

STANDARDISATION IN E-ARCHIVING

INTERNATIONAL STANDARDS

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STANDARDISATION IN E-ARCHIVING

International Standards



OBJECTIVES OF THIS PRESENTATION

Understand the missions of the technical committee ISO/TC 46/SC 11

Understand what a Management Systems for Records (MSRs) are

Understand the objectives of the international standards ISO 3030x

Stimulate your interest in technical standardisation

Encourage the use of standards

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SUMMARY

Introduction

ISO/TC 46 – Information and documentation

ISO/TC 46/SC 11 – Archives/records management

ISO 3030x series – Management Systems for Records (MSRs)

- ISO 30300:2011 – MSRs – Fundamentals and vocabulary
- ISO 30301:2011 – MSRs – Requirements
- ISO 30302:2015 – MSRs – Guidelines for implementation

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STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

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INTRODUCTION

Electronic documents – Archives – Records

- Electronic documents are an essential part of everyday business, whether the sources are incoming communications or output of organisations (**Paperless office**)
- As one type of information source, records are part of the intellectual capital, and therefore assets, of an organization
- Records are evidence of business activity, and information assets
- Management system for records:
 - Defined roles and responsibilities;
 - Systematic processes;
 - Measurement and evaluation;
 - Review and improvement.

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INTRODUCTION

Information Security Challenges

- Confidentiality
 - Who has access to information?
- Integrity
 - When and how is it possible to change the information?
- Availability
 - Do you find the required information?
 - Do you have back-ups?

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INTRODUCTION

The facts...

- 15% of an organization's revenues are spent creating, managing & distributing documents
- 60% of employee time is spent working with documents
- 85% of business documents are in paper form
- The average document is printed 5x
- 90% of a business's information is in documents
- More facts:
www.thepaperlessproject.com

STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

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- ISO 30300:2011 – MSRs – Fundamentals and vocabulary
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ISO/TC 46 – INFORMATION AND DOCUMENTATION

- Secretariat: AFNOR
- Creation date: 1947
- Total number of published standards (number includes updates): 113
- Number of published standards under the direct responsibility of ISO/TC46 : 32
- Participating countries: 36
- Observing countries: 35 (including Luxembourg)

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ISO/TC 46 – INFORMATION AND DOCUMENTATION

Scope

- Standardization of practices relating to
 - Libraries
 - Documentation and information centers
 - Publishing
 - Archives
 - Records management
 - Museum documentation
 - Indexing and abstracting services

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ISO/TC 46 – INFORMATION AND DOCUMENTATION

Objectives

- Ensure consistency of the standards that address various areas of information and documentation, together with other ISO standards
- Encourage the contribution of all kinds of organizations dealing with information and documentation.
- Improve global representation of standardization experts
- Finalize and publish standards required by the market in order to focus efforts in this area
- Encourage private and public sector to use ISO standards

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ISO/TC 46 – INFORMATION AND DOCUMENTATION

Evolution

- Production of electronic documents and multimedia
 - Possibilities of digital information
 - The traditional references for managing documents are no longer up to date
 - Pushing the market to react
- The exchange of information in electronic form
 - Has become widespread
 - No longer just a specialized area for booksellers and archivists
- Conception of standards for the record management and electronic archiving
 - Becomes a requirement
 - Emerged by the appearance of new information and communication technologies
- TC 46/SC 11
 - To provide guidance in the field of record management

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ISO/TC 46 – INFORMATION AND DOCUMENTATION

Subcommittees

- ISO/TC 46/SC 4 Technical interoperability
 - Standardization of protocols, schemes, etc., and related models and metadata for processes used by information organizations and content providers, including libraries, archives, museums, publishers, and other content producers
- ISO/TC 46/SC 8 Quality - Statistics and performance evaluation
 - Standardization of practices relating to the collection of statistics and performance indicators for information organizations and content providers, e.g., libraries, archives, museum, and publishers

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ISO/TC 46 – INFORMATION AND DOCUMENTATION

Subcommittees

- ISO/TC 46/SC 9 Identification and description
 - Standardization of information identifiers, description and associated metadata and models for use in information organizations and the content industries
- ISO/TC 46/SC 10 Requirements for document storage and conditions for preservation
 - Standardization of requirements for storage and use of documents in libraries, archives and documentation centers, as well as practices related to maintenance and improvement of the conditions of preservation

STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

ISO/TC 46 – Information and documentation

ISO/TC 46/SC 11 – Archives/records management

ISO 3030x series – Management Systems for Records (MSRs)

- ISO 30300:2011 – MSRs – Fundamentals and vocabulary
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ISO/TC 46/SC 11 ARCHIVES/RECORDS MANAGEMENT

Mission

Leading role in improving

- Good practices in managing records by providing a framework
- Standards and guidance for the design and application of records practices and processes
- Codifying good practice in managing records into internationally applicable management system

What is a record?

