



Date 2009-06-10	Reference number ISO/TC 46/SC 11N 1069
Supersedes document N1068	

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It should not be used for reference purposes.

<p>ISO/TC 46/SC 11</p> <p>Title: Archives/Records Management</p> <p>Secretariat: SA Agnes Simai ISO/TC 46/SC 11 Secretary E-mail: agnes.simai@standards.org.au Fax: +61 2 9237 6010</p>	<p>REQUESTED ACTION</p> <p>Circulated to P- and O-members, and to technical committees and organizations in liaison for:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> information<input type="checkbox"/> discussion at [venue/date of meeting]<input type="checkbox"/> comments by [date]<input type="checkbox"/> voting (P-members only: ballot form attached) by [date] <p><i>P-members of the technical committee or subcommittee concerned have an obligation to vote.</i></p>
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Title: Corrected Frequently asked questions on ISO/DIS 30300 and ISO/DIS 30301 documents.

Source: ISO/TC 46/SC11/WG8 & WG9 Convener

Project(s):

Status:

Additional information:

ISO TC46 SC11

ISO/DIS 30300 *Management system for records – Fundamentals and vocabulary*
And

ISO/DIS 30301 *Management system for records – Requirements*

FREQUENTLY ASKED QUESTIONS

Introduction

You have received a notice that two Draft International Standards (DIS) are being balloted for comment by national member bodies of ISO technical committee – ISO/TC46 SC11 – Information and documentation - Archives/records management.

The two draft standards are the first products from a new initiative to develop a series of management system standards for records. These are titled 'management system for records' (MSR) standards. The draft standards are:

- ISO/DIS 30300 *Management system for records – Fundamentals and vocabulary*
- ISO/DIS 30301 *Management system for records – Requirements.*

The answers to the frequently asked questions below may assist you in reviewing the drafts and understanding their relationship to other ISO records management standards.

1. Why has ISO developed the MSR series of standards?

There is a need to communicate to top management about good records management, and get their commitment to provide the appropriate leadership, funds and people for the implementation of records management processes – to support accountability and effective business. The MSR's are aimed at management. They are intended to align records processes with the most applied management methodologies known as 'management systems'.

A 'management system' is 'framework of policies, procedures, guidelines and associated resources to achieve the objectives of the organization' [ISO/IEC 27000:2009(E), definition 2.26]

A 'management system for records' is the management system to direct and control an organization with regard to records. [ISO/DIS 30300, 3.4.2]

The MSR standards are an organization-wide, strategic approach to providing the right framework for implementation of records management operational processes, systems and controls based on international best practice. An MSR links the overall management system implemented by top management to the operational records activities.

The MSR is issued by ISO in the same way that other management system standards (MSS) come from ISO. Other examples are: e.g. ISO 9000 - Quality management systems, ISO 14001 – Environmental management systems, ISO 27001 - Information Security

management systems. This provides a global, standardised approach to management systems.

The MSR standards have been developed in accordance with a common and mandatory model being developed within ISO for a common structure and baseline text for all MSS.

2. Who will use the MSR standards?

These standards are primarily aimed at management - at all levels. Therefore they are not written in the language of records practitioners. The aims are to make the benefits of good records creation and control relevant to the modern organization and to get this on the agenda of top management.

The standards are also useful for auditors, risk managers and others who have an interest in evidence-based decision-making and collaboration, accountability and transparency of business, and sound business management.

The MSR standards can also be used by information and records management professionals for the implementation of the MSR.

The MSR standards can be used by organizations of all types and sizes, or group of organizations with shared business processes. They can use the standards to implement the MSR to varying levels of complexity according to business requirements.

3. What are the benefits of using MSR standards?

- Common policy and practice benchmarks across geographical boundaries, including different countries, cultures and jurisdictions
- Legal compliance and protection, including support for litigation or due diligence
- Ability to meet regulatory requirements, including accountability, ethical and corporate governance requirements; regulatory compliance; financial and practice audits
- Enables compliance with national and international legislation and codes of conduct
- Support of risk management, including security and privacy; reputation management; business continuity planning and implementation
- Ability to set and assess performance measures for the use of commercial service providers, and for inclusion in commercial contracts
- Use of an MSS family that integrates with, and supports other commonly used MSS, such as ISO 9000. Integrated use of MSSs has the benefit of eliminating redundancy, establishing consistency, optimizing processes and resources, consolidating assessments, reducing maintenance and improving decision making
- Enables a coordinated and consistent approach to establishing policy, objectives, targets and implementation techniques across an organisation; thereby minimizing duplication, redundancy, and incompatible processes
- Shows a commitment to improved service delivery, resource management and cost control
- Use of an MSS for records for measuring conformity shows commitment to organisational governance, accountability and integrity
- The potential to make organizations more cost effective and efficient
- More sustainable and greater consistency of service provision based on authentic, reliable and usable information

- Scalable use of an internationally accepted system to meet business needs, resource availability and risk
- Similar documents or guidelines do not exist in many countries at a national level
- Facilitation of communication between different countries on shared issues, and a forum for articulating common principles, minimum benchmark criteria and best practice.

