

## Relationship between the ISO MSR standards and other products of ISO/TC46/SC11

### White paper written by ISO/TC46/SC11- Archives/records management

#### 1 Introduction

A “management system” is the way in which an organization manages the interrelated parts of its business in order to achieve its objectives. An MSR is a “management system to govern records”. The MSR standards form part of the ISO management systems standards (MSS). These standards establish common repeatable steps that organizations consciously implement to achieve their goals and objectives and to create an organizational culture that reflexively engages in a continuous cycle of self-evaluation, correction, and improvement of operations and processes through heightened employee awareness and management leadership and commitment. One of the fundamental principles is that all MSS work together in an integrated approach.

The MSR standards are closely related to other standards, technical specifications, and technical reports published by ISO TC46/SC11- Archives/records management. The aim of this white paper is to show the relationships between the MSR standards and other products published by TC 46/SC 11.

Note: Since *ISO/IEC TS 17021-14:2022 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 14: Competence requirements for auditing and certification of management systems* is not published by SC11, it is not included in this document. However, *ISO/IEC TS 17021-14:2022* for auditing and certification of MSR is based on ISO 30301.

#### 2 ISO 30301 and ISO 30302: Management Systems for Records (MSR)

The MSR series of standards includes:

- *ISO 30301:2019 Information and documentation — Management systems for records — Requirements*
- *ISO 30302:2022 Information and documentation — Management systems for records — Guidelines for implementation.*

*ISO 30301:2019 Information and documentation — Management systems for records — Requirements* covers requirements for record creation, design, and implementation that are met by a management system for records (MSR) in order to support an organization in the achievement of its mandate, mission, strategy, and goals. For more information about the comparison between ISO 30301:2011 and ISO 30301:2019, see:

[https://committee.iso.org/files/live/sites/tc46sc11/files/documents/ISO-TC46-SC11-WG8\\_N163\\_Comparison\\_ISO\\_303012011\\_versus\\_ISO\\_303012019\\_Implementation\\_consequences.pdf](https://committee.iso.org/files/live/sites/tc46sc11/files/documents/ISO-TC46-SC11-WG8_N163_Comparison_ISO_303012011_versus_ISO_303012019_Implementation_consequences.pdf)

*ISO 30302:2022 Information and documentation — Management systems for records — Guidelines for implementation* provides implementation guidelines for ISO 30301:2019 which is consistent with the requirements of ISO 30301:2019. It covers what is needed to establish and maintain an MSR.

Note: ISO 30300:2020 provides core concepts and vocabulary related to records management, and the management system for records used in all the ISO TC 46/SC 11 standards, technical specifications, and technical reports.

### **3 The relationships of MSR standards and other products of ISO/TC46/SC11**

This section reviews the general situation of ISO/TC46/SC11 related standards, identifies the role and position of MSR standards in them, and maps them to other products of ISO/TC46/SC11.

#### **3.1 Overview of ISO/TC46/SC11 family relationships**

Figure 1 is an overview of ISO/TC46/SC11 family relationships. It shows where MSR standards are located. MSR standards are developed under the MSS (Management System Standards) framework in coordination with other products of SC11. These standards provide requirements and guidelines for records management basics, analysis methodology, records systems, specific processes, and enablers. The figure is updated from the figure used in ISO 30301, from other published standards, and from the standards under-development: ISO/AWI TS 7538 Disposition, ISO/AWI TR 8344 Issues and considerations for managing records in structured data environments and ISO/WD TR 24332 Blockchain and Distributed Ledger Technology in relation to authoritative records, records systems, and records management.