- Record = information
- Not all information is a record > information created, received and maintained as evidence and as an asset by an organization or person
- When does an organization create records? > In pursuit of legal obligations or in the transaction of business

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ISO/TC 46/SC 11 ARCHIVES/RECORDS MANAGEMENT

- Standardization of principles for the creation and management of documents, records and archives as evidence of transactions and covering all media including digital multimedia and paper
- Secretariat: Standards Australia
- Creation date: 1998
- Number of published ISO standards under the direct responsibility of ISO/TC 46/SC 11 (number includes updates): 18
- Participating countries: 28 (including Luxembourg)
- Observing countries: 16

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ISO/TC 46/SC 11 ARCHIVES/RECORDS MANAGEMENT

- ISO/TC 46/SC 11/WG 1 Metadata
- ISO/TC 46/SC 11/WG 7 JWG on Digital records preservation
- ISO/TC 46/SC 11/WG 8 Management systems for records
- ISO/TC 46/SC 11/WG 10 Implementation Guidelines for the disposition of records
- ISO/TC 46/SC 11/WG 13 Revision of ISO 15489-1 and ISO/TR 15489-2
- ISO/TC 46/SC 11/WG 14 Records requirements in enterprise Architecture

STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

ISO/TC 46 – Information and documentation

ISO/TC 46/SC 11 – Archives/records management

ISO 3030x series – Management Systems for Records (MSRs)

- ISO 30300:2011 – MSRs – Fundamentals and vocabulary
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ISO 3030X MANAGEMENT SYSTEMS FOR RECORDS

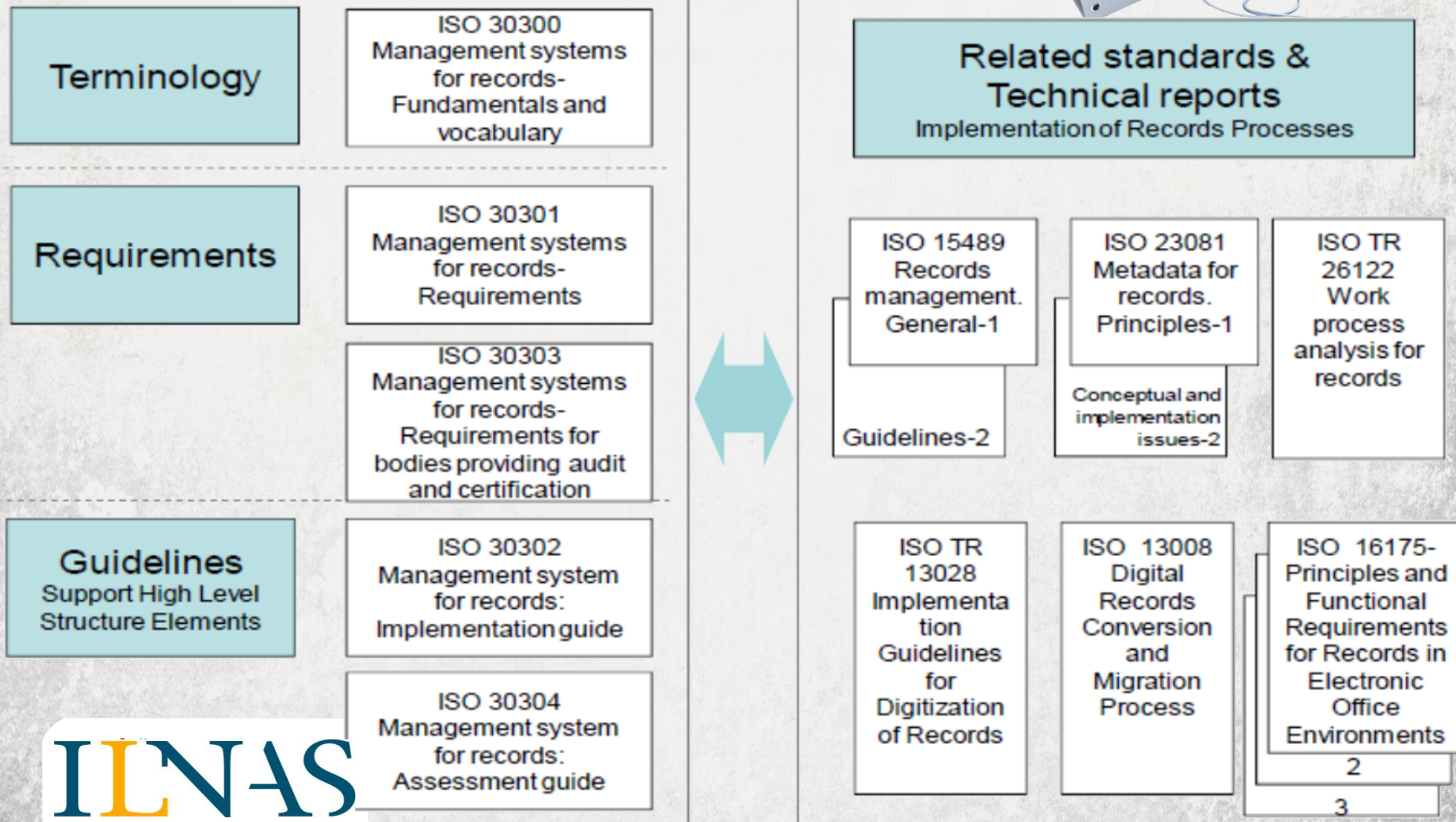
- ISO 30300:2011 – Management systems for records – Fundamentals and vocabulary
- ISO 30301:2011 – Management systems for records – Requirements
- ISO 30302:2015 – Management systems for records – Guidelines for implementation
- Technically based on ISO 15489 – Records Management
 - Mainly deals with operational and technical aspects of record management
 - Not replaced by the ISO 3030x series, but complemented
 - Principles in the implementation of ISO 3030x necessarily to be taken into account and applied
- Focus of standardization is put on the organization (“management system”)
- Show how records management is controlled and monitored

