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Information and documentation — Management systems for records — Requirements

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National foreword

This British Standard is the UK implementation of ISO 30301:2011.

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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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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 30301 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

ISO 30301 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.

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 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 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 guarantees the transparency and traceability of decisions made by responsible management and the recognition of public interest.

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 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 prepared by ISO/TC 46/SC 11, either published or under preparation, is shown in Figure 1.
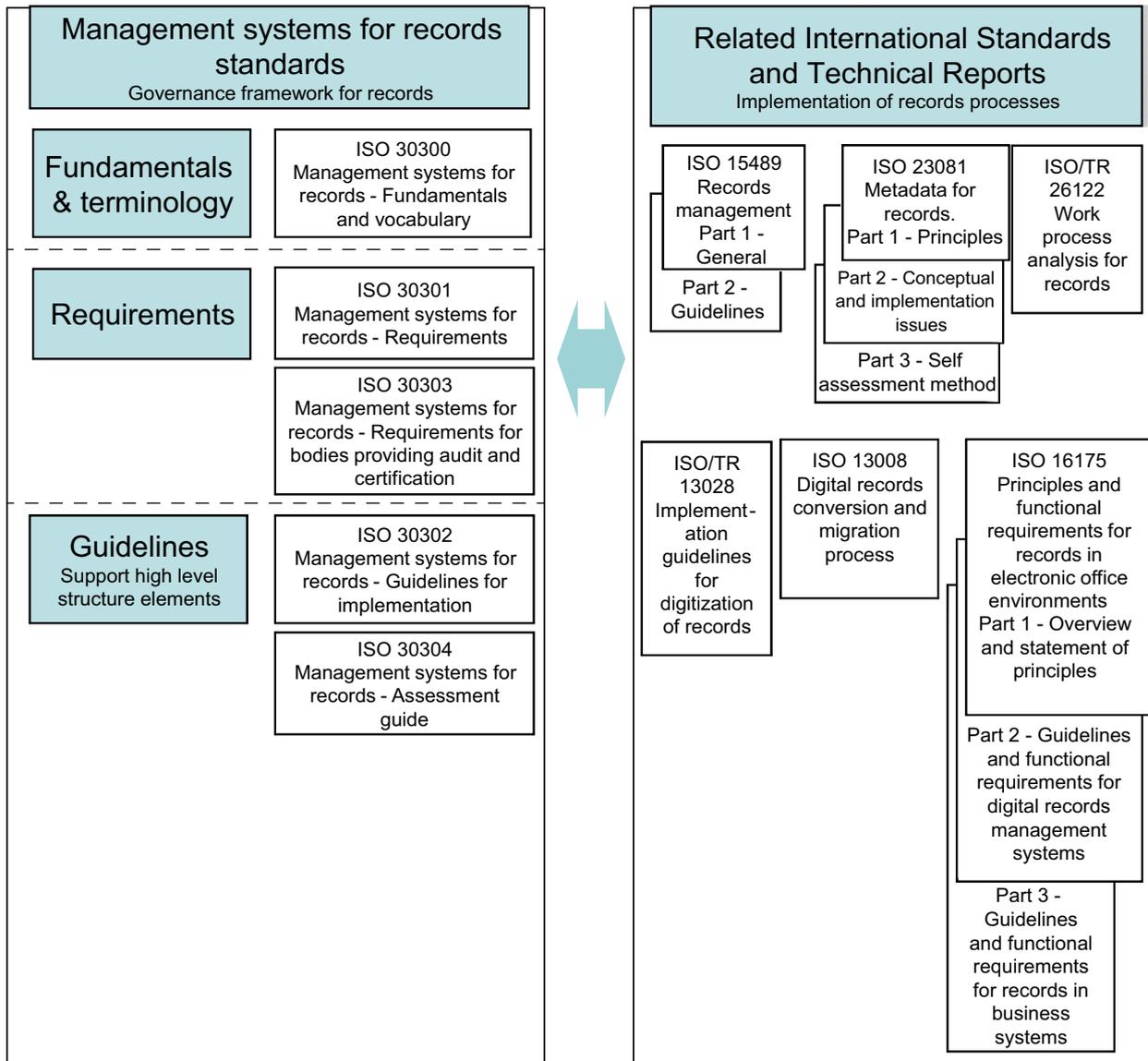
**Figure 1 — Standards on MSR prepared by ISO/TC 46/SC 11
and related International Standards and Technical Reports**

These standards are intended to be used by:

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

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

The MSR determines the records management requirements and expectations of the interested parties (customers and stakeholders) and, through the necessary processes, produces records that meet those requirements and expectations.

