

ISO15489 Records Management Compliance Assessment Report

Prepared for

Your Organisation's Name

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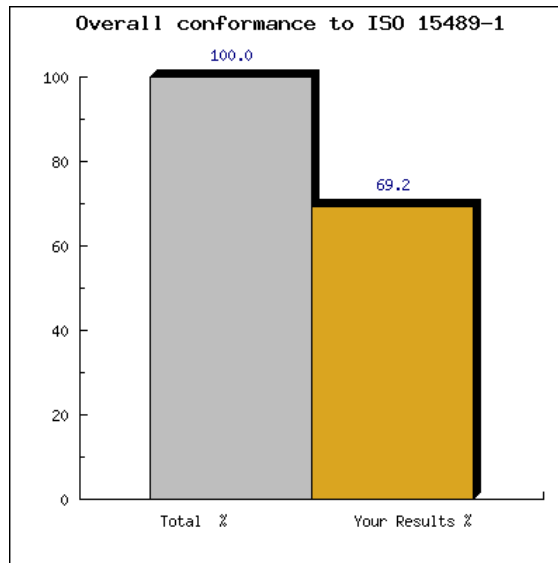
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OVERALL LEVEL OF CONFORMANCE

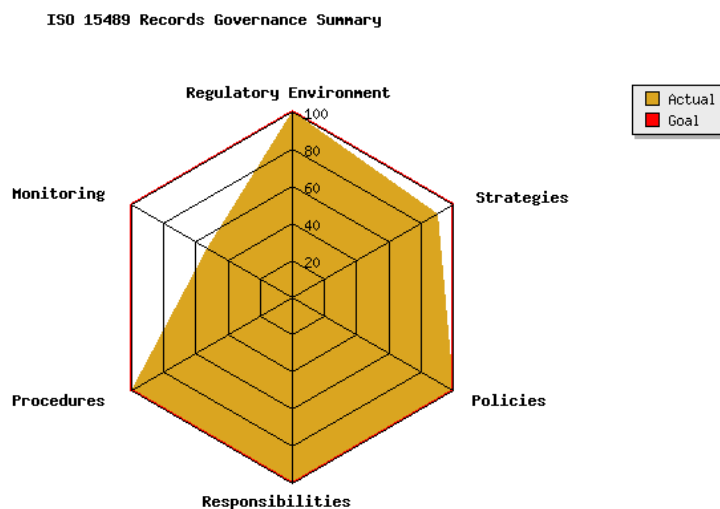
Your organisational unit's level of conformance with all clauses of *ISO 15489 - 1 Records Management* is shown below.



GOVERNANCE SUMMARY

Your organisational unit has achieved the following level of conformance to the clauses in *ISO 15489 - 1 Records Management* relating to the governance of a records management programme. This graph covers the Standard's criteria relating to:

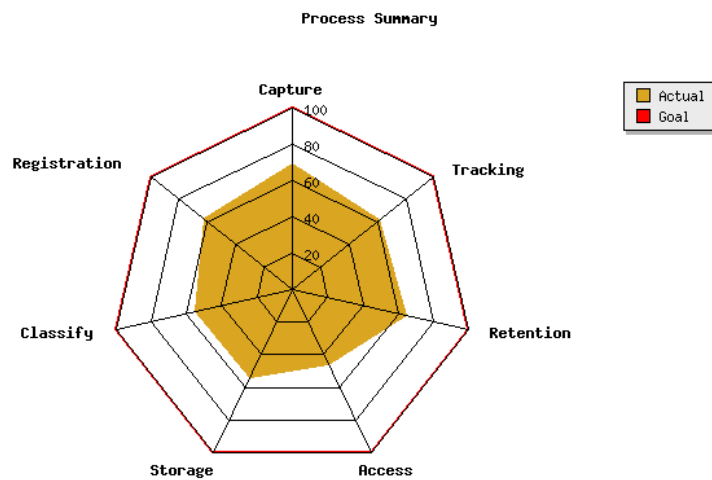
- the regulatory environment
- strategies
- policies
- responsibilities
- procedures
- monitoring and auditing.



