



# HB 278—2009 Recordkeeping Compliance

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Standards Australia wishes to acknowledge the participation of the expert individuals that contributed to the development of this Handbook through their representation on the Committee.

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# Handbook

## Recordkeeping Compliance

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## PREFACE

This Handbook was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records Management, as a guide for organizations wishing to comply with AS ISO 15489.1—2002, *Records management*, Part 1: *General*, which specifies a framework for recordkeeping practices.

While AS ISO 15489.1—2002 is an identical adoption of ISO 15489:2001, *Information and documentation—Records management*, Part 1: *General*, this Handbook is specifically for use in the Australian context.

Standards Australia invites comment on this Handbook from persons and organizations concerned with this subject. The date of expiry is two years after publication, at which time this Handbook will be revised in the light of public comment.

Individuals and/or organizations wishing to comment on the Handbook can do so by sending comments to Standards Australia at [mail@standards.org.au](mailto:mail@standards.org.au).

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As a Handbook it has, however, been subject to a level of peer review.

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**Handbook**  
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## 1 INTRODUCTION

AS ISO 15489, Parts 1 and 2 (2002) provide the basis for the policy, responsibility and operational aspects of a sound recordkeeping framework. Organizations need to determine how to implement a framework best suited to their needs, depending on their size and complexity, strategic directions, risk profile and accountabilities.

This Handbook enables organizations to determine at what level they should apply AS ISO 15489, how to attain that level and how to build on their recordkeeping capabilities for continuous improvement.

The objectives of this Handbook are—

- (a) to provide a tool to enable organizations to demonstrate compliance with AS ISO 15489.1—2002, *Records management, Part 1: General*.
- (b) to provide a benchmark for measuring the quality of a recordkeeping program and its application in any organization; and
- (c) to assist organizations in building or improving a recordkeeping framework.

## 2 PURPOSE

Recordkeeping is integral to the effective functioning of an organization.

All organizations, regardless of their size or the nature of their business create records from their work processes and keep them as evidence of these processes—

- (a) as accumulated information about the business that supports management, analysis and planning;
- (b) as audit trails for accounting and evidentiary purposes;
- (c) for use in disputes, litigation and legal protection; and
- (d) to enable the organization to meet its regulatory obligations.

Organizations need to consider—

- (i) records as assets;
- (ii) the adequacy of the records for the purpose for which they are made and kept; and
- (iii) the management of their records for as long as they are needed.

This Handbook provides guidance on the appropriate implementation of a recordkeeping framework throughout an organization, through assessment and continuous improvement.

Firstly, a set of high-level criteria is provided for assessing the adequacy of a recordkeeping framework. Secondly, a detailed guide is provided to assessing a recordkeeping framework in accordance with AS ISO 15489.1—2002, *Records management, Part 1: General*.

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