

AS/NZS ISO 30300:2020
ISO 30300:2020



Australian/New Zealand Standard™

Information and documentation — Records management — Core concepts and vocabulary



AS/NZS ISO 30300:2020

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 26 August 2020 and by the New Zealand Standards Approval Board on 7 October 2020.

This Standard was published on 23 October 2020.

The following are represented on Committee IT-021:

- Archives and Records Association of New Zealand
- Archives New Zealand
- Association of Local Government Information Management
- Australian Computer Society
- Australian Industry Group
- Australian Society of Archivists
- Department of Defence (Australian Government)
- Department of Education, Tas.
- Monash University
- National Archives of Australia
- Office of Finance & Services, NSW
- Public Record Office Victoria
- Queensland State Archives
- Records and Information Management Professionals Australasia
- Records and Information Management Professionals Australasia — New Zealand
- State Archives and Records Authority of New South Wales
- State Records of South Australia
- State Records Office of Western Australia
- Transpower New Zealand
- University of Sydney

This Standard was issued in draft form for comment as DR AS/NZS ISO 30300:2020.

Keeping Standards up-to-date

Ensure you have the latest versions of our publications and keep up-to-date about Amendments, Rulings, Withdrawals, and new projects by visiting:

www.standards.org.au

www.standards.govt.nz

ISBN 978 1 76113 012 0

Australian/New Zealand Standard™

Information and documentation — Records management — Core concepts and vocabulary

First published as AS/NZS ISO 30300:2012.
Second edition 2020.

COPYRIGHT

© ISO 2020 — All rights reserved

© Standards Australia Limited/the Crown in right of New Zealand, administered by the New Zealand Standards Executive 2020

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Cth) or the Copyright Act 1994 (New Zealand).

Preface

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-021, Records and Document Management Systems to supersede AS/NZS ISO 30300:2012, *Information and documentation — Management systems for recordkeeping — Fundamentals and vocabulary (ISO 30300:2011, MOD)*.

The objective of this document is to contain terms and definitions that are relevant to the core concepts of the records management domain.

This Standard is identical with, and has been reproduced from, ISO 30300:2020, *Information and documentation — Records management — Core concepts and vocabulary*.

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.

Contents

Preface	ii
Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
3.1 Terms relating to the concept of organization	1
3.2 Terms relating to the concept of records	5
3.3 Terms relating to the concept of appraisal	7
3.4 Terms relating to the concepts of records management and records processes	7
3.5 Terms relating to the concept of records control	9
3.6 Terms relating to the concept of system and records system	9
Annex A (informative) Concept diagrams	11
Bibliography	15
Alphabetical index	16

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).

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).

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

For an explanation of 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 www.iso.org/iso/foreword.html.

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

This second edition cancels and replaces the first edition (ISO 30300:2011), which has been technically revised.

The main changes compared to the previous edition is as follows.

- The scope has been broadened beyond the series of standards on Management Systems for Records as it contains the definitions corresponding to the core concepts stated in all the updated products of ISO/TC 46/SC 11.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

0.1 General

A vocabulary is a “terminological dictionary that contains designations and definitions from one or more domains or subjects” (see ISO 1087:2019, 3.7.5). This document provides a vocabulary for the subject field of records management. It defines core concepts to provide a common understanding of the records management domain within the ISO/TC 46/SC 11 standards.

Clear, consistent and coherent standards need clear, consistent and coherent terminology. This document follows rules and guidelines provided by ISO/TC 37¹⁾ to build terminology standards. Readers unfamiliar with terminology work would benefit from an understanding of ISO 704.

This document is intended to provide ISO/TC 46/SC 11 standards developers with the most relevant definitions related to the concepts used in the records management domain. It is also expected that this document will be used by standards users and any interested party to clearly understand records management concepts represented by consistent terms and definitions.

Terms and definitions in this document have been developed within a concept system. A concept is a unit of knowledge created by a unique combination of characteristics. Concepts are arranged in concept systems according to the relationships among them. Concept systems are graphically represented by concept diagrams. A concept in a specific domain is represented by a term. Concepts are not necessarily bound to particular languages. They are, however, influenced by the social or cultural background which often leads to different categorizations. This document facilitates consistent understanding beyond languages and cultural practices by illustrating core concepts about records management used in ISO/TC 46/SC 11 standards and the relationships among those concepts in the core concept diagrams in [Annex A](#). The concepts identified in the field of records management and expressed in the diagrams in [Annex A](#) are ordered in [Clause 3](#) grouping by concepts diagrams. [Figure 1](#) shows the overview diagram with the correspondent subclauses both in [Annex A](#) and in [Clause 3](#).

