

*Transformation of Records Management Environment
in the Public Sector – Embracing an e-Environment Work Culture*

***An overview of ISO 30300:2011 –
Information & documentation –
Management systems for records***

Judith Ellis – 21 June 2012

Agenda

- Framework for good recordkeeping
- What is a MSR?
- Why do we need a MSR?
- What kinds of organisations might do it?
- ISO 30300 & ISO 30301
- How to implement
 - strategic level
 - operational level
- Cycle of continual improvement
- References

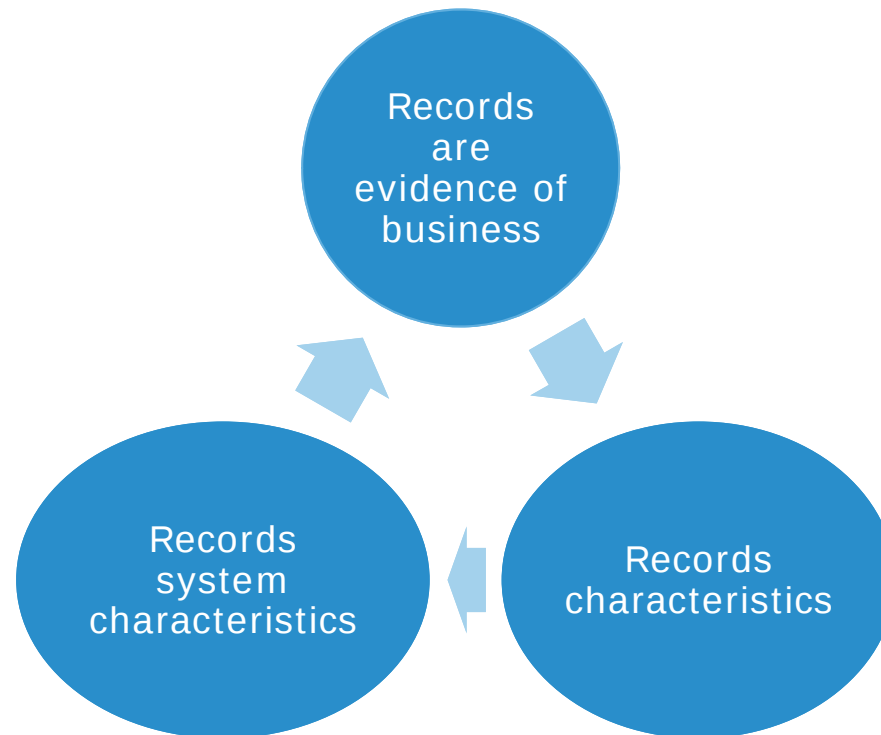


Benefits

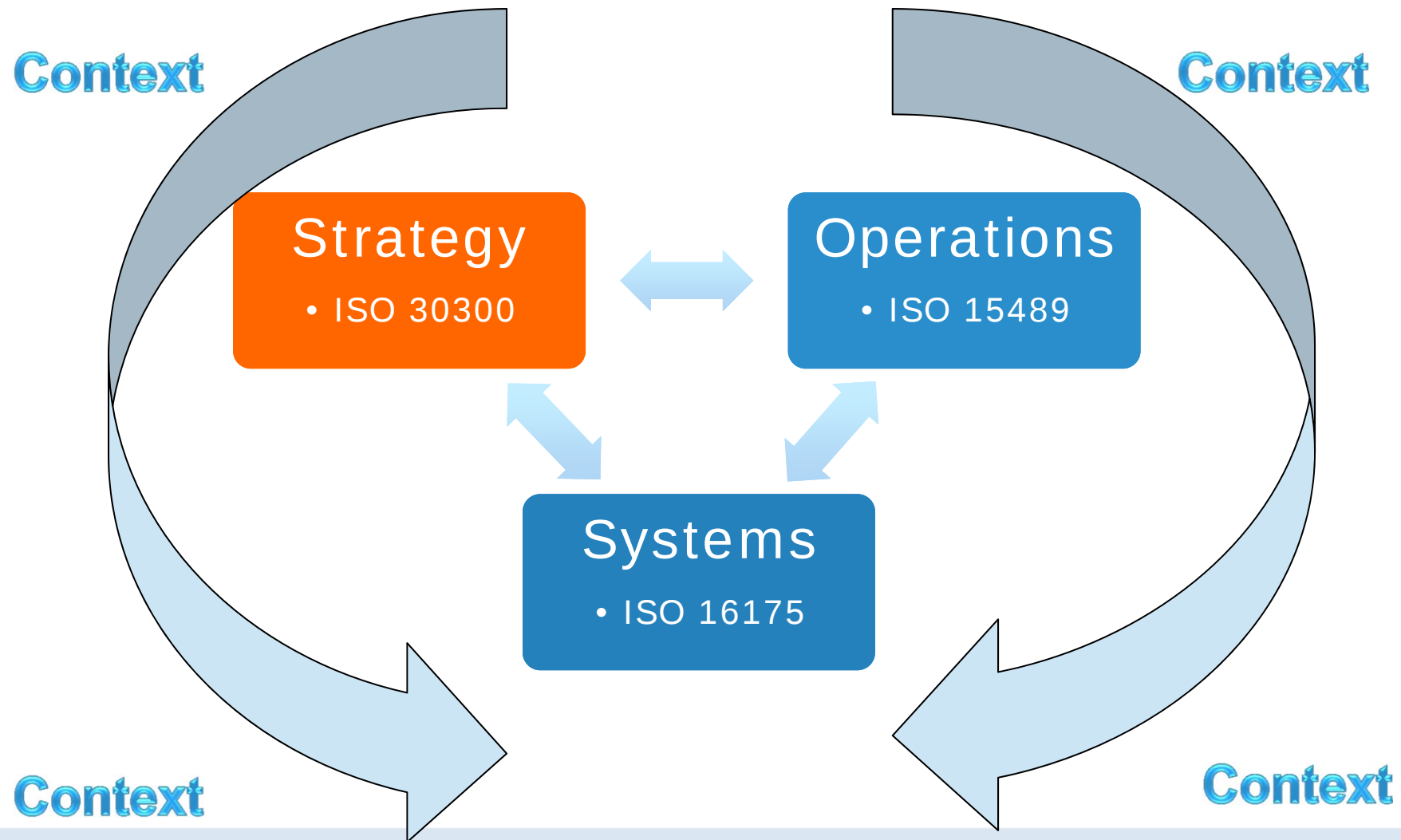
Acknowledgement – Carlota Bustelo (Inforarea – Spain)

Framework for Good Recordkeeping

Principles



Framework for Good Recordkeeping



What is a Management System for Records?

Management system

'set of interrelated or interacting elements of an organisation to establish policies and objectives, and processes to achieve those objectives' (ISO 30300, 3.4.1)

Management system for records (MSR)

'management system to direct and control an organisation 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)

What is a Management System for Records?

System in a records context	System in the MSR	System in ISO 15489
Set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives related to records	Management system (for records)	Not named. Out of scope.
System/programme that regulates the creation, reception, maintenance, use and disposition of records	Records processes and controls	Records programme
Information system which captures, manages and provides access to records over time	Records system	Records system

