



State Archives
& Records

A new Code of Best Practice

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28 March 2018

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Overview



- a brief overview of what is a code of best practice under the *State Records Act 1998*
- background information on the current code of best practice
- the new AS ISO 15489: 2017 and the key differences between the 2017 and 2002 versions of the standard, and
- the next steps in the consultation process

What is a Code of Best Practice?

- Industry standards and documents that codify and describe best practice
- Industry standards = standards issued by Standards Australia or professional bodies
- Used as a benchmark for practices and systems
- Not designed for formal auditing frameworks
- Section 13(1) of the *State Records Act 1998* permits the State Archives and Records Authority of NSW to approve codes of best practice for records management for use by public offices

Code of Best Practice: AS ISO 15489 - 2002

- In 2002, after consultation with public offices, the State Archives and Records Authority of NSW issued a the following Code of Best Practice:

AS ISO 15489.1 – 2002: Records Management Part 1: General

AS ISO 15489.2 – 2002: Records Management Part 2: Guidelines

- AS ISO 15489 – 2002 has been the accepted “Industry standard” and national best practice for records management
- AS ISO 15489 – 2002 has underpinned the work of NSW State Archives and Records and the guidance provided to NSW public offices

A new ISO 15489

- During 2012- 2016 the International Committee on Records Management (ISO/TC 46/SC11) reviewed the International Standard ISO 15489 – 2002
- Outcome of review was a new Standard:
 - **ISO 15489.1: 2016: Information and documentation – Records Management, Part 1: Concepts and principles**
- In May 2017 Australia adopted ISO 15489:2016 as ‘national best practice’
- **AS ISO 15489: 2017 is the new “Industry standard” for records management in Australia**
- NSW State Archives and Records has reviewed AS ISO 15489: 2017. We believe that this new Australian Standard should be issued as a Code of Best Practice because it represents national best practice

AS ISO 15489.1: 2017

- Designed to be a 'central standard'
- AS ISO 15489.1: 2017 replaces AS ISO 15489 – 2002 (Parts 1 & 2)
- 5 principles for managing records:
 - “creation, capture and management of records are integral parts of conducting business, in any context” (Clause 4a)
 - “records, regardless of form or structure, are authoritative evidence of business when they possess the characteristics of authenticity, reliability, integrity and useability” (Clause 4b)
 - “records consist of content and metadata” (Clause 4c)
 - “decisions regarding creation, capture and management of records are based on the analysis and risk assessment of business activities” (Clause 4d)
 - “systems for managing records, regardless of their degree of automation, enable the application of records controls and the execution of processes for creating, capturing and managing records” (Clause 4e)

AS ISO 15489.1: 2017 continued

- Greater focus on digital environment and the core concepts and principles needed in dynamically changing environment

“Records are both evidence of business activity and information assets. Any set of information, regardless of its structure or form, can be managed as a record. This includes information in the form of a document, a collection of data or other types of digital or analogue information which are created, captured and managed in the course of business.”
(Clause 5.1)
- Contemporary representation of recordkeeping:
 - records and records systems
 - policies and responsibilities
 - appraisal
 - records controls and
 - processes for creating, capturing and managing records.

AS ISO 15489.1: 2017 continued



- Appraisal is re-positioned as a key tool for managing records
- DIRKS methodology is not included in the standard but steps A – C of the methodology is incorporated into the appraisal section of the standard
- The critical importance of metadata is emphasised:
“..metadata is data describing the context, content and structure of records, as well as their management over time. Metadata is an essential component of any record.” (Clause 5.1)”
- Revised characteristics of ‘authoritative records’ – authenticity, reliability, integrity, useability (Clause 5.2.2)

AS ISO 15489.1: 2017 continued



- Records systems (Clause 5.3):
 - “information system which captures, manages and provides access to records over time” (clause 3.16)
 - requirements for records systems (controls, processes, relationship between records and metadata)
 - characteristics for records systems (reliable, secure, compliant, comprehensive, systematic)
 - more flexible systems for records design – not just DIRKS
- Use of control tools in any environment
 - metadata schemas
 - classification schemes
 - disposal authorities
 - access and permission rules

What's next?

- NSW State Archives and Records recognises the need to update the Code of Best Practice from AS ISO 15489 – 2002 to AS ISO 15489: 2017 and we support the new Australian Standard
- Using the new Australian Standard will better assist public offices in their records management practices
- Section 13 of *State Records Act 1998* requires NSW State Archives and Records to consult with public offices regarding any proposed code of best practice
- Consultation process being undertaken. Feedback due by **Friday 6 April 2018**
- Following the receipt of submissions, we anticipate issuing new code of best practice in June 2018
- Copies of standard available from www.saiglobal.com

Further information



- **Submissions from public offices due Friday 6 April 2018 to catherine.robinson@records.nsw.gov.au**
- Any questions about the proposed Code of Best Practice, please contact Catherine Robinson on tel. (02) 8257 2991 or by email