BS ISO 30300:2011

BSI Standards Publication

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

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National foreword

This British Standard is the UK implementation of ISO 30300:2011.

The UK participation in its preparation was entrusted to Technical Committee IDT/2/17, Archives/records management.

A list of organizations represented on this committee can be obtained on request to its secretary.

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

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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.

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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.

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.

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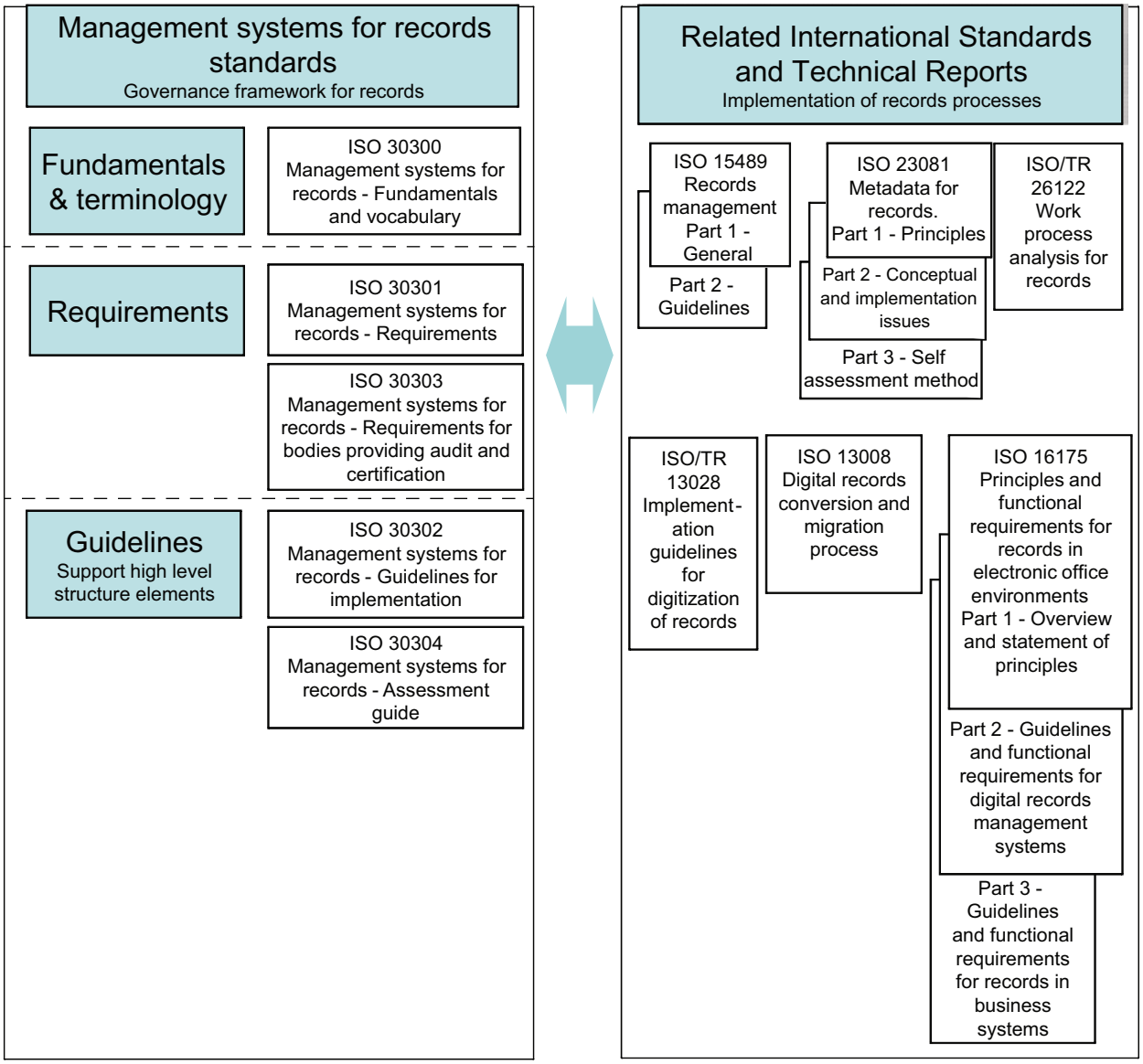

Figure 1 — Standards on MSR prepared by ISO/TC 46/SC 11 and related International Standards and Technical Reports

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.

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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.

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