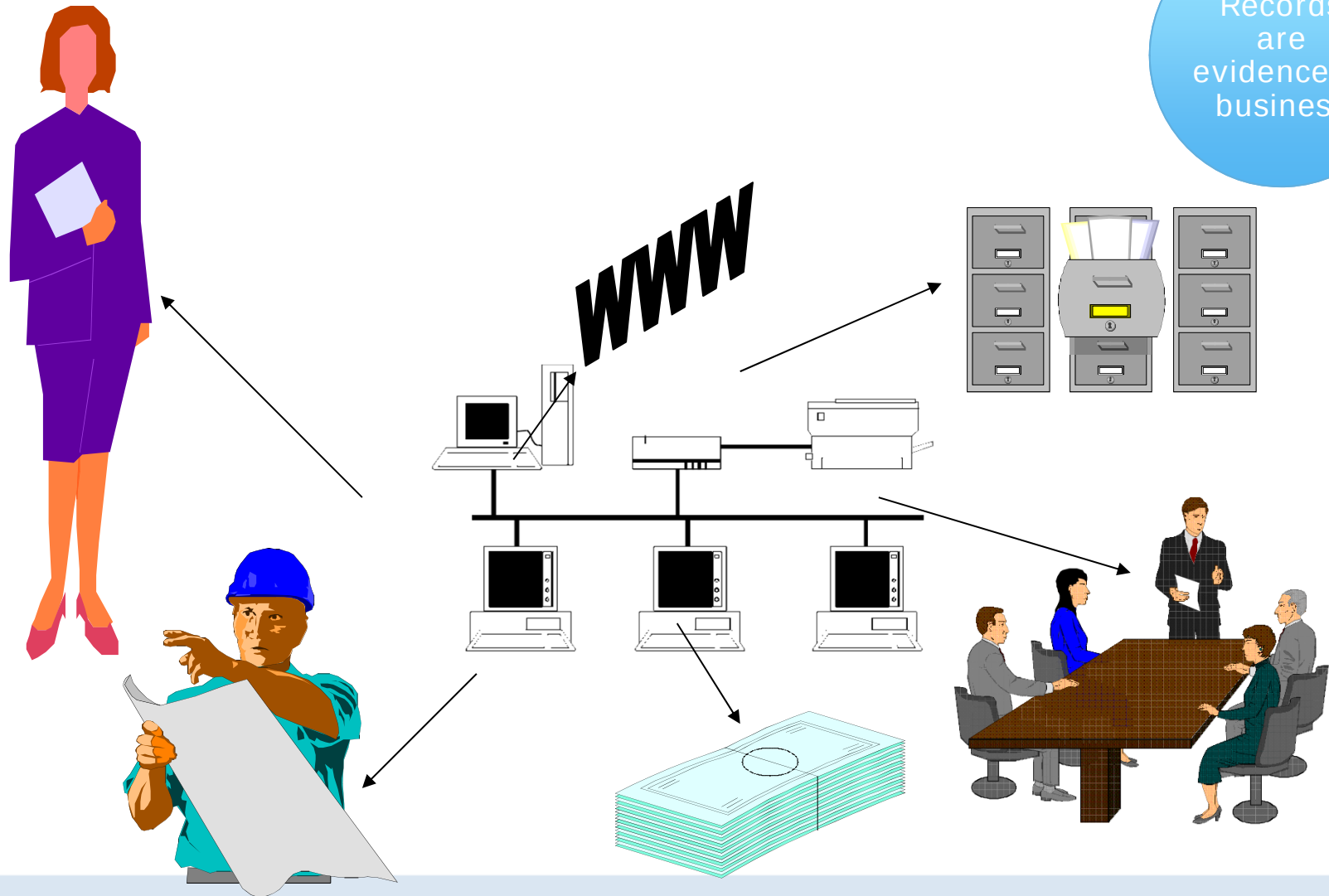
Why a Management System for Records?

- Demand for an overarching standard or statement of principles & requirements
- Aimed at management - to make the benefits of good records creation and control relevant to the modern organisation and get this on management agenda.
- Tight integration between records processes and business processes - aim is to provide a systematic & strategic approach to the creation & control of records
- Alignment with areas interested in evidence-based processes (e.g. risk, compliance, or other MSS such as Quality, Info Security)



Why a MSR?context

Records
are
evidence of
business



Why a MSR?context

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

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

Records Creation & Control

Operational level

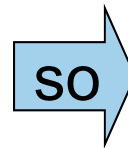


Strategic level

Technological change

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

Real risks



A new vision is
needed

The Message to Management

‘Creation and management of records are integral to any organisation’s activities, processes and systems. They enable business efficiency, accountability, risk management and business continuity. They also enable organisations 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 organisational control in an environment that encourages good business practices.’

ISO 30300 & 30301 Introduction

Strategic Level (ISO 30300)

Published:

- ISO 30300 – Information & documentation – Management system for records – Fundamentals & vocabulary
- ISO 30301 – Information & documentation – Management system for records – Requirements

Under development:

- 30302 - Information & documentation – Management systems for records – Guidelines for implementation
- 30304 - Information & documentation – Management systems for records – Guidance for performance and audit

MSR Approach

- 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 standards

Relationship with other MSS

Integrated use and implementation

The MSR can be one element of an organisation's overall management system – i.e. whereby the organisation establishes policies (3.07) and objectives, (3.08) and processes (3.12) to achieve those objectives.

