

What is ISO 30300? Who, when, where, why and how to implement

Barcelona, October 28th 2011

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1. What is ISO 30300: MSR?
 - a) Background of MSR initiative
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 - a) Benefits to implementation
 - b) What kind of organizations?
 - c) Driver roles and leadership
3. How to implement
 - a) The strategic level & relationship with other MSS
 - b) The operational level: records processes and records systems

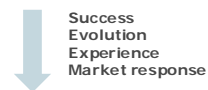
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ISO TC46/SC11 – Background

- ▶ Established 1998
- ▶ 39 member countries (12 = observers)
- ▶ c.110 active experts
- ▶ 12 published products
- ▶ 4 under development
- ▶ Free white papers
- ▶ 7 WGs: 7 + 3 joint WG's

Foundation standard:
ISO 15489 (2001) (part 1 and 2)
Records Management



**Management systems
for records (MSR series)**

MISSION Take a leading role in improving best practices in managing records by providing a framework as well as standards and guidance for the design and application of records practices and processes.

ISO 15489: A success story

2001
Publication



2010
Extension

- Adopted in >50 countries
- Translated to >15 languages
- Estimated sales in top 10

The context

The need of organizations to manage their records as evidence of their activities has always existed for

- Accountability purposes (fiscal, administrative, economic, political, etc.)
- Preservation of "know-how", or an organization's memory

Records creation and control



Technological change

E-society (e-government, e-business)



A new vision is needed

Real risks

Why an MSS for records?

Purpose	<ul style="list-style-type: none">To provide a systematic and strategic approach to the creation and control of records as part of regular business processes, using them as business, commercial and knowledge assets
Need	<ul style="list-style-type: none">The challenge of the electronic environment and global competition creates a demand for a management systems approach to evidence-based governance and operations in all organizations
ISO 15489 success	<ul style="list-style-type: none">Adopted by more than 50 countries in 5 continents and translated to 15+ languagesISO 15489 - in top 10 highest selling ISO standards after ISO 9000
Compatibility	<ul style="list-style-type: none">Every MSS has document & records requirement sections!MSR texts are strongly based in "Integrated use of management system standards"
Conformity/certification	<ul style="list-style-type: none">Existing conformity assessment activities (eg. audits, certification) at local level-> simplify and standardizeOrganizations asked NMB and Certification Agencies for certification on 15489 (sometimes along with ISO 9000)

MSR project (ISO 30300 series): current status & future

2011 - published

ISO 30300 *Management systems for records – Fundamentals and vocabulary*

ISO 30301 *Management systems for records – Requirements*

2011→ under development

30302 *Management systems for records – Guidelines for implementation*

30304 *Management systems for records – Assessment guide*

What is an MSR?

Management system

- ▶ set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives [ISO/TMB/TAG13-JTCG, definition T2.1]

Management system for records

- ▶ management system to direct and control an organization with regard to records [ISO 30300, 3.4.2]

Records system

- ▶ information system which captures, manages and provides access to records over time [ISO 30300, 3.4.4]

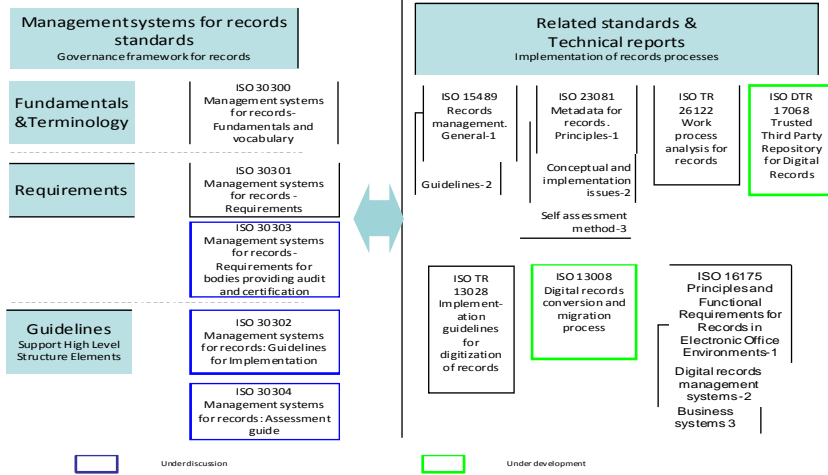
The message to management

'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, responding to the challenges of the global and digital environment.'

