AS/NZS ISO 30301:2012

Australian/New Zealand Standard

Information and documentation — Management systems for Recordkeeping — Requirements
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.

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This Standard was issued in draft form for comment as DR AS/NZS ISO 30301.
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.
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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.
These standards are intended to be used by:

— top management who make decisions regarding the establishment and implementation of management systems within their organization;

— people responsible for implementation of MSR, such as professionals in the areas of risk management, auditing, records, information technology and information security.

The MSR determines the records management requirements and expectations of the interested parties (customers and stakeholders) and, through the necessary processes, produces records that meet those requirements and expectations.

Figure 2 shows the structure of the MSR and the relationship with customers and stakeholders.
Figure 2 — Structure of MSR
1 Scope

This International Standard specifies requirements to be met by a 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.

A MSR can be established by an organization or across organizations that share business activities. Throughout this International Standard, the term “organization” is not limited to one organization but also includes other organizational structures.

This International Standard is applicable to any organization that wishes to:

a) establish, implement, maintain and improve a MSR to support its business;

b) assure itself of conformity with its stated records policy;

c) demonstrate conformity with this International Standard by
   1) undertaking a self-assessment and self-declaration, or
   2) seeking confirmation of its self-declaration by a party external to the organization, or
   3) seeking certification of its MSR by an external party.

This International Standard can be implemented with other Management System Standards (MSS). It is especially useful to demonstrate compliance with the documentation and records requirements of other MSS.

2 Normative references

The following referenced documents are indispensable for the application of this document. 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

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300 apply.
AS/NZS ISO 30301:2012 Information and documentation -
Management systems for recordkeeping - Requirements

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