Figure 2 shows the structure of the MSR and the relationship with customers and stakeholders.
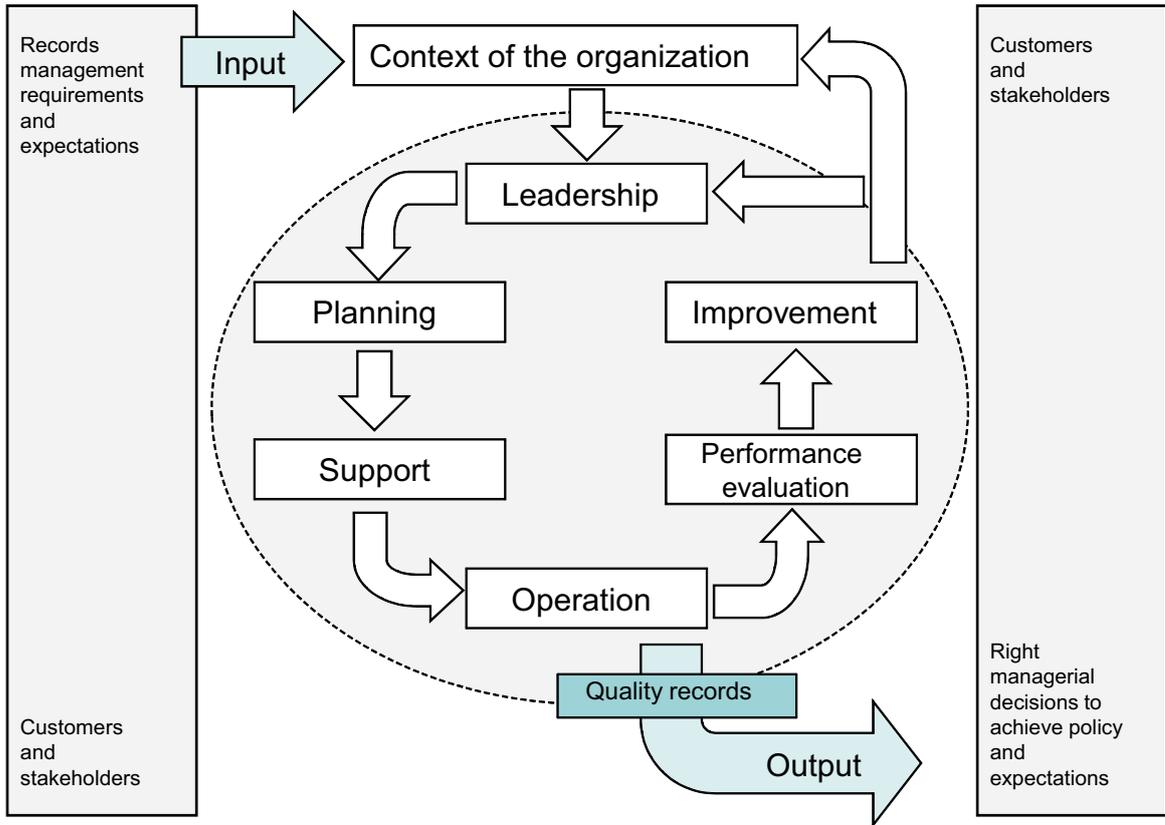
Figure 2 — Structure of MSR

INTERNATIONAL STANDARD

Information and documentation — Management systems for records — Requirements

1 Scope

This International Standard specifies requirements to be met by a 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.

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

This International Standard is applicable to any 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.

This International Standard can be implemented with other Management System Standards (MSS). It is especially useful to demonstrate compliance with the documentation and records requirements of other MSS.

2 Normative references

The following referenced documents are indispensable for the application 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 apply.

4 Context of the organization

4.1 Understanding of the organization and its context

When establishing and reviewing its MSR, an organization shall take into account all external and internal factors that are relevant.

The external and internal factors identified and taken into account when establishing and reviewing the MSR shall be documented.

Understanding the organization's external context may include, but is not limited to:

a) the social and cultural, legal, regulatory, financial, technological, economic, natural and competitive environment, whether international, national, regional or local;

b) key drivers and trends which can have an impact on the objectives of the organization;

c) relationships with, and perceptions, values and expectations of, external stakeholders.

Understanding the organization's internal context may include, but is not limited to:

1) governance, organizational structure, roles and accountabilities;

2) policies, objectives and the strategies that are in place to achieve them;

3) capabilities, understood in terms of resources and knowledge (e.g. capital, time, people, processes, systems and technologies);

4) information systems, information flows and decision making processes (both formal and informal);

5) relationships with, and perceptions and values of, internal stakeholders and the organization's culture;

6) standards, guidelines and models adopted by the organization;

7) the form and extent of contractual relationships.

4.2 Business, legal and other requirements

When establishing and reviewing its records objectives, an organization shall take into account the business, legal, regulatory and other requirements related to the creation and control of records.

The organization shall assess and document business, legal, regulatory and other requirements affecting its business operations with which it shall comply and for which it requires evidence of compliance.

Business requirements include all the requirements for the proper performance of the operations or business of the organization. Requirements arise from current business performance, future planning and development, risk management and business continuity planning.

Legal requirements include requirements related to the creation and control of records. Sources of legal requirements are:

a) statute and case law, including law and regulations governing the sector-specific and general business environment;

b) laws and regulations relating specifically to evidence, records and archives, access, privacy, data and information protection, and electronic commerce;

c) the constitutional rules of organizations, charters or agreements to which the organization is a party;

d) treaties and other instruments the organization is legally bound to uphold.

Other requirements include non-legal voluntary commitments made by the organization:

⸺ voluntary codes of best practice;

⸺ voluntary codes of conduct and ethics;

⸺ identifiable expectations of the community about what is acceptable behaviour for the specific sector or organization, including good governance, the proper control of fraudulent or malicious behaviour and transparency in decision making.

