

Australian/New Zealand Standard™

**Information and documentation—
Records management processes—
Metadata for records**

**Part 2: Conceptual and implementation
issues**



AS/NZS ISO 23081.2:2007

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee IT-021, Records Management Systems. It was approved on behalf of the Council of Standards Australia on 8 August 2007 and on behalf of the Council of Standards New Zealand on 17 August 2007.

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STANDARDS AUSTRALIA/STANDARDS NEW ZEALAND

RECONFIRMATION

OF

AS/NZS ISO 23081.2:2007

Information and documentation—Records management processes—Metadata for records

Part 2: Conceptual and implementation issues

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NOTES

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PREFACE

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

The objective of this Standard is to adopt ISO/TS 23081-2:2007 to provide a framework for defining metadata elements consistent with the principles and implementation considerations outlined in ISO 23081-1:2006.

Standards Australia wishes to thank the following organizations for their contributions enabling Australia's participation in the development of International Standards in the area of Records Management. International Standards in turn became national Standards to be used in Australian industries.

Australian Society of Archivists
 National Archives of Australia
 Public Record Office, Victoria
 Records Management Association of Australasia
 Records Solutions
 NSW State Records
 EMC Global Holdings Australia

This Standard is identical with, and has been reproduced from ISO/TS 23081-2:2007, *Information and documentation—Records management processes—Metadata for records—Part 2: Conceptual and implementation issues*.

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 Specification' should read 'this Australian 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/New Zealand Standard</i>	
ISO		AS ISO	
15489	Information and documentation— Records management	15489	Records management
15489-1	Part 1: General	15489.1	Part 1: General
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

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
11179-2	Part 2: Classification	11179.2	Part 2: Classification for data elements
11179-3	Part 3: Registry metamodel and basic attributes	11179.3	Part 3: Registry metamodel and basic attributes
11179-4	Part 4: Formulation of data definitions	11179.4	Part 4: Formulation of data definitions
11179-5	Part 5: Naming and identification principles	11179.5	Part 5: Naming and identification principles for data elements
11179-6	Part 6: Registration	11179.6	Part 6: Registration

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INTRODUCTION

This Technical Specification is part of the ISO 23081 series on metadata for records. It 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 23081-1:2006.

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. 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 Technical Specification 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 the Technical Specification are primarily focused on the “records” entity. However, they are also relevant to the other entities.

This Technical Specification 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 might 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, systems in place and the requirements for managing records.

Building upon the principles of ISO 23081-1:2006, this Technical Specification provides a 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 Technical Specification 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,
- system/business analysts responsible for identifying metadata to manage records in business systems,
- records professionals or system analysts addressing system interoperability requirements involving records, and
- vendors, as suppliers of software applications that should support and enable the creation, capture and management of metadata over time.

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1 Scope

This Technical Specification establishes a framework for defining metadata elements consistent with the principles and implementation considerations outlined in ISO 23081-1:2006. The purpose of this framework is to:

- enable standardized description of records and critical contextual entities for records,
- provide common understanding of fixed points of aggregation to enable interoperability of records, and information relevant to records, between organizational systems,
- enable re-use 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 (all parts), *Information technology — Metadata registries (MDR)*

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*