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

**Part 1:
Principles**

*Information et documentation — Processus de gestion des
enregistrements — Métadonnées pour les enregistrements —*

Partie 1: Principes



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ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

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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.

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 23081-1 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This first edition cancels and replaces Technical Specification ISO/TS 23081-1:2004, which has been updated and technically revised.

ISO 23081 consists of the following parts, under the general title *Information and documentation — Records management processes — Metadata for records*:

— *Part 1: Principles*

Introduction

ISO 23081 sets a framework for creating, managing and using records management metadata and explains the principles that govern them.

This International Standard is a guide to understanding, implementing and using metadata within the framework of ISO 15489. It addresses the relevance of records management metadata in business processes and the different roles and types of metadata that support business and records management processes¹⁾. It also sets a framework for managing those metadata.

It does not define a mandatory set of records management metadata to be implemented, since these metadata will differ in detail according to organizational or specific requirements for jurisdiction. However, it assesses the main existing metadata sets in line with the requirements of ISO 15489.

This part of ISO 23081 sets a framework for creating, managing and using records management metadata and explains the principles that govern them.

The proposed Parts 2 and 3 will be more explanatory and provide practical guidance on implementation issues and how to assess records management metadata sets against the principles in this part of ISO 23081. These future parts will be Technical Reports that should be considered as more time-bound documents that will need regular updates.

1) In this part of ISO 23081, business and business activity are used as broad terms, not restricted to commercial activity, but including public administration, non-profit and other activities.

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

Part 1: Principles

1 Scope

This part of ISO 23081 covers the principles that underpin and govern records management metadata. These principles apply through time to:

- records and their metadata;
- all processes that affect them;
- any system in which they reside;
- any organization that is responsible for their management.

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 15489-1:2001, *Information and documentation — Records management — Part 1: General*

3 Terms and definitions

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

3.1

agent

individual, workgroup or organization responsible for or involved in record creation, capture and/or records management processes

3.2

encoding scheme

controlled list of all the acceptable values in natural language and/or as a syntax-encoded text string designed for machine processing

3.3

schema

logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (*obligation level*) of values

4 Records management metadata

Metadata management is an inextricable part of records management, serving a variety of functions and purposes. In a records management context, metadata are defined as data describing the context, content and structure of records and their management through time (ISO 15489-1:2001, 3.12). As such, metadata are structured or semi-structured information that enables the creation, registration, classification, access, preservation and disposition of records through time and within and across domains. Each of these domains represents an area of intellectual discourse and of social and/or organizational activity with a distinctive or limited group of people who share certain values and knowledge. Records management metadata can be used to identify, authenticate and contextualize records and the people, processes and systems that create, manage, maintain and use them and the policies that govern them (see 9.1).

Initially, metadata define the record at its point of capture, fixing the record into its business context and establishing management control over it. During the existence of records or their aggregates, new layers of metadata will be added, because of new uses in other business or usage contexts. This means that metadata continue to accrue, over time, information relating to the context of the records management and the business processes in which the records are used and relating to structural changes to the record or its appearance. Metadata can be sourced or re-used by multiple systems and for multiple purposes. Metadata applied to records during their active life may also continue to apply when they cease to be required for current business purposes but are retained for ongoing research or other values.

Metadata ensure authenticity, reliability, usability and integrity over time and enable the management and understanding of information objects, whether these are physical, analogue or digital. However, metadata also need to be managed.

Records management has always involved the management of metadata. However, the digital environment requires a different expression of traditional requirements and different mechanisms for identifying, capturing, attributing and using metadata. In the digital environment, authoritative records are those accompanied by metadata defining their critical characteristics. These characteristics must be explicitly documented rather than being implicit, as in some paper-based processes. In the digital environment, it is essential to ensure that the creation and capture of records management metadata are implemented in systems that create, capture and manage records. Conversely, the digital environment presents new opportunities for defining and creating metadata and ensuring the complete, contemporaneous capture of records. These records can be evidence of transactions or themselves be transactions.

5 Perspectives and purpose of records management metadata

5.1 Purpose and benefits of records management metadata

Metadata support business and records management processes by:

- a) protecting records as evidence and ensuring their accessibility and usability through time;
- b) facilitating the ability to understand records;
- c) supporting and ensuring the evidential value of records;
- d) helping to ensure the authenticity, reliability and integrity of records;
- e) supporting and managing access, privacy and rights;
- f) supporting efficient retrieval;
- g) supporting interoperability strategies by enabling authoritative capture of records created in diverse technical and business environments and their sustainability for as long as required;

- h) providing logical links between records and the context of their creation, and maintaining them in a structured, reliable and meaningful way;
- i) supporting the identification of the technological environment in which digital records were created or captured, and the management of the technological environment in which they are maintained in order that authentic records can be reproduced as long as they are needed;
- j) supporting efficient and successful migration of records from one environment or computer platform to another or any other preservation strategy.

