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Information and documentation — Management systems for records — Guidelines for implementation

Information et documentation — Systèmes de gestion des documents d'activité — Lignes directrices de mise en oeuvre

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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.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

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

This second edition cancels and replaces the first edition (ISO 30302:2015), which has been technically revised.

The main changes are as follows:

— alignment with the new edition of ISO 30301 (ISO 30301:2019);

— modification of Annex A.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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Introduction

This document has been developed to assist users to apply the management system for records requirements of ISO 30301. ISO 30301 specifies the requirements for a management system for records (MSR) where an organization needs to demonstrate its ability to create and control information created, received and maintained as evidence and as an asset by an organization, in pursuit of legal obligations or in the course of conducting business.

The purpose of this document is to provide practical guidance on how to implement a management system for records (MSR) within an organization in accordance with ISO 30301. This document covers what is needed to establish and maintain an MSR. This document does not modify and/or reduce the requirements specified in ISO 30301. An activity or documenting an activity is considered mandatory only when it is required in ISO 30301.

The implementation of an MSR is generally executed as a project. An MSR can be implemented in organizations with existing records systems or programmes to review and improve the management of those systems or programmes or in organizations planning to implement a systematic and verifiable approach to records creation and control for the first time. Guidance described in this document can be used in both situations. An MSR can be an advisable option for addressing legal or technological uncertainty in some cases.

It is assumed that organizations that decide to implement an MSR have made a preliminary assessment of their existing records and records systems and have identified risks to be addressed and opportunities for major improvements. For example, the decision to implement an MSR can be taken as a risk-reduction measure for undertaking a major information technology platform change or outsourcing business processes identified as high risk. Alternatively, the MSR can provide a standardized management framework for major improvements such as integrating records processes with specific business processes or improving control and management of records of online transactions or business use of social media.

The use of this document is necessarily flexible. It depends on the size, nature and complexity of the organization and the level of maturity of the MSR, if one is already in place. Each organization's context and complexity are unique and its specific contextual requirements will drive the MSR implementation. Smaller organizations will find that the activities described in this document can be simplified. Large or complex organizations can find that a layered management system is needed to implement and manage the activities in this document effectively.

Guidance in this document follows the same structure as ISO 30301, describing the activities to be undertaken to meet the requirements of ISO 30301 and how to document those activities.

Clause 4 deals with how to perform the context analysis needed to implement an MSR. From this analysis, the scope of the MSR is defined and the relationship between implementing an MSR and other management systems is identified.

Clause 5 explains leadership and how to gain the commitment of top management. The commitment is expressed in a records policy and the assignment of responsibilities and authorities.

Clause 6 deals with planning the implementation of the MSR and adopting records objectives, which is informed by high-level risk analysis, the contextual analysis (see Clause 4), and the resources available (see Clause 7).

Clause 7 outlines the support needed for the MSR, such as resources, competence, awareness, communication, and documented information.

Clause 8 deals with defining or reviewing and planning the operational level. It includes the analysis to determine records to be created (see 8.2) and the design and implementation of records processes, controls and systems. It draws on the contextual requirements and scope (see Clause 4) and is based on the records policy (see 5.2), the risk analysis (see 6.1) and resources needed (see 7.1) to meet the records objectives (see 6.2) in the planned implementation. Clause 8 explains how to implement requirements in ISO 30301:2019, Annex A.

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Clauses 9 and 10 deal with performance evaluation and improvement against planning, objectives and requirements defined in ISO 30301.

For each of the Clauses 4 to 10 of ISO 30301:2019, this document provides the following:

a) the activities necessary to meet the requirements of ISO 30301 – activities can be done sequentially, while some will need to be done simultaneously;

b) inputs to the activities – these are the starting points and can be outputs from previous activities;

c) outputs of the activities – these are the results or deliverables, with special mention to mandatory documented information, on completion of the activities.

The concepts of how to design the operational records processes are based on the principles established by ISO 15489-1. Other documents developed by ISO/TC 46/SC 11 are the principal tools for designing, implementing, monitoring and improving records processes, controls and systems, and can be used in conjunction with this document for implementing the detailed operational elements of the MSR.

Organizations that have already implemented ISO 15489-1 can use this document to develop an organizational infrastructure for managing records under the systematic and verifiable approach of the MSR.

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1 Scope

This document gives guidance for the implementation of an MSR in accordance with ISO 30301. This document is intended to be used in conjunction with ISO 30301. It describes the activities to be undertaken when designing, implementing and monitoring an MSR.

This document is intended to be used by any organization, or across organizations, implementing an MSR. It is applicable to all types of organization (e.g. commercial enterprises, government agencies, non-profit organizations) of all sizes. This document is intended to be used by those responsible for leading the implementation and maintenance of the MSR. It can also help top management in making decisions on the establishment, scope and implementation of management systems in their organization.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 30300, *Information and documentation — Records management — Core concepts and vocabulary*

ISO 30301, *Information and documentation — Management systems for records — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300 and ISO 30301 apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at https://www.electropedia.org/

4 Context of the organization

4.1 Understanding the organization and its context

4.1.1 General

The context of the organization should determine and drive the implementation and improvement of an MSR. The requirements of this clause are intended to ensure the organization has considered its context and needs as part of the implementation of an MSR. The first part of this analysis is to determine internal and external issues relevant to the purpose of the MSR and how they affect its ability to achieve the intended outcome.

The contextual analysis can be used to define the scope of the MSR (see 4.3). However, if the top management determines the scope of the MSR as the starting point, before identifying contextual issues, then the extent of the contextual analysis is defined by the scope.

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