4.3   Defining the scope of the MSR

The organization shall define and document the scope of its MSR.

The scope of the MSR may include the whole of the organization, specific functions of the organization, specific sections of the organization, or one or more functions across a group of organizations.

When a MSR is established for one or more specific functions across a group of organizations, the scope shall include relationships between, and roles of, each entity.

Where an organization outsources any process that affects conformity with MSR requirements, the organization shall ensure control over such processes. Control of contractors and outsourced processes shall be identified as within the scope of the MSR.

5   Leadership

5.1   Management commitment

Top management shall demonstrate its commitment by

⸺ ensuring the MSR is compatible with the strategic direction of the organization,

⸺ integrating the MSR requirements into the organization's business processes,

⸺ providing the resources to establish, implement, maintain and continually improve the MSR,

⸺ communicating the importance of an effective MSR and conforming to the MSR requirements,

⸺ ensuring that the MSR achieves its intended outcomes, and

⸺ directing and supporting continual improvement.

NOTE   Reference to "business" in this International Standard is interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

5.2   Policy

Top management shall establish a records policy. The policy shall

⸺ be appropriate to the purpose of the organization,

⸺ provide the framework for setting records objectives,

— include a commitment to satisfy applicable requirements,

— include a commitment to continual improvement of the MSR,

— be communicated within the organization, and

— be available to interested parties, as appropriate.

The organization shall retain documented information about the records policy.

The records policy shall include the high-level strategies with regard to the creation and control of authentic, reliable and useable records capable of supporting the organization's functions and activities and protecting the integrity of those records for as long as they are required.

The organization shall ensure that the records policy is communicated and implemented at all levels in the organization, and to entities or individuals (such as partners or contractors) working with it, or on its behalf.

5.3 Organizational roles, responsibilities and authorities

5.3.1 General

Top management shall ensure that records management roles, responsibilities and authorities are defined, assigned and communicated throughout the organization and to entities or individuals working with the organization, or on its behalf.

The assignment of responsibilities shall be appropriately allocated to all personnel at relevant functions and levels within the organization, in particular top management, programme managers, records professionals, information technology professionals, system administrators and all others who create and control records as part of their work.

Leadership to implement the MSR shall be allocated to a specific representative of top management. Where the size and complexity of the organization and its records processes require it, a records operational representative with specific training and competences shall be appointed to a specific role. The assignment of responsibilities and their interrelationships shall be documented.

5.3.2 Management responsibilities

A specific management representative shall be designated from the top management who, irrespective of other responsibilities, shall be accountable and responsible for ensuring

a) that the MSR is established, implemented and maintained in accordance with the requirements of this International Standard,

b) the promotion of awareness of the MSR throughout the organization, and

c) that the roles and responsibilities defined in the MSR are properly assigned and that the personnel performing these roles are competent to perform them.

NOTE   Responsibilities could be assigned to a specific position or to a designated group as appropriate to the complexity of the organization.

5.3.3 Operational responsibilities

The organization's top management shall appoint a specific records operational representative who shall have a defined role, responsibility and authority, which includes

a)   implementing the MSR at the operational level,

b)   reporting to the top management on the effectiveness of the MSR for review, including recommendations for improvement, and

c)   establishing liaison with external parties on matters relating to the MSR.

NOTE   The roles of management representative and records operational representative could be performed by the same person or group.

6   Planning

6.1   Actions to address risks and opportunities

The organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed in order to

a)   assure the MSR can achieve its intended outcome(s),

b)   prevent undesired effects, and

c)   realize opportunities for improvement.

The organization shall evaluate the need to plan actions to address these risks and opportunities and, where applicable,

⎯   integrate and implement these actions into its MSR processes (see 8.1),

⎯   ensure information will be available to evaluate whether the actions have been effective (see 9.1).

6.2   Records objectives and plans to achieve them

Top management shall ensure that records objectives are established and communicated for relevant functions and levels within the organization.

The records objectives shall

a)   be consistent with the records policy,

b)   be measurable (if practicable),

c)   take into account applicable requirements, and

d)   be monitored and updated as appropriate.

The records objectives shall be derived from an analysis of the organization's activities. They shall define the areas where legislation, regulations, other standards and best practices have the greatest application to the creation of records connected to activities.

The records objectives shall take into account the size of the organization, the nature of its activities, products and services and the location, conditions, juridical/administrative system and cultural environment in which it functions.

The organization shall retain documented information about the records objectives.

To achieve its records objectives, the organization shall determine

— who will be responsible,

— what will be done,

— what resources will be required,

— when it will be completed,

— how the results will be evaluated.

7   Support

7.1   Resources

Top management shall allocate and maintain the resources needed for the MSR.

Resources management includes

a)   assigning responsibility to personnel competent to perform the roles assigned in the MSR,

b)   periodic review of the competencies and training of those personnel, and

c)   maintenance and sustainability of resources and technical infrastructure.

7.2   Competence

The organization shall

a)   determine the necessary competence of person(s) doing work under its control that affects the performance of its records processes and systems,

b)   ensure these persons are competent on the basis of appropriate education, training, and experience,

c)   where applicable, take actions to acquire the necessary competence and evaluate the effectiveness of the actions taken, and

d)   retain appropriate documented information as evidence of competence.