5.2 Records management metadata that should be applied in an organization

5.2.1 General

Organizations should make decisions on which of the metadata requirements outlined in this part of ISO 23081 are necessary in any or all organizational systems. These decisions will be dependent on:

- a) business needs;
- b) the regulatory environment;
- c) risks affecting business operations.

This assessment may identify which types of metadata need to be applied in different areas of the organization, depending on business risks or needs.

Different perspectives on records management metadata are possible and may coexist. These include:

- 1) the business perspective, where records management metadata support business processes;
- 2) the records management perspective, where metadata capture the characteristics of records and their business context, and support their management over time;
- 3) the use perspective within or outside the records creating business context, where metadata enable the retrieval, understandability and interpretation of records.

Broader levels of contextual detail may be required to understand and use records through time, particularly their use in business environments outside those in which they were created.

Records management metadata consist of:

- i) metadata that document the business context in which records are created or captured, as well as the content, structure and appearance of those records;
- ii) metadata that document records management and business processes in which records are subsequently used, including any changes to the content, structure and appearance.

5.2.2 Metadata at the point of record capture

Metadata at the point of record capture include information about the context of record creation, the business context, the agents involved and metadata about the content, appearance, structure and technical attributes of the records themselves. They allow records to be used in an application or information system and make them readable, usable and understandable. The context of records includes information about the business processes in which they are created. These metadata will allow users to understand the reliability of the record-creating authority, the environment in which records were created, the purpose or business activity being undertaken and their relationships with other records or aggregations. The metadata documenting the business context should be an integral part of the records produced by the records creator and they need to be captured at the same time as records are captured into the records system.

The structure of a record consists of:

- a) its physical or technical structure;
- b) its logical structure, i.e. the relationships between the data elements comprising the record.

These aspects are as important as the content itself. Metadata about technical aspects should describe the system with which records are created or captured, and the technical characteristics of the digital components of which they are comprised.

5.2.3 Metadata after record capture

All records management processes performed upon a record, or on a group or aggregation of records, should be documented. In order to preserve records and guarantee their authenticity, reliability, usability and integrity over time, it is necessary to create metadata that facilitate the triggering or documentation of these records management processes (in this document referred to as “process metadata”). These metadata should include information about the management processes that have been or will be applied to each record. The level of detail for documenting records management processes will vary according to predetermined management needs. Metadata about records management processes can be applied throughout the record’s existence. Records management processes also create and use technical metadata for the rendering and reproduction of digital records, which should be recorded. Additionally, any changes in the record content, context and structure caused by management activities should be documented.

Business processes that access records should also be documented in the metadata throughout the record’s life. Such business uses include associating records with actions, action triggers and other records.

All metadata about the record and those accruing in its management and use also form a record: the metadata record that also has to be managed. It is essential to keep this metadata record at least for as long as the original record exists. In the case of disposition of records, either by transfer of custody or ownership, or by destruction, some metadata about them may still be needed to account for their existence, management and disposition.

6 Roles and responsibilities

Roles and responsibilities with respect to records management metadata should be defined, assigned and promulgated throughout the organization. Where a specific need to create and capture records management metadata is identified, it should be clear who is responsible for taking the necessary action (ISO 15489-1:2001, 6.3).

These responsibilities are a subset of the roles and responsibilities for carrying out business and records management processes and should be assigned to all employees in the organization who create, capture or manage metadata. This includes records managers, allied information professionals, executives, business unit managers, systems administrators and others who create or capture records and associated metadata as part of their work. Specific leadership, responsibility and accountability for the management of metadata should be assigned to a person with appropriate authority within the organization and should be reflected in job descriptions, policies and similar statements.

Such responsibilities include the following.

- a) Records management professionals are responsible for the reliability, authenticity, usability and integrity of metadata associated with records, and for training users on capturing, managing and using metadata. Records management professionals participate in the definition of metadata requirements, develop related policies and strategies, and monitor the process of metadata creation.
- b) All employees are accountable for ensuring the accuracy and completeness of the records management metadata for which they are responsible.

- c) Executives are responsible for ensuring that internal controls are in place so that customers, auditors, courts, and other authorized users can rely on the information that the organization produces. Executives are responsible for supporting the use of records management metadata and related policies throughout the organization.
- d) Information technology personnel are responsible for the reliability, usability and integrity of the systems used to capture and maintain metadata. They are responsible for ensuring that all records management metadata are linked to the related records and that these links are maintained.

Training programs should support the performance of these responsibilities. Audit procedures should monitor their performance.

7 Records management metadata in relation to other metadata areas

7.1 General

Metadata may be created, captured and used for a single, particular purpose or for multiple business purposes. These purposes may include e-business, preservation, resource description, resource discovery and rights management. Records management metadata can be shared by all of these purposes. For example, metadata at the point of record capture may inherit and extend the resource description and may be used for resource discovery. Records management metadata can be inherited or extracted from workflow systems, standard office software, e-mail systems and other business systems.

