

AS/NZS 5478:2015



Australian/New Zealand Standard

# Recordkeeping metadata property reference set (RMPRS)

AS/NZS 5478:2015



This joint Australian/New Zealand standard was prepared by joint Technical Committee IT-021, Recordkeeping Metadata. It was approved on behalf of the Council of Standards Australia on 12 June 2015 and on behalf of the Council of Standards New Zealand on 4 June 2015.

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**The following are represented on Committee IT-021:**

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Australian Society of Archivists	Public Record Office Victoria
City of Boroondara	Queensland State Archives
Department of Defence	Records and Information Management Professionals
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ACT Territory Records Office	Primary Industries and Resources SA
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Australian/New Zealand Standard

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## PREFACE

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

This Standard has been developed to provide a reference set of recordkeeping metadata to support systems interoperability and records sustainability.

The Australasian recordkeeping metadata property reference set is intended to be implementation-neutral. It provides a common framework, or reference set, from which agencies and national, state and territory archives can tailor recordkeeping metadata properties required in their own specific application profiles. Using a reference set of metadata will facilitate best practice in digital recordkeeping allowing reference and mapping to a larger framework and multiple and flexible adaptation in various implementations, and to suit jurisdiction-specific requirements.

The property set utilizes the National Archives of Australia and Archives New Zealand's (common) recordkeeping metadata standard, which adopts a five-entity model. This model is a mature iteration of recordkeeping metadata, that has been developed specifically in conjunction with work on recordkeeping metadata incorporated into AS/NZS ISO 23081.2, *Information and documentation—Records management processes—Metadata for records, Part 2: Conceptual and implementation issues*.

The term 'normative' has been used in this Standard to define the application of the appendix to which it applies. A 'normative' appendix is an integral part of a Standard.

*Standards Australia acknowledges that within AS/NZS 5478 it has used the Australian Government Recordkeeping Metadata Standard (AGRkMS) 2008, Version 2.0 by the National Archives of Australia (copyright Commonwealth of Australia) published at <http://www.naa.gov.au/recordsmanagement/publications/AGRkMS.aspx>.*

*Standards Australia further acknowledges that within AS/NZS 5478 it has used the New Zealand Government Technical Specifications for the Electronic Recordkeeping Metadata Standard which is itself a modification of the Australian Government Recordkeeping Metadata Standard (AGRkMS) 2008, Version 2.0 by the National Archives of Australia.*

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## STANDARDS AUSTRALIA/STANDARDS NEW ZEALAND

**Australian/New Zealand Standard****Recordkeeping metadata property reference set (RMPRS)****1 SCOPE AND GENERAL****1.1 Scope**

This Standard is a ‘reference set’ of recordkeeping metadata properties. It is compatible with AS ISO 23081.1, AS/NZS ISO 23081.2 and AS/NZS ISO 23081.3. It provides additional details to these Standards by specifying recordkeeping metadata properties and their rules for use within the Australasian context.

This is a reference set in the following context:

- (a) Individual jurisdictions are expected to maintain their own specifications that contain minor variations or recommended methods of implementation (e.g. one or multiple entity implementations) and define vocabulary encoding schemes that suit their own environment.
- (b) Each jurisdiction should maintain mapping to this reference set to achieve the overall objectives of this Standard.
- (c) Individual product developers that claim conformance are expected to maintain mappings to this reference set to achieve the overall objectives of this Standard.
- (d) Individual implementation instances of recordkeeping should use this Standard as the mapping standard by which to achieve the overall objectives of this Standard.

**1.2 Objective****1.2.1 General**

The objectives of this Standard are to—

- (a) inform system developers and implementers;
- (b) enable interoperability;
- (c) support records sustainability;
- (d) enable flexibility; and
- (e) harmonize existing recordkeeping metadata standards.

Clauses 1.2.2 to 1.2.6 provide details on these objectives.

