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Information and documentation — Management systems for records — Requirements

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

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ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

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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.

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

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This second edition cancels and replaces the first edition (ISO 30301:2011), which has been technically revised to fully follow the common text of the high level structure (HLS) for all ISO management systems standards (MSS), and to align operational requirements with the guidelines in ISO 15489.

The main changes compared to the previous edition are as follows:

— a new subclause, 4.1.2 Records requirements, has been added;

— subclauses 8.2 and 8.3 have been redrafted;

— the requirements in Annex A have been renamed and reordered. Requirements numbered A.1.1.1 and A.1.1.2 are now included in 8.2, A.2.5.7 has been deleted from Annex A.

ISO 30301 is part of a family of International Standards on management systems for records.

A list of all products in the ISO 30300 series can be found on the ISO website.

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

0.1 General

Organizational success largely depends upon implementing and maintaining a management system that is designed to continually improve performance while addressing the needs of all interested parties. 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 strategic assets, and to contribute to the preservation of collective memory, in response to the challenges of the global and digital environment.

0.2 Management system

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 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 (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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— defined roles and responsibilities;

— systematic processes;

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— measurement and evaluation;

— 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 an MSR in an organization also guarantees the transparency and traceability of decisions made by responsible management and the recognition of public interest.

0.3 Relationship with other records standards

The standards on MSR are developed within the MSS framework to be compatible and to share elements and methodology with other MSS. ISO 15489-1, together with other International Standards and Technical Reports, 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 and the most relevant products for implementing records processes and controls, either published or under preparation, is shown in Figure 1.

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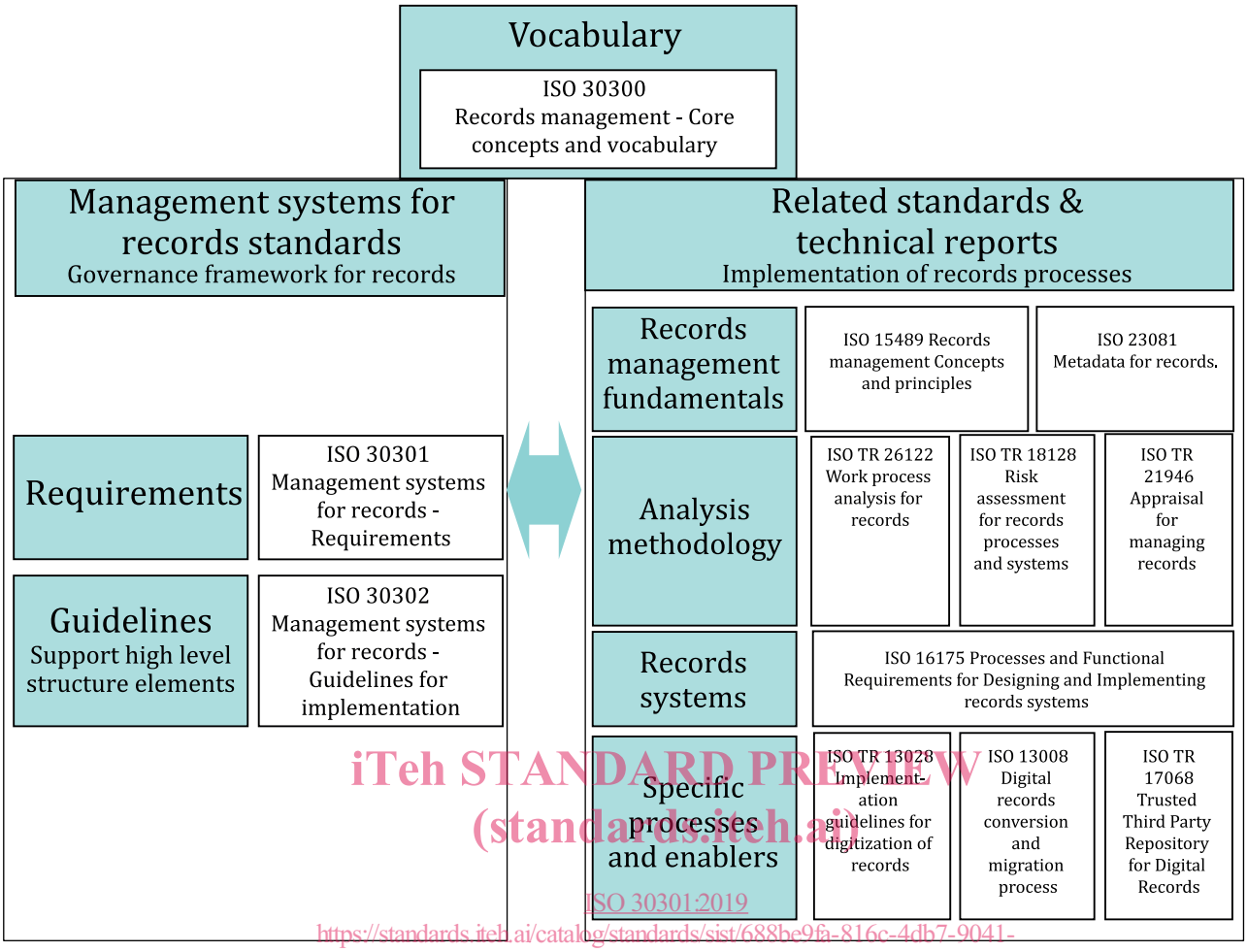