Neither point of record capture metadata nor process-related metadata for records management can exist in isolation. It is therefore appropriate and necessary to consider the creation and capture of metadata for records management within this broader context to ensure that appropriate links and relationships are established and metadata are neither duplicated nor unnecessarily produced.

7.2 Metadata for e-business

Metadata help enable e-business, including e-commerce and e-government. Metadata about all stages of the e-business processes can be captured. This encompasses the location of a product, service, provider and customer, the agreement of business terms and conditions, digital signatures and the business process transactions themselves. These metadata provide information about the business context and may therefore overlap with contextual metadata (see 9.2.1) as well as structural and storage metadata (see 9.2.1), security metadata (see 9.2.4), and some accessibility metadata (see 9.2.3).

7.3 Metadata for preservation

The preservation of information, especially digital information, for continued access is the concern of records management, library and archives communities. Information technology is relatively volatile in comparison with print-to-paper technology. Technical metadata are required to meet the challenge of constantly changing technology. Additional structural and storage metadata (see 9.2.1) and some metadata about records management processes (see 9.6) are needed to support preservation. This includes metadata about records management processes including access and security, migration, conversion and transfer activities to ensure not only the accessibility of records through time, but also their continued authenticity, reliability, usability and integrity.

7.4 Metadata for resource description

One of the primary uses of metadata is for the description of resources. These resources might be books, journals, videos, documents, images and artefacts. They also include records transferred into archival custody. The metadata are needed to *identify* the resource and can include the title, creator(s), date(s), unique identifier, relationship to other resources (e.g. within the same series) and its extent (e.g. size or length). Some of these metadata elements are also used in a records management context. They are similar to, and may overlap with, elements of the initial metadata at the point of record capture documenting a record's content. However, descriptive metadata for records management and archival purposes are generally broader than standard resource description metadata and can include other elements such as, for example, contextual metadata (see 9.2.1).

There is a strong relationship between the type of metadata outlined and the archival description. Archival institutions use metadata to describe archival records in order to preserve their meaning over time, to place them in their records management and administrative contexts and to facilitate their use and management. Therefore, the existing standards of archival description, such as ISAD/G and ISAAR(CPF)²⁾, have an extensive overlap with records management metadata, because both are concerned with documenting business context and management processes. Archival management, including archival description, is a complementary and continuing activity for those records that are identified as having archival value. Functionality to enable the migration of metadata between organizational records systems and archival control systems is therefore recommended.

7.5 Metadata for resource discovery

Metadata for resource discovery, i.e. information retrieval, overlap with and extend beyond descriptive metadata (see 7.4). Business units, knowledge managers, librarians and the public all depend on metadata to retrieve information. Indexing, classification and location metadata are examples that support resource discovery. Such metadata also support records management objectives to facilitate the discovery of records resources. In a records management context, these metadata are primarily related to accessibility metadata (see 9.2.3).

7.6 Metadata for rights management

Rights management can be considered to be a particular type or aspect of e-business, since it is concerned with the management of the rights over and use of an agent's information resources. It encompasses the description, valuation, trading, monitoring and tracking of those rights and requires metadata that describe the three key entities involved in the use of information resources. These three entities are the parties involved (e.g. creator, publisher and consumer); the content in all its forms; and the rights themselves (e.g. permissions, constraints and rewards for use).

8 Management of metadata

8.1 General

Two areas of metadata management can be distinguished:

- a) creating, capturing and managing the records management metadata;
- b) creating, implementing, maintaining and managing the rules that govern these processes and the structures that accommodate them, such as Document Type Definitions (DTDs), schemas or data dictionaries.

8.2 Levels of application of metadata

The metadata described in this clause can be applied at different levels, such as to

- a) individual records,
- b) groups or aggregates of records and/or
- c) entire records systems,

2) ISAD/G and ISAAR (CPF) are standards issued by the International Council on Archives (ICA, www.ica.org). ISAD/G is the International Standard for Archival Description (General Principles) and provides guidelines for describing records and their aggregations. ISAAR (CPF) is the International Standard Archival Authority Record (Corporate Bodies, Persons, Families) and provides guidelines for describing records-creating bodies.

depending on organizational needs and requirements. Records systems should be designed to capture metadata at whatever levels are organizationally appropriate. It should be noted that, while certain forms of metadata, such as a title, may need to be applied to every record in a system, other metadata may be applied at a broader level of aggregation than the individual record.

8.3 Points throughout the existence of records when metadata should be created and applied

Creating and applying metadata to records can and should occur at multiple points throughout their existence.

Much of the metadata described in this clause should be created during the record's capture, registration and classification processes, as described in ISO 15489-1:2001, 9.3, 9.4 and 9.5. This would define the record at its point of capture, fixing it into its business context and enabling the management processes to take place.