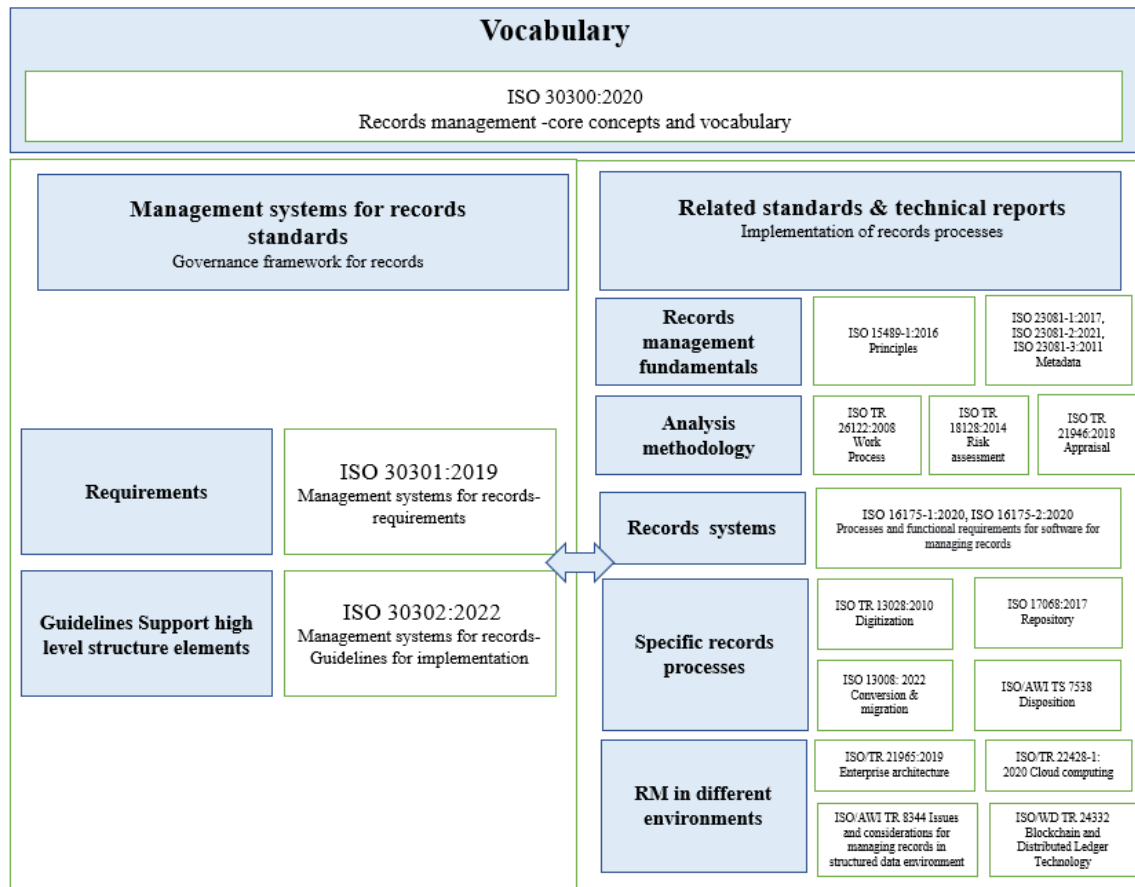
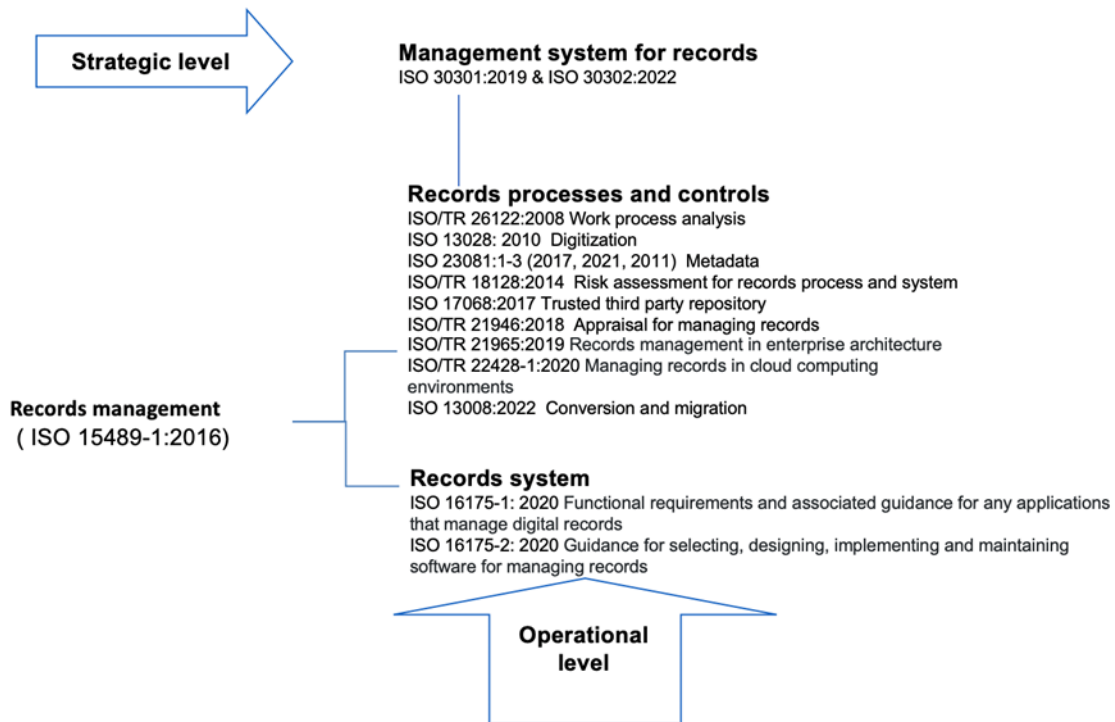