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International Standards



ISO 3030X MANAGEMENT SYSTEMS FOR RECORDS



STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

ISO/TC 46 – Information and documentation

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ISO 30300:2011 – FUNDAMENTALS OF MSR

1. Scope

- Establish, implement, maintain and improve a MSR to support its business
- Assure itself of conformity with its stated records policy
- Demonstrate conformity with this International Standard
 - Undertaking a self-assessment and self-declaration, or
 - Seeking confirmation by a party external to the organization, or
 - Seeking certification of its MSR by an external party

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

2.1 Relation between the MSR and the management system

- Establish policy, objectives and directives framework
- Establish processes and controls
- Establish implementation and monitoring
- Manage records of management system

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

2.2 Context of the organization

- An organization can use all or any element of the standards on MSR according to its business context and requirements, which include:
 - Size and complexity of the organization
 - Level of business risk of having inadequate records controls
 - Drive for internal improvement to satisfy stakeholder demand
 - Specific stakeholder demands or expectations

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ISO 30300:2011 – FUNDAMENTALS OF MSR

2.3 Need for a MSR – 2.3.1 Purpose

- Conduct business and deliver services efficiently;
- Meet legislative, regulatory and accountability requirements;
- Optimize the decision-making, operational consistency and continuity;
- Facilitate the effective operation of an organization in the event of a disaster;
- Provide protection and support in litigation, including the management of risks associated with the existence of, or lack of evidence of organizational activity;
- Support research and development activities;
- Support the promotional activities of the organization;
- Maintain corporate or collective memory and support social responsibility

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ISO 30300:2011 – FUNDAMENTALS OF MSR

2.3 Need for a MSR – 2.3.2 Reliable, authentic and useable records

- Creation and control of records which are
 - Reliable;
 - Authentic;
 - Have integrity;
 - Are useable.

2.3 Need for a MSR – 2.3.3 Establishment of records system

- Record system to capture and control records which are reliable, secure, compliant, comprehensive and systematic

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ISO 30300:2011 – FUNDAMENTALS OF MSR

2.4 Principle of a MSR

- 2.4.1 General
- 2.4.2 Customer and other stakeholder focus
- 2.4.3 Leadership and accountability
- 2.4.4 Evidence-based decision making
- 2.4.5 Involvement of people
- 2.4.6 Process approach
- 2.4.7 System approach to management
- 2.4.8 Continual improvement

