

Australian/New Zealand Standard™

**Information and documentation —  
Appraisal for managing records**



SA/SNZ TR ISO 21946:2020

This Joint Australian/New Zealand Standard™ was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 19 December 2019 and by the New Zealand Standards Executive on 12 February 2020.

This Standard was published on 28 February 2020.

The following are represented on Committee IT-021:

- Archives and Records Association of New Zealand
- Archives New Zealand
- Association of Local Government Information Management (New Zealand)
- Australian Computer Society
- Australian Industry Group
- Australian Society of Archivists
- Department of Defence (Australian Government)
- Department of Education, Tas.
- Monash University
- National Archives of Australia
- Office of Finance, Services and Innovation, NSW
- Public Record Office Victoria
- Queensland State Archives
- Records and Information Management Professionals Australasia (Australia)
- Records and Information Management Professionals Australasia (New Zealand)
- State Archives and Records Authority of New South Wales
- State Records Office of Western Australia
- University of Sydney
- Transpower New Zealand

This Standard was issued in draft form for comment as DR SA/SNZ TR ISO 21946:2019.

### **Keeping Standards up-to-date**

Ensure you have the latest versions of our publications and keep up-to-date about Amendments, Rulings, Withdrawals, and new projects by visiting:

[www.standards.org.au](http://www.standards.org.au)

[www.standards.govt.nz](http://www.standards.govt.nz)

ISBN 978 1 76072 738 3

Australian/New Zealand Standard™

**Information and documentation —  
Appraisal for managing records**

First published as SA/SNZ TR ISO 21946:2020.

**COPYRIGHT**

© ISO 2020 — All rights reserved

© Standards Australia Limited/the Crown in right of New Zealand, administered by the New Zealand Standards Executive 2020

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Cth) or the Copyright Act 1994 (New Zealand).

## Preface

This Technical Report was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems.

The objective of this Technical Report is to provide guidance on how to carry out appraisal for managing records. It describes some of the products and outcomes that can be delivered using the results of appraisal. As such, this Technical Report describes a practical application of the concept of appraisal outlined in AS ISO 15489.1.

This document:

- (a) lists some of the main purposes for appraisal;
- (b) describes the importance of establishing scope for appraisal;
- (c) explains how to analyse business functions and develop an understanding of their context;
- (d) explains how to identify records requirements;
- (e) describes the relationships between records requirements, business functions and work processes;
- (f) explains how to use risk assessment for making decisions related to records;
- (g) lists options for documenting the results of appraisal;
- (h) describes possible uses for the results of appraisal; and
- (i) explains the importance of monitoring and review of the execution of appraisal decisions.

This Technical Report can be used by all organizations regardless of size, nature of their business activities, or the complexity of their functions and structure.

This Technical Report is identical with, and has been reproduced from, ISO/TR 21946:2018, *Information and documentation — Appraisal for managing records*.

As this document has been reproduced from an International Standard, a full point substitutes for a comma when referring to a decimal marker.

Australian or Australian/New Zealand Standards that are identical adoptions of international normative references may be used interchangeably. Refer to the online catalogue for information on specific Standards.

The terms “normative” and “informative” are used in Standards to define the application of the appendices or annexes to which they apply. A “normative” appendix or annex is an integral part of a Standard, whereas an “informative” appendix or annex is only for information and guidance.

# Contents

<b>Preface</b> .....	<b>ii</b>
<b>Foreword</b> .....	<b>iv</b>
<b>Introduction</b> .....	<b>v</b>
<b>1 Scope</b> .....	<b>1</b>
<b>2 Normative references</b> .....	<b>1</b>
<b>3 Terms and definitions</b> .....	<b>1</b>
<b>4 Appraisal process</b> .....	<b>1</b>
<b>5 Information gathering and analysis</b> .....	<b>3</b>
5.1 General .....	3
5.2 Determining the scope of appraisal .....	4
5.3 Determining who to involve in the appraisal process .....	4
5.4 Information gathering .....	5
5.5 Analysis of the business context .....	6
5.6 Analysis of the technological context .....	6
5.7 Functional analysis .....	7
5.8 Sequential analysis .....	7
5.9 Identification of agents .....	7
5.10 Identification of business critical areas .....	8
5.11 Determining records requirements .....	9
5.11.1 General .....	9
5.11.2 Business needs for records .....	9
5.11.3 Legal and regulatory requirements for records .....	10
5.11.4 Community or societal expectations for records .....	10
<b>6 Assessment and implementation</b> .....	<b>11</b>
6.1 General .....	11
6.2 Linking records requirements to business functions and work processes .....	11
6.3 Assessment and treatment of risks associated with the implementation of records requirements .....	14
6.4 Documentation of the appraisal process .....	16
6.5 Using the results of the appraisal process .....	16
<b>7 Monitoring</b> .....	<b>17</b>
<b>8 Review and corrective action</b> .....	<b>18</b>
<b>Bibliography</b> .....	<b>19</b>

This is a free preview. Purchase the entire publication at the link below:

[Product Page](#)

- 
- [Looking for additional Standards? Visit Intertek Inform Infostore](#)
  - [Learn about LexConnect, All Jurisdictions, Standards referenced in Australian legislation](#)
-