Can be integrated with & implemented with other MSS, e.g.

ISO 9000 Quality management systems

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

ISO 31000 Risk management systems

- ☐ Records & recordkeeping = key supporting elements of an organisation's strategies, processes & controls for the identification & management of risk

Benefits of MSR Implementation

Strategic

- Uses an internationally accepted model to establish and implement policy and objectives.

Organisation level

- Integrates risk assessment approach
- Promotes continual improvement through the assessment of performance and the implementation of auditing processes
- Allows the easy conformity confirmation process and independent third party certification
- Integrates use of MSR with other commonly used MSS standards

Provides top management with a management tool to implement a recordkeeping framework

Benefits of MSR Implementation

Operational

Recordkeeping supporting the conduct of business

- Business efficiency
- Legislative and regulatory compliance
- Effective decision-making
- Elimination of redundant and duplicate information
- Information sharing
- IT performance improves
- Disaster recovery and business continuity
- Litigation protection
- Defense of stakeholders' rights and interests
- Corporate or collective memory
- Social responsibility support

Control of information about an organisation's activities, for as long as needed, for any purpose

Which Organisations Might Implement an MSR?

- Organisations which have implemented any MSS (e.g. ISO 9000)
- Organisations which have formalized their recordkeeping model following best practices of ISO 15489
- Organisations where evidence of activities is a key issue (i.e. implementing social responsibility programme, regulatory environments, etc,)
- Organisations where managing information is the primary activity (i.e. regulatory bodies)
- Organisations implementing a framework to manage electronic records

ISO 30300

ISO 30300 – Information & documentation – Management system for records – Fundamentals & vocabulary

- Explains the reasons for the creation of an MSR
- Provides the guiding principles for the successful implementation of an MSR
- Provides the terminology which ensures that it is compatible with other management systems standards (MSS)

ISO 30301

ISO 30301 – Information & documentation – Management system for records – Requirements

- Specifies the requirements to develop a records policy
- Sets objectives and targets for an organization to implement systemic improvements
- This is achieved through:
 - designing records processes and systems
 - estimating the appropriate allocation of resources, and
 - establishing benchmarks to monitor, measure and evaluate outcomes
- This ensures that corrective action can be taken and continuous improvements are built into the system to support an organization in achieving its mandate, mission, strategy and goals

