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

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National foreword

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Full document details: BS ISO 30302:2022+A1:2025

Contents

Page

Foreword ..... **iv**
Introduction ..... **v**
1 Scope **1**
2 Normative references **1**
3 Terms and definitions **1**
4 Context of the organization **1**
4.1 Understanding the organization and its context 1
4.1.1 General 1
4.1.2 Records requirements 3
4.2 Understanding the needs and expectations of interested parties 5
4.3 Determining the scope of the MSR 6
4.4 Management system for records 6
5 Leadership **7**
5.1 Leadership and commitment 7
5.2 Policy 8
5.3 Organizational roles, responsibilities and authorities 9
6 Planning **10**
6.1 Actions to address risks and opportunities 10
6.2 Records objectives and planning to achieve them 12
7 Support **13**
7.1 Resources 13
7.2 Competence 14
7.3 Awareness 15
7.4 Communication 16
7.5 Documented information 17
7.5.1 General 17
7.5.2 Creating and updating 19
7.5.3 Control of documented information 19
8 Operation **20**
8.1 Operational planning and control 20
8.2 Determining records to be created 20
8.3 Designing and implementing records processes, controls and systems 21
9 Performance evaluation **23**
9.1 Monitoring, measurement, analysis and evaluation 23
9.2 Internal audit 24
9.3 Management review 25
10 Improvement **26**
10.1 Nonconformity and corrective actions 26
10.2 Continual improvement 27
Annex A (informative) **Example of implementation of ISO 30301:2019, Annex A requirements** **29**
Bibliography **33**

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Full document details: BS ISO 30302:2022+A1:2025

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).

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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.

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

This second edition cancels and replaces the first edition (ISO 30302:2015), which has been technically revised.

The main changes are as follows:

— alignment with the new edition of ISO 30301 (ISO 30301:2019);

— modification of Annex A.

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

This document has been developed to assist users to apply the management system for records requirements of ISO 30301. ISO 30301 specifies the requirements for a management system for records (MSR) where an organization needs to demonstrate its ability to create and control information created, received and maintained as evidence and as an asset by an organization, in pursuit of legal obligations or in the course of conducting business.

The purpose of this document is to provide practical guidance on how to implement a management system for records (MSR) within an organization in accordance with ISO 30301. This document covers what is needed to establish and maintain an MSR. This document does not modify and/or reduce the requirements specified in ISO 30301. An activity or documenting an activity is considered mandatory only when it is required in ISO 30301.

The implementation of an MSR is generally executed as a project. An 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 document can be used in both situations. An MSR can be an advisable option for addressing legal or technological uncertainty in some cases.

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

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

Clause 5 explains leadership and how to gain the commitment of top management. The commitment is expressed in a records policy and the assignment of responsibilities and authorities.

Clause 6 deals with planning the implementation of the MSR and adopting records objectives, 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, awareness, communication, and documented information.

Clause 8 deals with defining or reviewing and planning the operational level. It includes the analysis to determine records to be created (see 8.2) and the design and implementation of records processes, controls and systems. 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 how to implement requirements in ISO 30301:2019, Annex A.

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

For each of the Clauses 4 to 10 of ISO 30301:2019, this document 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;

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, with special mention to mandatory documented information, on completion of the activities.

The concepts of how to design the operational records processes are based on the principles established by ISO 15489-1. Other documents 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 document for implementing the detailed operational elements of the MSR.

Organizations that have already implemented ISO 15489-1 can use this document 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 document gives guidance for the implementation of an MSR in accordance with ISO 30301. This document is intended to be used in conjunction with ISO 30301. It describes the activities to be undertaken when designing, implementing and monitoring an MSR.

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

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 — Records management — Core concepts and vocabulary*

ISO 30301, *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 and ISO 30301 apply.

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

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

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

4 Context of the organization

4.1 Understanding the organization and its context

4.1.1 General

The context of the organization should determine and drive the implementation and improvement of an MSR. The requirements of this clause are intended to ensure the organization has considered its context and needs as part of the implementation of an MSR. The first part of this analysis is to determine internal and external issues relevant to the purpose of the MSR and how they affect its ability to achieve the intended outcome. [A1⟩ Explicitly, this analysis includes the assessment on whether the climate change is a relevant issue for the management system for records. ⟨A1]

The contextual analysis can be used to define the scope of the MSR (see 4.3). However, if the top management determines the scope of the MSR as the starting point, before identifying contextual issues, then the extent of the contextual analysis is defined by the scope.

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

Examples of important issues in identifying how the external context affects the MSR are:

a) how the complexity of the organization's structure, business and legislative environment will affect records policy, processes, systems and controls;

b) how a competitive market affects the need to demonstrate efficient processes.

A1 c) how the climate change effects and the measures to fight against climate change affects the decisions on appraisal, records processes and systems. A1

Examples of internal issues effecting the MSR are:

1) how laws, regulations, policies, standards and codes affect the design of records processes, systems and controls;

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

3) how the organizational culture can affect compliance with the requirements of the MSR;

4) how the information technology infrastructure and information architecture can affect the availability of records systems or records;

5) how rules already implemented can affect the design of the MSR; and

6) how contractual relationships affect records retention decisions or information access decisions.

