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

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National foreword

This British Standard is the UK implementation of ISO 30302:2015.

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.

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© The British Standards Institution 2015.
Published by BSI Standards Limited 2015

ISBN 978 0 580 86122 2

ICS 01.140.20

Compliance with a British Standard cannot confer immunity from legal obligations.

This British Standard was published under the authority of the Standards Policy and Strategy Committee on 30 November 2015.

Amendments/corrigenda issued since publication

Date	Text affected

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INTERNATIONAL STANDARD

ISO 30302

First edition
2015-09-15

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

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

Reference number
ISO 30302:2015(E)

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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 on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

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Introduction

ISO 30302 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 30302, *Information and documentation — Management systems for records — Guidelines for implementation*

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 the 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; ISO 30302 provides guidance for the implementation of a MSR.

The purpose of this International Standard is to provide practical guidance on how to implement a management system for records (MSR) within an organization in accordance with ISO 30301. This International Standard covers what is needed to establish and maintain a MSR.

The implementation of a MSR is generally executed as a project. A 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 International Standard can be used in both situations.

It is assumed that organizations that decide to implement a 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 a 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 guidance 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 is unique and its specific contextual requirements will drive the MSR implementation. Smaller organizations will find that the activities described in this International Standard can be simplified. Large or complex organizations might find that a layered management system is needed to implement and manage the activities in this International Standard effectively.

Guidance in this International Standard 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 analysis needed to implement a MSR. From this analysis, the scope of the MSR is defined and the relationship between implementing a MSR and other management systems is identified.

Clause 5 explains how to gain the commitment of top management. The commitment is expressed in a records policy, the assignment of responsibilities, planning the implementation of the MSR and adopting records objectives.

Clause 6 deals with planning, 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, training and communication, and documentation.

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Clause 8 deals with defining or reviewing and planning the records processes to be implemented. 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 what records processes and systems need to be implemented for a MSR.

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

For each of ISO 30301:2011, Clauses 4 to 10 , this International Standard 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 using the same contextual analysis;

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 on completion of the activities.

This International Standard 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. It is to be used by people responsible for leading the implementation and maintenance of the MSR. The concepts of how to design the operational records processes are based on the principles established by ISO 15489-1. Other International Standards and Technical Reports 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 International Standard for implementing the detailed operational elements of the MSR.

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

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

1 Scope

This International Standard gives guidance for the implementation of a MSR in accordance with ISO 30301. This International Standard is intended to be used in conjunction with ISO 30300 and ISO 30301. This International Standard does not modify and/or reduce the requirements specified in ISO 30301. It describes the activities to be undertaken when designing and implementing a MSR.

This International Standard is intended to be used by any organization implementing a MSR. It is applicable to all types of organization (e.g. commercial enterprises, government agencies, non-profit organizations) of all sizes.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. 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*

ISO 30301:2011, *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 apply.

4 Context of the organization

4.1 Understanding of the organization and its context

The context of the organization should determine and drive the implementation and improvement of a MSR. The requirements of this Clause are intended to ensure the organization has considered its context and needs as part of the implementation of a MSR. These requirements are met by analysing the organization's context. This analysis should be performed as the first step of the implementation to

a) identify internal and external factors (see 4.1),

b) identify business, legal and other requirements (see 4.2), and

c) define the scope of the MSR (see 4.3) and identify risks (see Clause 6).

NOTE 1 When the scope of the MSR is stated by top management at the starting point, before identifying factors and the need for records, the extent of the contextual analysis is defined by the scope as stated.

NOTE 2 This MSS approach for context analysis and identification of requirements is compatible with the analysis process (appraisal) proposed by ISO 15489-1 which also includes elements of planning (see Clause 6) and identification of needs of records (see Clause 8).

Contextual information needs to be from a reliable source, accurate, up to date and complete. Regular review of the sources of this information ensures the accuracy and reliability of the contextual analysis.

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A.1 provides examples of sources of information about the organization's internal and external context and examples of potential stakeholders.

In identifying how the context affects the MSR, examples of important factors can be

1) how a competitive market affects the need to demonstrate efficient processes,

2) how external stakeholders' values or perceptions affect records retention decisions or information access decisions,

3) how the information technology infrastructure and information architecture can affect the availability of records systems or records,

4) how the skills and competencies within the organization can affect the need for training or external assistance,

5) how legislative instruments, policies, standards and codes affect the design of records processes and controls,

6) how the organizational culture can affect compliance with the requirements of the MSR, and

7) how the complexity of the organization's structure, business and legislative environment will affect records policy, processes and controls (e.g. in a multi-jurisdictional environment).

Depending on the organization, the identification of internal and external factors may have been performed for other purposes, including the implementation of other management system standards. In such cases, a new analysis may not be needed and an adaptation will suffice.

The contextual analysis is a continual process. It informs the establishment and systematic evaluation of the MSR (see Clause 9) and supports the cycle of continuous improvement (see Clause 10).

Output

Documented evidence that the analysis has been undertaken is a requirement of ISO 30301. Examples are as follows:

— a list of internal and external factors to take into account;

— a chapter in a manual or project plan for implementing a MSR;

— a formal report on the analysis of the organization's internal and external context and how it affects and is affected by the MSR;

— a series of documents about the context of the organization.

4.2 Business, legal and other requirements

Using the result of the analysis described in 4.1 as the starting point, the legal, business and other requirements are assessed in relation to the business activities and documented. The business activities are the first elements that are analysed to identify the requirements that affect records creation and control.

Identifying business requirements should take the following into account:

a) the nature of the activities of the organization (e.g. mining, financial advice, providing public services, manufacturing, pharmaceutical, personal services, non-profit, community services);

b) the particular form or ownership of the organization (e.g. a trust, company or government organization);

c) the particular sector to which the organization belongs (i.e. public or private sector, non-profit);

d) the jurisdiction(s) in which the organization operates.

