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
- ISO30302:2022 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:
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.
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.

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


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 |
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 |
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| **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 |
| **A3.1.** | Integrity/security | ISO 15489-1:2016  
  - Cl. 5.2 Integrity  
   - Cl. 5.3.2 Characteristics of records systems(secure) |
| **A3.2.** | Technologies | ISO 15489-1:2016  
  - Cl. 5.3.2 Characteristics of records systems(comprehensive) |
| **A3.3.** | Inventory | ISO 15489-1:2016  
  - Cl. 6.3 Responsibilities |
| **A3.4.** | Documentation | ISO 15489-1:2016  
  - Cl. 6.3 Responsibilities |
| **A3.5.** | Availability | ISO 15489-1:2016  
  - Cl. 5.3 Records systems |
A.3.6. Monitoring

- Cl. 6.4 Monitoring and evaluation

A.3.7. Access

- Cl. 9.5 Access control

Table 1 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 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 the 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:


[8] ISO 17068:2017 Information and documentation — Trusted third party repository for digital records


[20] ISO/WD TR 24332 Blockchain and Distributed Ledger Technology in relation to authoritative records, records systems, and records management


[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