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Information and documentation — Metadata for managing records —

Part 2: Conceptual and implementation issues

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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).

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 23081-2:2009), of which it constitutes a minor revision.

The changes compared to the previous edition are as follows:

— the second element of the title has been changed from "Managing metadata for records" to "Metadata for managing records";

— in Clause 2, ISO 30300 has been added as a normative reference;

— in Clause 3, a reference to ISO 30300 has been added and the terminological entries have been deleted;

— dated references have been updated;

— minor editorial changes have been applied for clarification.

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

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.

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Introduction

The ISO 23081 series describes metadata for records. This document focuses on the framework for defining metadata elements for managing records and provides a generic statement of metadata elements, whether these are physical, analogue or digital, consistent with the principles of ISO 23081-1.

It provides an extended rationale for metadata for managing records in organizations, conceptual models for metadata and a high-level element set of generic metadata types suitable for any records environment encompassing, for example, current document or records management implementations or archival implementations. It defines the generic metadata types both for records entities as well as other entities that need to be managed in order to document and understand the context of records. This document also identifies, for key entities, a minimum number of fixed aggregation layers that are required for interoperability purposes. The models and generic metadata types outlined in this document are primarily focused on the "records" entity. However, they are also relevant to the other entities.

This document does not prescribe a specific set of metadata elements. Rather, it identifies generic types of metadata that are required to fulfil the requirements for managing records. This approach provides organizations with the flexibility to select specific metadata to meet their business requirements for managing their records for as long as they are required. It provides diagrams for determining the metadata elements that can be defined in a particular implementation and the metadata that could apply to each aggregation of the entities defined. It acknowledges that these entities can exist at different layers of aggregation. It defines generic metadata types that are expected to apply at all layers of aggregation, while alerting implementers to specific metadata elements that can only apply at particular layers of aggregation.

Implementing metadata for managing records in organizational and system settings involves a number of choices, which are determined by the circumstances of the organization, the systems in place and the requirements for managing records.

Building upon the principles of ISO 23081-1, this document provides further explanation on the underlying concepts of metadata schemas for managing records, offers practical guidance for developing and constructing those schemas from an organizational point of view and finally goes into issues relating to the implementation and management of metadata over time.

This document is intended for

— records professionals (or persons assigned within an organization for managing records in any environment) responsible for defining metadata for managing records at any layer of aggregation in either a business system or dedicated records application software;

— systems/business analysts responsible for identifying metadata to manage records in business systems;

— records professionals or systems analysts addressing system interoperability requirements involving records; and

— vendors, as suppliers of software applications that support and enable the creation, capture and management of metadata over time.

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Information and documentation — Metadata for managing records —

Part 2: Conceptual and implementation issues

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1 Scope

This document establishes a framework for defining metadata elements consistent with the principles and implementation considerations outlined in ISO 23081-1. The purpose of this framework is to:

a) enable standardized description of records and critical contextual entities for records;

b) provide common understanding of fixed points of aggregation to enable interoperability of records and information relevant to records between organizational systems; and

c) enable reuse and standardization of metadata for managing records over time, space and across applications.

It further identifies some of the critical decision points that need to be addressed and documented to enable implementation of metadata for managing records. It aims to:

— identify the issues that need to be addressed in implementing metadata for managing records;

— identify and explain the various options for addressing the issues; and

— identify various paths for making decisions and choosing options in implementing metadata for managing records.

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

ISO 15489-1:2016, *Information and documentation — Records management — Part 1: Concepts and principles*

ISO 23081-1:2017, *Information and documentation — Records management processes — Metadata for records — Part 1: Principles*

ISO 30300, *Information and documentation — Records management — Core concepts and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 23081-1, ISO/IEC 11179-1 and ISO 30300 apply.

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

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