Metadata creation and capture should continue after records generation. Metadata need to be updated as records participating in transactions become related to others, as management needs change and when records systems are transferred from one organization to another. Metadata need to reflect these changing circumstances. This is referred to as process metadata (see 5.2.3).

Capture and maintenance of these metadata should occur as a normal part of business and records management operations.

NOTE Records classification, as outlined in ISO 15489-1:2001, 9.5, can facilitate much of the metadata attribution required in 9.2.4 and 9.6 outlined below.

8.4 Processes of metadata management

8.4.1 General

Management of metadata entails the same processes as described in ISO 15489-1:2001, Clause 9: creation, capture, storage, description, maintenance, access, definition of policies, strategies and methods.

8.4.2 Defining policies and methods

Agents, including records managers, should define and document policies and rules for managing metadata and should articulate requirements for metadata structures in line with their business requirements. These policies and rules encompass issues such as assigning responsibilities, what metadata should be created and captured, when and from what sources, what metadata structures will be valid, and what standards and what supporting systems should be used.

8.4.3 Creating and maintaining metadata

Records managers should identify what metadata need to be created and captured when creating and maintaining records. The process of metadata creation at the time of record creation should be monitored and documented.

Metadata about creating or altering metadata about a record should also be defined and maintained. They will support appropriate and consistent documentation of changes in the metadata record.

8.4.4 Creating and maintaining structures for managing metadata

Structures for capturing, storing and managing metadata (see 8.6) should be developed and defined to reflect records and records management requirements.

Relationships between metadata elements, and between them and the information objects they describe need to be persistent. These relationships should be correctly and persistently maintained over time with particular attention given to changes caused through migration, conversion and other preservation measures.

8.4.5 Determining when and how metadata should be captured

Agents, including records managers, should identify what metadata to capture, when to capture them, and from what sources. These metadata requirements should be based on the records management processes defined in ISO 15489-1:2001, Clause 9. Part of this activity is also to determine how metadata should be captured (manually or automatically).

8.4.6 Documenting and enforcing standard definitions

Agents, including records managers, should document the rules and policies on consistent use of content standards, structures, terms and other related, relevant issues. They should ensure that those metadata structures, terms, entity descriptions, and attributes are used in a consistent way.

8.4.7 Storing metadata

Agents, including records managers, should decide upon the way metadata should be stored. Such decisions should take into account persistent linkage between metadata and the objects to which they relate or belong. Metadata can be stored together with the records or separately in a database(s), or both. Management criteria, such as costs and performance, may affect decisions on how metadata will be stored.

8.4.8 Description

The process of managing metadata is ongoing for as long as records and their relevant aggregates exist. To retain meaningful, reliable and usable records, it is necessary to add new metadata where necessary. This has to be done through time and across domains, for example, when functions of one organization and the relevant parts of its records system are transferred to another. This can entail adaptation by the receiving organization of its existing metadata structures. Organizations should define procedures and policies for documenting these changes.

Several layers can be distinguished with an ever-expanding scope, depending on how widely records will be shared and used. Records are managed in systems, these systems are managed by organizations and these organizations are part of a broader context (a business sector, a government, a nation, the public or a society). At each of these levels, metadata should provide enough information about the records to make them understandable and accessible to the community concerned.

In time, the original environment will change or disappear and the intellectual discourse and knowledge will evolve. These types of changes require translation of the original context of the creation of records into this newer environment. This, too, will be done through metadata. Over time, this activity will be taken over by individuals in successor organizations who were not present at the point of creation.

8.4.9 Access to metadata

Access to metadata should be limited to authorized agents and managed with approved policies and rules. A security and access classification scheme should be in place. Agents should also define a policy and rules for interoperability of records management metadata in order to facilitate exchange and retrieval of records across information systems, organizations or jurisdictions.

There should be a mechanism to track and document access or usage, and any alterations or additions made to metadata.

8.4.10 Maintenance of metadata

8.4.10.1 Processes and methods

Several methods and techniques are available to organize and maintain metadata and metadata structures. Examples include data dictionaries containing descriptions of entities, data types and the relationships between them, and standard mark-up languages for explicitly describing structures of digital objects.

Processes included in maintenance are the following.

- a) Monitoring to ensure data integrity in maintaining metadata.
- b) Security measures controlling access to metadata, such as authorization rules between agents or systems and the entities or objects to which they have access. These include personnel with authority to change metadata structures.
- c) Recovery mechanisms in the case of system failure.
- d) Backup procedures.
- e) Migration through information technology environments or changes to or update of systems managing records management metadata.

8.4.10.2 Authenticity and fixity of metadata

Records management metadata are as much subject to authenticity rules or criteria as the records to which they are linked in order to make them trustworthy. Agents should therefore document all policies and rules relating to metadata and developments therein. Changes in structures for metadata, either conceptual or physical, should also be documented.

