UNE ISO 30301. MANAGEMENT SYSTEMS FOR RECORDS
HOW TO IMPLEMENT IT IN AN ORGANIZATION?
An implementation example in a fictional company

AENOR CTN50/SC1 Gestión de documentos y aplicaciones
(translated to English by Cristina Fernández)
An Implementation example in a fictional company. **Scene:**

- **Company “Les Xufes”** (Horta Nord, Valencia).
  - From 1985.
  - Industrial manufacture (elaboration, packaging and commercialization) of tiger nut juice from Valencia, according to standards from Regulatory Council of the Guarantee of Origin.
  - 250 staff. Production Area: 150, Logistic Area: 50, Commercial Area and Marketing Area: 30, Administration Area: 13 (include Quality Department: 3), Technology Area: 7.
  - From 2001 Quality Management System (QMS) according to standard ISO 9001 → Quality Department.
  - Values = Tradition + Innovation (Technological) + Quality.
  - Strategic Plan 2012-2015: exportation to Asiatic market.

- **“Les Xufes” and Records Management:**
  - When an ISO 9001 QMS was implemented an information officer was contracted for incorporation to Quality Department. Functions: Regulatory information retrieval, normative and technical, library maintenance, Intranet and website management, quality records control, quality documentation distribution.
UNE ISO 30301. MANAGEMENT SYSTEM FOR RECORDS
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• An Implementation example in a fictional company. Scene:

  – “Les Xufes” and records management:
    • “Records Management Philosophy”:
      – 2001 (after implementing the QMS according to ISO 9001):
        » Each area and process had its own methodology + specific methodology for
          records control and quality evidences (Quality Department).
        » External monitoring and certification audits: External audits: Non Conformity -
          NC- relative to QMS documents control (clause 4.2 ISO 9001).
      – 2007: Changes will provide: only one methodology that follows good practices on
          international recognized records management ISO 15489. Information officer
          responsible: Information officer (records manager, RM).
        » 1st project (2007-2010): The RM and Quality Department tried to align the
          records processes following ISO 15489. Documents were identified and
          associated to business processes; and a classification schema, basic access
          rules, and a disposition schedules were defined. The Technology Area
          implement SharePoint solution with the intention that document in paper were
          not distributed or archived within the organization. The Quality Department had
          the functional responsibility of this project, publish manuals and procedures for
          its implementation. Training at a higher level, administrative staff and any other
          people that deals with records (total=90 people).
        » 2nd project (2011): Implementation of a Records Management System
          according to ISO 30301.
• An Implementation example in a fictional company. **Preview:**

  – **November 2011**, Records manager (RM) “Les Xufes”: How do I propose the project to top management?
  – **November 2011**, Chief Executive Officer (CEO) “Les Xufes”: Why should I approve the project? Expected results and benefits.
  – **November 2011**, Records manager (RM) “Les Xufes”: How do I select the implementation consultant?
  – **December 2011**, Records consultant (RC): How do I develop the project?
  – **March 2012**, Records manager (RM) “Les Xufes”: How do I select the certification body?
  – **19 March**, Auditor (A): How do I develop the audit process? What is the result?
UNE ISO 30301. MANAGEMENT SYSTEM FOR RECORDS
HOW TO IMPLEMENT IT IN AN ORGANIZATION?

• An Implementation example in a fictional company. **Main characters:**

  **CEO** = C.Bustelo

  **RM** = MR.Lloveras

  **RC** = M.Lorience

  **A** = A.Sellés

1st. VALENCIAN WORKSHOP ON DOCUMENTATION
HOW DO I PROPOSE THE PROJECT TO TOP MANAGEMENT?

Three reasons:

1: **Consolidation** of records practices.
   
   RMS = Management according to ISO 30301 | Operative according to ISO 15489

2: **Certification** of MSR.
   
   Better Guarantee > More Clients → Penetration on new markets (Strategic Plan 2012-2015 “Les Xufes”)

3: **Innovation**.
   
   1st certified organization in Spain.
HOW DO I PROPOSE THE PROJECT TO TOP MANAGEMENT?