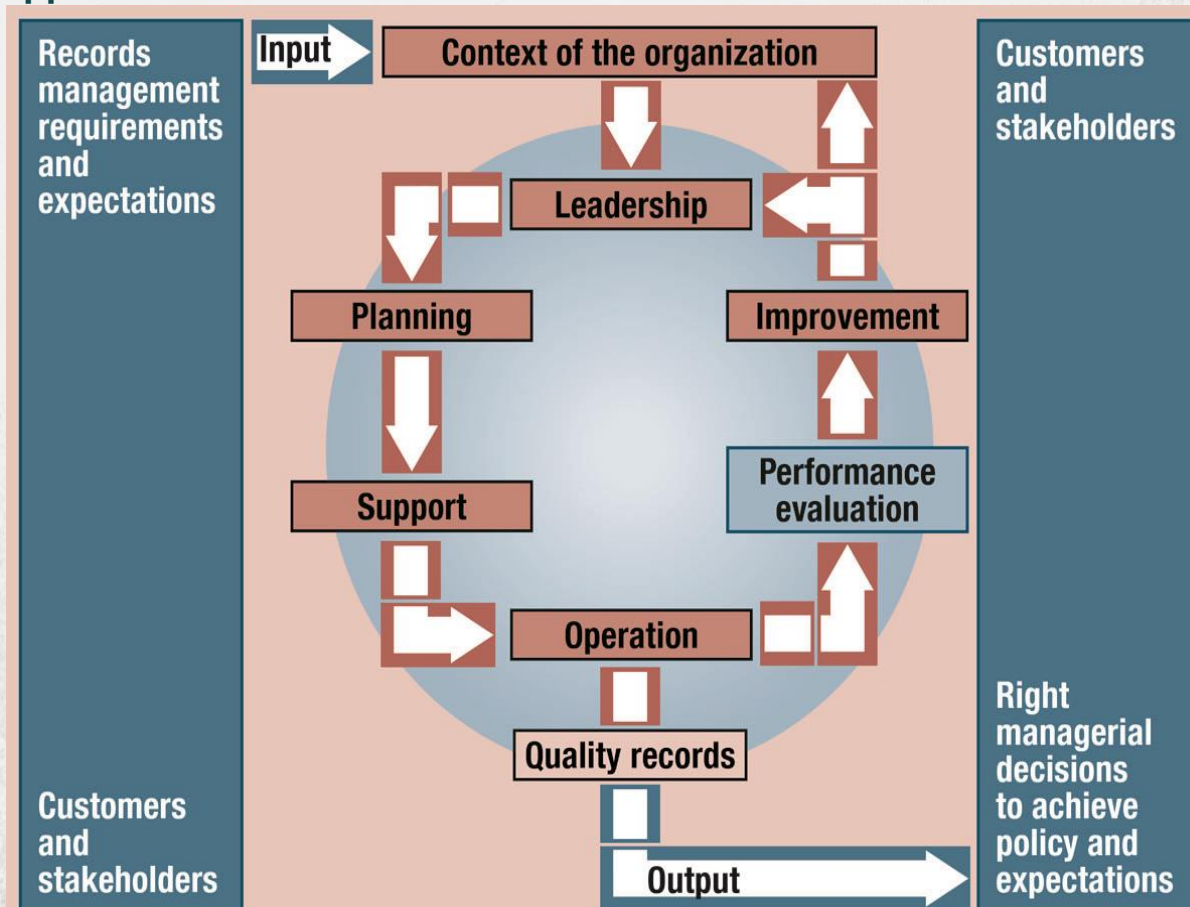
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ISO 30300:2011 – FUNDAMENTALS OF MSR

2.5 Process approach to a MSR



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ISO 30300:2011 – FUNDAMENTALS OF MSR

2.6 Role of top management

- Policy direction comes from top management in order to :
 - Achieve consistency of operation throughout the organization;
 - Mandate employee adoption of the requirements of a MSR;
 - Ensure that business processes are transparent and comprehensible;
 - Assure that records are being properly managed

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ISO 30300:2011 – FUNDAMENTALS OF MSR

A2.7 Relationships with other management systems

- Integration of MSR into an organization's overall management systems aims to:
 - Optimize processes by integrating records processes with other activities;
 - Support evidence-based decision making;
 - Promote consistency between management systems;
 - Meet and improve evidence of meeting compliance requirements.

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

3 Terms and definitions

- 3.1 Terms relating to records
 - 3.1.4 Documentation
Collection of documents describing operations, instructions, decisions, procedures and business rules related to a given function, process or transaction.
 - 3.1.5 Evidence
Documentation of a transaction.
 - 3.1.7 Record(s)
Information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business.