An important element for ensuring authenticity of metadata and proper metadata management over time is the requirement that captured metadata be fixed. Records management metadata need to be maintained as they are and, in case change is needed, rules should be in place to govern the process. These should include rules to document the reasons for the changes, the changes themselves, and the authorized agents involved. These requirements apply over time and to any organization responsible for the records involved.

Metadata providing details about the creation of or change to the metadata record itself should be maintained. This should include information about any agents associated with the creation or change and the type of activity that was undertaken, for example: created, modified, checked, deleted. In addition, the version of the metadata schema used to define and populate the metadata elements should be identified.

8.5 Metadata structures

In order to facilitate relationships between metadata elements and make them meaningful, they need to be structured, for example, by schemas. Agents, including records managers, should develop schemas for describing the records they create, capture and manage, including contextual information regarding business processes and agents. These schemas have to be maintained over time to reflect changes in the organizational and business context. Relationships between new schemas and those they replace should be identified and documented.

Metadata schemas describe entities, their elements and their interrelationships. Schemas also support the description of document structures (e.g. with mark-up languages, such as XML) and are important for managing databases that contain this descriptive information.

Examples include Document Type Definitions (DTDs) or XML schemas for defining document structures, database structures or other objects, and conceptual schemas for relational or object-oriented databases.

Metadata structures and the metadata elements of which they consist can be further defined with an encoding scheme. Encoding schemes define the values or the syntax of a metadata element.

Examples of encoding schemes include the predefined tools for records management defined in ISO 15489-1:2001, 9.2 and 9.5: classification schemes for business activities, classification schemes for access and security and disposition schedules.

Benefits of schemas and schemes include:

- a) facilitating integrated and consistent management of metadata;
- b) enabling interoperability by comparing or mapping different sets of metadata;
- c) expressing the interrelationships of elements and their semantics;
- d) controlling the relationships between metadata elements and the inherent semantics;
- e) ensuring and maintaining consistency in information systems (e.g. records systems);
- f) allowing modular development, break-up or linkage of information systems;
- g) providing a basis for the development of information systems or databases.

8.6 Role of systems

Records should be created, captured or managed either by business systems, records systems or by both in combination, such as:

- a) a business system that is designed to create, capture and manage its records independently;
- b) a business system that creates, but does not manage records and therefore works in conjunction with a dedicated records system;
- c) a records system that is designed to create, capture and manage records.

Whatever system or combination of systems is used, it should be capable of using and supplying metadata to manage records in an accountable and effective way.

Records systems should be designed and implemented with an infrastructure necessary to generate, capture and manage appropriate metadata and, where possible, to do so as an automated process.

Records systems should be designed to ensure that records and their metadata remain accessible, authentic, reliable and useable through any kind of system change.

One method of recording changes is through the use of audit trails. However, while audit trails for records and business systems are essential for business continuity purposes, they may not fully meet the records management requirements to provide a complete transaction history for specific records (see ISO 15489-1:2001, 8.3.2).

Records management instruments, such as business, access and security classification schemes and records disposition authorities, also need to exist to ensure that metadata are drawn from authoritative sources. Where possible, records systems should be designed to accommodate these instruments and automate their use.

9 Types of metadata required to support ISO 15489-1

9.1 Introduction to metadata types

This clause indicates the types of metadata that are required effectively to implement ISO 15489-1. It is a further explanation of Clause 5. It outlines the range of metadata that should be designed and applied within records systems to meet the requirements of ISO 15489-1.

The types of metadata required to support ISO 15489-1 may be broken down into the following components (see Figure 1):

- a) metadata about the record itself;
- b) metadata about the business rules or policies and mandates;
- c) metadata about agents;
- d) metadata about business activities or processes;
- e) metadata about records management processes.

These types of metadata apply equally both before and after record capture.