Figure 1 Overview of ISO/TC46/SC11 family relationships <sup>1</sup>

### 3.2 Records management process relationships

The ISO/TC46/SC11 standards can be divided into two levels: strategic level and operational level. The strategic level refers to the standards on the management system for records (MSR standards) which provide a governance framework for records. The operational level refers to standards on the fundamentals of records management, methodologies, records process, records control, and records systems, and guidance for applying all of them in specific contexts. Figure 2 shows the relationships between these standards from both top-down and bottom-up.

<sup>1</sup> Updated from ISO 30301:2019 Information and documentation — Management systems for records — Requirements (<https://www.iso.org/obp/ui/#iso:std:iso:30301:ed-2:v1:en>)



**Figure 2 SC11 Standards in relation to the records management process, controls and systems**

Figure 2 shows SC11 Standards in relation to records management process, controls and systems at both the strategic and operational levels. Through this figure, we can more clearly distinguish the functions of ISO/TC46/SC11 standards, and further understand the strategic significance of MSR standards.

### 3.3 MSR functions and capabilities relationships

For a better understanding of MSR standards and their relationships with other SC11 products a full reading of these standards is necessary. Table 1 maps records processes, records controls, and records systems reflected in the MSR to their relevant technical enablers in other SC11 standards and technical reports. The standards involved and referenced in this section include: ISO 30301:2019, ISO 30302:2022, ISO/TR 26122:2008, ISO/TR 18128:2014, ISO 23081-1&2&3, ISO 16175-1&2, ISO 15489-1:2016, ISO 13008:2022.

**Table 1 Mapping records management processes, controls, and systems in MSR with technical enablers in other SC11 products**

code	records process, records control and records systems in ISO 30301&30302	Technical enablers in SC11's other standards and technical reports
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A1	records processes	ISO/TR 26122:2008 ISO/TR 18128:2014 ISO 16175 -1&2
A1.1.	creating records	ISO 15489-1:2016: • Cl. 5.2.2 Characteristics of authoritative records • Cl. 9.2 creating records
A1.2.	capture	ISO 15489-1:2016 • Cl. 4 Principles for managing records • Cl. 8.1 General • Cl. 9.3 Capturing records
A1.3.	classification and indexing	ISO 15489-1:2016 • Cl. 9.4 Records classification and indexing
A1.4.	storing records /preservation	ISO 15489-1:2016 • Cl. 9.6 Storing records
A1.5.	use and reuse/ access control	ISO 15489-1:2016 • Cl. 5.2.2.4 Usability • Cl. 9.5 Access control • Cl. 9.7 Use and reuse
A1.6.	migrating and converting records	ISO 15489-1:2016 • Cl. 9.7 Use and reuse • Cl. 9.8 Migrating and converting records ISO 13008:2022
A1.7.	disposition	ISO 15489-1:2016 • Cl. 8.5 Disposition authorities • Cl. 9.9 Disposition
A2	records control	ISO 15489-1:2016 • Cl. 8 Records controls

A2.1.	metadata schema	ISO 15489-1:2016 • Cl. 8.2 Metadata schemas for records ISO 23081 -1&2&3
A2.2.	business classification schemes	ISO 15489-1:2016 • Cl. 8.3 Business classification schemes • Cl. 9.4 Records classification and indexing
A2.3.	access and permission rule	ISO 15489-1:2016 • Cl. 8.4 Access and permissions rules
A2.4.	disposition authority	ISO 15489-1:2016. • Cl. 8.5 Disposition authorities • Cl. 9.9 Disposition
A3	records systems	ISO 16175-1&2
A.3.1.	Integrity/security	ISO 15489-1:2016. • Cl. 5.2 Integrity • Cl. 5.3.2 Characteristics of records systems(secure)
A.3.2.	Technologies	ISO 15489-1:2016. • Cl. 5.3.2 Characteristics of records systems(comprehensive)
A.3.3.	Inventory	ISO 15489-1:2016. • Cl. 6.3Responsibilities
A.3.4.	Documentation	ISO 15489-1:2016. • Cl. 6.3Responsibilities
A.3.5.	Availability	ISO 15489-1:2016. • Cl. 5.3 Records systems

