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Information och dokumentation – Dokumenthantering (Records management) – Metadata för verksamhetsinformation – Del 1: Principer (ISO 23081-1:2017, IDT)

Information and documentation – Records management processes – Metadata for records – Part 1: Principles (ISO 23081-1:2017, IDT)

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Den internationella standarden ISO 23081-1:2017 gäller som svensk standard. Detta dokument innehåller den officiella engelska versionen av ISO 23081-1:2017.

Denna standard ersätter SS-ISO 23081-1:2006, utgåva 1.

The International Standard ISO 23081-1:2017 has the status of a Swedish Standard. This document contains the official version of ISO 23081-1:2017.

This standard supersedes the Swedish Standard SS-ISO 23081-1:2006, edition 1.

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Information about the content of the standard is available from the Swedish Standards Institute (SIS), telephone +46 8 555 520 00. Standards may be ordered from SIS Förlag AB, who can also provide general information about Swedish and foreign standards.

Denna standard är framtagen av kommittén för Ledningssystem för verksamhetsinformation, SIS/TK 546.

Har du synpunkter på innehållet i den här standarden, vill du delta i ett kommande revideringsarbete eller vara med och ta fram andra standarder inom området? Gå in på www.sis.se - där hittar du mer information.

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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).

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For an explanation on 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 the following URL: www.iso.org/iso/foreword.html

This document was prepared by ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

This second edition cancels and replaces the first edition (ISO 23081-1:2006), which has been technically revised.

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

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Introduction

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

This document gives guidelines for 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 processes. It also sets a framework for managing those metadata.

NOTE 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.

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.

ISO 23081-2 and ISO 23081-3 are more explanatory and provide practical guidance on implementation issues and how to assess records management metadata sets against the principles in this document.

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

Part 1: Principles

1 Scope

This document covers the principles that underpin and govern records management metadata. These principles are applicable 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 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 15489-1:2016, *Information and documentation — Records management — Part 1: Concepts and principles*

3 Terms and definitions

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

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1

agent

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

Note 1 to entry: Technological tools such as software applications can be considered agents if they routinely perform records processes.

3.2

aggregation

any accumulation of record entities at a level above record object

[SOURCE: ISO 16175-2:2011]

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3.3 attribute

characteristic of an object or entity

[SOURCE: ISO 23081-2:2009, 3.2]

3.4 business activity

all the functions, activities and transactions of an organisation and its employees Note 1 to entry: Includes public administration as well as commercial business.

[SOURCE: ISO 16175-2:2011, modified]

3.5 capture

process of lodging a document or digital object into a records management system and assigning metadata to describe the record and place it in context

[SOURCE: ISO 16175-3:2010, modified]

3.6 encoding scheme

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

3.7 entity

concrete or abstract thing that exists, did exist, or might exist, including associations among those things

3.8 fixity

state of quality of being fixed, that is, protected against unauthorised alteration or disposition

[SOURCE: ISO 16175-3:2010, modified]

3.9 metadata for records

structured or semi-structured information, which enables the creation, management, and use of records through time and within and across domains

[SOURCE: ISO 15489-1:2016, 3.12]

3.10 metadata 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 for records are defined as structured or semi-structured information which enables the creation, management, and use of records through time and within and across domains. (ISO 15489-1:2016, 3.12). Each domain 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. Metadata for records 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 continues to accumulate as the record is managed and used. The record may also undergo structural changes or changes to 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 should 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, manage and use 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 reuse and repurposing of records
- h) supporting interoperability strategies by enabling authoritative capture of records created in diverse technical and business environments and their sustainability for as long as required;
- i) providing logical links between records and the context of their creation, and maintaining them in a structured, reliable and meaningful way;
- j) 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;
- k) supporting efficient and successful migration of records from one environment or computer platform to another or any other preservation strategy.