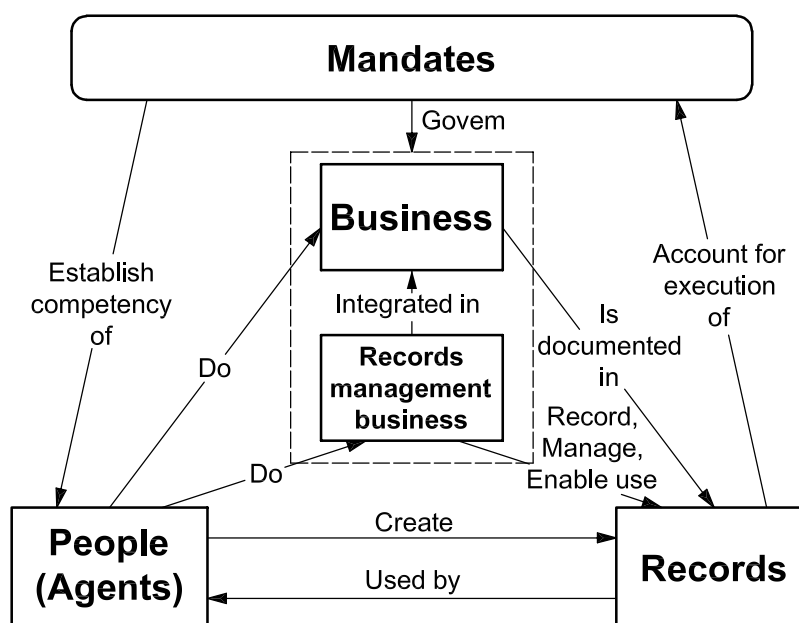


Figure 1 — Main types and their relationships³⁾

Each of these comprises metadata which

- 1) are captured with the record, fixing it into its business context and enabling the management processes to take place (i.e. metadata at point of record capture) and
- 2) continue to be created and captured (i.e. process metadata); this goes beyond the record creating organization and has to be ensured by any organization that will be responsible for the management of the records over time.

3) Derived from Figure 2 *Recordkeeping* and Figure 3 *The Business Context*, included in "Conceptual and Relationship models: Records in Business and Socio-legal Contexts", a deliverable from the 1998-1999 Monash University research project, called "Recordkeeping Metadata Standards for Managing and Accessing Information Resources in Networked Environments Over Time for Government, Commerce, Social and Cultural Purposes". Chief Investigators: Sue McKemmish, Ann Pedersen and Steve Stuckey. <http://www.sims.monash.edu.au/research/rcrg/research/spirt/reports.html>.

This categorization has been used as a framework for this part of ISO 23081. A statement is included following each of the metadata requirements in order to indicate from which clause or subclause of ISO 15489-1 they are derived.

9.2 Metadata about records

9.2.1 Metadata about records at the point of record capture

Key elements of structural and storage metadata, such as format and key technical dependencies, should be identified and documented at the point of record capture in order to ensure that the record's accessibility can be maintained as long as required for business or other needs and to facilitate its long-term preservation and management.

It may also be necessary to capture some of the security and records management metadata outlined below (see 9.2.4 and 9.5) at the point of record capture.

In order to define the content of the record or any aggregation, its logical and physical structure and its technical attributes, and in order to document the relationships that records may have between each other, metadata about the record should

- a) include the date and time when the record was created,
- b) identify and describe the agents involved in record creation,
- c) document record structure,
- d) document record form,
- e) document any chemical and other physical properties,
- f) document record technical characteristics and dependencies,
- g) document the relationship between the data or format elements that comprise the record,
- h) document requirements about making available, reproducing or rendering records,
- i) facilitate migration to different software,
- j) facilitate re-presentation through emulation,
- k) initiate data and format management activities to protect against media deterioration,
- l) document the relationship between the record and the business transaction or activity that generated it and
- m) document the links between records or between an individual record and the broader record aggregation of which it is a part.

9.2.2 Metadata about records after record capture

Metadata about records should accrue on an ongoing basis regardless of the organization that is responsible for the records. These metadata will define changes in the logical and physical structure and technical attributes of the record, as well as describe new contexts in which the record is used. It should also document new relationships with other records or aggregations.

Records of current and previous structural metadata, such as format and key technical dependencies, will continue to be applied to ensure the record's accessibility is maintained through time. It should be maintained to provide evidence of the record's original structure and to facilitate future preservation efforts.

Where processes occur that are initiated by structural and storage metadata, evidence of these should be kept, along with details of any variation in records design and format. See also 9.6.

9.2.3 Metadata supporting the accessibility of records

9.2.3.1 General

Metadata should be used to identify records and facilitate their retrievability and usability in records systems.

A records system should provide ready access to all relevant records and their related metadata. Systems can be designed to use metadata to facilitate this objective.

9.2.3.2 Accessibility metadata at point of record capture

Metadata for accessibility should do the following.

- a) Identify information about records or aggregations of records.
- b) Identify and document the aggregation, such as a file or series, in which a record or group of records exists.
- c) Capture record location information. Systems should be capable of maintaining a variety of metadata details about record location. Record location may be logical and/or physical. Variations to location detail may need to be maintained. A record's home and current locations may need to be recorded to facilitate record tracking.
- d) Identify and document links between records, agents and processes.
- e) Document descriptive information that facilitates record use and understanding, such as a subject classification, title, descriptive keywords, abstract or précis.
- f) Facilitate the classification of business functions, activities and transactions.
- g) Facilitate the classification of records.
- h) Undertake record indexing.

9.2.3.3 Process metadata supporting accessibility after record capture

Accessibility metadata should be monitored on an ongoing basis to ensure that they are facilitating records accessibility. Changes may need to be made to these metadata through time as

- a) business activity takes place,
- b) personnel changes,
- c) business focus changes,
- d) records management instruments are adopted or changed,
- e) record locations are changed,
- f) organizational terminology evolves or
- g) new business systems are adopted.