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Business requirements should be identified from the performance of current business processes and also from the perspective of future planning and development. Special attention is needed when the organization is implementing automated or digital business processes. In these cases, requirements can change and need to be discussed with the people responsible for the development and implementation of the proposed new processes.

Activities to determine all the mandatory legal and regulatory instruments applicable to the organization include the following:

1) reviewing compliance requirements for sector-related legislation;

2) reviewing compliance for privacy and other records/data management legislation.

A.2 provides examples of the business, legal and other requirements relating to the creation and control of records and for sources of expert assistance in identifying business, legal and other requirements.

Output

Documentation of the identification of the business, legal and other requirements is mandatory in order to comply with ISO 30301. Requirements can be documented all together or in separate documents by type of requirement. Examples of the kind of documentation are as follows:

— a list of requirements identified by type (e.g. business, legislative);

— a chapter in a manual or project plan for implementing a MSR;

— A formal report on identification of requirements for the MSR;

— a list of all laws and other codified regulatory or mandatory instruments that apply to the organization relating to the creation and control of records;

— a Precedents Profile (a set of legal precedents on particular subject matters relevant to the organization).

4.3 Defining the scope of the MSR

The scope of the MSR is a decision made by top management and clearly outlines the boundaries, inclusions, exclusions, roles and relationships of the component parts of the MSR.

The scope can be defined as a result of the contextual analysis, taking into account identified factors (see 4.1) and requirements (see 4.2) but also can be stated by top management from the starting point before identifying factors and requirements.

The scope includes the following:

a) identification of what parts or functions of the organization are included. It can be the whole organization, an area or department, a specific function or business process or a group of them;

b) identification of what parts or functions of other (related) organizations are included and the relationships between them;

c) description of how the MSR integrates with the overall management system and with other specific management systems implemented by the organization (e.g. ISO 9000, ISO 14000 and ISO/IEC 27000);

d) identification of any processes that affect the MSR that are outsourced and the controls for the entities responsible for the outsourced process.

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Output

A documented statement defining the scope of the MSR is a requirement of the MSR. This statement can be a single document or be included in other MSR documents such as the records policy (see 5.2) or in manuals or project plans to implement the MSR.

5 Leadership

5.1 Management commitment

The commitment of top management to implementing the MSR is stated as explicitly and at the same level of detail as for any other management systems implemented by the organization and as for its other assets, e.g. human resources, finances and infrastructure. The requirement to demonstrate top management commitment does not require a specific activity to be performed but is essential for the success of the MSR. Commitment is also implicit in other requirements of ISO 30301 relating to resources (see 7.1), communication (see 7.4) and management review (see 9.3).

Output

It is not mandatory to document top management's commitment to the MSR, except in the records policy (see 5.2), which can be considered as evidence of that commitment. Commitment can also be demonstrated by actions or statements but depending on the nature and complexity of the organization, evidence of commitment should be documented in addition to the records policy. Examples can be found in the following:

— minutes of Boards of Directors or Boards of Management;

— statements in strategic and business plans;

— management resolutions and directives;

— budgets, business cases;

— communication plans.

5.2 Policy

The strategic direction of the organization, as defined by top management, is the basis for the records policy. The records policy is established by top management as the driver for implementing and improving an organization's MSR and providing the benchmark for assessing the performance of the MSR.

Directions from top management need to be stated in a formal document. The document is not normally drafted by top management but requires top management's formal approval, independent of the authors. Depending on the organization, top management can be identified by different positions but the records policy should be endorsed by the person in the position recognized as the most senior.

The records policy contains the overall direction on how records creation and control meet the organizational goals and provides the principles for action. It can be integrated into an overarching management policy where more than one management systems standard are implemented. In this case, the records policy does not require separate management endorsement.

Inputs to the records policy include the following:

a) analysis of the organizational context and identification of the requirements (see 4.1 to 4.2);

b) organizational goals and strategies;

c) influence of, or relationship of the policy to other organizational policies;

d) scope of the MSR (see 4.3);

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e) organizational structure and delegations.

The records policy is a statement of intent and includes, for example,

1) purpose,

2) high-level directions for the creation and control of records,

3) high-level responsibilities or commitment for the creation and control of records,

4) indication of how the policy is to be implemented, and

5) definitions.

The records policy should be drafted in a form that all people affected by the MSR can readily understand. In the implementation of records processes and systems, some technical documents including decisions are called policies. When implementing ISO 30301, the records policy should be unique and short document as a declaration from top management and does not include a description of objectives, actions or records processes.

To communicate records policy, the organization can use the methods in 7.4.

Output

An authorized records policy is required as a formal document when implementing a MSR. This formal document should be controlled and distributed throughout the organization. The records policy is the overarching document for all other documents developed for the implementation of a MSR.

5.3 Organizational roles, responsibilities and authorities

5.3.1 General

MSR responsibilities and authorities are defined and assigned to appropriate roles. They are communicated at all levels of the organization so that it is clear who is responsible for taking the necessary action for the design, implementation and maintenance of the MSR. Apart from the formal appointment of the management and operational representatives outlined in the following clauses, to implement a MSR, top management should assign responsibilities for

a) policy development and approval,

b) resource allocation,

c) development of procedures and processes and their approvals,

d) systems design,

e) training and guidance,

f) implementation and maintenance of policy, procedures and processes,

g) audit/monitoring of compliance, and

h) performance management.

These responsibilities can be assigned to different roles in the organization. The following statements can be used as guidelines for the assignment of responsibilities.

1) Top management is responsible for authorizing and supporting the application of the records policy throughout the organization.

2) Leadership responsibility and accountability for the MSR is assigned to (a specific role) within top management.

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