
**Information and documentation —
Management systems for records —
Fundamentals and vocabulary**

*Information et documentation — Systèmes de gestion des documents
d'activité — Principes essentiels et vocabulaire*

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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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

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 document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 30300 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO 30300 is part of a series of International Standards under the general title *Information and documentation — Management systems for records*:

- ISO 30300, *Information and documentation — Management systems for records — Fundamentals and vocabulary*
- ISO 30301, *Information and documentation — Management systems for records — Requirements*

ISO 30300 specifies the terminology for the *Management systems for records* (MSR) series of standards, and the objectives and benefits of a MSR; ISO 30301 specifies requirements for a MSR where an organization needs to demonstrate its ability to create and control records from its business activities for as long as they are required.

Introduction

Organizational success largely depends upon implementing and maintaining a management system that is designed to continually improve performance while addressing the needs of all stakeholders. Management systems offer methodologies to make decisions and manage resources to achieve the organization's goals.

Creation and management of records are integral to any organization's activities, processes and systems. Records enable business efficiency, accountability, risk management and business continuity. They also enable organizations to capitalize on the value of their information resources as business, commercial and knowledge assets, and to contribute to the preservation of collective memory, in response to the challenges of the global and digital environment.

Management System Standards (MSS) provide tools for top management to implement a systematic and verifiable approach to organizational control in an environment that encourages good business practices.

The standards on management systems for records prepared by ISO/TC 46/SC 11 are designed to assist organizations of all types and sizes, or groups of organizations with shared business activities, to implement, operate and improve an effective management system for records (hereafter referred to as a MSR). The MSR directs and controls an organization for the purposes of establishing a policy and objectives with regard to records and achieving those objectives. This is done through the use of:

- a) defined roles and responsibilities;
- b) systematic processes;
- c) measurement and evaluation;
- d) review and improvement.

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Implementation of a records policy and objectives soundly based on the organization's requirements will ensure that authoritative and reliable information about, and evidence of, business activities is created, managed and made accessible to those who need it for as long as required. Successful implementation of good records policy and objectives results in records and records systems adequate for all of an organization's purposes.

Implementing a MSR in an organization also helps to ensure the transparency and traceability of decisions made by responsible management and the recognition of accountability.

The standards on MSR prepared by ISO/TC 46/SC 11 are developed within the MSS framework to be compatible and to share elements and methodology with other MSS. ISO 15489, and other International Standards and Technical Reports also developed by ISO/TC 46/SC 11, are the principal tools for designing, implementing, monitoring and improving records processes and controls, which operate under the governance of the MSR where organizations determine to deploy MSS methodology.

NOTE ISO 15489 is the foundation standard which codifies best practice for records management operations.

The structure of standards on MSR prepared by ISO/TC 46/SC 11, either published or under preparation, is shown in Figure 1.