NOTE   Applicable actions can include, for instance, the provision of training to, the mentoring of, or the re-assignment of current employees, or the hiring or contracting of competent persons.

7.3   Awareness and training

The organization shall ensure that its personnel are aware of

a)   the relevance and importance of their individual activities and how they contribute to the achievement of the MSR objectives,

b)   the importance of conformity with the MSR policy and procedures and with the requirements of the management system,

c)   the significant MSR issues and related actual or potential impacts associated with their work and the benefits of improved personal performance,

d)   their roles and responsibilities in achieving conformity with the requirements of the MSR, and

e)   the potential consequences of departure from specified procedures.

The organization shall establish an ongoing programme for training in records creation and control. Programmes for training in the requirements and practices for managing records shall be provided to all levels of staff in the organization, including contractors and staff of other organizations where relevant. The required competencies and skills of these different roles, with respect to managing records, shall be assessed and identified and built into the training programmes developed and provided by the organization.

7.4   Communication

The organization shall establish, implement, document and maintain procedures for internal communication about the MSR and its records policy and objectives. Internal communication for the effective implementation of the MSR shall include responsibilities, operational procedures and access to documentation.

The organization shall decide whether or not to communicate to other entities (e.g. where there are shared business processes) about its MSR. If the decision is to communicate, the organization shall establish means for this communication. Depending on the level of interaction with external parties such as contractors, customers and suppliers, communication may be in the form of high-level information about the MSR and its objectives or documentation of specific procedures.

7.5   Documentation

7.5.1   General

The organization shall document its MSR. This shall include authorized statements of:

a)   the scope of the MSR;

b)   the policy and objectives;

c)   the interdependence and relationships between the MSR and the other management systems in the organization or between organizations;

d)   documented procedures as required by this International Standard;

e)   documentation determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.

NOTE 1   Where the term "documented procedure" appears in this International Standard, this means that the procedure is established, documented, implemented and maintained.

NOTE 2   The extent of the MSR documentation can differ from one organization to another owing to

—   the size of the organization and the type of activities in which it is involved, and

—   the scope and complexity of the records management processes and the records system(s) being implemented and managed, including where business activities operate across more than one entity.

7.5.2 Control of documentation

Documentation required by the MSR shall be controlled. A documented procedure shall define the controls needed to

a)   approve documentation for adequacy prior to issue,

b)   review, update and re-approve documentation,

c)   ensure that changes and the current revision status of documentation are identified,

d)   ensure that relevant versions of applicable documentation are available at points of use,

e)   ensure that documentation remains legible and readily identifiable,

f)   ensure that documentation of external origin is identified and its distribution controlled, and

g)   prevent the unintended use of obsolete documentation, and classify it as obsolete if it is retained for any purpose.

The documentation of the MSR is classified as records, which shall be managed in a records system. The MSR documentation creation and control procedures shall be consistent with the general records creation and control procedures [see 8.2 c)].

8   Operation

8.1   Operational planning and control

The organization shall determine, plan, implement and control those processes needed to address the risks and opportunities determined in 6.1 and to meet the requirements in 6.1 by

⸺   establishing criteria for those processes,

⸺   implementing the control of these processes in accordance with the criteria, and

⸺   keeping documented information to demonstrate that the processes have been carried out as planned.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall control processes that are contracted out or outsourced.

8.2   Design of records processes

To establish the MSR, the organization shall design the records processes according to the following outline.

a)   Analyse work processes in order to determine the requirements for records creation and control in relation to continuing operations, and to satisfy accountability and other stakeholders' interests (see ISO/TR 26122).

b)   Assess the risks that might be incurred through failure to control authentic, reliable and useable records of the organization's business processes:

1)   to estimate the levels of risks;

2)   to determine whether the risks are acceptable against defined criteria, or whether the risks require management;

3)   to identify and evaluate options for the management of risks.

c) Specify the processes (see Annex A for records processes to be deployed by the organization) for creating and controlling records and how they are to be performed in systems, and choose the technological tools to be used. The aims of these processes shall include the following.

    1) Creation:

        i) determine what, when and how records shall be created and captured for each business process;

        ii) determine the content, context and control information (metadata) that shall be included in the records;

        iii) decide in what form and structure the records shall be created and captured;

        iv) determine the appropriate technologies for creating and capturing records.

    2) Control:

        i) determine what control information (metadata) shall be created through the records processes and how it will be linked to the records and managed over time;

        ii) establish rules and conditions for use of records over time;

        iii) maintain the usability of the records over time;

        iv) establish authorized disposition of the records;

        v) establish conditions that shall be used for administration and maintenance of records systems.

To achieve these aims, the processes and controls given in Annex A shall be implemented, taking into account the resources of the organization, the business context and the identified risks, as well as the regulatory and societal environment.

8.3 Implementation of records systems

The organization shall do the following:

a) implement the records processes in records systems to meet the records objectives;

b) establish regular monitoring of the performance of the records systems against business requirements and records objectives;

c) manage the operation of the records systems.

NOTE   In the electronic environment (e.g. e-administration, e-government, e-governance, e-commerce), records processes will increasingly be automated and supported by an automated records system. Jurisdictional standards on functional requirements exist. Automated records systems should comply with functional requirements that are compatible with the requirements in this International Standard.