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NOTE Titles of some products and technical reports are susceptible to change when they are revised. Titles in this figure represent the subject or domain, not the complete official titles of published standards and technical reports. An updated figure with new products is available at https://committee.iso.org/home/tc46sc11.

Figure 1 — Standards on MSR and related International Standards and Technical Reports

0.4 MSR family of standards

This family of standards is intended to be used in support of:

a) top management who make decisions regarding the establishment and implementation of management systems within their organization;

b) people responsible for the implementation of MSR, such as professionals in the areas of risk management, auditing, management of records, information technology and information security.

The process approach incorporated to a management system for records emphasizes the importance of:

— identifying the organization's records requirements, including interested parties' needs and expectations, and establishing policy and objectives for records;

— implementing and operating controls for managing an organization’s risks in relation to its records, in the context of its overall business risks;

— monitoring and reviewing the performance and effectiveness of the MSR;

— continual improvement based on objective measurement.

Figure 2 represents the structure of this document in process approach.

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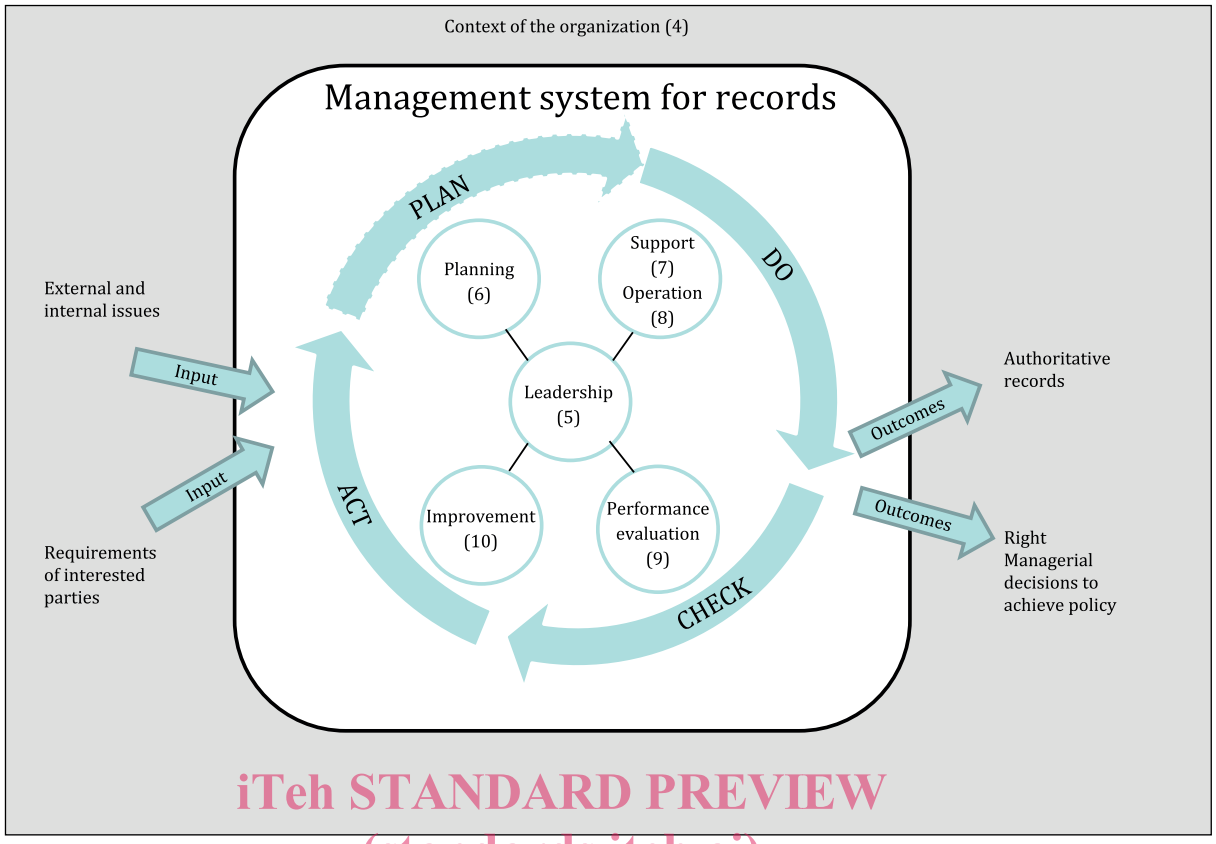