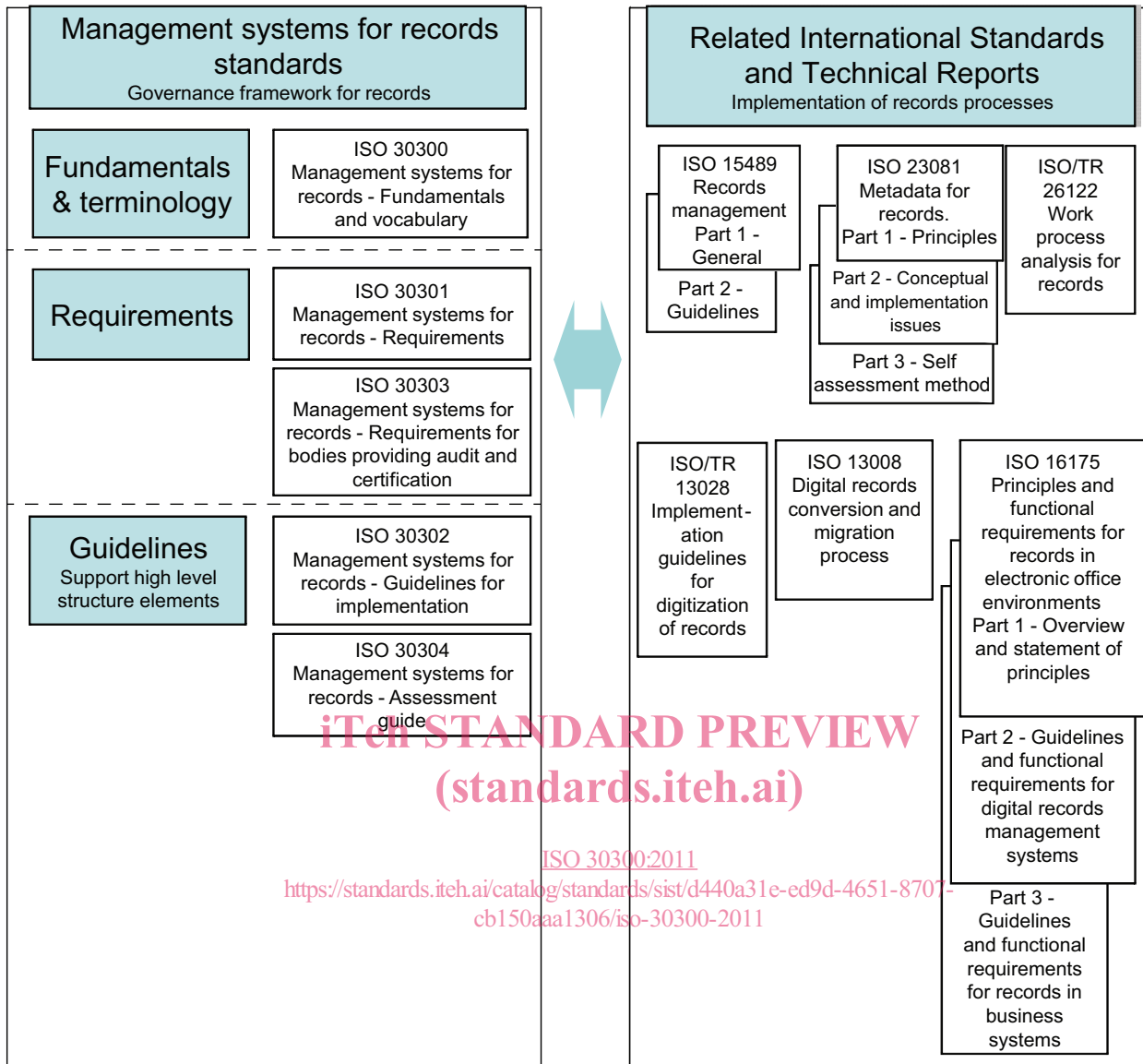


Figure 1 — Standards on MSR prepared by ISO/TC 46/SC 11 and related International Standards and Technical Reports

These standards apply as a framework for, and as guidance on:

- a) establishing systematic management of records policies, procedures and responsibilities, regardless of the purpose, content or recording medium of the records themselves;
- b) determining the responsibilities, authorities and accountabilities of organizations for records and records policies, procedures, processes and systems;
- c) designing and implementing a MSR; and
- d) achieving quality outcomes from the MSR through performance assessment and continuous improvement.

These standards are intended to be used by:

- 1) top management who make decisions regarding the establishment and implementation of management systems within their organization;
- 2) people responsible for implementation of MSR, such as professionals in the areas of risk management, auditing, records, information technology and information security.

Information and documentation — Management systems for records — Fundamentals and vocabulary

1 Scope

This International Standard defines terms and definitions applicable to the standards on MSR prepared by ISO/TC 46/SC 11. It also establishes the objectives for using a MSR, provides principles for a MSR, describes a process approach and specifies roles for top management.

This International Standard is applicable to any type of organization that wishes to:

- a) establish, implement, maintain and improve a MSR to support its business;
- b) assure itself of conformity with its stated records policy;
- c) demonstrate conformity with this International Standard by
 - 1) undertaking a self-assessment and self-declaration, or
 - 2) seeking confirmation of its self-declaration by a party external to the organization, or
 - 3) seeking certification of its MSR by an external party.

2 Fundamentals of a MSR

2.1 Relationship between the MSR and the management system

All organizations create and control records as an outcome of performing their activities in order to achieve organizational objectives.