RECORDS MANAGEMENT PROCESS SUMMARY

Your organisational unit has achieved the following level of conformance to the clauses in *ISO 15489 - 1 Records Management* relating to the day-to-day management of records. It covers:

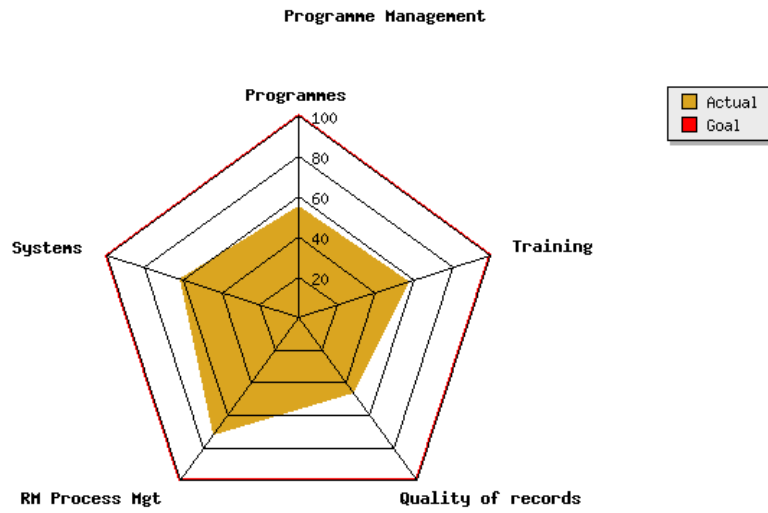
- creating records and capturing them into records systems
- registering and classifying records into records systems
- storing and handling records
- applying appropriate access and security controls to records, systems, facilities and people
- managing the retention and disposal of records
- tracking records.



PROGRAM MANAGEMENT SUMMARY

Your organisational unit has achieved the following level of conformance to the clauses in *ISO 15489 - 1 Records Management* relating to:

- records management programs
- training staff and others in making, keeping and using records
- quality of records
- documenting records management processes, controls and systems
- records systems.



DETAILED RESULTS

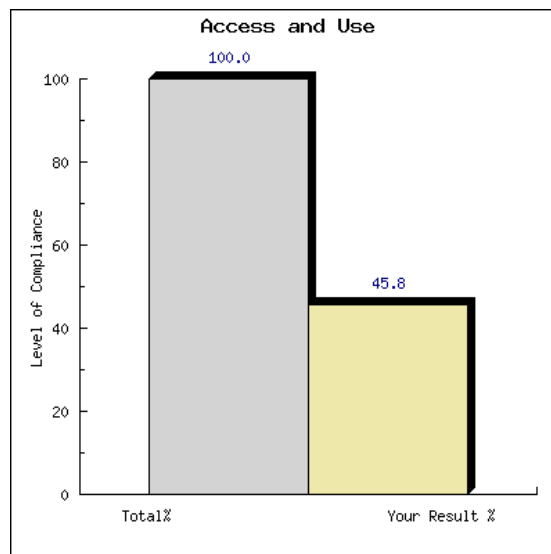
The results for your organisational unit are provided in the remainder of this report. These results are grouped by each section of the check-up and displayed in the following order:

- Access
- Capture
- Classification
- Monitoring & auditing
- Policies
- Procedures
- Process management
- Programmes
- Quality of records
- Registration
- Regulatory environment
- Responsibilities
- Retention & disposal
- Storage & handling
- Strategies
- Systems
- Tracking
- Training

ACCESS

As shown in the graph below, the organisational unit has achieved a low level of conformance to the criteria relating to the security, access and use of records as outlined in the following clauses and sub-clauses of *ISO 15489-1 Records Management*.