4. Do MSR standards only apply to organizations that are using other MSS standards, e.g. ISO 9000 - Quality management systems, ISO 27001 - Information Security management systems?

No.

An MSR can be implemented by any organization. The MSR is scalable to small organizations, to non-profit organizations as well as businesses, to government and non-government.

If an organization does have other management systems, such as quality etc, the MSR can be implemented as part of an integrated approach.

Also, related records management standards (e.g. ISO 15489) and technical reports can be used to provide the operational processes and controls which meet the documentation requirements of the other management system standards.

5. What are the two draft MSR standards that are being balloted for our comment?

ISO/DIS 30300 is the first management system standard for records. All management system standards begin their series with a statement of the fundamentals of their discipline. ISO/DIS 30300 defines the key principles behind an MSR, and the terms and definitions used throughout the MSR standards.

ISO/DIS 30301 sets out the requirements that must be met by an MSR. Certification of an organization's MSR (by an independent body) is done against the requirements in this standard.

Further products are being developed as part of the ISO 30300 series – see Q19 below.

6. What is the relationship between these two MSR standards and ISO 15489?

The MSR standards are high level, aimed at the controls and processes for managing the organization and establishing the strategic framework for good records management, e.g. policy, leadership, planning, monitoring etc.

ISO 15489 is aimed at the operational aspects of records management – focussed on the controls and processes for managing records.

ISO 15489 stands as the foundation standard for use by records management practitioners as the statement of principles and operational processes and controls for records, e.g. records creation, capture, use, disposition, etc. The ISO/DIS 30301 Requirements standard is based on the principles and processes set out in ISO 15489.

7. Will ISO 15489 be replaced by these MSR standards?

No.

See Q6 above.

The MSR focuses on managing the organization. ISO 15489 focuses on managing records and records systems.

There will always be a need for records management standards that provide records managers with the tools for:

- assessing records management needs
- designing systems and processes for records
- implementing systems and processes for records
- developing metadata schema
- building records management capability into business processes
- analysing risks to records
- developing and implementing records preservation strategies

ISO 15489 and other ISO products are related products to the MSR series. See Figure 1 in ISO/DIS 30300.

Note that all ISO products, including ISO 15489 are scheduled for regular review – to ensure they remain current and relevant.

8. Is it necessary to implement the MSR standards and ISO 15489, or can an organization choose which standards what to implement?

An organization will need to implement ISO 15489 as well as the MSR. ISO 15489 (and other related products) provide the operational guidance for implementation of records systems and processes.

An organization can implement only ISO 15489 without an MSR. However, the MSR provides a strong, measurable and accountable organizational framework for the records management processes and controls. It provides policy, objectives, leadership, support, planning and performance evaluation – all closely linked to the organization's business goals and policies.

9. What is the difference between a 'management system for records' and a 'records system'?

A 'management system for records' is the management system to direct and control an organization with regard to records. It focuses on controlling the organization.

A 'records system' is an information system which captures, manages and provides access to records over time. It is usually a combination of people, processes, tools and technology specifically to control records.

10. Do the MSR standards and ISO 15489 use the same terms and definitions?

- There are 28 terms in ISO/DIS 30300 – *Information & documentation – Management system for records – Fundamentals & vocabulary*. These come from various sources.
- 15 of these terms are from ISO 15489-1
- 6 of these ISO 15489 terms have been amended slightly.

ISO/DIS 30300 only contains terms that are used in the MSR series. It is not a comprehensive glossary of records management terms. The terms in MSR are under four thematic groupings relating to records, management, records management processes and management systems for records. The concept relationships are in ISO/DIS 30300, Annex A (according to ISO 704:2000) for coherent and harmonized use. The concept diagrams reflect the development process.

The principles and method for developing the terms and definitions for ISO/DIS 30300 was highly structured, including the adoption, adaption and changing processes. This was based on:

- a) extensive multiple rounds of research by Renmin University of China
- b) 'Principles for building ISO CD30200 Vocabulary 20-10-09', agreed at ISO/TC46 SC11 WG8 meetings 2008-2010
- c) the use of international standards for the development and publication of standards including vocabulary.