The MSR establishes the policy, objectives and directives framework for controlling the organization's records in records systems and ensures that those records systems meet the organization's requirements.

Within the framework of the MSR, records processes and controls need to be designed, implemented and monitored to meet the records policy, objectives and directives. This includes determining how the records processes and controls are managed by records systems, and how the records relate to all management systems for assessment purposes as evidence of results.

Management systems themselves, including the MSR, create records. Those records and the way they are managed in turn feed back into new organizational activities, such as the development of new products or services. The records can also be used to monitor the operation of the management systems and how well those systems and activities meet organizational requirements. In this way the MSR governs the records requirements of other management systems, as well as those of itself.

2.2 Context of the organization

An organization or group of organizations can use all or any element of the standards on MSR prepared by ISO/TC 46/SC 11 according to its business context and requirements, which include:

- a) the size and complexity of the organization or organizations, or the processes requiring records controls;
- b) the level of business risk attached to having inadequate records controls;
- c) the drive for internal improvement to satisfy current or potential future stakeholder demand;
- d) specific stakeholder demands or expectations.

The standards on MSR prepared by ISO/TC 46/SC 11 can be used:

- 1) for one or more specific business processes within an organization;
- 2) across a whole organization covering all business processes;
- 3) for a number of organizations with shared business processes, such as across a specific sector, trading partners or a collaborative partnership.

When implementing the standards on MSR prepared by ISO/TC 46/SC 11, an organization should consult the requirements and guidance of national legislation, regulations and standards which apply in the relevant jurisdiction.

2.3 Need for a MSR

2.3.1 Purpose

All organizations, regardless of their size or the nature of their business, generate information from their work processes. As one type of information resource, records are part of the intellectual capital, and therefore assets, of an organization.

The purpose of implementing a MSR is the systematic management of information as records about business activities. Such records support current business decisions and subsequent activities, and ensure accountability to present and future stakeholders.

The objective of implementing a MSR is to create and control records in a systematic and verifiable manner in order to:

- a) conduct business and deliver services efficiently;
- b) meet legislative, regulatory and accountability requirements;
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- c) optimize the decision-making, operational consistency and continuity of an organization;
- d) facilitate the effective operation of an organization in the event of a disaster;
- e) provide protection and support in litigation, including the management of risks associated with the existence of, or lack of, evidence of organizational activity;
- f) protect the interests of the organization and the rights of employees, clients and present and future stakeholders;
- g) support research and development activities;
- h) support the promotional activities of the organization;
- i) maintain corporate or collective memory and support social responsibility.

2.3.2 Reliable, authentic and useable records

2.3.2.1 General

Each organization implementing a MSR sets its own records policy and objectives adapted to the context of the organization. Implementation of a MSR ensures the creation and control of records which support the needs of the organization and society, for as long as the records are required.

Successful achievement of the records objectives results in the creation and control of records which are reliable, authentic, have integrity and are useable, as described in 2.3.2.2 to 2.3.2.5.

2.3.2.2 Reliable

A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and which can be depended upon in the course of subsequent transactions or activities. Records should be created at the time of the transaction or incident to which they relate, or soon afterwards, by individuals who have direct knowledge of the facts or by instruments routinely used within the business to conduct the transaction.

2.3.2.3 Authentic

An authentic record is one that can be proven

- to be what it purports to be,
- to have been created or sent by the person purported to have created or sent it, and
- to have been created or sent at the time purported.

To ensure the authenticity of records, organizations should implement and document policies and procedures which control the creation, receipt, transmission, maintenance and disposition of records. This ensures that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, alteration, use and concealment.

2.3.2.4 Integrity

The integrity of a record refers to its being complete and unaltered.

It is necessary that a record be protected against unauthorized alteration. Records management policies and procedures should specify what additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation of, addition to or deletion of a record should be explicitly documented and traceable.

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2.3.2.5 Useable

A useable record is one that can be located, retrieved, presented and interpreted. It should be capable of subsequent presentation as directly connected to the business activity or transaction that produced it. The contextual linkages of records should carry the information needed for an understanding of the transactions that created and used them. It should be possible to identify a record within the context of broader business activities and functions. The links between records that document a sequence of activities should be maintained.

