



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

**Part 1: Principles**

STANDARDS  
Australia



AS ISO 23081.1:2018

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- Australian Industry Group
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- Department of Defence (Australian Government)
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## Preface

This Standard was prepared by the Australian members of Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems, to supersede AS ISO 23081.1—2006.

After consultation with stakeholders in both countries, Standards Australia and Standards New Zealand decided to develop this Standard as an Australian Standard rather than an Australian/New Zealand Standard.

The objective of this Standard is to cover the principles that underpin and govern records management metadata. These principles are applicable to:

- (a) records and their metadata;
- (b) all processes that affect them;
- (c) any system in which they reside; and
- (d) any organization that is responsible for their management.

This Standard is identical with, and has been reproduced from, ISO 23081-1:2017, *Information and documentation — Records management processes — Metadata for records — Part 1: Principles*.

As this document has been reproduced from an International Standard, a full point substitutes for a comma when referring to a decimal marker.

Australian or Australian/New Zealand Standards that are identical adoptions of international normative references may be used interchangeably. Refer to the online catalogue for information on specific Standards.

The terms 'normative' and 'informative' are used in Standards to define the application of the appendices or annexes to which they apply. A 'normative' appendix or annex is an integral part of a Standard, whereas an 'informative' appendix or annex is only for information and guidance.

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## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html)

This document was prepared by ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This second edition cancels and replaces the first edition (ISO 23081-1:2006), which has been technically revised.

A list of all the parts of ISO 23081 can be found on the ISO website.

## Introduction

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

This document gives guidelines for 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. It also sets a framework for managing those metadata.

**NOTE** 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.

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.

ISO 23081-2 and ISO 23081-3 are more explanatory and provide practical guidance on implementation issues and how to assess records management metadata sets against the principles in this document.

# Australian Standard®

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

### Part 1: Principles

#### 1 Scope

This document covers the principles that underpin and govern records management metadata. These principles are applicable 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 documents are referred to in the text in such a way that some or all of their content constitutes requirements 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 15489-1:2016, *Information and documentation — Records management — Part 1: Concepts and principles*

#### 3 Terms and definitions

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

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

##### 3.1 agent

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

Note 1 to entry: Technological tools such as software applications can be considered agents if they routinely perform records processes.

##### 3.2 aggregation

any accumulation of record entities at a level above record object

[SOURCE: ISO 16175-2:2011]

##### 3.3 attribute

characteristic of an object or entity

[SOURCE: ISO 23081-2:2009, 3.2]