A strategy:

- **Scope “risk free” and “scalable”:**
  - “Risk free”… Scope of MSR according to ISO 9001 (from 2007: elimination of non conformities on Documentation section).
  - “Scalable”… As processes are included in QMS, they’re also included to the MSR.

- **Low Investment:**
  - External consultant: Audit + Implementation of uncovered requirements (estimation 30%; work done in 3 months).
  - “Les Xufes”: Top Management / RM/ Quality Department.
  - Certification Body.

- **Short period Results:** Certification in March 2012.
UNE ISO 30301. MANAGEMENT SYSTEM FOR RECORDS
HOW TO IMPLEMENT IT IN AN ORGANIZATION?

• WHY SHOULD I APPROVE THE PROJECT? EXPECTED RESULTS AND BENEFITS

TRADITION + INNOVATION + QUALITY

PRINCIPLES
- Quality compromise
- Internationalization
- Respect tradition of manufacturing processes
- Innovation
- Efficacy and efficiency in administrative processes

Family company → 2001 → Professionalization of Top Management

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• WHY SHOULD I APPROVE THE PROJECT? EXPECTED RESULTS AND BENEFITS

2001 – Development plan and expansion:
- Implementation of standard ISO 9001
- Modernization of technological structures
- Modernization of administration: reducing “paperwork”

2011…10 years later: IN GENERAL- VERY ACCEPTABLE
- COMPANY HAS DOUBLED ITS STAFF
- EXPANSION PLAN IN THE ASIATIC MARKET (2012-2015)
- COMPANY HAS TRIPLE ITS REVENUES
• WHY SHOULD I APPROVE THE PROJECT? EXPECTED RESULTS AND BENEFITS

OUR PHILOSOPHY: CONTINUOUS IMPROVEMENT

FUTURE PLANS
- Commitment with social responsibility and environment
- Electronic commerce wholesale opening
- Asiatic market consolidation

2011- TOP MANAGEMENT REVISION OF THE MANAGEMENT SYSTEM
• Most of the non conformities come from documentation section

• TECHNOLOGIC PLATAFORMS OVERLOAD. Some problems when searching information

QUALITY/RECORDS MANAGER PROPOSAL TO IMPLEMENT THE STANDARD ISO 30301

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UNE ISO 30301. MANAGEMENT SYSTEM FOR RECORDS
HOW TO IMPLEMENT IT IN AN ORGANIZATION?

• WHY SHOULD I APPROVE THE PROJECT? EXPECTED RESULTS AND BENEFITS

COST

INVESTMENT
1%

BENEFITS

STRATEGY

IMPLEMENTATION

• Quality system improvement
• Redundant information deletion
• Preparation for support of electronic commerce processes
• Legal support in every country in which we operate
• Conservation of “knowhow” of manufacturing methods and company knowledge

CERTIFICATION

• International recognition
• Quality trade reinforcement
• Committed and leading company image
• Proof of quality

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• **HOW DO I SELECT THE EXTERNAL CONSULTANT?**

  **Three technical questions:**

  1. **Experience** demonstrable experience within the implementation and auditing scope of MSR according to ISO 30301, and business area?

  2. **Compromise** towards certification? Advice for resolution to solve Non conformity-NC found in the external audit.

  3. **Ability to respond to** additional services? For example, information security actualization advise.
HOW DO I DEVELOP THE PROJECT?

1. Pre-implementation Audit (1 month):
   - **Objective**: Identify not covered requirements (Non Conformities - NC) and identity actions to implement them
   - **Methodology**: Comparison of requirements with existing processes, controls and documentation
   - **Result**: Report on actions to be taken

2. Consultancy I (2 months):
   - **Objective**: Elimination of Non Conformities - NC.
   - **Methodology**: Implementation of actions.
   - **Result**: Implemented system ready to external audit.