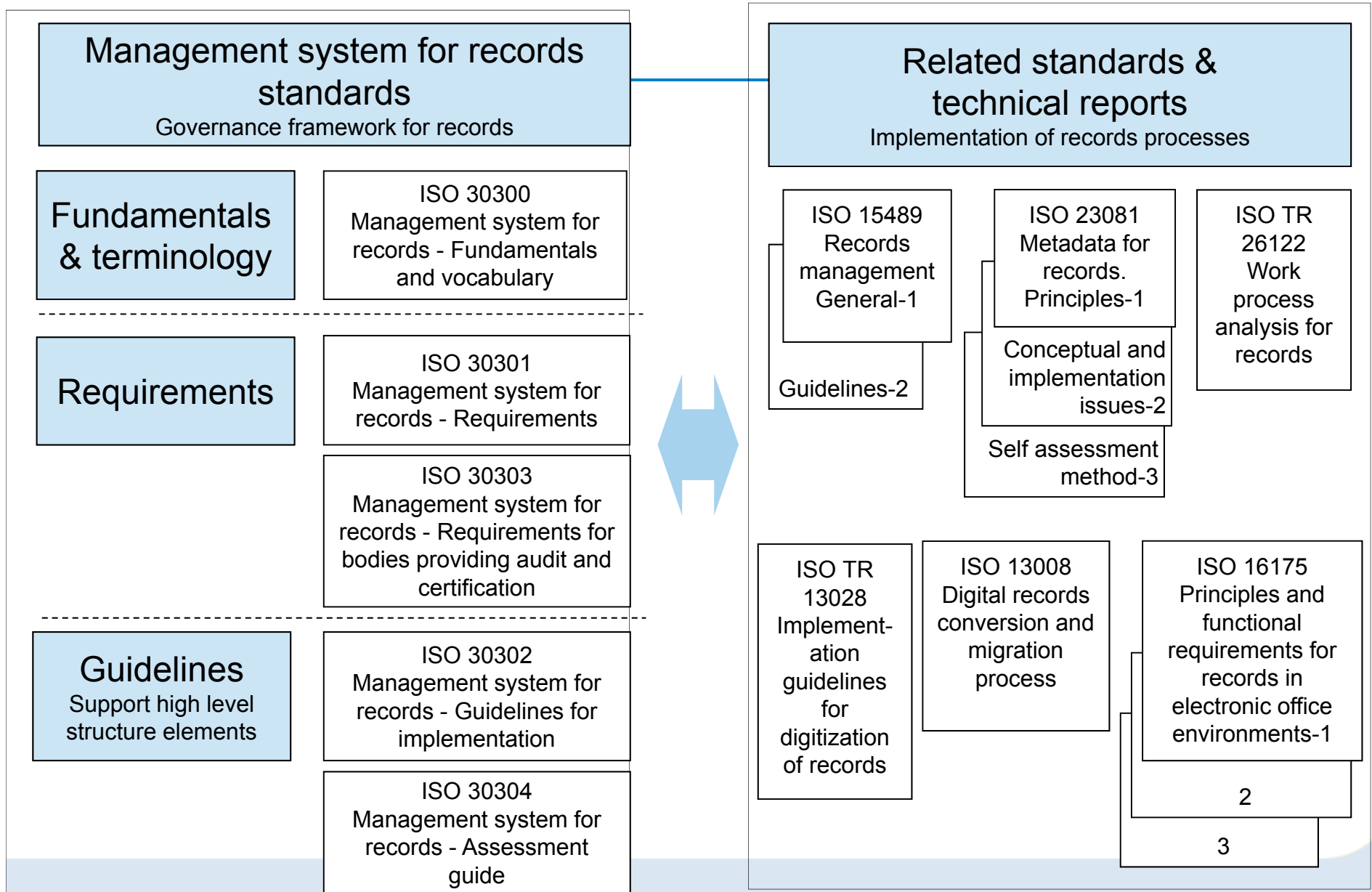
Difference between MSRs & ISO 15489?