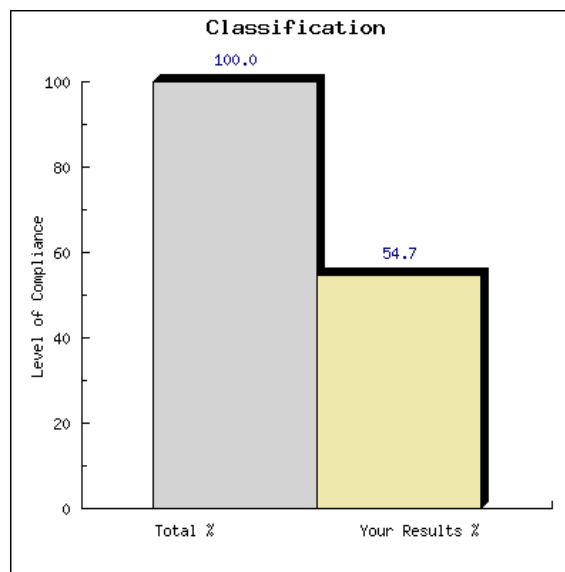
- **Clause 5:** Regulatory environment
- **Clause 9.7:** Access



CLASSIFICATION

As shown in the graph below, the organisational unit has conformed to over 50% of the criteria for the classification of records into records systems as outlined in the following clauses and sub-clauses of *ISO 15489-1 Records Management*.

- **Clause 9.3:** Records capture
- **Clause 9.5:** Classification
- **Clause 9.5.1:** Classification of business activities
- **Clause 9.5.2:** Classification systems
- **Clause 9.5.3:** Vocabulary controls



To achieve conformance, the organisational unit needs to significantly improve its efforts.

The classification of records involves applying standardised categories to enable the context, content and structure of records to be understood by people and systems not involved in the initial creation of records. It also means records management processes may be systematically applied and enables records relating to the same business activity, irrespective of the format, location or custodian of those records, to be identified and retrieved.

When the classification of records is managed well:

- people can rely on and trust the records kept by the organisational unit
- records management and business processes may be systematically applied to records
- people may find the right records when they need them.

Vocabulary controls such as a thesaurus, support classification schemes and indexes by providing a more detailed explanation of the organisation-specific meaning and application of terms identified in a classification scheme or index. They provide a basis for standard interpretation and use of terms to promote consistency and reliability of records and records systems.

RECOMMENDATIONS

It is recommended that the organisational unit

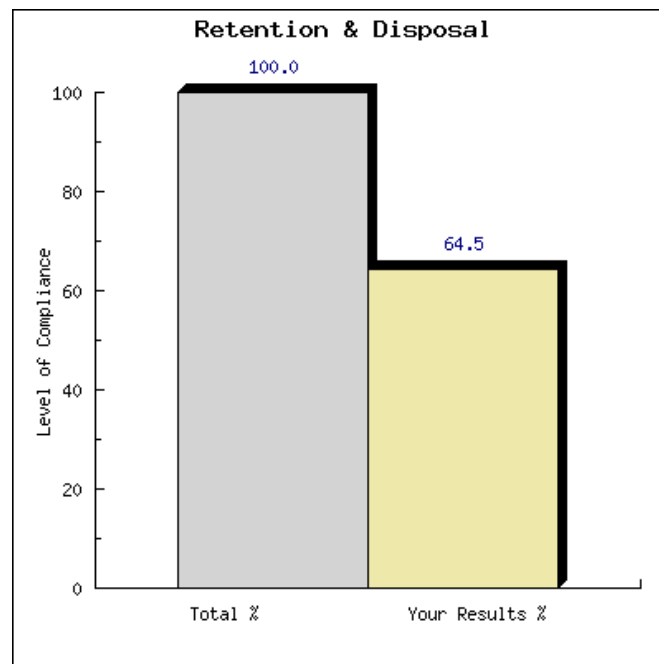
1. Develop and apply a universal records classification scheme and, where possible, a thesaurus for managing records. To directly relate records to the business activities they are a part of, the classification scheme should be based on an analysis of business activities. This will help determine what records should be created, when, in what form and structure and how they should be captured and managed as records. As described in *AS 5090 Work Process Analysis*, functional or sequential analysis may be used for this purpose. To complete this in an efficient manner and to support accountability it is recommended that taxonomy management software be used to develop and maintain the classification scheme. This will enable its publication in a variety of forms and integration or import/export to most electronic document and records management systems, shared network drives and other formats such as pdf, csv and xml files. Common applications used for this purpose are aka (http://www.a-k-a.com.au/aka_classification/) and one-2-one (<https://termtree.com.au/>).
2. Use the records classification scheme as a file plan structure for filing. If it is decided to use an alternative scheme or structure for the file plan (e.g. based on organisational unit, subject, location, project, program or cases), then ensure the alternative scheme may be aligned or mapped to the retention and disposal authority and security and access classification scheme. This will enable records management processes to be systematically applied with minimal impact on non-records management personnel.
3. Develop naming, titling and data entry standards for metadata and incorporate these standards into records systems and metadata standards.
4. Develop and apply indexing processes and terms to records and metadata to maximise retrieval.
5. Inform and educate personnel to ensure that they understand the purpose and use of the above tools. Ensure education and awareness is 'fit-for-purpose', especially where non-records management and senior personnel are involved.
6. Continually monitor and update the above tools to ensure relevance, usability and alignment with the regulatory environment and the organisational unit's preferred ways of working.

