
**Information and documentation —
Management systems for records —
Requirements**

*Information et documentation — Systèmes de gestion des documents
d'activité — Exigences*

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Contents

Page

Foreword	iv
Introduction.....	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Context of the organization	2
4.1 Understanding of the organization and its context	2
4.2 Business, legal and other requirements	2
4.3 Defining the scope of the MSR	3
5 Leadership	3
5.1 Management commitment	3
5.2 Policy	3
5.3 Organizational roles, responsibilities and authorities	4
6 Planning	5
6.1 Actions to address risks and opportunities	5
6.2 Records objectives and plans to achieve them	5
7 Support.....	6
7.1 Resources	6
7.2 Competence	6
7.3 Awareness and training	6
7.4 Communication	7
7.5 Documentation	7
8 Operation.....	8
8.1 Operational planning and control.....	8
8.2 Design of records processes	8
8.3 Implementation of records systems.....	9
9 Performance evaluation.....	9
9.1 Monitoring, measurement, analysis and evaluation.....	9
9.2 Internal system audit.....	11
9.3 Management review	11
10 Improvement.....	12
10.1 Nonconformity control and corrective actions	12
10.2 Continual improvement	12
Annex A (normative) Processes and controls.....	13
Annex B (informative) Interrelationships between ISO 9001, ISO 14001, ISO/IEC 27001 and ISO 30301	16
Annex C (informative) Checklist for self-assessment.....	20
Bibliography.....	22

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 30301 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO 30301 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 in order to achieve the organization's goals.

Creation and management of records are integral to any organization's activities, processes and systems. They 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:

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- a) defined roles and responsibilities;
 - b) systematic processes;
 - c) measurement and evaluation, <https://standards.iteh.ai/catalog/standards/sist/5fb69b69-7556-45da-b90d-3fe75532513d/iso-30301-2011>
 - d) review and improvement.

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 guarantees the transparency and traceability of decisions made by responsible management and the recognition of public interest.

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 decide to implement 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.

