2. Vocabulary     - 2012

White paper written by ISO/TC 46/SC 11 - Archives/records management

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Warning: May, 2016. Due to the publication of new edition of ISO 15489-1:2016, and withdrawal of ISO 15489-2 the information in this white paper will be updated, as it refers to former versions of ISO 15489-1 and 2.

1 PURPOSE

This paper makes clear the methodology and principles employed in the development of the vocabulary to support/implement the ISO 30300 series of management systems for records (MSR) standards.

This paper clarifies terms and definitions adopted and adapted from ISO 15489: 2001 Information and documentation – Records Management — Part 1: General and new terms from other ISO management systems standards (ISOMSSs). The terms and definitions are built in conformity with ISO 704:2009 Terminology work — Principles and methods and ISO 10241-1:2011 Terminological entries in standards — Part 1: General requirements and examples of presentation to be used to support/implement the MSR standards.

This paper explains the relationship between the terms and definitions of ISO 30300:2011 Information and documentation – Management systems for records - Fundamentals and vocabulary and other related International Standards and Technical Reports.
During the development process and after publication many questions were raised about the relationships, similarities and differences with ISO 15489 and other International Standards and Technical Reports developed by ISO TC46/SC11. The previously published products are derived mainly from the records professional community’s perspective, the ISO 30300 series has been developed primarily for a management audience. This paper focuses on vocabulary questions about relationship, similarities and differences; it is the second white paper since publication of “Relationship Between the ISO 30300 series of Standards and other Products of ISO/TC 46/SC 11: 1. Records processes and controls” March 2012.

2 BACKGROUND AND THE METHODOLOGY

On November 2011 ISO 30300 Information and documentation — Management systems for records: Fundamentals and vocabulary was published.

The methodology used to develop terminological concepts in ISO 30300 is adherence to ISO 704:2009 and ISO 10241-1:2011 (as mentioned above). The rules on how definitions are to be drafted are provided by ISO 704:2009. ISO 10241-1:2011 provides additional guidelines on how definitions are to be presented in International Standards.

The following is a summary of provisions in ISO 704:2009:

- Definitions shall be as concise as possible and as complex as necessary.
- Complex definitions shall contain only information that makes the concept unique; any additional descriptive information deemed necessary is to be included in a note.
- Definitions shall be drafted in a consistent manner bearing in mind the target audience's language register and knowledge level.
- A definition shall describe only one concept.
- A definition shall be neither too narrow nor too broad.
- A definition shall reflect the concept system describing the concept and its relations to other concepts in the concept system.
- Definitions shall be systemic.
• The characteristics selected in an intentional definition shall indicate the delimitation that distinguishes one concept from another or the connection between the concepts.

The following is a summary of provisions in ISO 10241-1:2011:

• Every effort shall be made to avoid use of a single term for multiple concepts and multiple terms for a single concept.
• Every effort shall be made to avoid contradictions occurring in terminological entries in closely related standards.
• Only the concepts relevant to the domain, subject or scope of the standard shall be defined.
• A definition shall not take the form of a requirement.
• A definition shall consist of a single phrase, which if possible shall reflect the position of the concept in the concept system. This requirement can best be met by using intentional definitions.
• The form of a definition shall be such that it can replace the term in context (i.e. principle of substitution).
• The principle of substitution shall be applicable in both directions.

ISO 30300:2011 Vocabulary is arranged into concept systems for a coherent and harmonized vocabulary. It includes concept diagrams to understand relationships between core concepts within the field of MSR in accordance with the requirements of ISO 704:2009 and ISO 10241-1:2011.

Vocabulary of ISO 30300:2011 relate to records, management, records management processes, and management systems, which are fundamental to support/implement the MSR standard/s. The vocabulary is developed in accordance with the rules agreed at several ISO/TC46/SC11 meetings in conformity with the above principles of the ISO 704:2009 and ISO10241-1:2011. Illustration 1 shows the relationship between vocabulary of ISO/TC 46/SC 11 standards and ISO MSSs. Numbers in brackets refer to the vocabulary clauses of ISO 30300.
Concepts relating to management (3.2)
Organization (3.2.3)-top management (3.2.5)-accountability (3.2.1)-
on-conformity (3.2.2)-records policy (3.2.4)

Concepts relating to records management processes (3.3)
document (3.3.6)-registration (3.3.10)-
classification (3.3.2)-indexing (3.3.7)-
access (3.3.1)-disposition (3.3.5)-
destruction (3.3.4)-transfer (3.3.12)-
preservation (3.3.9)-conversion (3.3.3)-
migration (3.3.8)-tracking (3.3.11)

Concepts relating to records (3.1)
documentation (3.1.4)-document (3.1.3)-
metadata (3.1.6)-evidence (3.1.5)-
asset (3.1.2)-records (3.1.7)-archives (3.1.1)

ISO MSSs

Concepts relating to management system for records management (3.4)
System (3.4.5)-management system (3.4.1)-management system for records (3.4.2)-records management (3.4.3)-records system (3.4.4)
Illustration 1

Relationship between vocabulary of ISO/TC46/SC11 standards and ISO MSSs

Seven frequently asked questions and the answers are listed here for understanding the relationship between terms and definitions of ISO 30300:2011 and ISO 15489-1:2001.

