

Australian Standard[®]

Records management

Part 4: Control

This Australian Standard was prepared by Committee IT/21, Records Management. It was approved on behalf of the Council of Standards Australia on 21 December 1995 and published on 5 February 1996.

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Australian Archives
Australian Society of Archivists
Chartered Institute of Company Secretaries in Australia
Defence Science and Technology Organisation
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Health Information Management Association of Australia
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New South Wales Technical and Further Education Commission
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Archives Authority of New South Wales
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This Standard was issued in draft form for comment as DR 95196 and DR 95199.

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PREFACE

This Standard was prepared by the Standards Australia Committee on IT/21 on Records Management Systems.

This Standard is Part 4 of the following series:

AS

- 4390 Records management
- 4390.1 Part 1: General
- 4390.2 Part 2: Responsibilities
- 4390.3 Part 3: Strategies
- 4390.4 Part 4: Control
- 4390.5 Part 5: Appraisal and disposal
- 4390.6 Part 6: Storage

This Standard is a voluntary code of practice for records control systems.

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First published as AS 4390.4— 1996.

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STANDARDS AUSTRALIA

Australian Standard Records management

Part 4: Control

1 SCOPE Control systems and processes associated with records management include —

- (a) registration which provides evidence of the existence of records in a recordkeeping system;
- (b) classification which allows for appropriate grouping, naming, security protection, user permissions and retrieval;
- (c) indexing which allocates attributes or codes to particular records to assist in their retrieval; and
- (d) tracking which provides evidence of where a record is located, what action is outstanding on a record, who has seen a record, when such access took place and the recordkeeping transactions that have been undertaken on the record.

2 APPLICATION This is a voluntary Standard for application to all organizations. It may serve as a benchmark for use by system designers to ensure that appropriate controls are built into systems to adequately capture and identify records which incorporate information content and contextual information tailored to each organization's requirements. All the elements outlined in this Standard are required, to ensure that system's capture and maintain records. Decisions not to incorporate all the elements outlined in this Standard is a variable to be determined by each organization, depending on the nature of business transaction being documented and the degree of risk associated with non-compliance.

3 REFERENCED DOCUMENTS The following documents are referred to in this Standard:

AS

4390 Records Management

4390.1 Part 1: General

4390.5 Part 5: Appraisal and disposal

ISO

2788 Documentation— Guidelines for the establishment and development of monolingual thesauri

4 DEFINITIONS For the purpose of this Standard, the definitions given in AS 4390.1 apply.

5 RESPONSIBILITIES Responsibility for the management of records, including recordkeeping documentation processes, should be taken at all levels of an organization.

Within an organization, employees at the appropriate levels should be assigned responsibility for processes within recordkeeping systems including the following:

- (a) Ensuring that a system of registration of records which supports the organization's accountability requirements is incorporated into all recordkeeping system design.