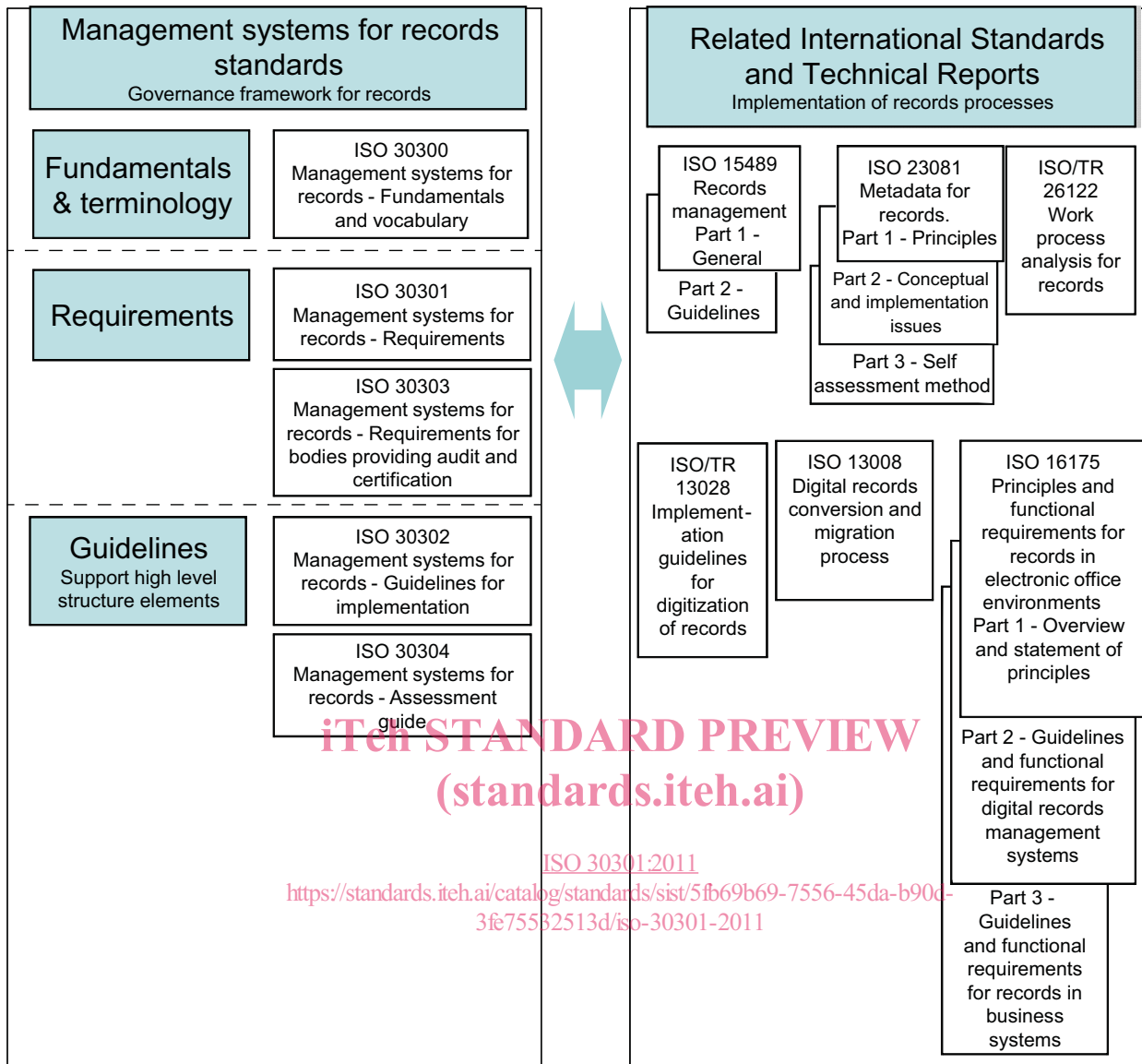


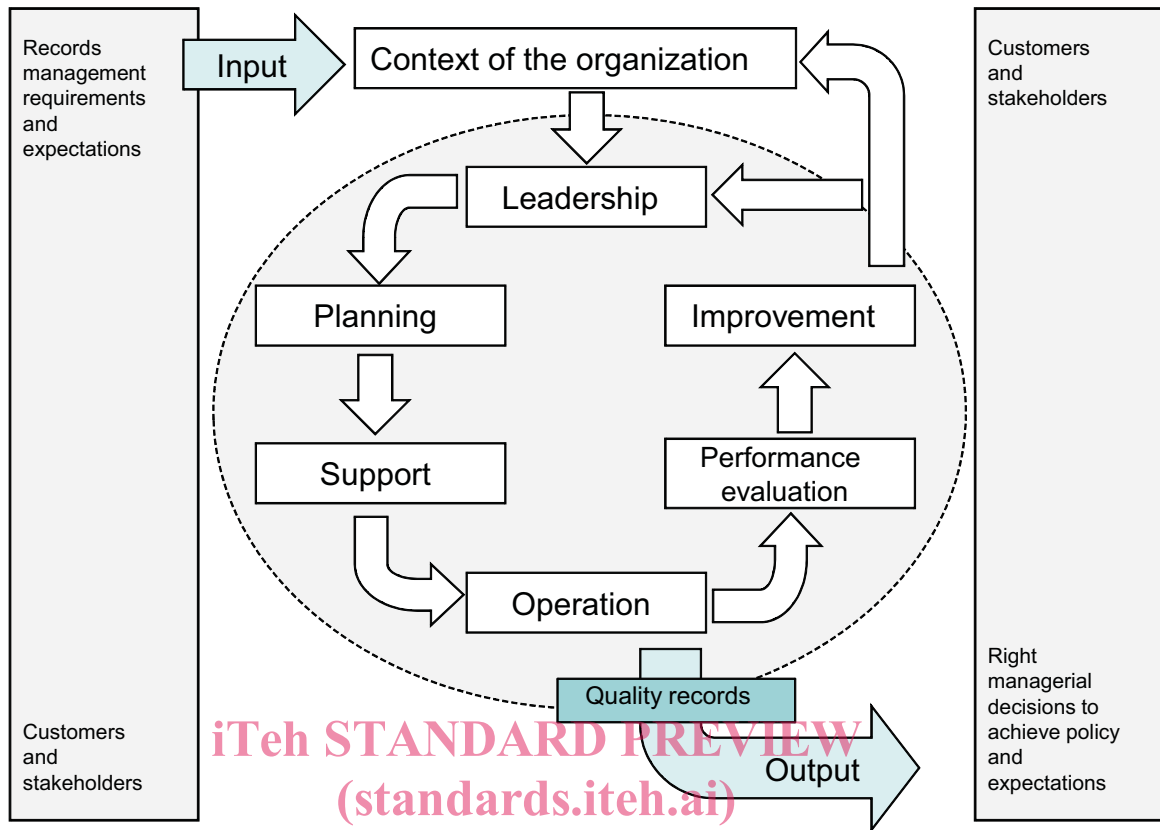
Figure 1 — Standards on MSR prepared by ISO/TC 46/SC 11 and related International Standards and Technical Reports

These standards are intended to be used by:

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

The MSR determines the records management requirements and expectations of the interested parties (customers and stakeholders) and, through the necessary processes, produces records that meet those requirements and expectations.

Figure 2 shows the structure of the MSR and the relationship with customers and stakeholders.



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Figure 2 — Structure of MSR

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Information and documentation — Management systems for records — Requirements

1 Scope

This International Standard specifies requirements to be met by a MSR in order to support an organization in the achievement of its mandate, mission, strategy and goals. It addresses the development and implementation of a records policy and objectives and gives information on measuring and monitoring performance.

A MSR can be established by an organization or across organizations that share business activities. Throughout this International Standard, the term “organization” is not limited to one organization but also includes other organizational structures.

This International Standard is applicable to any 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.

This International Standard can be implemented with other Management System Standards (MSS). It is especially useful to demonstrate compliance with the documentation and records requirements of other MSS.

