

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

Part 1: Principles

ICS 01.140.20

National foreword

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It is being issued in the Draft for Development series of publications and is of a provisional nature because it is still under development. It should be applied on this provisional basis, so that information and experience of its practical application may be obtained.

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According to the replies received by the end of the review period, the responsible BSI Committee will decide whether to support the conversion into an international standard, to extend the life of the Technical Specification for another 3 years or to withdraw it. Comments should be sent in writing to the Secretary of BSI Subcommittee Committee IDT/2/17, Archives/record management, at British Standards House, 389 Chiswick High Road, London W4 4AL, giving the document reference and clause number and proposing, where possible, an appropriate revision of the text.

A list of organizations represented on this committee can be obtained on request to its secretary.

Cross-references

The British Standards which implement international publications referred to in this document may be found in the BSI Catalogue under the section entitled “International Standards Correspondence Index”, or by using the “Search” facility of the *BSI Electronic Catalogue* or of British Standards Online.

Summary of pages

This document comprises a front cover, an inside front cover, the ISO title page, pages i to v, a blank page, pages 1 to 18, an inside back cover and a back cover.

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TECHNICAL SPECIFICATION

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

Part 1: Principles

Information et documentation — Processus de «Records management» — Métadonnées pour les documents —

Partie 1: Principes



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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.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of normative document:

- an ISO Publicly Available Specification (ISO/PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;
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An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

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/TS 23081-1 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*, in collaboration with ISO/TC 10, *Technical product documentation* and ISO/TC 171, *Document management applications*.

Parts 2, *Implementation issues*, and 3, *Evaluation of existing metadata sets and initiatives to ISO 15489*, of this International Standard are in preparation

Introduction

ISO 23081 is a guide to understanding, implementing and using metadata within the framework of ISO 15489, *Information and documentation — Records management*. 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 Technical Specification 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 use existing metadata sets. These future Parts will be Technical Reports that should be considered as time-bound documents that will need regular updates.

1) In this Technical Specification, 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.

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

qualifier

refinement of an element defining its semantics or values

3.3

schema

framework that specifies and describes a standard set of metadata elements and their interrelationships

NOTE Schemas provide a formal syntax (or structure) and semantics (or definitions) for the metadata elements

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