The 6 terms adapted from ISO 15489 are: destruction, indexing, preservation, records, records system, transfer. Most of the changes are minor and have simplified and clarified the definitions.

The main change is the definition for 'records'.

In ISO 15489 it is:

information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business

In ISO/DIS 30300 it is:

information created, received, and maintained as evidence and /or as an asset by an organization or person, in pursuance of legal obligations or in the transaction of business or for its purposes, regardless of medium, form or format

(NOTE 1 Also called record.

NOTE 2 Adapted from ISO 15489-1:2001, definition 3.15.)

The task of defining terms in international standards is difficult and requires compromise to reach across jurisdictional and language barriers. Defining 'records' has been the most difficult of our terms. The definition used in ISO/DIS 30300 has been expanded to address specific issues.

One issue is that in several member countries the word 'evidence' refers only to information presented to a court. This is too narrow for the definition of records. In the new text (ISO/DIS 30300) 'evidence' refers to 'documentation of a transaction, proof of a business transaction which can be shown to have been created in the normal course of business activity and which is inviolate and complete. Not limited to the legal sense of the term'. (ISO/CD 30300: 2010, 3.1.5)

Another issue is the idea of managing records as asset. 'Asset' refers to anything that has value to the organization, e.g. information, software, physical, services, people, and intangibles [ISO/IEC 27000: 2009, definition 2.3] (ISO/CD 30300: 2010, 3.1.2).

There is a strong need to identify 'records' as 'valuable' to organizations without falling into the difficulty of quantifying or defining value. It was agreed to use the word 'asset' to reflect that requirement. The inclusion of 'asset' is considered important for top management – who

should be concerned about evidence-based governance, capacity building, sustainable development and value added business process.

Records are agreed as assets and valuable to business for the following reasons:

- Strategy, including effective conduct of business through informed decision-making; performance management; productivity improvement; consistency, continuity and quality assurance in management and operations
- Operations, including responsive and accurate service delivery, resource management and cost control
- Regulatory compliance, and legal protection and support
- Accountability, corporate governance, financial and practice audits
- Risk management, including security, reputation management, business continuity planning and implementation
- Ethics, including openness, trust and meeting expectations of external stakeholders
- Corporate memory, including innovation through capture and reuse of organizational knowledge, and use of strategic knowledge to support business.

(ISO 15489 Management Statement, Nov 2007)

Also, it was agreed to refer to the organization's purposes without limiting them but making it clear that 'records' are kept for a reason, not merely accumulated by default.

Finally it was agreed that it was needed to state that the medium, format or form of a record was not limited, so everyone understood it included paper-based and electronic formats, or other media.

11. Can my organization be certified against the MSR standards?

Yes.

A standard is being developed for the requirements to be met by auditing and certification bodies.

When ISO 30301 is published any certification body can build its own certification scheme within their country. Certification bodies can offer third party certification as part of their portfolio of services.

12. What are the benefits of certification against the MSR standards?

The top reasons for certification are:

- to enhance company image
- to meet customer demands
- to gain preferred supplier status
- to establish better control over business operations
- for a foundation for continuous improvement.

13. Can my organization be certified against ISO 15489?

No – not under ISO standards.

ISO 15489 is a good practice standard, not written as a set of auditable 'requirements'.

Any organization can develop its own compliance model and assess itself against ISO 15489, but this does not give third party certification under ISO rules.

14. How can I get assistance to implement an MSR?

ISO 30302 is being developed - *Management System for Records - Guidelines for Implementation*. This is a guide to help organizations implement an MSR in accordance with ISO 30301 requirements (the subject of this ballot). You do not need to wait for ISO 30302 to implement an MSR. You can start on your own if you wish, but you may require specialist assistance – see Q15 below.

15. Where can I get more information about the MSR standards generally?

Articles in professional journals and magazines will be published, plus press releases, conferences and on-line information through industry sources. The ISO website will also contain general information.

16. Where can I get more information about the two draft standards in this ballot, before the ballot period closes?

Contact any of the following:

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17. Where can I get the final (published) MSR standards?

You can buy them from ISO - http://www.iso.org/iso/iso_catalogue.htm

18. If these two standards being balloted are adopted and published, what comes next?

Two new products are under development:

a) *Management System for Records - Guidelines for Implementation*. These are guidelines for implementing an MSR.

b) *Management system for records – Requirements for bodies providing audit and certification*. This contains the requirements for independent bodies providing audit and certification of an organization's MSR, in accordance with ISO/DIS 30301.