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 The organization shall determine:

— what needs to be measured and monitored;

— the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;

— when the monitoring and measuring shall be performed;

— when the analysis and evaluation of monitoring and measurement results shall be performed.

9.1.2   The organization shall evaluate the performance of records processes and systems and the effectiveness of the MSR.

Additionally, the organization shall:

a)   take action when necessary to address adverse trends or results before a nonconformity occurs;

b)   retain relevant documented information as evidence of the results.

9.1.3   To assess the effectiveness of the MSR, the organization shall monitor and, when applicable, measure the following as appropriate:

a)   the records policy to ensure that it reflects current business needs and is updated following any significant change in the organization;

b)   the records objectives to ensure that they are consistent with the records policy, achievable, still valid and support continual improvement;

c)   changes in business, legal and other requirements which affect the MSR;

d)   availability and adequacy of resources, such as financial, human, infrastructure, technology, etc.;

e)   adequacy of assignment and allocation of roles, responsibilities and authorities;

f)   the performance of the person with designated responsibility for the implementation, reporting and promotion of awareness of the MSR;

g)   the performance of records processes and systems against objectives;

h)   the adequacy of the documentation and proper implementation of document control procedures;

i)   the effectiveness of the records systems to achieve the strategic, managerial and financial objectives of the organization using measures selected in implementation of records systems;

j)   the effectiveness of the organization's MSR training and awareness programme and communication strategy;

k)   users' and stakeholders' satisfaction.

Annex C provides examples of assessing and measuring indicators in the form of a checklist for self-assessment.

The monitoring and measuring criteria shall evolve according to the changes in the organization's societal, economic, strategic or legal context.

9.2   Internal system audit

The organization shall conduct internal audits at planned intervals in order to provide information to assist in the determination of whether the MSR:

a)   conforms to

    1)   the organization's own requirements for its MSR,

    2)   the requirements of this International Standard;

b)   is effectively implemented and maintained.

The organization shall:

— plan, establish, implement and maintain audit programme(s), taking into account the frequency, methods, responsibilities, planning requirements and reporting, while also taking into consideration the importance of the processes concerned and the results of previous audits;

— define the audit criteria and scope for each audit;

— select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

— ensure that the results of the audits are reported to relevant management;

— retain documented information as evidence of the results.

9.3   Management review

Top management shall review the organization's MSR, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

The management review shall consider:

a)   the status of actions from previous management reviews;

b)   changes in external and internal issues that are relevant to the MSR;

c)   information on the performance of records processes and systems, including trends in

    1)   nonconformities and corrective actions,

    2)   monitoring and measurement evaluation results, and

    3)   audit results;

d)   opportunities for continual improvement.

The outputs of the management review shall include decisions related to continual improvement opportunities and the possible need for changes to the MSR.

The organization shall retain documented information as evidence of the results of management reviews.

10 Improvement

10.1 Nonconformity control and corrective actions

The organization shall:

— identify nonconformities,

— react to the nonconformities and, as applicable,

  — take action to control, contain and correct them,

  — deal with the consequences.

The organization shall also evaluate the need for action to eliminate the causes of nonconformities, including:

a) reviewing nonconformities,

b) determining the causes of nonconformities,

c) identifying whether potential similar nonconformities exist elsewhere in the MSR,

d) evaluating the need for action to ensure that nonconformities do not recur or occur elsewhere,

e) determining and implementing action needed,

f) reviewing the effectiveness of any corrective action taken, and

g) making changes to the MSR, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

The organization shall retain documented information as evidence of

  1) the nature of the nonconformities and any subsequent actions taken, and

  2) the results of any corrective action.

10.2 Continual improvement

The organization shall continually improve the effectiveness of the MSR through the use of the records policy, records objectives, audit results, analysis of data, corrective and preventive actions and management evaluation.

Actions for improvement shall be prioritized according to the results of the risk assessment (see 6.1).

Annex A
(normative)

Processes and controls

This annex presents records processes and controls which shall be implemented. The implementation can be applied in a scaled way to suit the characteristics of the organization. The decision not to implement any process shall be justified (e.g. an organization might decide not to implement A.2.4.3, Transfer, because the transfer of its records to another organization is not planned).

The records processes and controls have been grouped and numbered in Table A.1 to follow the aims described in 8.2 c) 1) Creation and 8.2 c) 2) Control. Records processes are listed in the left column. For each records process, one or more controls are provided.