2 Normative references

The following referenced documents are indispensable for the application 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 — Management systems for records — Fundamentals and vocabulary*

3 Terms and definitions

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

4 Context of the organization

4.1 Understanding of the organization and its context

When establishing and reviewing its MSR, an organization shall take into account all external and internal factors that are relevant.

The external and internal factors identified and taken into account when establishing and reviewing the MSR shall be documented.

Understanding the organization's external context may include, but is not limited to:

- a) the social and cultural, legal, regulatory, financial, technological, economic, natural and competitive environment, whether international, national, regional or local;
- b) key drivers and trends which can have an impact on the objectives of the organization;
- c) relationships with, and perceptions, values and expectations of, external stakeholders.

Understanding the organization's internal context may include, but is not limited to:

- 1) governance, organizational structure, roles and accountabilities;
- 2) policies, objectives and the strategies that are in place to achieve them;
- 3) capabilities, understood in terms of resources and knowledge (e.g. capital, time, people, processes, systems and technologies);
- 4) information systems, information flows and decision making processes (both formal and informal);
- 5) relationships with, and perceptions and values of, internal stakeholders and the organization's culture;
- 6) standards, guidelines and models adopted by the organization;
- 7) the form and extent of contractual relationships.

4.2 Business, legal and other requirements

When establishing and reviewing its records objectives, an organization shall take into account the business, legal, regulatory and other requirements related to the creation and control of records.

The organization shall assess and document business, legal, regulatory and other requirements affecting its business operations with which it shall comply and for which it requires evidence of compliance.

Business requirements include all the requirements for the proper performance of the operations or business of the organization. Requirements arise from current business performance, future planning and development, risk management and business continuity planning.

Legal requirements include requirements related to the creation and control of records. Sources of legal requirements are:

- a) statute and case law, including law and regulations governing the sector-specific and general business environment;
- b) laws and regulations relating specifically to evidence, records and archives, access, privacy, data and information protection, and electronic commerce;

- c) the constitutional rules of organizations, charters or agreements to which the organization is a party;
- d) treaties and other instruments the organization is legally bound to uphold.

Other requirements include non-legal voluntary commitments made by the organization:

- voluntary codes of best practice;
- voluntary codes of conduct and ethics;
- identifiable expectations of the community about what is acceptable behaviour for the specific sector or organization, including good governance, the proper control of fraudulent or malicious behaviour and transparency in decision making.

4.3 Defining the scope of the MSR

The organization shall define and document the scope of its MSR.

The scope of the MSR may include the whole of the organization, specific functions of the organization, specific sections of the organization, or one or more functions across a group of organizations.

When a MSR is established for one or more specific functions across a group of organizations, the scope shall include relationships between, and roles of, each entity.

Where an organization outsources any process that affects conformity with MSR requirements, the organization shall ensure control over such processes. Control of contractors and outsourced processes shall be identified as within the scope of the MSR.

5 Leadership

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5.1 Management commitment

Top management shall demonstrate its commitment by

- ensuring the MSR is compatible with the strategic direction of the organization,
- integrating the MSR requirements into the organization's business processes,
- providing the resources to establish, implement, maintain and continually improve the MSR,
- communicating the importance of an effective MSR and conforming to the MSR requirements,
- ensuring that the MSR achieves its intended outcomes, and
- directing and supporting continual improvement.

NOTE Reference to “business” in this International Standard is interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

5.2 Policy

Top management shall establish a records policy. The policy shall

- be appropriate to the purpose of the organization,
- provide the framework for setting records objectives,

- include a commitment to satisfy applicable requirements,
- include a commitment to continual improvement of the MSR,
- be communicated within the organization, and
- be available to interested parties, as appropriate.

The organization shall retain documented information about the records policy.

The records policy shall include the high-level strategies with regard to the creation and control of authentic, reliable and useable records capable of supporting the organization's functions and activities and protecting the integrity of those records for as long as they are required.

The organization shall ensure that the records policy is communicated and implemented at all levels in the organization, and to entities or individuals (such as partners or contractors) working with it, or on its behalf.

5.3 Organizational roles, responsibilities and authorities

5.3.1 General

Top management shall ensure that records management roles, responsibilities and authorities are defined, assigned and communicated throughout the organization and to entities or individuals working with the organization, or on its behalf.

The assignment of responsibilities shall be appropriately allocated to all personnel at relevant functions and levels within the organization, in particular top management, programme managers, records professionals, information technology professionals, system administrators and all others who create and control records as part of their work.

Leadership to implement the MSR shall be allocated to a specific representative of top management. Where the size and complexity of the organization and its records processes require it, a records operational representative with specific training and competences shall be appointed to a specific role. The assignment of responsibilities and their interrelationships shall be documented.

5.3.2 Management responsibilities

A specific management representative shall be designated from the top management who, irrespective of other responsibilities, shall be accountable and responsible for ensuring

- a) that the MSR is established, implemented and maintained in accordance with the requirements of this International Standard,
- b) the promotion of awareness of the MSR throughout the organization, and
- c) that the roles and responsibilities defined in the MSR are properly assigned and that the personnel performing these roles are competent to perform them.

NOTE Responsibilities could be assigned to a specific position or to a designated group as appropriate to the complexity of the organization.