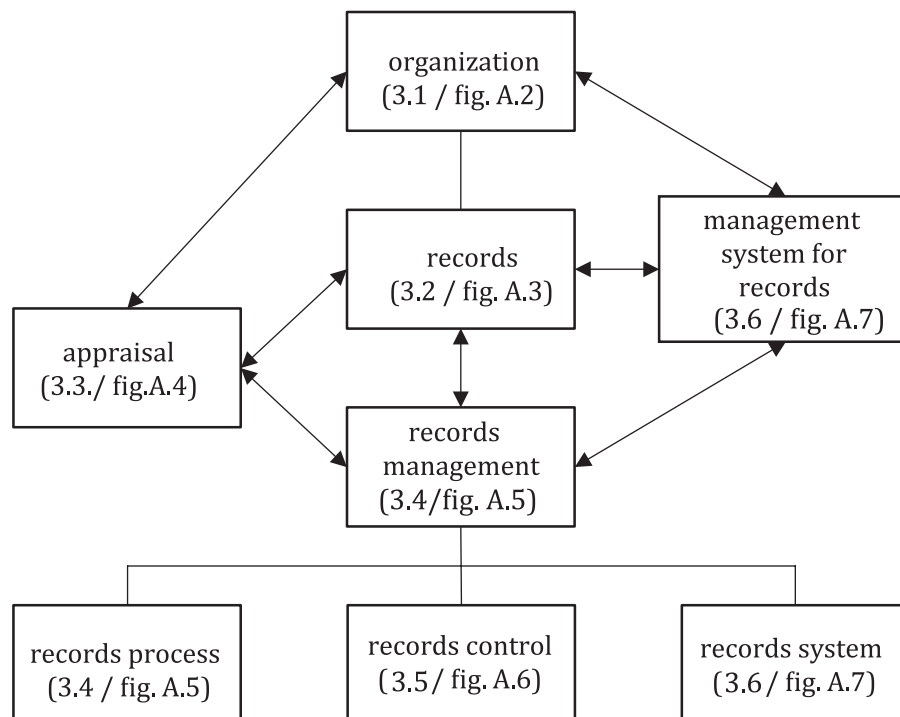


Figure 1 — Overall diagram showing core concepts, their relationships and mapping terms in [Clause 3](#) and [Annex A](#)

1) ISO/TC 37, *Language and terminology*.

NOTE The meaning of forms used for the concept's relationships are explained in [A.2](#).

For facilitating search for a particular term, an alphabetical index is included at the end of this document.

0.2 Background

The terms and definitions in this document are based on the concept system of ISO 30300:2011 with new concepts added from ISO 15489-1. This document is also the vocabulary standard for the ISO series Management Systems for Records. Therefore, it includes all core terms and definitions for management systems from Appendix 2 of ISO/IEC Directives, Part 1:2019, Annex L[13]. In addition, this document includes any terms and definitions that are relevant to core concepts of the records management domain used in TC 46/SC 11 standards.

This document is not intended as a comprehensive vocabulary of all terms used in the records management domain, not even in all ISO/TC 46/SC 11 standards.

0.3 How to apply terms and definitions of this document

The terms and definitions in this document are adopted in any revision of the existing ISO/TC 46/SC 11 standards. During the period before a complete revision cycle of all ISO/TC 46/SC 11 standards, definitions in this document take precedence when a duplicate or conflicting definition exists in another ISO/TC 46/SC 11 standard.

When developing a new product or revising an existing one, additional terms and definitions may be added to that product when necessary. New notes on existing terms may also be added to the product to serve a specific purpose or explanation. In both cases, definitions are included in the Clause 3 of the standard in question in addition to the reference to ISO 30300.

In the future revisions of this document, new terms and definitions included in ISO/TC 46/SC 11 standards are to be considered for inclusion.

Australian/New Zealand Standard

Information and documentation — Records management — Core concepts and vocabulary

1 Scope

This document contains terms and definitions that are relevant to the core concepts of the records management domain. It does not limit the definition of new terms in ISO/TC 46/SC 11 standards.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

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

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

3.1 Terms relating to the concept of organization

3.1.1

accountability

condition where an *organization* (3.1.19) is answerable to its governing bodies, legal authorities, and more broadly, its other *stakeholders* (3.1.13) regarding its decisions and activities

[SOURCE: ISO 26000:2010, 2.1, modified — Replaced “state” by “condition” and rephrased for better understanding.]

3.1.2

activity

task performed by an *organization* (3.1.19)

3.1.3

agent

person or group of people responsible for, or involved in *records processes* (3.4.13)

Note 1 to entry: A technological tool such as a software application can be considered an agent when substituting for individuals or workgroups if the tool routinely perform records processes.

3.1.4

audit

systematic, independent and documented *process* (3.1.23) for obtaining audit *evidence* (3.2.6) and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it also can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the organization itself, or by an external party on its behalf.

Note 3 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.

Note 4 to entry: This term is part of the high level structure’s core terms and definitions for management systems stated in ISO/IEC Directives, Part 1:2019, Annex L.