Table A.1

No	Process	Controls
A.1	**Creation**	
A.1.1	**Determining what, when and how records shall be created and captured for each business process**	
A.1.1.1	Determine the need for information	All operational, reporting, audit and other stakeholders' needs for information (captured as records with appropriate metadata) about the organization's processes shall be identified and documented systematically.
A.1.1.2	Determine requirements	Requirements for creating, capturing and managing records, and decisions not to capture records for specific processes, shall be determined based on business, legal and other requirements, documented and authorized.
A.1.1.3	Create reliable records	Records shall be created at the time of (or soon after) the transaction or incident to which they relate by individuals who have direct knowledge of the facts or by instruments routinely used by the organization to conduct the transaction.
A.1.1.4	Determine retention	A procedure shall be established to determine retention periods for records according to the requirements of each work process.
A.1.1.5	Establish disposition schedule	Decisions about retention and disposition of records based on business, legal and other identified requirements shall be documented in a disposition schedule.
A.1.1.6	Determine methods of integrated capture	Methods of integrating the capture of records with business processes shall be decided upon and documented.
A.1.2	**Determining the content, context and control information (metadata) that shall be included in the records**	
A.1.2.1	Identify contextual and descriptive information	The information needed to identify the records of each work process, including identifying the section of the organization responsible for those records and the work process, shall be determined and documented as part of the records requirements.
A.1.2.2	Identify points of capture	The points at which the contextual information is captured or added to the records, and its sources, shall be identified in the procedures for each work process.
A.1.3	**Deciding in what form and structure the records shall be created and captured**	
A.1.3.1	Identify specific requirements	The information, and the form and structure of the information, required as records for each work process shall be identified and documented.

Table A.1 (*continued*)

No	Process	Controls
A.1.4	**Determining appropriate technologies for creating and capturing records**	
A.1.4.1.	Select technologies	Technologies for creating and capturing records shall be selected for each work process (whether automated or manual). The selection and any change of technologies shall be documented.
A.2.	**Control**	
A.2.1	**Determining what control information (metadata) shall be created through the records processes and how it will be linked to the records and managed over time**	
A.2.1.1	Register	For work processes which require evidence of capture, a procedure for registering records by attaching a unique identifier at the time of capture shall be implemented. The procedure shall ensure that no transactions involving the record can take place before registration is completed.
A.2.1.2	Classify	The records shall be grouped (classified) according to the work processes to which they are related.
A.2.1.3	Classify	The scheme for grouping (classifying) the records, reflecting the nature, number and complexity of the work processes of the organization, shall be documented (including changes over time) and implemented as part of the procedures of those work processes.
A.2.1.4	Select control information (metadata elements)	The descriptive and control information (metadata elements) required to create and control the records for each work process shall be identified and documented.
A.2.1.5	Determine event history	Records processes which need to be recorded in metadata linked to the record event history shall be defined. Procedures shall be established to link the event history to the records and to maintain it for as long as the records themselves.
A.2.1.6	Control of records across the organization	Decisions about what metadata are required to identify, manage and control records throughout the organization, and externally, shall be documented and implemented.
A.2.2	**Establishing rules and conditions for use of records over time**	
A.2.2.1	Develop access rules	Rules shall be established for regulating access to records based on work process requirements, relevant legislation and, if appropriate, commercial considerations. These shall be documented and maintained for as long as the records are required.
A.2.2.2	Implement access rules	The access rules shall be implemented in the records systems by assigning access status to both records and individuals.
A.2.3	**Maintaining the usability of the records over time**	
A.2.3.1	Maintain integrity and authenticity	Procedures shall be implemented to ensure the integrity/security of the records and to prevent unauthorized use, modification, removal, concealment and/or destruction.
A.2.3.2	Maintain usability	The means of maintaining/storing the records shall meet the relevant standards for the medium and technology used in order to ensure they remain useable for as long as required.
A.2.3.3	Maintain usability	Procedures shall be established and implemented to ensure that digital records remain accessible and meaningful over time, also outside the context of their creation.
A.2.3.4	Limit restrictions	Restrictions, including use of encryption, shall be removed after a stated period.

Table A.1 (*continued*)

No	Process	Controls
A.2.4	**Implementing authorized disposition of the records**	
A.2.4.1	Implement disposition	Procedures shall be established for reviewing, authorizing and implementing decisions on retention and disposition of the records of each work process.
A.2.4.2	Authorize disposition	Decisions about the transfer, removal or destruction of records shall be authorized and documented.
A.2.4.3	Transfer	Procedures for authorized and controlled transfer of records to another organization or system shall be established and implemented.
A.2.4.4	Remove	Procedures for authorized, regular removal of records which are no longer required, including removal to off-site or off-line storage, shall be established and implemented.
A.2.4.5	Destroy	Records authorized for destruction shall be destroyed under appropriate supervision. The destruction shall be documented.
A.2.4.6	Keep information about destroyed records	Where the nature and complexity of the business and formal accountabilities require it, control information (registration, identification and history metadata) about records which have been destroyed shall be retained.
A.2.5	**Establishing conditions for administration and maintenance of records systems**	
A.2.5.1	Identify records systems	All records systems (including business systems which keep records) shall be clearly identified, assigned to a responsible owner and documented in an inventory which is regularly updated.
A.2.5.2	Document implementation decisions	Implementation decisions on records systems shall be documented, maintained and made available to all users who need them.
A.2.5.3	Access to records systems	Rules shall be established, documented and maintained for regulating access to records systems in order to undertake system administration tasks.
A.2.5.4	Ensure availability	Procedures for operational maintenance shall be established to ensure records systems' availability.
A.2.5.5	Ensure effectiveness	Regular monitoring of the performance of records systems against business requirements and records objectives shall be implemented and documented.
A.2.5.6	Ensure integrity	Procedures shall be provided to ensure and demonstrate that any system malfunction, upgrade or regular maintenance does not affect records integrity.
A.2.5.7	Manage changes	Changes in records systems, particularly exceptional operations (such as migration, integration of new requirements, computer technology change or discontinuation), shall be analysed, planned and implemented. Decisions made shall be documented.