3. Consultancy II external post audit for certification:
   - **Objective**: Confirm the resolution of Non Conformities - NC identify by external audit.
   - **Methodology**: Implementation of actions.
   - **Result**: Disposal of Non Conformity - NC and RMS certified.
**• HOW DO I DEVELOP THE PROJECT?**

<table>
<thead>
<tr>
<th>REQUIREMENTS</th>
<th>NON CONFORMITY (NC) / CONSULTANCY ACTIONS (A)</th>
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<tbody>
<tr>
<td>ORGANIZATION CONTEXT Item 4</td>
<td>NC = Needs to be documented</td>
</tr>
<tr>
<td></td>
<td>A.1 = Draft formal document that includes MSR scope, external and internal factors, legal, business and any other requirements.</td>
</tr>
<tr>
<td>LEADERSHIP Item 5</td>
<td>NC = Doesn’t exist a records policy.</td>
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<td>NC = The roles and responsibilities in Records Management are not explicitly documented.</td>
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<td></td>
<td>A.2 = Establishing jointly with Top Management and the RM officer a records policy.</td>
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<tr>
<td></td>
<td>A.3 = Integration = including into Quality Policy document the records policy. Top Management approval. In this document the roles and responsibilities are included jointly with the quality ones.</td>
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<td></td>
<td>A.4 = Spreading = presentation meeting with Area Managers; publication of the new policy in Intranet; Top Management e-mail to the staff advertising the modification of quality policy including records policy.</td>
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| PLANIFICATION Item 6 | **NC** = Objectives not established   
**NC** = A plan doesn´t exist to achieve them                   |
|               | **A.5** = Establish jointly with RM officer the records objectives and the plan and actions to achieve them: who is going to develop them, which resources are necessary, when they are going to be completed and how they will be evaluated. The plan is also integrated with the planning of QMS, and quality objectives |
| SUPPORT Item 7 | **NC** = Doesn´t exist. The staff is capable, and communication and approval procedures of QMS are perfectly valid. |

1st. VALENCIAN WORKSHOP ON DOCUMENTATION
### HOW DO I DEVELOP THE PROJECT?

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<tr>
<td>Item 8 + Annex A</td>
<td></td>
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<tr>
<td>Determining what, when and how records shall be created and captured for each business process</td>
<td><strong>NC</strong> = The classification scheme and the determination of records of each procedure is valid, but doesn´t exist a written procedure on how to determine retention periods  &lt;br&gt; <strong>A.6</strong> = Drafting and implementation of a procedure to determine retention periods and disposition schedules</td>
</tr>
<tr>
<td>Determining the content, context and control information (metadata) that shall be included in the records</td>
<td><strong>NC</strong> = Information included is not enough.  &lt;br&gt; <strong>A.7</strong> = Changes on records system implementation to allow collect all the necessary metadata, specially the ones referred to electronic signature.</td>
</tr>
<tr>
<td>Deciding in what form and structure the records shall be created and captured.</td>
<td><strong>NC</strong> = Electronic signature has not been included until now.  &lt;br&gt; <strong>A.8</strong> = Modification of the system for the access of records with electronic signature.</td>
</tr>
<tr>
<td>Determining appropriate technologies for creating and capturing records</td>
<td><strong>NC</strong> = Doesn´t exist. <em>SharePoint is the technology for the preservation of records.</em></td>
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**HOW DO I DEVELOP THE PROJECT?**

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<tr>
<td>Determining what control information (metadata) shall be created through the records processes and how it will be linked to the records and managed over time</td>
<td>NC = Certain metadata are not collected related with records processes.</td>
</tr>
<tr>
<td>Establishing rules and conditions for use of records over time</td>
<td>A.9 = Implementation of RM module for SharePoint</td>
</tr>
<tr>
<td>Maintaining the usability of the records over time</td>
<td>NC = Doesn´t exist. The defined security and access system is valid and documented.</td>
</tr>
<tr>
<td>Implementing authorized disposition of the records</td>
<td>NC = Evidence of authorization doesn´t exist. It´s not specified because the transfer controls doesn´t exist. A.11 = Incorporation of RM module of SharePoint. A.12 = Formal document including reasons of not implementing transfer controls</td>
</tr>
<tr>
<td>Establishing conditions for administration and maintenance of records systems</td>
<td>NC = Doesn´t exist updated documentation to customization of SharePoint. A.13 = Updating the functional analysis document.</td>
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<td>EVALUATION</td>
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<td>Item 9</td>
<td><strong>NC</strong> = elements to be monitored and evaluated shall be established. The audit system and non conformity procedures of QMS can be increased perfectly with record requirements.</td>
</tr>
<tr>
<td></td>
<td><strong>A.14</strong> = Establishing the evaluating elements and indicators of MSR to be integrated in QMS procedures</td>
</tr>
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<td>IMPROVEMENT</td>
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</tr>
<tr>
<td>Item 10</td>
<td><strong>NC</strong> = Doesn´t exist. The improvement procedure of QMS can be applied perfectly</td>
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• HOW DO I CHOOSE THE CERTIFICATION BODY?