Ongoing description is necessary to keep the records meaningful for use. With the expanding availability of records outside the domain in which they were created or captured either within or outside the organization, additional descriptive metadata are needed that explain explicitly the business context of the records. The elapse of time and the accompanying loss of knowledge about the environment, in which records were created or captured, are other factors requiring additional description.

9.2.4 Metadata supporting the security of records

9.2.4.1 General

All records systems should be capable of deploying security metadata to provide an accountable management environment for records.

High levels of security may be applicable in certain systems. Consequently, the risks and requirements of the business documented within systems should be assessed before security metadata are designed and applied.

9.2.4.2 Security metadata at the point of record capture

Key elements of security metadata, such as basic access rights or restrictions, should be identified and applied at the point of record creation and capture in order to facilitate a record's ongoing preservation and management.

Security metadata should

- a) identify the access restrictions that apply to records and their aggregations, business processes and agents,
- b) ensure that records can only be accessed by authorized personnel,
- c) apply time limitations to access restrictions to ensure their regular review and
- d) withhold metadata display where data should not be made available for general access.

9.2.4.3 Process metadata supporting security after record capture

Access to records should only be restricted when there is a business need or when the law requires it. Security metadata should be monitored and updated to ensure the ongoing applicability of all identified restrictions.

Security levels and rules will change over time, and metadata that support security and access management should change accordingly. Organizations should ensure that these changes are documented.

Security metadata need to be maintained and kept current throughout a record's existence. Changes to these metadata should reflect administrative or personnel changes and consequent changes in security arrangements.

Requirements for the creation, capture, maintenance and access of metadata about the record are contained in the following subclauses of ISO 15489-1:2001.

7.2.1, Characteristics of a record — General

7.2.3, Characteristics of a record — Reliability

8.2.2, Records systems characteristics — Reliability

8.3.6, Access, retrieval and use

9.3, Records capture

9.6, Storage and handling

9.3 Metadata about the business rules, policies and mandates

9.3.1 Metadata about business rules, policies and mandates at the point of record capture

At the point of record capture, metadata should document the records compliance with business rules and policies, and regulatory and other requirements for creating and managing records.

These metadata should

- a) identify the specific metadata schema used in organizational business systems,
- b) capture the business rules or other system controls that regulate record creation and management,
- c) capture the business rules or other system controls that regulate metadata creation and management,
- d) capture the business rules or other system controls that regulate records management operations,
- e) capture the business rules or other system controls that regulate access and rights to records,
- f) document the mandate or other regulatory requirement for record creation and/or management,
- g) document the mandate or other regulatory requirement for record retention, security or destruction requirements and
- h) capture the links between mandate or regulatory information and the records or records management processes to which it relates.

9.3.2 Metadata about business rules, policies and mandates after record capture

On an ongoing basis, metadata should be used to demonstrate that systems have managed records in compliance with business rules and policies, regulatory and other requirements for managing records. For example, metadata identifying who has accessed the records system may be necessary, depending on the business needs of the organization. This includes organizations to which the responsibility for the management of the records has been transferred.

Requirements for the creation, capture and maintenance of business rules, policies and mandates metadata are contained in the following clause and subclauses of ISO 15489-1:2001.

Clause 5, Regulatory environment

7.1, Principles of records management programmes

8.2.3, Records systems characteristics — Integrity

8.2.4, Records systems characteristics — Compliance

8.3.6, Designing and implementing records systems — Access, retrieval and use

8.3.7, Designing and implementing records systems — Retention and disposition

8.4a) to 8.4c), Design and implementation methodology

9.1, Determining documents to be captured into a records system

9.2, Determining how long to retain records

9.7, Access

9.4 Agent metadata

9.4.1 Agent metadata at point of record capture

At the point of record capture, metadata should include metadata about agents associated with records and their management.

Metadata about agents involved in record creation and management have to be captured to ensure proper documentation. These metadata also enable record access to be restricted to appropriate agents, and enable only authorized staff to use records systems or perform records management operations within these systems (see also 9.6).

Agent metadata at the point of record capture should

- a) identify the agents involved in records creation,
- b) identify the agents involved in records management processes and their authorization and
- c) identify the agents authorized to access records.

9.4.2 Metadata about agents after record capture

The roles of agents change over time. Records systems need to capture these changes. This contextual information is necessary for understanding records. It also ensures that records access will stay restricted to appropriate agents, and that only authorized agents use records systems or perform records management operations within these systems (see also 9.6).

Requirements for the creation, capture and maintenance of metadata about agents are contained in the following subclauses of ISO 15489-1:2001.

