Application of AS ISO 15489, parts 1 & 2

You are the external Recordkeeping Auditor appointed to “Organisation X” to assess the compliance of its recordkeeping regime with the Australian Standard AS ISO 15489.

You have done the environmental analysis of the organisation, so you know who it is, what its regulatory and business environment is, and what its core business is.

One of your tasks is to go through the organisation with your Recordkeeping Audit Checklist, ask questions relating to sections of AS ISO 15489, and assess the compliance of the organisation against those sections of the Standard.

1. Choose an organisation as a frame of reference. This could be the Dubbo Virtual University or Tran case studies from Week 1. It could be your own organisation or one you have worked in. It could be any other you choose.

2. Choose one the following sections of AS ISO 15489.1 & 2 to do your audit:

<table>
<thead>
<tr>
<th>AS ISO 15489.1 Section No.</th>
<th>Section title in Part 1</th>
<th>Plus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 6</td>
<td>Policy and responsibilities</td>
<td>Section 2 from Part 2 of AS ISO 15489</td>
</tr>
<tr>
<td>Section 7 (7.1 – 7.2.5)</td>
<td>Records management requirements</td>
<td>-</td>
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<tr>
<td>Section 8.2</td>
<td>Records system characteristics</td>
<td>-</td>
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3. Develop a checklist of audit questions that would let you assess that aspect of the organisation’s recordkeeping regime.

4. Assignment Report
Prepare a report (for me) containing:
- Your client organisation’s name, and type of business/sector.
- Which section of 15489 your Recordkeeping Audit Checklist is covering.
- The list of your audit questions.
- Any issues you might encounter in your audit.

HINTS:
- Look at the example given in Week 2 Lecture notes.
- Look at AS ISO 15489, parts 1 & 2.
- Look at the DIRKS Manual, Step D.

There is no word limit on this assignment. However I would expect at least 1500 words, and I am looking for a comprehensive checklist and evaluation of potential issues. You can present part of it as a table as shown in Week 2 Lecture Notes.