

INTERNATIONAL STANDARD

ISO 15489-1

First edition
2001-09-15

Information and documentation — Records management —

Part 1: General

Information et documentation — «Records management»

Partie 1: Principes directeurs



Reference number
ISO 15489-1:2001(E)

© ISO 2001

PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

© ISO 2001

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.ch
Web www.iso.ch

Printed in Switzerland

Contents

Page

Foreword.....	v
Introduction.....	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	2
4 Benefits of records management.....	4
5 Regulatory environment	4
6 Policy and responsibilities	5
6.1 General.....	5
6.2 Policy	5
6.3 Responsibilities	5
7 Records management requirements	6
7.1 Principles of records management programmes.....	6
7.2 Characteristics of a record	7
7.2.1 General.....	7
7.2.2 Authenticity	7
7.2.3 Reliability	7
7.2.4 Integrity.....	7
7.2.5 Useability	7
8 Design and implementation of a records system	8
8.1 General.....	8
8.2 Records systems characteristics	8
8.2.1 Introduction.....	8
8.2.2 Reliability	8
8.2.3 Integrity.....	9
8.2.4 Compliance	9
8.2.5 Comprehensiveness.....	9
8.2.6 Systematic.....	9
8.3 Designing and implementing records systems.....	9
8.3.1 General.....	9
8.3.2 Documenting records transactions	9
8.3.3 Physical storage medium and protection	9
8.3.4 Distributed management.....	10
8.3.5 Conversion and migration	10
8.3.6 Access, retrieval and use	10
8.3.7 Retention and disposition.....	10
8.4 Design and implementation methodology	10
8.5 Discontinuing records systems	11
9 Records management processes and controls	11
9.1 Determining documents to be captured into a records system	11
9.2 Determining how long to retain records	11
9.3 Records capture	12
9.4 Registration.....	13
9.5 Classification	13
9.5.1 Classification of business activities.....	13
9.5.2 Classification systems.....	14

ISO 15489-1:2001(E)

9.5.3	Vocabulary controls	14
9.5.4	Indexing	14
9.5.5	Allocation of numbers and codes	14
9.6	Storage and handling	14
9.7	Access	14
9.8	Tracking	15
9.8.1	General.....	15
9.8.2	Action tracking.....	15
9.8.3	Location tracking.....	15
9.9	Implementing disposition	16
9.10	Documenting records management processes	16
10	Monitoring and auditing.....	17
11	Training.....	17
Index.....		18

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this part of ISO 15489 may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 15489-1 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO 15489 consists of the following parts, under the general title *Information and documentation — Records management*:

- *Part 1: General*
- *Part 2: Guidelines* [Technical Report]

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.