ISO 15489
& related
standards

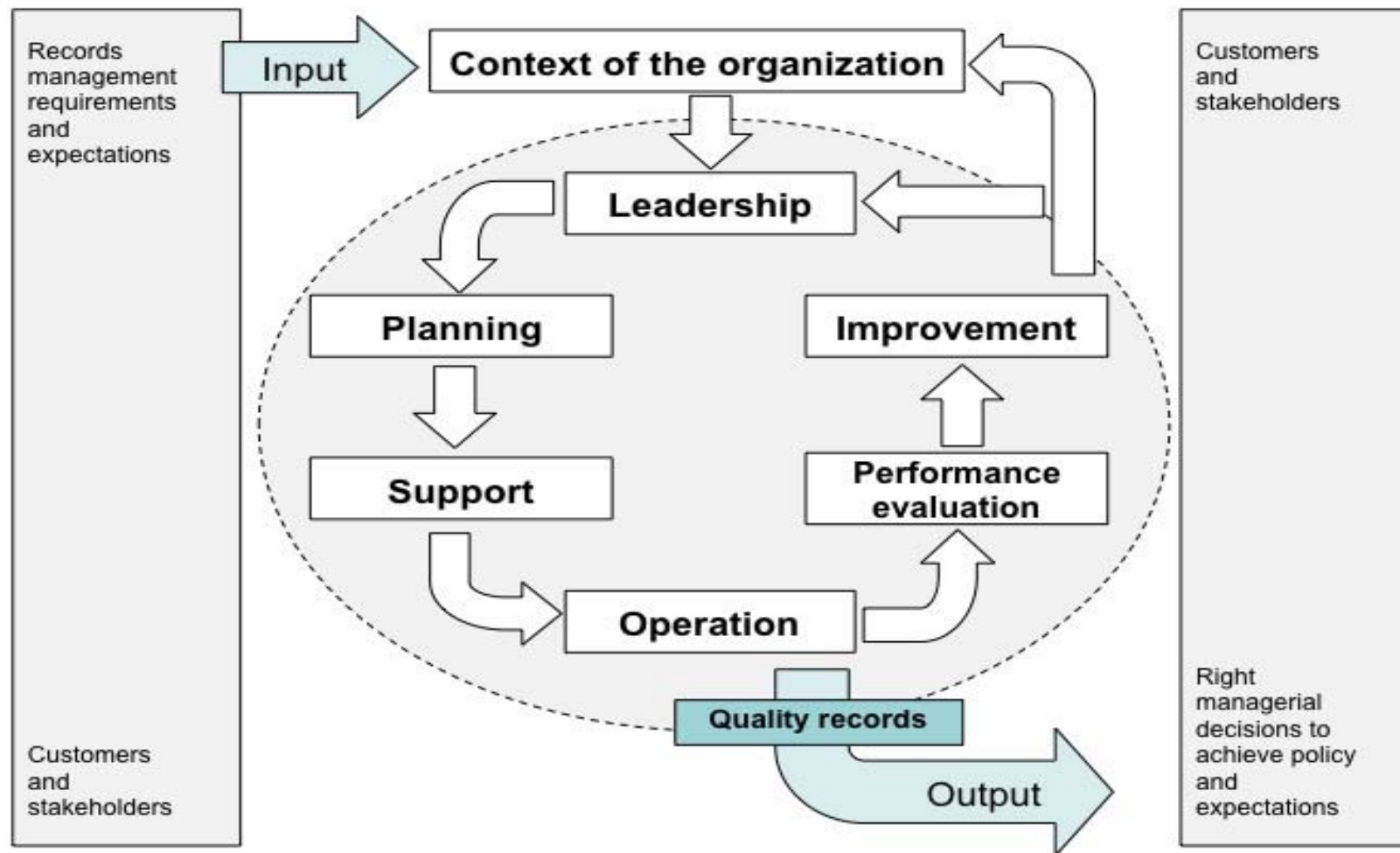


ISO 30300
series





Structure of MSR



ISO 30300 Management systems for records - Fundamentals and vocabulary

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How to implement - Strategic level

Records Policy



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



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

How to implement - Strategic level

Records Objective - examples

- The organization knows what records are to be created and captured for each business process
- Metadata for controlling records and records processes are appropriate to the business process
- Procedures, systems and formats are in place that ensure the usability of records over time
- Records are retained or disposed of in an authorised and appropriate manner

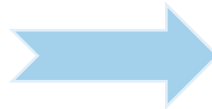
How to implement - Strategic level

Top Management Responsibility

- Establish strategic direction – link the MSR to the organisation'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

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 – management representative & operational roles
- What resources are needed (\$, people, skills, training, technology etc)
- Timelines
- How to evaluate results

How to implement – Operational level

Implementation of records processes in records systems

Best practices of ISO 15489
converted to requirements
of ISO 30301(Annex A)

Records systems mainly IT
systems for paper &
electronic records

Using related standards and technical reports

General

ISO 15489 Records
management, 1&2

Specific

ISO TR 26122 Work
process analysis

ISO 13028 Digitization

ISO 23081, 1-3 Metadata

Records systems

ISO 16175 Functional
requirements, 1-3

Records Processes & Controls

Creation

- Determine requirements for records
- Creation
- Disposition schedule
- Capture methods
- Determine metadata elements
- Form & structure of records
- Technology selection