Three technical questions:

1: Accredited entity?

2: Experience verifiable in the MSR scope according to ISO 30301, and also in the business area?

3: “Les Xufes” QMS has been audited before?
HOW DO I DEVELOP THE AUDIT PROCESS?

1. **Audit Plan**: scope, criteria, duration (dates), audit team.

2. **Audit process**:
   - Opening meeting (participating CEO and RM).
   - Documentation analysis (participates RM).
   - Conclusions preparation.
   - Closing meeting and audit report delivery (participating CEO and RM).
     - Global summary. Informing about the negative, positive and being observed. [what we have observed, negative or positive]
     - Discussion about Non conformities– NC, and corrective actions and periods agreement.
     - About the certificate: scope, status (recertification), internal audits, use of logo, etc.

3. **Non conformities -NC following and closing**:
   - Documented evidences of actions taken
   - Traceability of processes and procedures implemented
HOW DO I DEVELOP THE AUDIT PROCESS?

AUDIT REPORT

To produce value, the audit team in the certification process, will present a complete audit report including the results indicated below.

The audit report will provide precise and concise evidence of the audit made, to allow and inform about the decision of being certified, for this reason, should include or make reference to:

a) Identification to the certification body
b) The name and address of the client and elected delegates
c) The audit type (e.g. initial audit, rectification audit or acknowledgement)
d) The audit criteria
e) The audit objectives
f) The audit scope, particular identification of functional units or audit process while auditing
g) Identification of project leader, audit team members and any other staff involved
h) The dates and places where audit activities (internal or external) have been done
i) Conclusions, evidences, and audit fails, consisting with the requirements of audit type
HOW DO I DEVELOP THE AUDIT PROCESS?

- Conformity
- Findings
- Best practices
- Strengths
- Weakness
- Non Conformity
- Risks
- Improvement Opportunities
WHICH IS THE RESULT OF THE AUDIT REPORT?

GLOBAL EVALUATION: It’s been verified that the implemented system is in a very youth stage. However, this finding hasn’t prevent the verification of the adequate implementation and efficacy of the implemented procedures. The system fulfill the requirements of the standard ISO 30301 with the exception of the NC indicated.

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<td>EVALUATION (item 9)</td>
<td><strong>NC</strong> = As the audit is being in progress, it can’t be taken as evidence, how the management has proceeded for the reviewing, because the review deadline hasn’t yet expired. To considerate the preimplementation audit as an internal audit, an audit report is required. The audit plan of QMS doesn’t specify MSR auditing.</td>
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<tr>
<td></td>
<td><strong>Corrective Action 1</strong> = The audit plan for QMS will be revised and modified for including that MSR</td>
</tr>
<tr>
<td></td>
<td><strong>Corrective Action 2</strong> = Obtaining the preimplementation audit report.</td>
</tr>
<tr>
<td>IMPROVEMENT (item 10)</td>
<td><strong>NC</strong> = In the non-conformity procedure it doesn’t mention explicitly the MSR</td>
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<tr>
<td></td>
<td><strong>Corrective Action 3</strong> = Review and approve the non-conformity detection and corrective actions procedure.</td>
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</tbody>
</table>

Audit report extract. The corrective actions are proposed by the company to eliminate non-conformities
WHICH IS THE RESULT OF THE AUDIT REPORT?
CORRECTION PERIOD AGREED WITH THE CERTIFICATION BODY = 15 days

LES XUFES
First Spanish company certified on ISO 30300!!

1st. VALENCIAN WORKSHOP ON DOCUMENTATION
And King James I said “això és or, xata”...

¿If he could have implemented ISO 30301 he would also said this?

¡THANK YOU VERY MUCH!