3.1 What is the relationship between terms and definitions of ISO 30300:2011 and ISO 15489-1:2001?

There are 29 terms in ISO 30300: 2011, 21 terms in ISO 15489-1:2001. 17 terms from ISO 15489 are in ISO 30300: 2011, of which 9 terms and their definitions are adopted in full, and 8 terms and their definitions are adapted from ISO 15489. Four terms from ISO 15489 are not included in ISO 30300, 12 new terms are added. See Table 1 for the details.

Table 1 - Relationship between terms and definitions of ISO30300:2011 and ISO15489-1:2001

<table>
<thead>
<tr>
<th>Relationship with ISO 15489-1:2001</th>
<th>Number of terms</th>
<th>Terms in ISO 30300:2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Terms adopted</td>
<td>17</td>
<td>access, accountability, classification, conversion, destruction, disposition, document, indexing, metadata, migration, preservation, records management, records system, tracking, transfer (custody)</td>
</tr>
<tr>
<td>Terms and definitions adopted in full</td>
<td>9</td>
<td>access, accountability, classification, disposition, document, metadata, records management, registration, tracking</td>
</tr>
<tr>
<td>Terms adopted but definitions adapted</td>
<td>8</td>
<td>conversion, destruction, indexing, migration, preservation, records, records system, transfer</td>
</tr>
</tbody>
</table>
### Relationship with ISO 15489-1:2001

<table>
<thead>
<tr>
<th>Terms and definitions not included</th>
<th>Number of terms</th>
<th>Terms in ISO 30300:2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Terms and definitions not included</td>
<td>4</td>
<td>action tracking, archival authority, classification system, transfer (movement)</td>
</tr>
<tr>
<td>New terms and definitions added to ISO 30300</td>
<td>12</td>
<td>asset, archives, document (verb), documentation, evidence, management system, management system for records, nonconformity, organization, records policy, system, top management</td>
</tr>
</tbody>
</table>

### 3.2 How was the vocabulary of ISO30300:2011 developed? What are the principles for the adoption, adaption, deletion and addition of new terms?

Principles for Developing Vocabulary of Management Systems for Records (An, Ellis, 2009) was built for the development of the vocabulary of ISO 30300:2011 and its continual improvement, in conformity with the following uniform principles:

- a) help to organize terminology work in a practical and efficient manner;
- b) guarantee the consistency and coherence of terminologies both within management system for records and between related fields;
- c) contribute to the harmonization of concept systems and terms in different languages;
- d) promote sound evidence-based decision making to terminology work;
- e) provide assistance to those involved in terminology management.


The adoption, adaption, deletion and addition of new terms are in accordance with the principles of the ISO 704:2009 and ISO10241-1:2011 and rules agreed at several ISO/TC 46/SC 11 meetings, as per the following documents:

a) Principles for building terms and definitions is developed based “Terms and definitions for ISO/TC 46/SC 11 WG8: project report”, Xiaomi An, 2008-08-14. (Discussed and accepted at the 21st ISO/TC 46/SC 11 meeting held November 24-27, 2008, Wellington, New Zealand.)

b) Principles for justification of comments for changes is developed based on “Review of comments on TC 46/SC 11 N912 after Kenya meeting-Latest version of terms and definitions of WG8”, Xiaomi An, 2009-06-14 1st version, 2nd version 2009-07-24. (Discussed and accepted at the 22nd ISO/TC 46/SC 11 meeting held May 11-14, 2009, Nairobi, Kenya)

c) Principles for building the bibliography were developed based on the same document b) above.


3.3 Why have some terms (e.g. action tracking, archival authority, classification system, transfer (movement)) from ISO 15489-1:2001 not been included in ISO 30300:2011?

The terms deleted are not frequently used in general, according to a review of terms and definitions of ISO 15489 and the Justification Study based on Glossary of Integrated Records, Archives and Information Management Terms'1i (An, 2009). Citation of the above terms in 75 glossary sources are comparatively low or have no citation for wide use.

3.4 Why are some important archival terms (e.g. records series, appraisal, archive (as a verb)) not included in ISO 30300:2011?