A.3.6.	Monitoring	ISO 15489-1:2016. • Cl. 6.4 Monitoring and evaluation
A.3.7.	Access	ISO 15489-1:2016. • Cl. 9.5 Access control

Table1 is a guidance tool that links the MSR “Control” “Process ” and “System” requirements from ISO 30301 to the most relevant clauses where technical enablers can be found in each related standard and technical reports. The technical enablers can be used to implement the operational elements necessary to meet the MSR requirements. It t shows that ISO 30301 and ISO 15489 are consistent. This makes ISO 30301 a standard that not only fully follows the common text of the high-level structure (HLS) for all ISO management systems standards (MSS) but also aligns operational requirements with the guidelines in ISO 15489.

*NOTE: Background*

*Over ten years have passed since ISO 30300 and ISO 30301 were published in 2011. A number of changes have taken place to MSR family of standards and other SC11 standards.*

*From the MSR family, ISO 30302:2022 has been added to the MSR standards, and ISO 30300:2011 and ISO 30301:2011 have been modified as ISO 30300:2020 and ISO 30301:2019.*

*From the other SC11 standards, ISO/TC46/SC11 has published more than 10 standards and technical reports (including revised ones) on records/archives management since the publication of ISO 15489-1:2016.*

*Issues concerning the relationships, similarities, and differences between MSR standards and other standards, and technical reports needed be updated since the original white paper RELATIONSHIP BETWEEN THE ISO 30300 SERIES OF STANDARDS AND OTHER PRODUCTS OF ISO/TC46/SC11 was released in 2012. This white paper supersedes that product.*

**References:**

[1] ISO TC46/SC11 White Paper - Archives/records management, RELATIONSHIP BETWEEN THE ISO 30300 SERIES OF STANDARDS AND OTHER PRODUCTS OF ISO/TC 46/SC 11: 1 Records processes and controls (2012)

[2] ISO 22310:2006 Information and documentation — Guidelines for standards drafters for stating records management requirements in standards

- [3] ISO/TR 26122:2008 Information and documentation — Work process analysis for records
- [4] ISO/TR 26122:2008/Cor 1:2009 Information and documentation — Work process analysis for records — Technical Corrigendum 1
- [5] ISO/TR 13028:2010 Information and documentation - Implementation guidelines for digitization of records
- [6] ISO/TR 18128:2014 Information and documentation — Risk assessment for records processes and systems
- [7] ISO 15489-1:2016 Information and documentation — Records management — Part 1: Concepts and principles
- [8] ISO 17068:2017 Information and documentation — Trusted third party repository for digital records
- [9] ISO/CD TS 7126 Information and documentation — Records management capability assessment model
- [10] ISO/AWI TS 7538 Disposition
- [11] ISO/AWI TR 8344 Issues and considerations for managing records in structured data environments
- [12] ISO 23081-1:2017 Information and documentation — Records management processes — Metadata for records — Part 1: Principles
- [13] ISO 23081-2:2021 Information and documentation — Metadata for managing records — Part 2: Conceptual and implementation issues.
- [14] ISO/TR 23081-3:2011 Information and documentation — Managing metadata for records — Part 3: Self-assessment method.
- [15] ISO/TR 21946:2018 Information and documentation — Appraisal for managing records
- [16] ISO/TR 21965:2019 Information and documentation — Records management in enterprise architecture
- [17] ISO 16175-1:2020 Information and documentation — Processes and functional requirements for software for managing records — Part 1: Functional requirements and associated guidance for any applications that manage digital records
- [18] ISO/TS 16175-2:2020 Information and documentation — Processes and functional requirements for software for managing records — Part 2: Guidance for selecting, designing, implementing and maintaining software for managing records



- [19] ISO/TR 22428-1:2020 Managing records in cloud computing environments — Part 1: Issues and concerns
- [20] ISO/WD TR 24332 Blockchain and Distributed Ledger Technology in relation to authoritative records, records systems, and records management
- [21] ISO 30300:2020 Information and documentation — Records management — Core concepts and vocabulary
- [22] ISO 30301:2019 Information and documentation — Management systems for records — Requirements
- [23] ISO 30302:2022 Information and documentation — Management systems for records — Guidelines for implementation
- [24] ISO 13008:2022 Information and documentation — Digital records conversion and migration process