2.3.3 Establishment of records systems

2.3.3.1 General

The records objectives of a MSR are achieved by the establishment of a records system or systems to capture and control records which are reliable, secure, compliant, comprehensive and systematic. Examples are given in 2.3.3.2 to 2.3.3.6.

2.3.3.2 Reliable

Reliable records systems:

- a) routinely capture all records within the scope of the business activities they cover;
- b) organize the records in a way that reflects business processes;
- c) protect the records from unauthorized alteration or disposition;
- d) routinely function as the primary source of information regarding actions documented in the records;

- e) provide ready access to all records when needed;
- f) capture information about the retrieval, use and disposition of the records they manage;
- g) are capable of continuous and regular operation.

Reliable records systems enable business continuity and support risk management.

2.3.3.3 Secure

Secure records systems employ adequate control measures to prevent unauthorized actions (access, destruction, alteration or removal of records). Secure records systems support organizational accountability and risk management.

2.3.3.4 Compliant

Compliant records systems are systems which are managed to meet all requirements arising from current business and stakeholder expectations and the regulatory environment in which the organization operates. Systems can be assessed for their compliance with respect to these requirements as part of the maintenance and improvement processes of the MSR. Compliant records systems ensure organizational accountability, good governance and risk management.

2.3.3.5 Comprehensive

Comprehensive records systems manage records arising from the complete range of business activities for the organization, group of organizations, or section of the organization, in which they are used. Comprehensive records systems enable business efficiency and effectiveness.

2.3.3.6 Systematic

Records creation and management processes are systematized through the design and operation of records systems and business systems according to documented policies, assigned responsibilities and formal methodologies. This helps to conduct business efficiently and manage risk.

2.4 Principles of a MSR

2.4.1 General

Successful implementation of a MSR is based on applying the principles given in 2.4.2 to 2.4.8.

2.4.2 Customer and other stakeholder focus

Focus on the current and future needs of the organization's customers and the expectations of its other stakeholders, which are in turn integrated with the requirements of the records systems established under the MSR.

2.4.3 Leadership and accountability

Leadership establishes the purpose, direction and governance ethic of the organization in an environment in which people understand and are encouraged to achieve good records management practice to meet the organization's objectives and accountability requirements.

2.4.4 Evidence-based decision making

The establishment of the MSR enables the creation, capture and control of the organization's information assets in the form of reliable and authentic records to support evidence-based decision making throughout the organization.

2.4.5 Involvement of people

Responsibilities for records and appropriate training for all employees of an organization that create, handle, or use records should be clearly defined. This applies to contractors, other stakeholders and staff of other organizations where business processes and the consequent records are shared. Records awareness across the organization improves its information base and increases effective decision making.

2.4.6 Process approach

Management of the organization's activities and programmes as processes in which records creation and business activities are integrated generates efficiency for both records and business activities.

2.4.7 Systems approach to management

The integration of records management into business activities within the wider context of a management system includes analysing requirements and plans, as well as implementing, reviewing and improving policies and procedures across the organization on a regular basis.

2.4.8 Continual improvement

Regular monitoring and reviewing and continual improvement of the overall performance of the MSR feeds into the review and improvement of the organization's general management system.

2.5 Process approach to a MSR

All organizations, regardless of their size or the nature of their business, will determine and apply appropriate work processes to achieve their specific goals and objectives. This International Standard emphasizes the conscious application of a system to all the processes of an organization so that the dynamic nature of the processes and their interrelationships are recognized and managed.

The process approach to a MSR emphasizes the importance of:

- a) identifying the organization's records requirements, including stakeholders' needs and expectations, and establishing policy and objectives for records;
- b) implementing and operating controls for managing an organization's risks in relation to its records, in the context of its overall business risks;
- c) monitoring and reviewing the performance and effectiveness of the MSR;
- d) continual improvement based on objective measurement.

Figure 2 illustrates how the MSR determines the records management requirements and expectations of the interested parties (customers and stakeholders) and, through the necessary processes, produces as its output records that meet those requirements and expectations.