**1.2.2 Inform systems developers and implementers**

This Standard sets out the base requirements for recordkeeping metadata properties in order to achieve robust and defensible records as defined in AS ISO 15489.1. That is, it outlines mandatory and optional metadata properties for each entity relevant to recordkeeping. It establishes a baseline for all implementations. It does not prescribe implementations.

The metadata requirements for recordkeeping can be applied in many different ways, from dedicated records software systems to business systems that create and maintain records, records service definitions, etc. Regardless of the software or design principles, vendors and implementers will be able to use the ‘reference set’ provided in this Standard to map their local metadata properties in order to ensure that their product and its implementation instance conforms to industry requirements for recordkeeping metadata.

NOTE: This Standard has been written by recordkeeping industry experts, not system designers. The language herein therefore reflects normal English usage, with no technical meaning implied in the choice of words.

### 1.2.3 *Enable interoperability*

Increasingly, records will need to move between software systems—

- (a) being created in one system and managed in another;
- (b) supporting the same business over time;
- (c) for re-use within an organization; and
- (d) between organizations using different systems.

While the mechanics of moving record objects (the content-holder formats) are clear, there is much less clarity on attention to recordkeeping metadata across such system changes. This Standard provides a set of defined recordkeeping metadata properties to ensure that the content is able to be imported and exported accompanied by metadata that ensures its core recordkeeping characteristics, authenticity, integrity, reliability and useability.

### 1.2.4 *Support records sustainability*

Records often last longer than the system used to manage them. For digital records this is a particular risk. This Standard assists in mitigating this risk by providing a clear statement about which recordkeeping metadata properties are mandatory and therefore should be migrated between systems to ensure that core recordkeeping characteristics will survive. Import and export standards and migration guidance should build upon the clearly specified mandatory recordkeeping metadata properties.

### 1.2.5 *Enable flexibility*

Specifying recordkeeping metadata does not constrain the types of software systems that create and maintain records. Certainty about the industry requirements relating to recordkeeping metadata should free software designers to be innovative. This Standard has been developed with knowledge of other disciplinary metadata sets, such as ISO 15836, Dublin Core (for information resource retrieval), and PREMIS (for digital preservation), ensuring no semantic clashes.

### 1.2.6 *Harmonize existing recordkeeping metadata standards*

Many individual jurisdictions in Australasia have developed and issued their own recordkeeping metadata standards. While these are evolutionary, and not contradictory, vendors and systems implementers claim confusion, and cite uncertainty about which Standard to follow as the reason not to comply. This Standard, by creating a ‘reference set’ which harmonizes existing recordkeeping metadata Standards and against which individual jurisdictions will maintain their own mappings, provides certainty for vendors in addressing harmonized industry requirements for recordkeeping metadata.

## 2 RELATIONSHIPS TO EXISTING STANDARDS AND METADATA PROPERTY SETS

This Standard is compatible with AS ISO 2308.1.1 and AS/NZS ISO 23081.2. It inherits the basic data model, entity descriptions and approaches outlined in these Standards. The international Standards themselves are based upon the work of the Monash University Australian Recordkeeping Metadata Schema\*. In particular this Standard is based on the Australian Government Recordkeeping Metadata Standard v.2 2008 by the National Archives of Australia† and the Technical Specifications for Electronic Recordkeeping Metadata Standard 2008 by Archives New Zealand‡.

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\* <http://www.infotech.monash.edu.au/research/groups/rcrg/projects/spirt/deliverables/austrkms.html>

† [http://www.naa.gov.au/Images/AGRkMS\\_Final%20Edit\\_16%2007%2008\\_Revised\\_tcm16-47131.pdf](http://www.naa.gov.au/Images/AGRkMS_Final%20Edit_16%2007%2008_Revised_tcm16-47131.pdf)

‡ [http://archives.govt.nz/sites/default/files/TS\\_4.pdf](http://archives.govt.nz/sites/default/files/TS_4.pdf)



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