AS/NZS ISO 30300 and AS/NZS ISO 30301 Management systems for records

Presented by Judith Ellis
Records are evidence of business

Records system characteristics

Records characteristics

Principles
What is a management system?

‘set of interrelated or interacting elements of an organisation to establish policies and objectives, and processes to achieve those objectives’

‘a management system to direct & control an organisation with regard to quality/or info security’

‘management system to direct and control an organisation with regard to records’

Management system

Management system for records

Quality management /or Information security management system

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**Why a management system for records?**

- Demand for an overarching standard or statement of principles & requirements
- Aimed at management - to make the benefits of good records creation and control relevant to the modern organisation and get this on management agenda.
- Tight integration between records processes and business processes - aim is to provide a systematic & strategic approach to the creation & control of records
- Supports all areas of business compliance and good corporate governance
- Alignment with areas interested in evidence-based processes (e.g. risk, compliance, or other MSS such as Quality, Info Security)
Information Governance and MSR

Framework
AS/NZS ISO 30301

Operation
e.g., AS ISO 15489

Systems
e.g.,
AS/NZS ISO 16175

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Management system for records standards

Governance framework for records

Fundamentals & terminology

ISO 30300
Management system for records - Fundamentals and vocabulary

ISO 30301
Management system for records - Requirements

ISO 30303
Management system for records - Requirements for bodies providing audit and certification

Guidelines

Support high level structure elements

ISO 30302
Management system for records - Guidelines for implementation

ISO 30304
Management system for records - Assessment guide

ISO 15489
Records management General-1

ISO 23081
Metadata for records. Principles-1

Conceptual and implementation issues-2

Self assessment method-3

ISO TR 13028
Implementation guidelines for digitization of records

ISO 13008
Digital records conversion and migration process

ISO TR 16175
Principles and functional requirements for records in electronic office environments-1

ISO TR 26122
Work process analysis for records

ISO TR 13028
Implementation guidelines for digitization of records

ISO 13008
Digital records conversion and migration process

ISO TR 16175
Principles and functional requirements for records in electronic office environments-1

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Published:

- AS/NZS ISO 30300 – Information & documentation – Management systems for records – Fundamentals & vocabulary
- AS/NZS ISO 30301 – Information & documentation – Management systems for records – Requirements

Under development:

- ISO 30302 - Information & documentation – Management systems for records – Guidelines for implementation
AS/NZS ISO 30300 – Information & documentation – Management systems for records – Fundamentals & vocabulary

- Explains the reasons for the creation of an MSR
- Provides the guiding principles for the successful implementation of an MSR
- Provides the terminology which ensures that it is compatible with other management systems standards (MSS)
AS/NZS ISO 30301 – Information & documentation – Management system for records – Requirements

- Specifies the requirements to develop a records policy
- Sets objectives and targets for an organization to implement systemic improvements
- This is achieved through:
  - designing records processes and systems
  - estimating the appropriate allocation of resources, and
  - establishing benchmarks to monitor, measure and evaluate outcomes
- This ensures that corrective action can be taken and continuous improvements are built into the system to support an organization in achieving its mandate, mission, strategy and goals

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Structure of an MSR

Input

Context of the organization

Leadership

Planning

Support

Operation

Improvement

Performance evaluation

Quality records

Output

Customers and stakeholders

Right managerial decisions to achieve policy and expectations

Records management requirements and expectations

Customers and stakeholders

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Integrated use and implementation

- The MSR can be one element of an organisation’s overall management system – i.e. whereby the organisation establishes policies and objectives, and processes to achieve those objectives.

- Can be integrated with & implemented with other MSS, e.g.

  - ISO 9000 Quality management systems
    - Demonstration of compliance & business processes
    - Documentation of traceability, evidence of preventive & corrective action

  - ISO 31000 Risk management systems
    - Records & recordkeeping = key supporting elements of an organisation’s strategies, processes & controls for the identification & management of risk

Relationship with other MSS

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How to implement – Strategic level

Records Policy

✔
Appropriate to the organisation

X
50 pages

Framework for records objectives

Management endorsed

Communicated, accessible

Meaningful

Records processes & operations

Procedures

Understandable only by RM people

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How to implement – Strategic level

**Records Objectives - examples**

- The organization knows what records are to be created and captured for each business process
- Metadata for controlling records and records processes are appropriate to the business process
- Procedures, systems and formats are in place that ensure the usability of records over time
- Records are retained or disposed of in an authorised and appropriate manner
How to implement – Strategic level

**Top Management Responsibility**

- Establish strategic direction – link the MSR to the organisation’s goals, requirements & priorities
- Sign off the records policy & objectives
- Mandate adoption of MSR requirements – lead by example
- Define, assign & communicate RM responsibilities
- Assign resources
- Review adequacy & effectiveness of the MSR
- Direct & support continual improvement
How to implement – Strategic level

Risk Assessment

- Compliance obligations
- Security
- Internal RM capabilities
- Environmental risks

Define Objectives

- Regulatory requirements for recordkeeping are defined, understood & implemented
- Roles and responsibilities for information management are defined and understood
- Rules exist & are implemented for information availability & access

Planning

E.g.

E.g.

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Best practices of AS ISO 15489 converted to requirements of AS/NZS ISO 30301 (Annex A)

Records systems mainly IT systems for paper & electronic records

Implementation of records processes in records systems

Using related standards and technical reports

### General
- AS ISO 15489 Records management, 1&2

### Specific
- SA/SNZ ISO TR 26122 Work process analysis
- AS/NZS ISO 13028 Digitization
- AS ISO 23081, 1-3 Metadata

### Records systems
- AS/NZS ISO 16175 Functional requirements, 1-3

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# Records Processes and Controls

## Creation
- Determine requirements for records
- Creation
- Disposition schedule
- Capture methods
- Determine metadata elements
- Form & structure of records
- Technology selection

## Control
- Registration
- Classification
- Select (metadata)
- Event history
- Access rules
- Procedures for authorised use
- Accessibility of records, including e-records
- Implement disposition
- Transfer of records
- Removal of records
- Destruction
- Administration of records systems
Certification? Compliance?

- Certification regime not established for Aust
- Many countries looking at it – Spain leading
- Enables formally recognised compliance against international standards
- Any certification body can build its own certification scheme within its country, e.g. SAI Global

**Reasons for certification:**

- Image
- Meet customer demands
- Preferred supplier status
- Better control over business operations
- Foundation for continual improvement
References

Standards available via SAI Global
http://infostore.saiglobal.com/store/

- AS/NZS ISO 30300 Information & documentation – Management systems for records – Fundamentals and vocabulary
- AS/NZS ISO 30301 Information & documentation – Management systems for records – Requirements
- LinkedIn Group – ISO 30300 Management systems for records
  http://www.linkedin.com/groups/ISO-30300-Management-systems-records-4175551
- ISO/TC 46/SC 11 website for ISO 30300 Management systems for records
  http://isotc.iso.org/livelink/livelink?func=ll&objId=11600905&objAction=browse&viewType=1

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The Standards can be purchased online at: http://www.saiglobal.com
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