.

ISO 15489-1 specifies the elements of records management and defines the necessary results or outcomes to be achieved. This part of ISO 15489 provides one methodology for implementation. However, it should be noted that national standards and legislation and regulation may dictate other factors and requirements for legal compliance.

In addition to using this part of ISO 15489, those seeking to implement the standard should consult requirements and guidance of national standards and legislation and regulation that apply in their jurisdictions. In addition, a variety of professional societies and associations have resources available to assist in the implementation of ISO 15489-1.

AUSTRALIAN STANDARD

Records management

Part 2: Guidelines

1 Scope

This part of ISO 15489 is an implementation guide to ISO 15489-1 for use by record management professionals and those charged with managing records in their organizations. It provides one methodology that will facilitate the implementation of ISO 15489-1 in all organizations that have a need to manage their records. It gives an overview of the processes and factors to consider in organizations wishing to comply with ISO 15489-1.

2 Policies and responsibilities

2.1 Introduction

ISO 15489-1:2001, clause 6 sets out, in general terms, the need for organizations seeking to comply with it to have a records management policy in place and to define and assign records-related responsibilities to individuals. This part of ISO 15489 provides additional guidance on records management policies and expands on the types of responsibilities to be defined and assigned.

2.2 Records management policy statements

Organizations should define and document policies for records management and should ensure that the policies are implemented and maintained at all levels in the organization.

A records management policy statement is a statement of intentions. It sets out what the organization intends to do and, sometimes, includes an outline of the programme and procedures that will achieve those intentions. However, a policy statement on its own will not guarantee good records management: critical to its success are endorsement and active and visible support by senior management and the allocation of the resources necessary for implementation. An effective policy statement will, therefore, identify a senior member of staff with lead responsibility for records management and for overseeing policy and programme implementation.

The policy statement should refer to other policies relating to information, for example, on information systems policy, information security or asset management, but should not seek to duplicate them. It should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other documents that together make up the records management regime.

Support and endorsement of the policy by all employees should be encouraged at all times. It is particularly important that the policy obliges all employees to create and maintain records that meet the legal, regulatory, fiscal, operational, and archival/historical needs of the organization. Monitoring of compliance with the policy is also important.

2.3 Responsibilities

2.3.1 Objectives of defining responsibilities and authorities

The overriding objective of defining responsibilities, authorities and inter-relationships is to establish and maintain a records management regime that meets the needs of internal and external stakeholders.



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