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

3 Terms and definitions

- 3.2 Terms relating to management
 - 3.2.2 Nonconformity
Non-fulfilment of a requirement
 - 3.2.3 Organization
Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives
 - 3.2.4 Records policy
Overall intentions and direction of an organization in relation to management systems for records, formally expressed by top management
 - 3.2.5 Top management
Person or group of people who directs and controls an organization at the highest level

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

3 Terms and definitions

- 3.3 Terms relating to records management processes
 - 3.3.1 Access
Right, opportunity, means of finding, using, or retrieving information.
 - 3.3.2 Classification
Systematic identification and arrangement of business activities or records into categories according to logically structured conventions, methods, and procedural rules.
 - 3.3.3 Conversion
Process of changing records from one format to another.
 - 3.3.4 Destruction
Process of eliminating or deleting a record, beyond any reconstruction.
 - 3.3.9 Preservation
Processes and operations involved in ensuring the maintenance of records over time.

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International Standards



ISO 30300:2011 – FUNDAMENTALS OF MSR

3 Terms and definitions

- 3.4 Terms relating to MSR
 - 3.4.1 Management system
Set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives.
 - 3.4.2 Management system for records
Management system to direct and control an organization with regard to records.
 - 3.4.3 Records management
Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
 - 3.4.4 Records system
Information system which captures, manages and provides access to records over time.

STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

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International Standards



ISO 30301:2011 – MSR – REQUIREMENTS

1 Scope

2 Normative references

- ISO 30300, Management systems for records — Fundamentals and vocabulary

3 Terms and definitions

- Terms and definitions given in ISO 30300 apply

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International Standards



ISO 30301:2011 – MSR – REQUIREMENTS

4 Context of the organization

- 4.1 Understanding of the organization and its context
 - Social, legal and financial aspects of the organization
 - Key indicators of the organization
 - Relations with stakeholders
- 4.2 Business, legal and other requirements
 - Legal requirements
 - Contractual requirements
 - Treaties

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ISO 30301:2011 – MSR – REQUIREMENTS

- 4.3 Defining the scope of the MSR
 - Definition and documentation of the scope

Whole of the organization or
Specific functions of the organization
 - Scope for externalized activities

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ISO 30301:2011 – MSR – REQUIREMENTS

5 Leadership

- 5.1 Management commitment
 - Ensuring the MSR is compatible with the strategic direction of the organization,
 - Integrating the MSR requirements into the organization's business processes,
 - Providing the resources to establish, implement, maintain and continually improve the MSR,
 - Communicating the importance of an effective MSR and conforming to the MSR requirements,
 - Ensuring that the MSR achieves its intended outcomes, and
 - Directing and supporting continual improvement.

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International Standards



ISO 30301:2011 – MSR – REQUIREMENTS

- 5.2 Policy
 - a) Be appropriate to the purpose of the organization,
 - b) Provide the framework for setting records objectives,
 - c) Include a commitment to satisfy applicable requirements,
 - d) Include a commitment to continual improvement of the MSR,
 - e) Be communicated within the organization, and
 - f) Be available to interested parties, as appropriate.

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ISO 30301:2011 – MSR – REQUIREMENTS

5.3 Organizational roles, responsibilities and authorities

Management responsibilities

- a) Responsible for ensuring that the MSR is established, implemented and maintained in accordance with the requirements of ISO 30301:2011,
 - b) Promotion of awareness of the MSR throughout the organization, and
 - c) Roles and responsibilities defined in the MSR are properly assigned and that the personnel performing these roles are competent to perform them.
- o Operational responsibilities
- a) Implementing the MSR at the operational level,
 - b) Reporting to the top management on the effectiveness of the MSR for review, including recommendations for improvement.

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ISO 30301:2011 – MSR – REQUIREMENTS

6 Planning

- 6.1 Actions to address risks and opportunities

Determine the risks and opportunities that need to be addressed in order to

- a) Assure the MSR can achieve its intended outcome(s),
- b) Prevent undesired effects, and
- c) Realize opportunities for improvement.

- 6.2 Records objectives and plans to achieve them

Top management shall ensure

- a) That records objectives are established and
- b) Communicated for relevant functions and levels within the organization

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ISO 30301:2011 – MSR – REQUIREMENTS

7 Support

- 7.1 Resources
 - a) Assigning responsibility to personnel competent to perform the roles assigned in the MSR,
 - b) Periodic review of the competencies and training of those personnel, and
 - c) Maintenance and sustainability of resources and technical infrastructure.

