

Australian/New Zealand Standard™

**Information and documentation—
Management systems for
recordkeeping—Requirements
(ISO 30301:2011, MOD)**



AS/NZS ISO 30301:2012

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 4 July 2012 and on behalf of the Council of Standards New Zealand on 28 June 2012. This Standard was published on 20 July 2012.

The following are represented on Committee IT-021:

AMS Imaging
Archives New Zealand
Australian Society of Archivists
Department of Finance and Services, NSW
Inland Revenue
Institute of Information Management
Monash University
National Archives of Australia
NSW Right to Information and Privacy Practitioners' Network
Porirua City Council
Public Record Office Victoria
Queensland State Archives
Records and Information Management Professionals Australasia
State Records New South Wales
State Records Office of Western Australia
Tasmanian Archive and Heritage Office
The Institute of Internal Auditors

Additional Interests:

Bettington Enterprises
Department of Housing, NSW
Enterprise Knowledge
Microsystems
Recordkeeping systems
University of Sydney

Keeping Standards up-to-date

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about joint Australian/New Zealand Standards can be found by visiting the Standards Web Shop at www.saiglobal.com.au or Standards New Zealand web site at www.standards.co.nz and looking up the relevant Standard in the on-line catalogue.

For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national Standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia or Standards New Zealand at the address shown on the back cover.

This Standard was issued in draft form for comment as DR AS/NZS ISO 30301.

Australian/New Zealand Standard™

**Information and documentation—
Management systems for
recordkeeping—Requirements
(ISO 30301:2011, MOD)**

First published as AS/NZS ISO 30301:2012.

COPYRIGHT

© Standards Australia Limited/Standards New Zealand

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Australia) or the Copyright Act 1994 (New Zealand).

Jointly published by SAI Global Limited under licence from Standards Australia Limited, GPO Box 476, Sydney, NSW 2001 and by Standards New Zealand, Private Bag 2439, Wellington 6140.

ISBN 978 1 74342 208 3

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 specify requirements to be met by a management system for recordkeeping (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.

This Standard is an adoption with national modifications and has been reproduced from ISO 30301:2011, *Information and documentation—Management systems for records—Requirements*, 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) Its number appears on the cover and title page while the International Standard number appears only on the cover.
- (b) In the source text ‘this International Standard’ should read ‘this Australian/New Zealand Standard’.
- (c) A full point substitutes for a comma when referring to a decimal marker.

The terms ‘normative’ and ‘informative’ have been used in this Standard to define the application of the annex or appendix to which they apply. A ‘normative’ annex or appendix is an integral part of a Standard, whereas an ‘informative’ annex or appendix is only for information and guidance.

CONTENTS

1	Scope	1
2	Normative references	1
3	Terms and definitions	1
4	Context of the organization	2
4.1	Understanding of the organization and its context	2
4.2	Business, legal and other requirements	2
4.3	Defining the scope of the MSR	3
5	Leadership	3
5.1	Management commitment	3
5.2	Policy	3
5.3	Organizational roles, responsibilities and authorities	4
6	Planning	5
6.1	Actions to address risks and opportunities	5
6.2	Records objectives and plans to achieve them	5
7	Support	6
7.1	Resources	6
7.2	Competence	6
7.3	Awareness and training	6
7.4	Communication	7
7.5	Documentation	7
8	Operation	8
8.1	Operational planning and control	8
8.2	Design of records processes	8
8.3	Implementation of records systems	9
9	Performance evaluation	9
9.1	Monitoring, measurement, analysis and evaluation	9
9.2	Internal system audit	11
9.3	Management review	11
10	Improvement	12
10.1	Nonconformity control and corrective actions	12
10.2	Continual improvement	12
	Annex A (normative) Processes and controls	13
	Annex B (informative) Interrelationships between ISO 9001, ISO 14001, ISO/IEC 27001 and ISO 30301	16
	Annex C (informative) Checklist for self-assessment	20
	Bibliography	22

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.