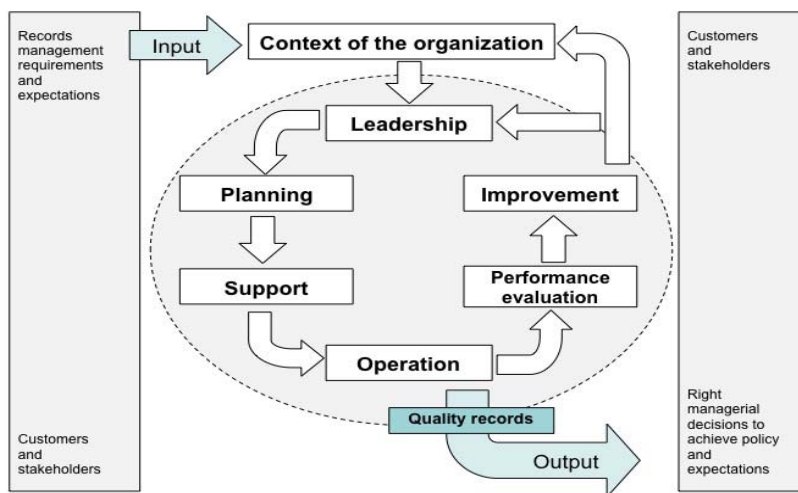
'Management System Standards (MSS) provide tools for a systematic and verifiable approach to organizational control in an environment that encourages good business practices.'

ISO 30300 & 30301 Introduction

Relationship to other RM standards



Structure of MSR



ISO 30300 Management systems for records - Fundamentals and vocabulary



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ISO 30301 Management systems for records – Requirements



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Benefits of MSR implementation



Benefits of good control of records

- a) business efficiency
- b) legislative and regulatory compliance
- c) effective decision-making
- d) elimination of redundant and duplicate information
- e) information sharing
- f) IT performance improves
- g) disaster recovery and business continuity
- h) litigation protection
- i) defense of stakeholders' rights and interests
- j) corporate or collective memory
- k) social responsibility support

Common

Full control of information about an organisation's activities for as long as it is needed for any purpose

Benefits of MSR implementation



Benefits of implementing MSR Standards

- a) Uses an internationally accepted model to establish and implement policy and objectives.
- b) Integrates risk assessment approach
- c) Promotes continual improvement through the assessment of performance and the implementation of auditing processes
- d) Allows the easy conformity confirmation process and independent third party certification
- e) Integrates use of MSR with other commonly used MSS standards

Specific

To provide top management with a management tool to implement a records framework

Kind of organizations

Potential users

Every organization (all size, sector and country):

- creates records and needs to control them
- is a potential user of ISO 30300 MSR

Some organizations decide to implement a program/policy/framework for records creation and control. This could be done by different approaches



Aligning records framework with one of the most applied management methodologies known as "management systems"

Kind of organizations

- ▶ Key issues of "Management system" approach for records:
 - ▶ To integrate records as part of the strategic objectives
 - ▶ To link the overall management system to the operational records activities
 - ▶ To implement a systematic framework for continual improvement
 - ▶ To commit top management to provide the appropriate leadership, funds and people



Following a standardized model: ISO 30300 series of standards

Kind of organizations

- ▶ Most suitable candidates:
 - A. Organizations which have implemented any of MSS
 - Framework for continual improvement is already established and can be used for MSR
 - MSR helps organizations to manage documentation requirements of other MSS
 - B. Organizations which have formalized their recordkeeping model following best practices of ISO 15489
 - Operational level is already implemented diminishing the effort of implementation of an MSR
 - MSR helps to include records in the strategic level organization policy and objectives

Kind of organizations

- C. Organizations where evidence of activities is a key issue (i.e implementing social responsibility programme, regulatory environments, etc.)
 - MSR helps organizations to establish a sound base to manage evidence
 - MSR provides a demonstrable framework to manage records from the organization activities
- D. Organizations where managing information is the primary activity (i.e regulatory bodies)
 - MSR systematic approach of continual improvement reinforce control of information
- E. Organizations implementing a framework to manage electronic records
 - Rethinking of the recordkeeping model is need in the transition to a complete digital environment. Follow a MSR recognized methodology can help in the process better than "reinventing the wheel"
 - The strategic approach of MSR is a very useful framework to complement the IT operational level, which normally is not enough.