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ISO 30301:2011 – MSR – REQUIREMENTS

- 7.2 Competence
 - a) Determine the necessary competence of person(s) doing work under its control that affects the performance of its records processes and systems,
 - b) Ensure these persons are competent on the basis of appropriate education, training, and experience,
 - c) Where applicable, take actions to acquire the necessary competence and evaluate the effectiveness of the actions taken, and
 - d) Retain appropriate documented information as evidence of competence.

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ISO 30301:2011 – MSR – REQUIREMENTS

- 7.3 Awareness and training

The organization shall ensure that its personnel are aware of

- a) The relevance and importance of their individual activities and how they contribute to the achievement of the MSR objectives,
- b) The importance of conformity with the MSR policy and procedures and with the requirements of the management system,
- c) The significant MSR issues and related actual or potential impacts associated with their work and the benefits of improved personal performance,
- d) Their roles and responsibilities in achieving conformity with the requirements of the MSR, and
- e) The potential consequences of departure from specified procedures.

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International Standards



ISO 30301:2011 – MSR – REQUIREMENTS

- 7.4 Communication

The organization shall establish, implement, document and maintain procedures for internal communication about the MSR and its records policy and objectives.

- 7.5 Documentation

- a) The organization shall document its MSR, including authorized statements of:
- b) The scope of the MSR;
- c) The policy and objectives;
- d) The relationships between the MSR and the other management systems;
- e) Documented procedures as required by this International Standard;
- f) Documentation determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.

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ISO 30301:2011 – MSR – REQUIREMENTS

8 Operation

- 8.1 Operational planning and control

The organization shall determine, plan, implement and control those processes needed to address the risks and opportunities

- 8.2 Design of records processes

To establish the MSR, the organization shall design the records processes:

- a) Analyse work processes in order to determine the requirements for records creation and control in relation to continuing operations
- b) Assess the risks that might be incurred through failure to control authentic, reliable and useable records of the organization's business processes
- c) Specify the processes for creating and controlling records and how they are to be performed in systems, and choose the technological tools to be used.

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ISO 30301:2011 – MSR – REQUIREMENTS

- 8.3 Implementing of records systems
 - a) Implement the records processes in records systems to meet the records objectives;
 - b) Establish regular monitoring of the performance of the records systems against business requirements and records objectives.

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International Standards



ISO 30301:2011 – MSR – REQUIREMENTS

9 Performance evaluation

- 9.1 Monitoring, measurement, analysis and evaluation
 - Evolution of the management system
 - Performance of the management system
 - Customer satisfaction
- 9.2 Internal system audit
 - Conformity assessment of the MSR

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ISO 30301:2011 – MSR – REQUIREMENTS

- 9.3 Management review

The management review shall consider:

- a) The status of actions from previous management reviews;
- b) Changes in external and internal issues that are relevant to the MSR;
- c) Information on the performance of records processes and systems, including trends in
 - 1) Nonconformities and corrective actions,
 - 2) Monitoring and measurement evaluation results, and
 - 3) Audit results;
- d) Opportunities for continual improvement.

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ISO 30301:2011 – MSR – REQUIREMENTS

10 Improvement

- 10.1 Nonconformity control and corrective actions
 - Identify nonconformities,
 - React to the nonconformities.
- 10.2 Continual improvement

The organization shall continually improve the effectiveness of the MSR through

- The use of the records policy and records objectives,
- Audit results and analysis of data,
- Corrective and preventive actions and
- Management evaluation.

STANDARDISATION IN E-ARCHIVING

International Standards



SUMMARY

Introduction

ISO/TC 46 – Information and documentation

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- ISO 30300:2011 – MSRs – Fundamentals and vocabulary
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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Introduction

- First edition: 2015-09-15
- Structure of ISO 30301:2011
- Provide practical guidance
 - On how to implement a MSR within an organization
 - Describing the activities to be undertaken to meet the requirements of ISO 30301
 - How to document those activities
- For every clause :
 - Objective of the clause
 - Expected outcome

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Content

For each clause of ISO 30301 this International Standard provides:

- One or more activities necessary to meet the requirements of ISO 30301 – activities can be done sequentially, and some will need to be done simultaneously using the same contextual analysis,
- Inputs to the activities – these are the starting points, and can be outputs from previous activities,
- Outputs describing the results or deliverables on completion of the activities.

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Clause 4

- 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.

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Clause 5

- 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.

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Clause 6 & 7

The planning (clause 6) is informed by

- High-level risk assessment, the contextual analysis (4), and
- The resources available (7).