The relationship between the MSR and ISO 9001, ISO 14001 and ISO/IEC 27001 is given in Annex B, which compares the general document and records control clauses in those International Standards to the records controls in Table A.1.

Annex B
(informative)

Interrelationships between ISO 9001, ISO 14001, ISO/IEC 27001 and ISO 30301

Every MSS, such as ISO 9001, ISO 14001 and ISO/IEC 27001, has a documentation section consisting of general document control and records control clauses, as follows.

a)   The general part specifies a list of documents, including records, which shall be included in the management system.

b)   The document control part specifies the requirements about document preparation, review, approval, revision status control, distribution and availability, identification and prevention of misuse.

c)   The records control part specifies procedures for records preparation, identification, storage, protection, retrieval, retention time and disposition.

While records constitute a special type of document defined within the MSS, documents which are identified as, or determined to be, records of each management system shall be controlled to satisfy both the document control and the records control requirements from preparation, through distribution, use, and to disposal.

The requirements specified for control of records in every MSS are insufficient on their own to implement and control records and documents. This International Standard provides guidance on how to control the records and documents required in other management systems adequately.

For the proper creation and control of records, this International Standard specifies the records processes and their purposes, how they are to be performed in systems and how to choose the technological tools to be used.

Table B.1 below shows the relationship between the MSR processes and controls in Annex A and the documentation clauses of other MSS.

Table B.1

	Interrelationships between ISO 9001:2008, ISO 14001:2004, ISO/IEC 27001:2005 and ISO 30301:2011			Records processes in Annex A of ISO 30301								
				Creation				Control				
	ISO 9001:2008	ISO 14001:2004	ISO/IEC 27001:2005	A.1.1	A.1.2	A.1.3	A.1.4	A.2.1	A.2.2	A.2.3	A.2.4	A.2.5
General	**4.2 Documentation requirements** **4.2.1 General** The quality management system documentation shall include: a) documented statements of a quality policy and quality objectives, b) a quality manual, c) documented procedures required by this International Standard, and d) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.	**4.4.4 Documentation** The environmental management system documentation shall include: a) the environmental policy, objectives and targets, b) description of the scope of the environmental management system, c) description of the main elements of the environmental management system and their interaction, and reference to related documents, d) documents, including records, required by this International Standard, and e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.	**4.3 Documentation requirements** **4.3.1 General** The ISMS documentation shall include: a) documented statements of the ISMS policy [see 4.2.1b)] and objectives, b) the scope of the ISMS [see 4.2.1a)], c) procedures and controls in support of the ISMS, d) a description of the risk assessment methodology [see 4.2.1c)], e) the risk assessment report [see 4.2.1c) to 4.2.1g)], f) the risk treatment plan [see 4.2.2b)], g) documented procedures needed by the organization to ensure the effective planning, operation and control of its information security processes, and a description of how to measure the effectiveness of controls [see 4.2.3c)], h) records required by this International Standard (see 4.3.3), and i) the Statement of Applicability.	★								
			Documentation shall include records of management decisions, ensure that actions are traceable to management decisions and policies, and ensure that the recorded results are reproducible. It is important to be able to demonstrate the relationship from the selected controls back to the results of the risk assessment and risk treatment process, and subsequently back to the ISMS policy and objectives.	★	★				★			

Table B.1 (*continued*)

Interrelationships between ISO 9001:2008, ISO 14001:2004, ISO 27001:2005 and ISO 30301:2011			Records processes in Annex A of ISO 30301								
			Creation				Control				
ISO 9001:2008	ISO 14001:2004	ISO/IEC 27001:2005	A.1.1	A.1.2	A.1.3	A.1.4	A.2.1	A.2.2	A.2.3	A.2.4	A.2.5
4.2.3 Control of documents Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4. A documented procedure shall be established to define the controls needed to approve documents for adequacy prior to issue [4.2.3.a].	**4.4.5 Control of documents** Documents required by the environmental management system and by this International Standard shall be controlled. Records are a special type of document and shall be controlled in accordance with the requirements given in 4.5.4. The organization shall establish, implement and maintain a procedure(s) to approve documents for adequacy prior to issue [4.4.5.a].	**4.3.2 Control of documents** Documents required by the ISMS shall be protected and controlled. A documented procedure shall be established to define the management actions needed to: Approve documents for adequacy prior to issue [4.3.2.a].	★								★
To review and update as necessary and re-approve documents [(4.2.3.b)]. To ensure that changes and the current revision status of documents are identified [4.2.3.c].	Review and update as necessary and re-approve documents [4.4.5.b]. Ensure that changes and the current revision status of documents are identified [4.4.5.c].	Review and update documents as necessary and re-approve documents [4.3.2.b]. Ensure that changes and the current revision status of documents are identified [4.3.2.c].		★			★			★	
To ensure that relevant versions of applicable documents are available at points of use [4.2.3.d].	Ensure that relevant versions of applicable documents are available at points of use [4.4.5.d].	Ensure that relevant versions of applicable documents are available at points of use [4.3.2.d].						★	★		
To ensure that documents remain legible and readily identifiable [4.2.3.e].	Ensure that documents remain legible and readily identifiable [4.4.5.e].	Ensure that documents remain legible and readily identifiable [4.3.2.e].		★	★				★		
To ensure that documents of external origin are identified and their distribution controlled [4.2.3.f].	Ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the environmental management system are identified and their distribution controlled [4.4.5.f].	Ensure that documents of external origin are identified [4.3.2.g]. Ensure that the distribution of documents is controlled [4.3.2.h].		★			★	★			
To prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose [4.2.3.g].	Prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose [4.4.5.g].	Prevent the unintended use of obsolete documents [4.3.2.i]. Apply suitable identification to them if they are retained for any purpose [4.3.2.j].						★	★	★	
		Ensure that documents are available to those who need them, and are transferred, stored and ultimately disposed of in accordance with the procedures applicable to their classification [4.3.2.f].							★	★	

