

Australian Standard™

**Information and documentation—  
Records management processes—  
Metadata for records**

**Part 1: Principles**

**STANDARDS**  
Australia



This Australian Standard was prepared by Committee IT-021, Records Management System. It was approved on behalf of the Council of Standards Australia on 19 April 2006.  
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The following are represented on Committee IT-021:

Australian Society of Archivists  
Council of Australasian Archives and Records Authorities  
Department of Defence (Australia)  
Department of Education & Training (NSW)  
Department of Foreign Affairs and Trade  
Institute for Information Management  
Monash University  
National Archives of Australia  
Public Record Office Victoria  
Records Management Association of Australasia  
State Records (New South Wales)  
The Institute of Internal Auditors – Australia  
Queensland State Archives

Additional Interests:

Enterprise Knowledge  
BHP Billiton  
KPMG  
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The University of Sydney  
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Australian Standard™

**Information and documentation—  
Records management processes—  
Metadata for records**

**Part 1: Principles**

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## PREFACE

This Standard was prepared by the Standards Australia Committee IT-021, Records Management System to supersede AS ISO 23081.1—2004.

This Standard is identical with, and has been reproduced from ISO 23081-1:2006, *Information and documentation—Records management processes—Metadata for records—Part 1: Principles*.

The objective of this Standard is to provide individuals or organizations who are responsible for record creation, capture and record management with a framework for creating, managing and using records management metadata and explains the principles that govern them.

This Standard is Part 1 of AS ISO 23081, *Information and documentation—Records management processes—Metadata for records*. When additional parts of the ISO 23081 Series are published, Committee IT-021 will consider them for adoption.

Standards Australia wish to thank the following organizations for their contribution enabling Australia's participation in the development of International Standards in the area of Records Management. International Standards in turn become national standards to be used in Australian industries:

- Australian Society of Archivists
- Fuji Xerox Australia
- Monash University
- National Archives of Australia
- Public Record Office Victoria
- Records Management Association of Australia
- Record Solutions
- State Records NSW

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- (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 part of ISO 23081' should read 'this Australian Standard'.
- (c) A full point substitutes for a comma when referring to a decimal marker.

References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>	<i>Australian Standard</i>
ISO	AS ISO
15489 Information and documentation— Records management	15489 Records management
15489-1 Part 1: General	15489.1 Part 1: General
ISO/IEC	AS ISO/IEC
11179 Information technology—Metadata registries (MDR)	11179 Information technology—Metadata registries (MDR)
11179-1 Part 1: Framework	11179.1 Part 1: Framework

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## INTRODUCTION

ISO 23081 sets a framework for creating, managing and using records management metadata and explains the principles that govern them.

This International Standard is a guide to understanding, implementing and using metadata within the framework of ISO 15489. It addresses the relevance of records management metadata in business processes and the different roles and types of metadata that support business and records management processes<sup>1)</sup>. It also sets a framework for managing those metadata.

It does not define a mandatory set of records management metadata to be implemented, since these metadata will differ in detail according to organizational or specific requirements for jurisdiction. However, it assesses the main existing metadata sets in line with the requirements of ISO 15489.

This part of ISO 23081 sets a framework for creating, managing and using records management metadata and explains the principles that govern them.

The proposed Parts 2 and 3 will be more explanatory and provide practical guidance on implementation issues and how to assess records management metadata sets against the principles in this part of ISO 23081. These future parts will be Technical Reports that should be considered as more time-bound documents that will need regular updates.

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1) In this part of ISO 23081, business and business activity are used as broad terms, not restricted to commercial activity, but including public administration, non-profit and other activities.

AUSTRALIAN STANDARD

# Information and documentation — Records management processes — Metadata for records —

## Part 1: Principles

### 1 Scope

This part of ISO 23081 covers the principles that underpin and govern records management metadata. These principles apply through time to:

- records and their metadata;
- all processes that affect them;
- any system in which they reside;
- any organization that is responsible for their management.

### 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 15489-1:2001, *Information and documentation — Records management — Part 1: General*

### 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 15489-1 and the following apply.

#### 3.1

##### **agent**

individual, workgroup or organization responsible for or involved in record creation, capture and/or records management processes

#### 3.2

##### **encoding scheme**

controlled list of all the acceptable values in natural language and/or as a syntax-encoded text string designed for machine processing

#### 3.3

##### **schema**

logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (*obligation level*) of values