Clause 7 outlines the support needed for the MSR, such as

- Resources,
- Competence,
- Training and communication, and
- Documentation.

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Clause 8

- Defining or reviewing and planning the records processes to be implemented.
- It draws on the records requirements and scope (4), and
- Is based on the records policy (5.2),
- The risk assessment (6) and
- Resources (7) to meet the records objectives (6.2) in the planned implementation.
- Explains what records processes and systems need to be implemented for a MSR.
- For undertaking the detailed design, review and implementation of records processes and systems, records professional(s) draw on the standards and technical reports on records management issued by ISO/TC 46/SC 11.

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International Standards



ISO 30302 – MSR – GUIDELINES FOR IMPLEMENTATION

Clause 9 & 10

- Performance evaluation and
- Improvement against the
 - Planning,
 - Objectives and
 - Requirements of ISO 30301.

STANDARDISATION IN E-ARCHIVING

International Standards



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STANDARDISATION IN E-ARCHIVING

International Standards



DRAFT INTERNATIONAL STANDARDS

Four major stages

PROPOSITION

Following an identified need, one party introduces a project

STUDY & PREPARATION

A technical committee prepares the study and presents the standards' project

PUBLIC INQUIRY & APPROBATION

The standards' project undergoes public inquiry then it is presented for validation

PUBLICATION

The valid standard is then published

Average duration :
3 years

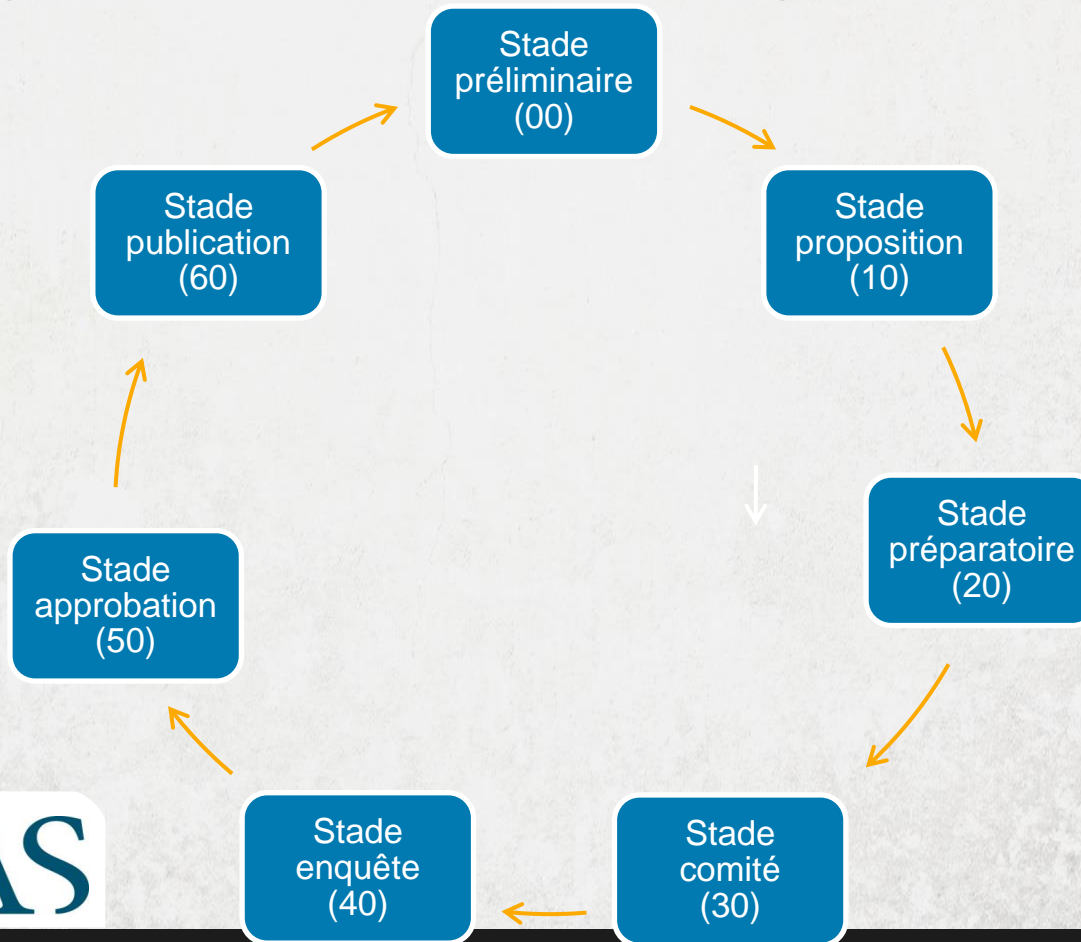
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International Standards