Control of documents

Table B.1 (*continued*)

Control of records	ISO 9001:2008	ISO 14001:2004	ISO/IEC 27001:2005	A.1.1	A.1.2	A.1.3	A.1.4	A.2.1	A.2.2	A.2.3	A.2.4	A.2.5
	4.2.4 Control of records	**4.5.4 Control of records**	**4.3.3 Control of records**									
	Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the quality management system (4.2.4).	The organization shall establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of the results achieved (4.5.4).	Records shall be established and maintained to provide evidence of conformity to requirements and the effective operation of the ISMS. They shall be protected and controlled (4.3.3).	★	★			★				
	Records shall remain legible, readily identifiable and retrievable (4.2.4).	Records shall be and remain legible, identifiable and traceable (4.5.4).	Records shall remain legible, readily identifiable and retrievable (4.3.3).		★	★			★	★		
	A documented procedure shall be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records (4.2.4).	The organization shall establish, implement and maintain a procedure, or procedures, for the identification, storage, protection, retrieval, retention and disposal of records (4.5.4).	The controls needed for the identification, storage, protection, retrieval, retention time and disposition of records shall be documented and implemented (4.3.3).	★				★	★	★	★	★
			The ISMS shall take account of any relevant legal or regulatory requirements and contractual obligations (4.3.3).	★								
			Records shall be kept of the performance of the process as outlined in 4.2 and of all occurrences of significant security incidents related to the ISMS (4.3.3).	★	★							

Header (spanning): Interrelationships between ISO 9001:2008, ISO 14001:2004, ISO 27001:2005 and ISO 30301:2011 | Records processes in Annex A of ISO 30301 — Creation (A.1.1, A.1.2, A.1.3, A.1.4), Control (A.2.1, A.2.2, A.2.3, A.2.4, A.2.5)

Annex C
(informative)

Checklist for self-assessment

Table C.1 — Checklist for self-assessment

Clause	Check	Adequate	Need improvement	No	Coming	Not applicable
4.1	Has the organization identified and documented internal and external factors affecting the MSR, including the organization's key stakeholders who have an interest in its records objectives?					
4.2.	Does the documentation of the MSR identify the key requirements — legislative — regulatory — business which the MSR must satisfy?					
4.3	Has the organization defined and documented the scope and purpose of the MSR?					
4.3	Does the scope identify: — the section(s) — the function(s) — any external service provider(s) of the organization to which the MSR applies?					
5.1	Has top management communicated the decision to establish the MSR to the organization?					
5.2	Does the organization have a defined policy for records?					
5.2	Has the records policy been adopted and endorsed by top management?					
5.2	Is responsibility for compliance assigned?					
5.3	Has a specific management representative with a defined role, responsibility and authority for the MSR been appointed by top management?					
6.1	Has the organization identified and documented the risks and opportunities to be addressed by the MSR?					
6.2	Has the organization established records objectives for its key work processes to address the risks and opportunities?					
6.2	Are the objectives consistent with the records policy measurable and practical?					
6.2	Are the records objectives commensurate with the resources of the organization?					

Table C.1 (*continued*)

Clause	Check	Adequate	Need improvement	No	Coming	Not applicable
6.2	Is there an implementation plan identifying — who is responsible — what is to be done — timelines for achieving the records objectives?					
7.1	Are the resources allocated commensurate with the full implementation of the MSR?					
7.2	Are responsibilities for records objectives allocated to competent personnel at relevant levels throughout the organization?					
7.3	Are there training and awareness programmes in place for the records objectives and implementation plan?					
7.4	Are procedures for internal and external communication about the MSR established?					
7.5	Is the documentation required by the MSR, especially the procedures, adequately identified, controlled and maintained?					
8.1	Are processes that are needed to address risks and opportunities planned and implemented?					
8.2	Is there documentation of the selection of records processes and controls used to design the records systems implemented under the MSR?					
8.3	Is there documentation on implementation of records systems and how they meet records objectives?					
9.1	Are the identified stakeholders regularly surveyed for evaluation of the effectiveness of the MSR in meeting their expectations?					
9.2	Is the implementation of the MSR audited at regular intervals?					
9.3	Is there a management review and evaluation process in place for the MSR?					
9.3	Have the results of the management evaluation of the MSR been analysed and responded to?					
10.1	Is there a procedure in place to respond to and correct nonconformities identified by the monitoring and audit processes?					
10.2	Has the organization established procedures for implementing corrections, updates and improvements to the MSR?					

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