Resources to assist with classifying records are available from the **RIM Doctor Toolbox**.

RETENTION & DISPOSAL

As shown in the graph below, the organisational unit has conformed to over 50% of the criteria relating to the management of the retention and disposal of records as outlined in the following clauses and sub-clauses of *ISO 15489-1 Records Management*.

- **Clause 5:** Regulatory environment
- **Clause 9.1:** Determining documents to be captured into a records system
- **Clause 9.2:** Determining how long to keep records
- **Clause 9.9:** Implementing disposition



To achieve conformance, the organisational unit needs to significantly improve its efforts in relation to the retention and disposal of records.

When the retention and disposal of records is managed well:

- the right records of business actions and decisions are made
- records are kept for at least as long as they need to be for compliance and other purposes
- records are appropriately destroyed, transferred or preserved
- records are appropriately migrated to new systems.

The destruction or transfer of records to other parties impacts on the corporate memory and documentary evidence used to support legal, regulatory and accountability requirements. Decisions to keep, transfer or destroy records are significant and need to be made in accordance with the needs of the regulatory environment and sound risk management practices. Personnel need to be aware of the legal and operational impacts of making disposal decisions. Only personnel with a good understanding of the business and internal and external records management requirements should make disposal decisions. To meet compliance and accountability requirements disposal decisions need to be informed, within the law, systematic and approved.

An approved retention and disposal schedule or authority is used within many organisations to help ensure consistent, compliant and systematic disposal decisions are made.

Disposal actions need to be documented and approved prior to implementation. This is usually achieved using various registers such as a destruction register, transfer register and archives accession register. These registers are usually included in the disposal and archival modules of electronic document and records management systems and archival control systems. However, they need to be supported by clear policy directives, delegations, procedures and other controls.

RECOMMENDATIONS

To establish and maintain appropriate disposal practices, it is recommended that the organisational unit:

1. Develop a retention and disposal authority using the approach described in steps A to D of the Designing and Implementing Records Systems as described in ISO 15489-2 Records Management Guidelines and the 'DIRKS Manual' published by the National Archives of Australia, <http://www.naa.gov.au/records-management/publications/DIRKS-manual.aspx>. This method is scalable and does not need to be undertaken in a linear step-by-step fashion. Use what is relevant and useful to your organisational unit's context.
2. Establish a disposal program to enable the consistent and systematic application of retention and disposal of records in accordance with the requirements identified in the retention and disposal authority. Further guidance is provided in Bettington, J (ed) et.al, *Keeping Archives, third edition*, Australian Society of Archivists, 2008 <http://www.archivists.org.au/keeping-archives-3rd-edition>.
3. Inform, train and educate personnel on their responsibilities in applying retention and disposal requirements and how to apply these requirements on a day-to-day basis.
4. Establish a monitoring and audit program for retention and disposal of records throughout the organisational unit. Focus on records of highest risk and areas known to have relatively weaker retention and disposal management. This may be achieved within existing audit programs associated with quality management, accreditation or certification or general performance and conformance audits. Bettington, J (ed) et.al, *Keeping Archives, third edition*, Australian Society of Archivists, 2008, <http://www.archivists.org.au/keeping-archives-3rd-edition> and principles for conducting records appraisals are provided at http://www.archivists.org.au/files/Position_Papers/AppraisalStatement.pdf
5. Document, report and address any weaknesses and breaches in a timely manner and reuse lessons gained from each experience.