7.2.2, Characteristics of a record — Authenticity

7.2.3, Characteristics of a record — Reliability

8.2.2, Records systems characteristics — Reliability

8.2.3, Records systems characteristics — Integrity

8.3.6, Designing and implementing records systems — Access, retrieval and use

9.2, Determining how long to retain records

9.3, Records capture

9.5 Business process metadata

9.5.1 Business process metadata at point of record capture

Records systems need the capacity to capture and manage metadata about business processes. This includes metadata about business functions, activities and transactions, about security and accessibility and about records management processes. Because the latter is so important here, it is considered separately (see 9.6).

These metadata can provide a key context to facilitate record understanding and accountability. Their capture can also help to demonstrate the accountability of business operations, by identifying the operations that can be performed within the records system.

Business process metadata at the point of record capture should

- a) identify and document the business functions, activities and transactions documented by records within the system,
- b) document links between records, agents and the business functions, activities and transactions to which they relate,
- c) identify and document the agents or participants in a transaction,
- d) document the security and access rules for business processes and transactions,
- e) facilitate the transaction of automated business functions, activities and transactions where required,
- f) facilitate the classification of business functions, activities and transactions,
- g) facilitate the classification of records and
- h) capture the date and time of a transaction when a record was created.

9.5.2 Metadata about business processes after record capture

Records systems need to accrue and continue to manage metadata about business processes in which records are used, as well as metadata about security, accessibility and the record management processes that are applied to records as long as required.

These metadata will facilitate the ongoing usability and interpretation of records and help to demonstrate the accountability of business activities, by identifying and documenting the operations that have been performed within any records system in which the records reside over time.

Requirements for the creation, capture and maintenance of metadata about business processes are contained in the following subclauses of ISO 15489-1:2001.

7.2.2, Characteristics of a record — Authenticity

7.2.3, Characteristics of a record — Reliability

7.2.4, Characteristics of a record — Integrity

7.2.5, Characteristics of a record — Usability

8.2.2, Records systems characteristics — Reliability

8.2.3, Records systems characteristics — Integrity

8.2.4, Records systems characteristics — Compliance

8.2.5, Records systems characteristics — Comprehensiveness

8.3.2, Designing and implementing records systems — Documenting records transactions

8.3.6, Designing and implementing records systems — Access, retrieval and use

8.3.7, Designing and implementing records systems — Retention and disposition

8.4a) to 8.4c), Design and implementation methodology

9.1, Determining documents to be captured into a records system

9.2, Determining how long to retain records

9.3, Records capture

9.4, Registration

9.5, Classification

9.6, Storage and handling

9.7, Access

9.6 Metadata about records management processes

9.6.1 Metadata about records management processes at the point of record capture

This type of records management metadata should facilitate or automate the records management operations that need to be conducted in relation to a specific record or group of records. These records management operations are outlined in detail in ISO 15489-1:2001, Clause 9.

At the point of record capture, key elements of records management metadata, such as retention and disposal authorizations, classification and registration details, should be identified and applied in order to facilitate the ongoing accountability of an organization for, and the ongoing management of, records as long as they exist.

Records management metadata should

- a) ensure that records management instruments, such as disposition authorities, business activity classification schemes and security and access classification schemes, are able to be applied in a records system,
- b) capture the disposition metadata applied to records in a records system,
- c) identify and document the methods and rules for authentication in a way that it is possible to identify what authentication requirements were applicable in business and documentary procedures for certain types of records and which agents were responsible for implementing them,
- d) identify and document the agent authorizations or permissions required to perform specific activities,
- e) apply time limitations to user authorizations or permissions to ensure their regular review,
- f) document the access and security metadata applied to records in a records system,
- g) facilitate the classification of business functions, activities and transactions,
- h) facilitate the classification of records,
- i) capture the links between records and their aggregations, and between records, agents and processes and
- j) facilitate the long-term preservation of records.

9.6.2 Metadata about records management processes after record capture

Creating metadata about records management processes is an essential component for assuring the authenticity, integrity, usability and reliability of records. It applies equally for any organization over time that will have the responsibility for managing the records. Creation of these metadata will also facilitate records management operations that need to be conducted in relation to a specific record or group of records and/or enable the automation of those operations.

Such metadata include

- a) documenting authentication procedures for each conversion of records and
- b) documenting the rules for copying records, the different types of copies, the authority for copying accorded to each type, and procedures for routine copying of records which are needed beyond the life expectancy of their medium.

Requirements for the creation, capture and maintenance of records management metadata are contained in the following subclauses of ISO 15489-1:2001.

8.2.2, Records systems characteristics — Reliability

8.2.3, Records systems characteristics — Integrity

8.3.4, Designing and implementing records systems — Distributed management

8.3.5, Designing and implementing records systems — Conversion and migration

8.3.7, Designing and implementing records systems — Retention and disposition

8.5, Discontinuing records systems

9.2, Determining how long to retain records

9.5, Classification

9.6, Storage and handling

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