

Australian Standard™

Records Management

Part 1: General

[ISO title: Information and documentation—Records management—
Part 1: General]

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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Records Management

Part 1: General

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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 15489-1, *Information and documentation—Records management—Part 1: General*.

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 One of a series dealing with records management.

The series consists of the following standards:

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

The objective of this Part One is to provide best practice 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’.

This Standard provides for the use of the following Australian/New Zealand Standards as equivalents to the ISO Standards referenced herein:

Reference to International Standard or other Equivalent Australian/New Zealand Standard publication

ISO		AS/NZS ISO
9001	Quality management systems —Requirements	Quality management systems — Requirements
14001	Environmental management systems —Specification with guidance for use	Environmental management systems —Specification with guidance for use

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.

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INTRODUCTION

The standardization of records management policies and procedures ensures that appropriate attention and protection is given to all records, and that the evidence and information they contain can be retrieved more efficiently and effectively, using standard practices and procedures.

This part of ISO 15489 was developed in response to consensus among participating ISO member countries to standardize international best practice in records management using the Australian Standards AS 4390, *Records management* as its starting point.

This International Standard is accompanied by a Technical Report (ISO/TR 15489-2) that is recommended for use with it. ISO/TR 15489-2 provides further explanation and implementation options for achieving the outcomes of this International Standard. It also includes a bibliography.

AUSTRALIAN STANDARD

Records management

Part 1: General

1 Scope

This part of ISO 15489 provides guidance on managing records¹⁾ of originating organizations, public or private, for internal and external clients.

All the elements outlined in this part of ISO 15489 are recommended to ensure that adequate records are created, captured and managed. Procedures that help to ensure the management of records according to the principles and elements outlined in this part of ISO 15489 are provided in ISO/TR 15489-2 (Guidelines).

This part of ISO 15489

- applies to the management of records, in all formats or media, created or received by any public or private organization in the conduct of its activities, or any individual with a duty to create and maintain records,
- provides guidance on determining the responsibilities of organizations for records and records policies, procedures, systems and processes,
- provides guidance on records management in support of a quality process framework to comply with ISO 9001 and ISO 14001,
- provides guidance on the design and implementation of a records system, but
- does not include the management of archival records within archival institutions.

This part of ISO 15489 is intended for use by

- managers of organizations,
- records, information and technology management professionals,
- all other personnel in organizations, and
- other individuals with a duty to create and maintain records.

2 Normative references

The following normative documents contain provisions which, through reference in this text, constitute provisions of this part of ISO 15489. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this part of ISO 15489 are encouraged to investigate the