

Australian/New Zealand Standard™

**Information and documentation—  
Managing metadata for records**

**Part 3: Self-assessment method**



## **AS/NZS ISO 23081.3:2012**

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records and Document Management Systems. It was approved on behalf of the Council of Standards Australia on 3 April 2012 and on behalf of the Council of Standards New Zealand on 21 February 2012.  
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## PREFACE

This Standard was prepared by the Standards Australia Committee IT-021, Records and Document Management Systems.

The objective of this Standard is to provide guidance to records and IT professionals for conducting a self-assessment on records metadata in relation to the creation, capture and control of records.

This Standard is identical with, and has been reproduced from ISO/TR 23081-3:2011, *Information and documentation—Managing metadata for record, Part 3: Self-assessment method*.

As this Standard is reproduced from an International Standard, the following applies:

- (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 Technical Report’ should read ‘this Australian/New Zealand 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 or Australian/New Zealand Standard</i>
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
ISO	AS ISO
15489 Information and documentation—Records management	15489 Records management
15489-1 Part 1: General	15489.1 Part 1: General
ISO	AS ISO
23081 Information and documentation—Records management processes—Metadata for records	23081 Information and documentation—Records management processes—Metadata for records
23081-1 Part 1: Principles	23081.1 Part 1: Principles
	AS/NZS ISO
23081 Information and documentation—Managing metadata for records	23081.2 Part 2: Conceptual and implementation issues
23081-2 Part 2: Conceptual and implementation issues	

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## INTRODUCTION

This Technical Report provides records professionals and IT professionals with a self-assessment method to evaluate the current state of records metadata capture and management in or across their organization, and provides direction on how to improve on the current state. The self-assessment method aligns with ISO 23081-1 and ISO 23081-2. A software tool (spreadsheet) that supports the self-assessment method is annexed to this Technical Report.

Metadata management is an inextricable part of records management, serving a variety of functions and purposes. In a records management context, metadata are defined as data describing the context, content and structure of records and their management through time (see ISO 15489-1:2001, 3.12). As such, metadata are structured or semi-structured information, enabling the creation, registration, classification, access, preservation and disposition of records through time and within and across domains. Each of these domains represents an area of intellectual discourse and of social and/or organizational activity with a distinctive or limited group of people who share certain values and knowledge. Records management metadata can be used to identify, authenticate and contextualize records and the people, processes and systems that create, manage, maintain and use them and the policies that govern them.

NOTE The paragraph above is adapted from ISO 23081-1:2006, Clause 4.

All organizations, regardless of their size or the nature of their business, exist and act to achieve certain goals and objectives. Every organization generates records from its business processes. These records constitute evidence of the organization's goals and objectives, of its decisions and of its transactions. For a full understanding of these business records, contextual and management metadata are needed. This understanding facilitates several key functions, including the identification, management, access, use, and preservation of records as an asset of the organization.

To realize its own specific goals and objectives, each organization determines and applies appropriate metadata creation which supports the ongoing business and records management processes of the organization.

This Technical Report is intended for:

- records professionals (or persons within an organization assigned to managing records) responsible for creating and managing records (and their metadata) in either a business system or dedicated records application software;
- system or business analysts responsible for designing business and records systems that will create, manage, store, and preserve records and their metadata;
- auditors responsible for ensuring compliance with regulatory policies and procedures;
- risk managers responsible for managing risks associated with business operations.

For the purposes of this Technical Report, metadata self-assessment involves:

- a) defining and communicating a policy and objectives for records management;
- b) determining strategies necessary to achieve the records management objectives;
- c) establishing processes and practices necessary to achieve the records management objectives;
- d) determining and providing the resources necessary to achieve the records management objectives;

- e) designing and implementing records processes and systems;
- f) establishing and applying methods to measure the effectiveness and efficiency of processes and systems;
- g) determining means of preventing nonconformities and eliminating their causes; and
- h) establishing and applying a process for continual improvement of the records management system.

## AUSTRALIAN/NEW ZEALAND STANDARD

**Information and documentation—Managing metadata for records****Part 3:  
Self-assessment method****1 Scope**

This Technical Report provides guidance on conducting a self-assessment on records metadata in relation to the creation, capture and control of records.

The self-assessment helps to:

- a) identify the current state of metadata capture and management in or across organizations;
- b) identify priorities of what to work on and when;
- c) identify key requirements from ISO 23081-1:2006 and ISO 23081-2:2009;
- d) evaluate progress in the development of a metadata framework for the implementation of specific systems and projects;
- e) evaluate system and project readiness (move to the next phase in a system or project) when including records metadata functionality in a system. A records metadata readiness evaluation is provided for key steps from project inception through to the implementation/maintenance phase.

**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*

ISO 23081-1:2006, *Information and documentation — Records management processes — Metadata for records — Part 1: Principles*

ISO 23081-2:2009, *Information and documentation — Managing metadata for records — Part 2: Conceptual and implementation issues*

ISO/IEC 11179-1, *Information technology — Metadata registries (MDR) — Part 1: Framework*

**3 Terms and definitions**

For the purpose of this document, the terms and definitions given in ISO 15489-1, ISO 23081-1, ISO 23081-2 and ISO/IEC 11179-1 apply.