

A specimen of the ISO 30301 records kit

Five rows from the live record. The paid kit carries all 28 clause and Annex A records, the full evidence list and the dated plan.

SPECIMEN: NOT THE FULL KIT, NOT YOUR DATA

RECORD DATE	2026-10-22
CURRENT STANDARD	ISO 30301:2019, including Amendment 1:2024
DRAFT	ISO/PRF 30301, Edition 3, stage 50.00, 7 September 2026; text not public
PLANNING TARGET	18 February 2027 (estimate, not an ISO date)
TRANSITION CASE	31 January 2030 to 30 June 2030 (Global ACI precedent); no ISO 30301 transition document has been issued
SOURCES	ISO page 89772; ISO page 74292; the ISO 30301:2019 clause record; the committee comparison WG 8 N 163; Global ACI transition documents
LICENCE	One organization, internal use and its consultants. Not for resale. The standard text remains ISO's.

What this is. A register of the requirements that apply today, the evidence an auditor asks for, the common gaps and a dated plan. The requirements are our words, not ISO's. The draft's requirement text is not public and is not reproduced. Dates marked estimate are derived from the public stage record. **Not legal advice; does not certify.**

What is inside

- **The register:** 5 rows, each with the clause, the requirement in our words, the draft treatment, an owner and a due date.
- **The gap list:** 10 common failures, each with an action and an owner.
- **The evidence list:** 15 records an auditor asks for, by clause.
- **The dated plan:** 8 milestones from the read-through to the estimated transition end.

How to use it

Start with the register. Put an owner and a due date on every row that is not already evidenced. Use the evidence list to collect the records, the gap list to decide what to fix first, and the plan to sequence the work. Re-check the ISO stage at the planning date; the change watch tells you when the record moves.

Obligation register (specimen: five rows)

REF	CLAUSE	CLAUSE TITLE	REQUIREMENT IN OUR WORDS	DRAFT STATUS	OWNER	DUE
ISO30301-4.1.2	4.1.2	Records requirements	The organization must identify, assess and document two things: the business need for records, which is the appraisal decision about what evidence each business activity requires, and the records requirements that follow from business, legal, regulatory and other obligations. The output is the bridge between the context and the design of the system. It has to say what has to be created and captured, what quality the record must have, how long it is kept, who can use it and what has to be protected, and it must cover every business process in the scope.	not public		
ISO30301-8.2	8.2	Determining records to be created	For every business process the organization has to analyse and decide what records will be created and captured, when that happens and how. The analysis has to be documented and authorized by top management. This is the appraisal step moved into the main text: it decides which activities leave evidence, which record is the authoritative one, what metadata it needs and at which point in the process it is captured. If this analysis is weak, every later control is working on the wrong records.	not public		
ISO30301-8.3	8.3	Designing and implementing records processes, controls and systems	The organization has to design and implement its records processes, controls and systems in line with the records requirements from 4.1.2 and with Annex A. This is the clause that connects the management system to the operational detail: the processes in A.1, the controls in A.2 and the systems in A.3 are the design vocabulary. Design has to be deliberate, recorded and tested against the requirements, not inherited from whatever the current software happens to do.	not public		
ISO30301-9.1	9.1	Monitoring, measurement, analysis and evaluation	The organization has to decide what to monitor and measure, the methods it will use to keep the results valid, when monitoring happens and when the results are analysed and evaluated. It has to keep documented information of the results, judge how well the records processes and systems perform, and decide whether the system as a whole is working. Good measures look at capture rate, completeness, retrieval success, access exceptions, disposition timeliness and the quality of the metadata, not only at the number of documents stored.	not public		

REF	CLAUSE	CLAUSE TITLE	REQUIREMENT IN OUR WORDS	DRAFT STATUS	OWNER	DUE
ISO30301-A.2	A.2	Annex A.2: Records controls	The organization has to put in place the controls that make the records processes consistent across the organization. The annex names four: metadata schemas for records, business classification schemes, access and permissions rules, and disposition authorities. Each control is a rule set with an owner and a maintenance route. Without them, capture depends on individual habit, search depends on file names, access depends on folder structure and disposal depends on who remembers the retention period.	not public		

Source for every row: ISO 30301:2019, held clause record, retrieved 2026-10-22. Draft treatment: public DIS contents and named summaries. Not legal advice; does not certify.