Driver roles and leadership

Before implementation



After implementation



Records professionals

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How to implement - Strategic level

Why implement an MSR

- Establishment of trusted environments for the conduct of business (accountability & governance)
- Alignment of ISO certified business processes (with other MSS)
- Trade and supplier relations
- Customer service
- Competitive advantage

Scope of the MSR

- One or more business processes or areas
- Organization wide
- A group of organisations with shared business processes, e.g. product research & development

How to implement - Strategic level

Top Management Responsibility

- ▶ Establish strategic direction – link the MSR to the organization'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

Records Policy



Appropriate to the organization
Framework for records objectives
Management endorsed
Communicated, accessible
Meaningful



50 pages
Records processes and operations
Procedures
Understandable only by RM people

How to implement - Strategic level

Risk assessment



Define objectives

E.g.

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

E.g.

- 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

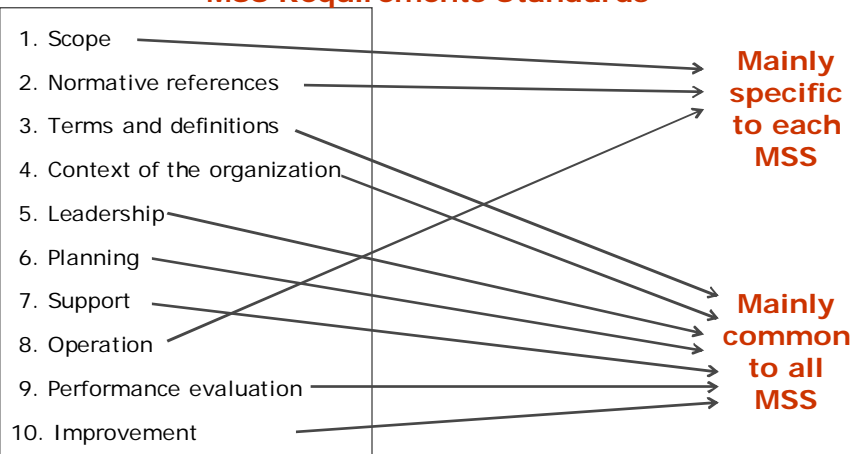
How to implement - Strategic level

Planning

- ▶ Prioritize objectives – based on risk assessment
- ▶ Determine what is to be done
- ▶ Who is responsible
- ▶ What resources are needed (\$, people, skills, technology etc)
- ▶ Timelines
- ▶ How to evaluate results

Relationship with other MSS

MSS Requirements Standards



ISO MSS alignment and coordination process establishes a common structure, text and terminology

Relationship with other MSS

Integrated use and implementation

►E.g. ISO 9000 Quality management systems

- ✓Demonstration of compliance & business processes
- ✓Documentation of traceability, evidence of preventive & corrective action

►E.g. ISO 31000 Risk management systems

- ✓Records & RM = key supporting element of an organization's strategies, processes & controls for the identification & management of risk

How to implement – Operational level

Implementation of records processes in records systems

Best practices of 15489 converted to requirements: Annex A 30301

Records systems mainly IT systems for both paper/electronic records

Design of record processes in an MSR environment



How to implement – Operational level

Annex A in ISO 30301

Table 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.

Diagram labels: Code (points to A.1.1.1), Purpose (points to Controls), Process (points to Determine the need for information), Requirement to comply (points to the text in the Controls column).

How to implement – Operational level

Processes to be implemented

Creation	Control		
Determine the need for information	Register	Implement disposition	Identify records systems
Determine requirements	Classify	Authorize disposition	Document implementation decisions
Create reliable records	Select control information (metadata elements)	Transfer	Access records systems
Determine retention	Determine event history	Remove	Ensure availability
Establish disposition schedule	Control of records across the organization	Destroy	Ensure effectiveness
Determine methods of integrated capture	Develop access rules	Keep information about destroyed records	Ensure integrity
Identify contextual and descriptive information	Implement access rules		Manage changes
Identify points of capture	Maintain integrity and authenticity		
Identify specific requirements	Maintain usability		
Select technologies	Limit restrictions		

How to implement – Operational level

- ▶ All processes are required to 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 and documented

Example an organization can decide not to implement A.2.4.3. Transfer, because transfer its records to another organization is not planned

How to implement – Operational level

To obtain more guidance on how to implement records processes and records systems



Related standards and technical reports

General	Specific	Records systems
ISO 15489, 1&2	ISO 26122 Work process analysis	ISO 16175 1-3
	ISO 13028 Digitization	
	ISO 23081 1-3 Metadata	

How to implement – Operational level

How to implement a record process: example

Classify

CONTROLS

The records shall be grouped (classified) according to the work processes to which they are related.

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.



- **Business activities classification**
- **Grouping in case files**
- **Automated classification in the record system when a case file is opened**
- **Procedure for changing business classification**

Thank you!