

Australian/New Zealand Standard™

**Information and documentation—
Management systems for
recordkeeping—Guidelines for
implementation (ISO 30302:2015, MOD)**



AS/NZS ISO 30302:2016

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 11 July 2016 and by the New Zealand Standards Approval Board on 6 July 2016. This Standard was published on 5 August 2016.

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Archives New Zealand
Australian Computer Society
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This Standard was issued in draft form for comment as DR AS/NZS ISO 30302:2016.

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems.

The objective of this Standard is to give guidance for the implementation of a MSR in accordance with AS/NZS ISO 30301. This Standard is intended to be used in conjunction with AS/NZS ISO 30300 and AS/NZS ISO 30301. This does not modify and/or reduce the requirements specified in AS/NZS ISO 30301. It describes the activities to be undertaken when designing and implementing a MSR. The objective of this modification to ISO 30302 is to align the terminology to Australian and New Zealand usage.

This Standard is an adoption with national modifications. It has been reproduced from ISO 30302:2015, *Information and documentation—Management systems for records—Guidelines for implementation* and has been varied as indicated to take account of Australian/New Zealand conditions. The modifications are specified in Appendix ZZ.

As this Standard is reproduced from an International Standard, the following applies:

- (a) In the source text ‘this International Standard’ should read ‘this Australian/New Zealand Standard’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>	<i>Australian/New Zealand Standard</i>
ISO	AS/NZS ISO
30300 Information and documentation— Management systems for records— Fundamentals and vocabulary	30300 Information and documentation— Management systems for recordkeeping—Fundamentals and vocabulary (ISO 30300:2011, MOD)
30301 Information and documentation— Management systems for records— Requirements	30301 Information and documentation— Management systems for recordkeeping—Requirements (ISO 30301:2011, MOD)

Only normative references that have been adopted as Australian or Australian/New Zealand Standards have been listed.

The term ‘informative’ has been used in this Standard to define the application of the annex to which it applies. An ‘informative’ annex is only for information and guidance.

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INTRODUCTION

ISO 30302 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 30302, *Information and documentation — Management systems for records — Guidelines for implementation*

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 the 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; ISO 30302 provides guidance for the implementation of a MSR.

The purpose of this International Standard is to provide practical guidance on how to implement a management system for records (MSR) within an organization in accordance with ISO 30301. This International Standard covers what is needed to establish and maintain a MSR.

The implementation of a MSR is generally executed as a project. A MSR can be implemented in organizations with existing records systems or programmes to review and improve the management of those systems or programmes or in organizations planning to implement a systematic and verifiable approach to records creation and control for the first time. Guidance described in this International Standard can be used in both situations.

It is assumed that organizations that decide to implement a MSR have made a preliminary assessment of their existing records and records systems and have identified risks to be addressed and opportunities for major improvements. For example, the decision to implement a MSR can be taken as a risk-reduction measure for undertaking a major information technology platform change or outsourcing business processes identified as high risk. Alternatively, the MSR can provide a standardized management framework for major improvements such as integrating records processes with specific business processes or improving control and management of records of online transactions or business use of social media.

The use of this guidance is necessarily flexible. It depends on the size, nature and complexity of the organization and the level of maturity of the MSR if one is already in place. Each organization's context and complexity is unique and its specific contextual requirements will drive the MSR implementation. Smaller organizations will find that the activities described in this International Standard can be simplified. Large or complex organizations might find that a layered management system is needed to implement and manage the activities in this International Standard effectively.

Guidance in this International Standard follows the same structure as ISO 30301, describing the activities to be undertaken to meet the requirements of ISO 30301 and how to document those activities.

[Clause 4](#) deals with how to perform the analysis needed to implement a MSR. From this analysis, the scope of the MSR is defined and the relationship between implementing a MSR and other management systems is identified.

[Clause 5](#) explains how to gain the commitment of top management. The commitment is expressed in a records policy, the assignment of responsibilities, planning the implementation of the MSR and adopting records objectives.

[Clause 6](#) deals with planning, which is informed by high-level risk analysis, the contextual analysis (see [Clause 4](#)), and the resources available (see [Clause 7](#)). [Clause 7](#) outlines the support needed for the MSR, such as resources, competence, training and communication, and documentation.

[Clause 8](#) deals with defining or reviewing and planning the records processes to be implemented. It draws on the contextual requirements and scope (see [Clause 4](#)) and is based on the records policy (see [5.2](#)), the risk analysis (see [6.1](#)) and resources needed (see [7.1](#)) to meet the records objectives (see [6.2](#)) in the planned implementation. [Clause 8](#) explains what records processes and systems need to be implemented for a MSR.

[Clauses 9](#) and [10](#) deal with performance evaluation and improvement against planning, objectives and requirements defined in ISO 30301.

For each of ISO 30301:2011, Clauses 4 to 10, this International Standard provides the following:

- a) the activities necessary to meet the requirements of ISO 30301 – activities can be done sequentially, while some will need to be done simultaneously using the same contextual analysis;
- b) inputs to the activities – these are the starting points and can be outputs from previous activities;
- c) outputs of the activities – these are the results or deliverables on completion of the activities.

This International Standard is intended to be used by those responsible for leading the implementation and maintenance of the MSR. It can also help top management in making decisions on the establishment, scope and implementation of management systems in their organization. It is to be used by people responsible for leading the implementation and maintenance of the MSR. The concepts of how to design the operational records processes are based on the principles established by ISO 15489-1. Other International Standards and Technical Reports developed by ISO/TC 46/SC 11 are the principal tools for designing, implementing, monitoring and improving records processes, controls and systems, and can be used in conjunction with this International Standard for implementing the detailed operational elements of the MSR.

Organizations that have already implemented ISO 15489-1 can use this International Standard to develop an organizational infrastructure for managing records under the systematic and verifiable approach of the MSR.

NOTES

AUSTRALIAN/NEW ZEALAND STANDARD

Information and documentation—Management systems for recordkeeping—Guidelines for implementation (ISO 30302:2015, MOD)**1 Scope**

This International Standard gives guidance for the implementation of a MSR in accordance with ISO 30301. This International Standard is intended to be used in conjunction with ISO 30300 and ISO 30301. This International Standard does not modify and/or reduce the requirements specified in ISO 30301. It describes the activities to be undertaken when designing and implementing a MSR.

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

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. 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*

ISO 30301:2011, *Information and documentation — Management systems for records — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300 apply.

4 Context of the organization**4.1 Understanding of the organization and its context**

The context of the organization should determine and drive the implementation and improvement of a MSR. The requirements of this Clause are intended to ensure the organization has considered its context and needs as part of the implementation of a MSR. These requirements are met by analysing the organization's context. This analysis should be performed as the first step of the implementation to

- a) identify internal and external factors (see [4.1](#)),
- b) identify business, legal and other requirements (see [4.2](#)), and
- c) define the scope of the MSR (see [4.3](#)) and identify risks (see [Clause 6](#)).

NOTE 1 When the scope of the MSR is stated by top management at the starting point, before identifying factors and the need for records, the extent of the contextual analysis is defined by the scope as stated.

NOTE 2 This MSS approach for context analysis and identification of requirements is compatible with the analysis process (appraisal) proposed by ISO 15489-1 which also includes elements of planning (see [Clause 6](#)) and identification of needs of records (see [Clause 8](#)).

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