Control

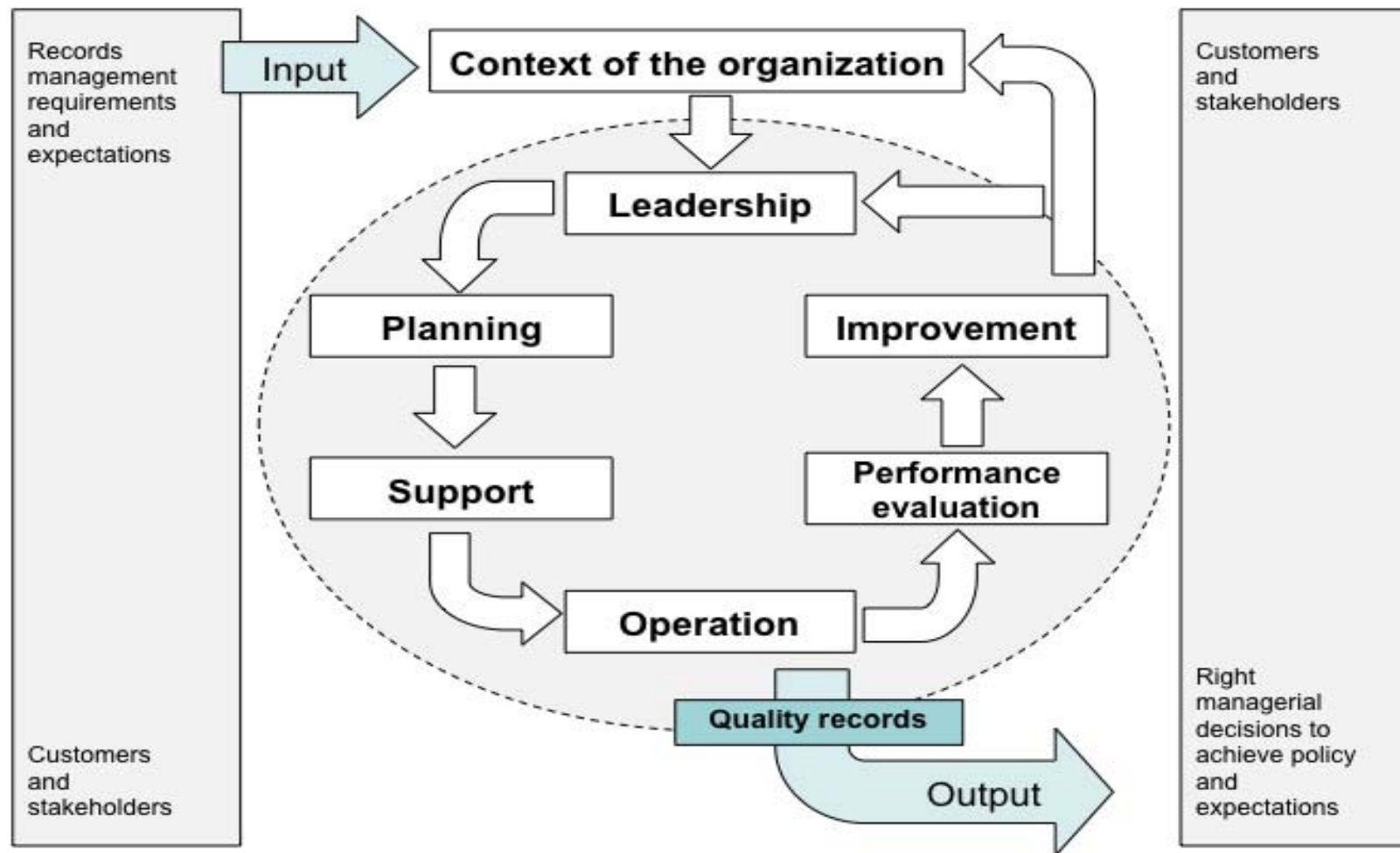
- Registration
- Classification
- Select (metadata)
- Event history
- Access rules
- Procedures for authorised use
- Accessibility of records, including e-records
- Implement disposition
- Transfer of records
- Removal of records
- Destruction
- Administration of records systems

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 'Transfer', because transfer its records to another organisation is not planned