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The various stages (ISO procedure for standardization design (CEN procedure is identical))



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Details

Stage	Name of project	Operation	Approbation	Average duration
00 – Preliminary stage	Preliminary Work Item (PWI)	Inscription of a Preliminary Work Item on the agenda of a TC/SC	Majority of (P) members	Defined by a working group
10 - Proposal stage	New Proposal (NP)	Submission of voting proposal to the members of the TC/SC concerned	- Majority of simple (P) members - > 5 (P) members participants	
20 - Draft stage	Working Draft (WD)	Establishment of a working group	-	
30 – Committee stage	Committee Draft (CD)	Diffusion of the project for comments and votes among the (P) members of the TC/SC	Agreement on consensus	
40 – Inquiry stage	Draft International Standard (DIS)	Distribution of the standards' project (DIS) to all committees in ISO for votes and comments	- 2/3 of (P) members du TC/SC	5 months
50 – Approbation stage	Final Draft International Standard (FDIS)	Distribution of the final draft (FDIS) to all committee members of ISO for final vote by YES or NO	- Negative Votes < 1/4 of total votes	2 months
60 - Publication stage	International Standard (IS)	The international standard is published	-	

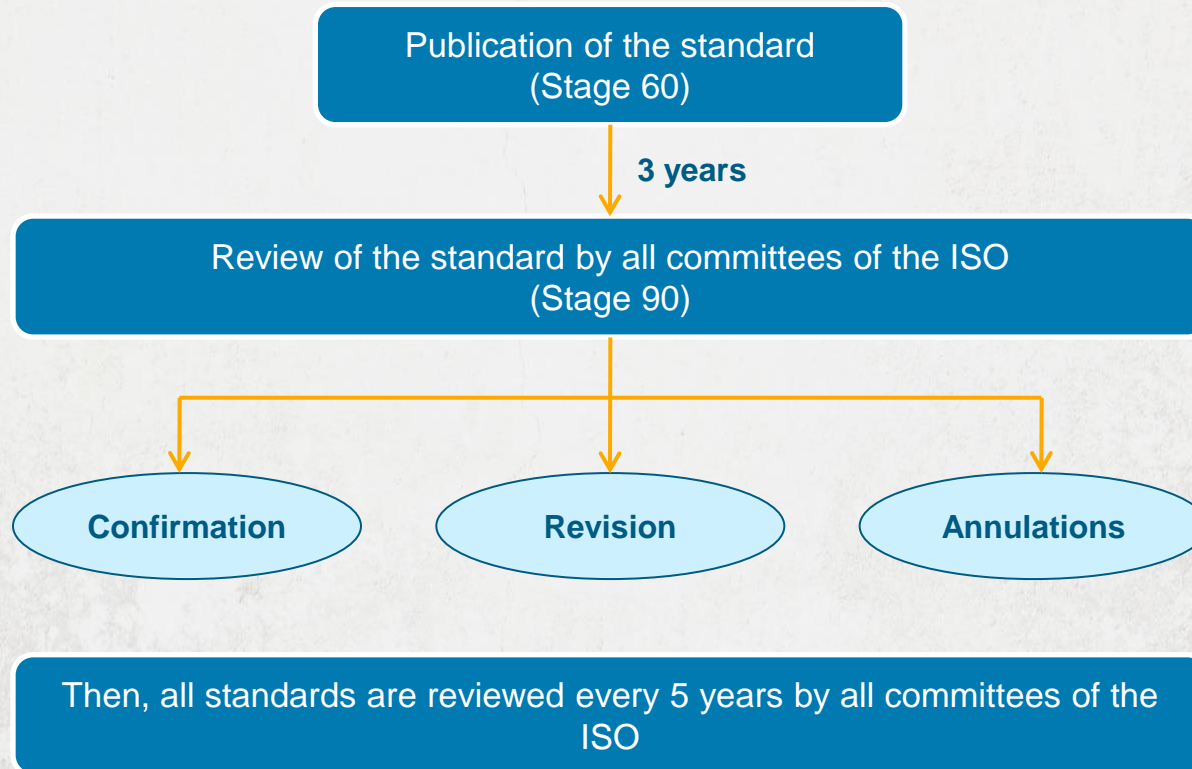
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ISO/NP TR 15489-2 Information and documentation -- Records management -- Part 2: Guidelines	10.99	01.140.20
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