Additional resources to assist with managing the retention and disposal of records are available from the **RIM Doctor Toolbox**.

Extract from an appendix containing a copy of your organisation's responses to audit questions.

SECTION 7: QUALITY OF RECORDS

This section of the check-up focuses on the quality of records made, kept and used by the organisational unit. It aligns with the following clauses in **ISO 15489 - 1 RECORDS MANAGEMENT**:

- **Clause 7.2.1:** General (characteristics of records)
- **Clause 7.2.2:** Authenticity (of records)
- **Clause 7.2.3:** Reliability (of records)
- **Clause 7.2.4:** Integrity (of records)
- **Clause 7.2.5:** Usability (of records)

The quality of a record directly impacts on its reliability and trustworthiness as evidence or information relating to a past action or decision. Weaknesses in the quality of records indicate that improvements are necessary in how records are made, kept, used and disposed of and the system (or systems) used to manage them over time.

While completing this section of the check-up you may find it helpful to access and reference the following documents in the comments boxes within the assessment form:

- records management policies
- records management procedures and guidelines
- all related information management procedures (e.g. those relating to privacy and email use)
- business rules
- metadata standards used for managing and describing records
- compliance and performance audit reports
- staff and user feedback from surveys, help desk and similar mechanisms
- samples of records and files in all formats used by the organisational unit to test the qualities of records and records systems. For example, use a sample of records to determine the accuracy of metadata and the ease in which records may be identified and retrieved as well as the relevance of those records retrieved to the business task or research question or search query.

When completing this section of the assessment it may also be necessary to consult with others to identify and confirm the current approach and practice. These people may be:

- records managers
- quality managers
- risk managers
- business managers
- performance and compliance auditors
- legal officers, company secretary or legal counsel
- privacy, freedom of information or information access officers
- some staff and management representatives.

7.1. All records can be proven to be what they claim to be.

| | | | | |
|-------|--------|-----------|---------|--------|
| Never | Rarely | Sometimes | Usually | Always |
|-------|--------|-----------|---------|--------|

X

To be used as evidence it is necessary to document contextual information relating to a record to keep records in a reliable system that protects the integrity of records and enables them to be retrieved and used. This contextual information covers who is involved in the transaction, their roles, their organisational affiliation, date, time and place of the transaction and relationship to other transactions. This information is often captured in document properties, user logon information, records systems, workflow systems and other information systems. Electronic document and records management systems may be readily configured to systematically capture this information in a consistent and reliable way.

7.2. All records have been created or sent by the person claimed to have created or sent them.

| | | | | |
|-------|--------|-----------|---------|--------|
| Never | Rarely | Sometimes | Usually | Always |
|-------|--------|-----------|---------|--------|

X

To ensure business decisions and actions are accountable and traceable it is important that information relating to who created, sent or received a record is recorded as early as possible and in a systematic way. This can often be achieved through integration between a records system and standard office or business specific applications.

7.3. All records have been created or sent at the time claimed.

| | | | | |
|-------|--------|-----------|---------|--------|
| Never | Rarely | Sometimes | Usually | Always |
|-------|--------|-----------|---------|--------|

X

To ensure business decisions and actions are auditable and may be used as evidence it is important that information relating to when a record was created, sent or received are recorded as early as possible, preferably at the time the transaction occurs and in a systematic way. This can often be achieved through integration between a records system and standard office or business specific applications and time and date stamping transactions and related documents and records.