Common gaps (specimen: first five clauses)

CLAUSE	COMMON GAP	ACTION	OWNER
4.1.2	A retention schedule with no analysis of why each class exists		
4.1.2	Requirements copied from a template with no owner and no link to a business process		
8.2	A retention schedule that names classes but no business process		
8.2	Capture left to whoever remembers to save the file		
8.3	A system bought and configured without a requirements trace		
8.3	Annex A quoted in a manual but not reflected in the system		
9.1	Counts of documents with no judgement about whether they are the right ones		
9.1	Monitoring data collected but never analysed or acted on		
A.2	Metadata fields left empty because no one made them mandatory		
A.2	A disposition authority that exists on paper but cannot be executed in the system		

Evidence list (specimen: first five clauses)

CLAUSE	CATEGORY	RECORD AN AUDITOR ASKS FOR	OWNER
4.1.2	Appraisal	Appraisal report or records requirements analysis per business process, approved and dated	
4.1.2	Appraisal	Legal and regulatory requirements register mapped to the records it affects	
4.1.2	Appraisal	Retention and access requirements traced to their source obligation	
8.2	Appraisal	Documented records analysis for each business process, approved by top management	
8.2	Appraisal	Process maps marking the capture point and the authoritative record	
8.2	Appraisal	Decision log for records that are deliberately not created	
8.3	Design	Design specification tracing each requirement to a process, control or system feature	
8.3	Design	Configuration evidence and test results for the records system	
8.3	Design	Gap analysis between the design and Annex A with a remediation plan	
9.1	Monitoring	Monitoring plan naming each measure, method, frequency and owner	
9.1	Monitoring	Results dashboard or report with the analysis and the decision it supported	
9.1	Monitoring	Evaluation of records process performance and system effectiveness	
A.2	Metadata	Approved metadata schema and classification scheme with version and owner	
A.2	Metadata	Access and permission matrix with review dates	
A.2	Metadata	Disposition authority signed by the accountable role and applied in the system	

Dated plan

DATE	MILESTONE	WHAT IT MEANS	RECORD TO KEEP	DONE
2026-12-15	Read the record and mark the gap	The records owner and each clause owner read the 25 clause records and the 3 Annex A records, mark where the evidence is missing or stale, and record an owner.	The 28-record register with a status and an owner on every row.	
2027-01-15	Document and approve the clause 8.2 analysis	For each business process, write what records are created, when and how, and get top management to authorize the analysis. This is a current requirement, not a draft one.	An approved analysis per business process, with the capture point and the authoritative record marked.	
2027-02-01	Map the Annex A processes and controls	Walk one record through the seven A.1 processes, then check the four A.2 controls and the A.3 system requirements. Fix the handover that loses metadata, access rules or retention status first.	A process map, a control checklist and a remediation list with owners.	
2027-02-18	Check the ISO stage and the Global ACI position	The planning date is an estimate, not an ISO date. Check stage 50.20, 50.60, 60.00 and 60.60, and check Global ACI for an ISO 30301 transition document. If it is published, confirm the arrangements with the certification body.	A dated note of the stage, the Global ACI position and the next action.	
2027-04-30	Run an internal audit against the current edition	Audit ISO 30301:2019 conformity, including the 8.2 analysis and the Annex A processes. Keep any draft-readiness findings separate so a draft item is not written as a nonconformity against the current standard.	An internal audit report with a corrective action per finding.	
Next recertification or surveillance after publication	Book the transition audit	Book the transition at the recertification or surveillance that follows publication, before the earlier end of the case. If the system is integrated with ISO 9001 or ISO 14001, put all three transitions on one calendar.	A booking confirmation with the transition scope.	
By 31 January 2030 (early scenario)	Target completion under the early scenario	The 31 January 2030 end applies the Global ACI three-year precedent to the early end of the publication window. No ISO 30301 transition document exists, so this is a scenario, not a deadline.	The transition completed under the early scenario, or a documented reason why the late scenario applies.	
By 30 June 2030 (late scenario)	Escalate if the early scenario is missed	The late scenario applies the three-year precedent to the late end of the publication window. Confirm the Global ACI date when it is issued; do not treat either date as an ISO 30301 deadline.	The confirmed Global ACI date and the revised plan.	

After publication. Replace the target with the date ISO records at stage 60.60, confirm the Global ACI transition document, and update the clause references in the register to the published numbering. The register is a working document, not a certificate.