Sources of information about the organization's external context can include the following:

— laws, regulations, standards, codes of practice, rules of industry regulators, corporate governance rules, and directives;

— the litigation profile of the organization and regulatory action affecting the organization;

— economic, financial or environmental analyses from government or industry analysts; and

— media reports.

Sources of information about the organization's internal context can include the following:

— key corporate documents such as policies, strategies, business plans, annual reports;

— audit reports;

— organizational structure, definition of roles, responsibilities and delegations;

— internal standards, guidelines, codes;

— business process maps or descriptions;

— skills assessments;

— information systems inventories;

— information or data models;

— risk analyses;

— information security framework;

— contextual analyses from implementation of other management systems standards;

— project management methodologies;

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— procurement and contracting models; and

— an understanding of organizational culture (which may not be documented).

Depending on the organization, the identification of internal and external issues can have been performed for other purposes, including the implementation of other management system standards. In such cases, a new analysis will possibly 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

There is no specific requirement to document the results of the analysis, but the organization can decide to include this in a:

— list of internal and external issues affecting the MSR;

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

— chapter in a manual of an integrated management system (including more than one standard);

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

— series of documents about the context of the organization.

4.1.2 Records requirements

Based on the analysis described in 4.1.1 as the starting point, the business needs for records and the requirements for their creation, capture and management are assessed in relation to the business functions. ISO 30301 requires documenting both business needs and records requirements.

NOTE This MSS approach for context analysis and identification of requirements is compatible with the analysis process (appraisal) proposed by ISO 15489-1 and ISO/TR 21946, which also includes elements of planning (see Clause 6) and identification of the needs for records (see 8.2).

The records requirements affecting the business operation can be business, legal, regulatory or other requirements.

Identifying business requirements should take the following into account:

a) the nature of the activities of the organization (e.g. mining, finance, public services, manufacturing, pharmaceutical, personal services or community services);

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

e) planning of future accomplishments and development of business; and

f) risk management and continuity planning.

Examples of business needs for records are as follows:

— requirements to create records to execute or complete specific processes (including web-based transactions, as well as, but not restricted to, business transaction in emerging technologies such as social media, mobile computing and cloud computing);

— requirements to create records for financial/operational reporting and control;

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— requirements to create records for internal and external reporting;

— requirements to create records to control and monitor outsourced services or processes;

— requirements to create records for analysis and planning;

— requirements to create records to provide information about the organization's activities to specific stakeholders, such as shareholders or clients; and

— requirements to create records that explain the conclusions and decisions made automatically by artificial intelligence, machine learning, big data or similar algorithms.

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 processes,

— new and emerging technologies [e.g. cloud, mobile, artificial intelligence (AI), machine learning, big data, internet of things (IoT), blockchain and distributed ledger technologies (DLT), etc.],

— freedom of information (FOI) and government transparency programs, and

— personal identifiable information (PII) protection measures.

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.

Examples of the business requirements are as follows:

— requirements to control and access records required in different locations and over specified periods of time;

— requirements as to what evidence is needed of access to, and use of records (e.g. personal data); and

— requirements to share and re-use information contained in records.

Determining all of the mandatory legal and regulatory requirements applicable to the organization includes reviewing:

1) general statute and case law;

2) sector-related laws and regulations;

3) privacy and other records and data management legislation;

4) regulation of information security; and

5) legislation for electronic commerce.

Other requirements can come from voluntary standards, codes of best practice, conduct and ethics, and other sources For example, the documented information requirements of other management systems standards.

<u>Output</u>

Documentation of the identification of the business needs of records, and the identification of records requirements is mandatory in order to conform 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 the MSR;

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

— a list of all applicable laws and regulations related to the creation and control of records; and

— a set of legal precedents on particular subject matters relevant to the organization.

4.2 Understanding the needs and expectations of interested parties

The results of the analysis described in 4.1 should help to determine the interested parties that are relevant to the MSR as well as their requirements.

Examples of interested parties are as follows:

— employees;

— customers;

— investors;

— suppliers;

— regulators;

— competitors;

— trade and professional associations;

— academia and researchers;

— communities; and

— nongovernmental organizations.

Each type of interested parties can have different needs and expectations in relation with records. ISO 30301 provides some general examples which include good governance, transparency, protection of the legal rights and entitlements, availability of records for research, and the records documenting significant historical and cultural events. Each organization should make its own analysis and determine if some or all of them apply.

When addressing the needs and expectations of interested parties, the organization should take into account:

1) how external interested parties' values or perceptions affect records retention and disposition decisions or information access decisions;

2) how relationships with internal interested parties, values or perceptions affect the way records are managed; and

3) how records are made available to interested parties.

Assistance in identifying needs and expectations of interested parties can be obtained from different sources, for example:

— legal experts with knowledge of civil and common law and the interaction between them (this is particularly important where organizations operate across multiple jurisdictions);

— employees with wide understanding of their business area;

— customer panels;

— records, information technology and systems professionals;

— auditors, risk and other compliance professionals; and

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