INTERNATIONAL STANDARD

ISO
23081-2

First edition
2009-07-01

Information and documentation — Managing metadata for records —

Part 2:
Conceptual and implementation issues

Information et documentation — Gestion des métadonnées pour l'information et les documents —

Partie 2: Concepts et mise en oeuvre

PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

Contents

Page

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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

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.

ISO 23081-2 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This first edition cancels and replaces ISO/TS 23081-2:2007, which has been technically revised.

ISO 23081 consists of the following parts, under the general title *Information and documentation — Managing metadata for records*:

— *Part 1: Principles*

— *Part 2: Conceptual and implementation issues*

Introduction

The ISO 23081 series describes metadata for records. This part of ISO 23081 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 part of ISO 23081 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 part of ISO 23081 are primarily focused on the "records" entity. However, they are also relevant to the other entities.

This part of ISO 23081 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 may 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 may 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 part of ISO 23081 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 part of ISO 23081 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.

Information and documentation — Managing metadata for records —

Part 2:
Conceptual and implementation issues

1 Scope

This part of ISO 23081 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 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/IEC 11179-1, *Information technology — Metadata registries (MDR) — Part 1: Framework*

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*

3 Terms and definitions

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