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Figure 2 — Structure of MSR in process approach

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0.5 Relationship and compatibility with other management system standards

This document conforms to ISO's requirements for management system standards. These requirements include a high-level structure, identical core text, common terms with core definitions, designed to benefit users implementing multiple ISO management system standards.

The term "documented information" is one of the core terms for MSS. Requirements related to documented information are given in 7.5. in all MSS. This document, apart from constituting a MSS itself, can support organizations to implement the documented information requirements of other management systems. For more information, see https://committee.iso.org/home/tc46sc11).

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Information and documentation — Management systems for records — Requirements

1 Scope

This document specifies requirements to be met by a management system for records (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.

An MSR can be established by an organization or across organizations that share business activities. Throughout this document, the term "organization" is not limited to one organization but also includes other organizational structures.

This document is applicable to any organization that wishes to:

— establish, implement, maintain and improve an MSR to support its business;

— ensure itself of conformity with its stated records policy;

— demonstrate conformity with this document by

a) undertaking a self-assessment and self-declaration, or

b) seeking confirmation of its self-declaration by a party external to the organization, or

c) seeking certification of its MSR by an external party.

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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 — 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 and the following apply.

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

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

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

3.1
organization
person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.8)

Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

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3.2
interested party
stakeholder
person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

3.3
requirement
need or expectation that is stated, generally implied or obligatory

Note 1 to entry: "Generally implied" means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in documented information.

3.4
management system
set of interrelated or interacting elements of an *organization* (3.1) to establish *policies* (3.7) and *objectives* (3.8) and *processes* (3.12) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning and operation.

Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

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3.5
top management
person or group of people who directs and controls an *organization* (3.1) at the highest level

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Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.4) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

3.6
effectiveness
extent to which planned activities are realized and planned results achieved

3.7
policy
intentions and direction of an *organization* (3.1), as formally expressed by its *top management* (3.5)

3.8
objective
result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels [such as strategic, organization-wide, project, product and *process* (3.12)].

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an MSR objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of MSR, MSR objectives are set by the organization, consistent with the MSR policy, to achieve specific results.

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3.9
risk
effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential "events" (as defined in ISO Guide 73:2009, 3.5.1.3) and "consequences" (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated "likelihood" (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.

3.10
competence
ability to apply knowledge and skills to achieve intended results

3.11
documented information
information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

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— the *management system* (3.4), including related *processes* (3.12);

— information created in order for the organization to operate (documentation);

— evidence of results achieved (records).

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3.12
process
set of interrelated or interacting activities which transforms inputs into outputs

3.13
performance
measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, *processes* (3.12), products (including services), systems or *organizations* (3.1).

3.14
outsource, verb
make an arrangement where an external *organization* (3.1) performs part of an organization's function or *process* (3.12)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.4), although the outsourced function or process is within the scope.

3.15
monitoring
determining the status of a system, a *process* (3.12) or an activity

Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

3.16
measurement
process (3.12) to determine a value

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