Cycle of Continual Improvement



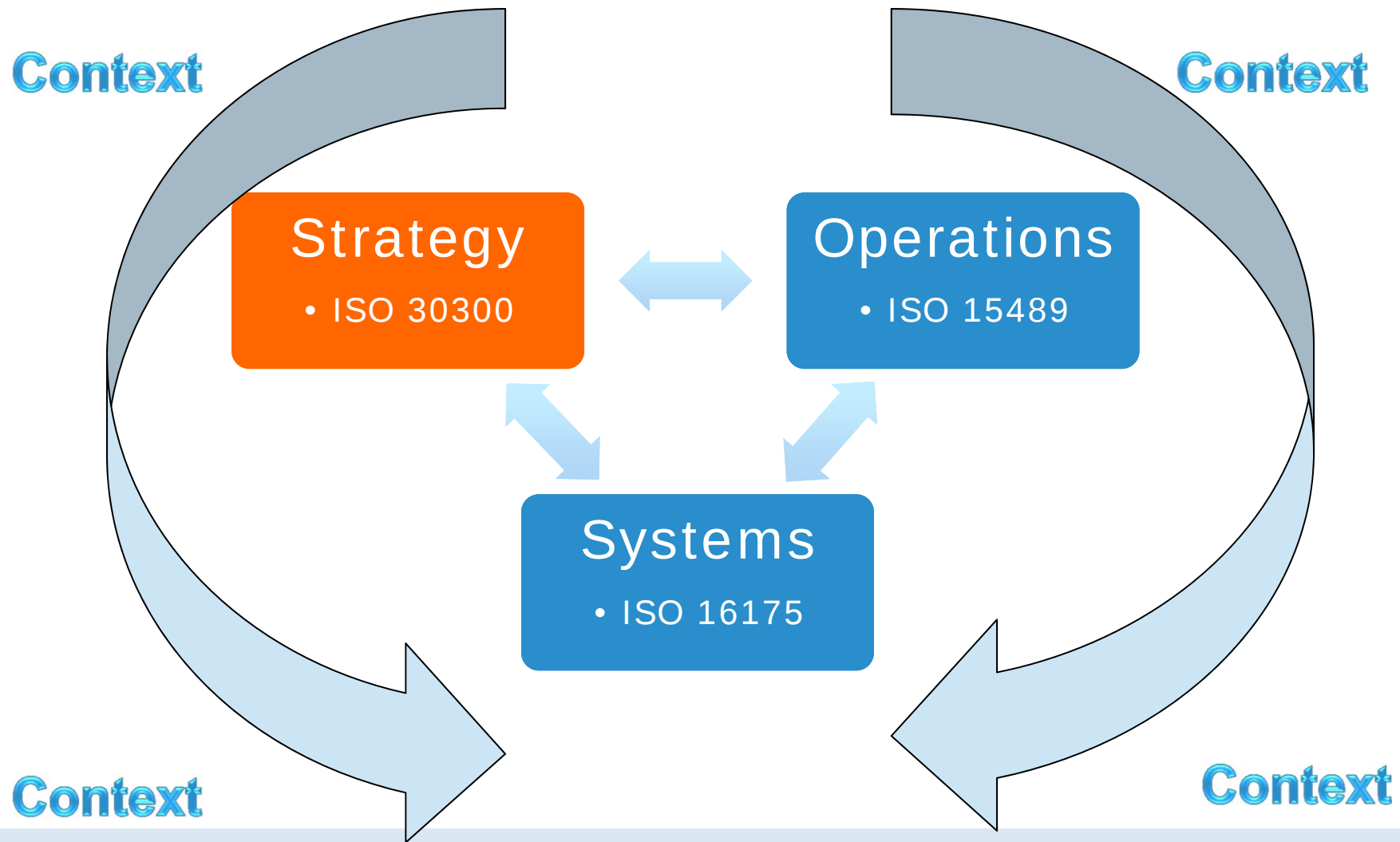
Certification/compliance?

- Certification regime not yet established – but many countries looking at it
- Enables formally recognised compliance against international standards
- Any certification body can build its own certification scheme within its country, e.g. Dept of Standards Malaysia (in MOSTI) accredits these bodies

Reasons for certification:

- Image
- Meet customer demands
- Preferred supplier status
- Better control over business operations
- Foundation for continual improvement

Framework for Good Recordkeeping



References

- ISO 30300 Information & documentation – Management systems for records – Fundamentals and vocabulary
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