The main reason is that ISO 30300:2011 has been developed primarily for a management audience. Those terms are too specific to records management skills, and are not used for or by top management at strategic level.
3.5 What are the changes made to the definitions of terms (conversion, destruction, indexing, migration, preservation, records, records system, transfer) from ISO 15489-1:2001? And what are the reasons for the changes?

See Table 2 for the details. Common reasons for adaption are that: the old definition is outdated, or the definition needs updating for better clarity, accuracy, relevance and consistency with latest internationally-accepted leading thinking and best practice.

Table 2- Changes made to the ISO 15489:2001 definitions

<table>
<thead>
<tr>
<th>Terms</th>
<th>Definitions in ISO 15489-1:2001</th>
<th>Definitions in ISO30300:2011</th>
<th>Reason or rationale for changes or adaptation of terms in ISO 15489</th>
</tr>
</thead>
<tbody>
<tr>
<td>conversion</td>
<td>3.7 <strong>conversion</strong> process of changing records from one medium to another or from one format to another. See migration (3.13)</td>
<td>3.3.3 <strong>conversion</strong> process of changing records from one format to another. EXAMPLE Scanning paper documents to create digital images (TIFF, JPEG, etc.), converting word processing documents to a PDF, or a UNIX text file to a Microsoft (Windows) text file, upgrading MS Word file from version 1 to version2.</td>
<td>Updating to be accurate and consistent with the definition in the development of ISO 13008:2012 definition 3.5: • “A definition shall describe only one concept” according to ISO 704:2009.</td>
</tr>
<tr>
<td>destruction</td>
<td>3.8 <strong>destruction</strong> process of eliminating or deleting records, beyond any possible reconstruction.</td>
<td>3.3.4 <strong>destruction</strong> process of eliminating or deleting a record, beyond any reconstruction.</td>
<td>Updating for editorial change.</td>
</tr>
<tr>
<td><strong>indexing</strong></td>
<td><strong>3.11 indexing</strong></td>
<td><strong>3.3.7 indexing</strong></td>
<td>Updating for simplification</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------</td>
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<td>----------------------------</td>
</tr>
<tr>
<td>process of establishing access points to facilitate retrieval of records and/or information</td>
<td>establishing access points to facilitate retrieval</td>
<td>— “A definition shall be neither too narrow nor too broad” according to ISO 704:2009.</td>
<td></td>
</tr>
<tr>
<td>NOTE Adapted from ISO 15489-1:2001, definition 3.11.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>migration</strong></td>
<td><strong>3.13 migration</strong></td>
<td><strong>3.3.8 migration</strong></td>
<td>Updating to be accurate and consistent with the definition in the development of ISO 13008:2012 definition 3.14.</td>
</tr>
<tr>
<td>act of moving records from one system to another, while maintaining the records’ authenticity, integrity, reliability and useability</td>
<td>process of moving records from one hardware or software configuration to another without changing the format</td>
<td>— “A definition shall be neither too narrow nor too broad” according to ISO 704:2009.</td>
<td></td>
</tr>
<tr>
<td>SEE conversion (3.7)</td>
<td>EXAMPLE Moving data from magnetic disk to magnetic tape, transferring database files from Oracle to SQL Server (see 3.3.3 for consistent use).</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>preservation</strong></td>
<td><strong>3.14 preservation</strong></td>
<td><strong>3.3.9 preservation</strong></td>
<td>Updating relevant to latest developments and thinking; in conformity with Principles for Developing Vocabulary of Management Systems for Records agreed at several ISO/TC 46/SC 11 meetings.</td>
</tr>
<tr>
<td>processes and operations involved in ensuring the technical and intellectual survival of authentic records through time</td>
<td>processes and operations involved in ensuring the maintenance of records over time</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>records</strong></td>
<td><strong>3.15 records</strong></td>
<td><strong>3.1.7 records</strong></td>
<td>Updating to enable linkage to Asset Owners and Asset Registers for records in conformity with</td>
</tr>
<tr>
<td>information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the</td>
<td>Information created, received and maintained as evidence and as asset by an organization or person, in pursuit of legal obligations or in the transaction of business</td>
<td>— “Definitions shall be drafted in a consistent manner bearing in mind</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>transaction of business</td>
<td>NOTE 1</td>
<td>Adapted from ISO 15489-1:2001, definition 3.15.</td>
<td>the target audience's language register and knowledge level&quot;, according to ISO 704:2009.</td>
</tr>
<tr>
<td>-------------------------</td>
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<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>NOTE 2</td>
<td>The term &quot;evidence&quot; is not limited to the legal sense (see 3.1.5).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>NOTE 3</td>
<td>This applies to information in any medium, form or format.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>records system</th>
<th>3.17 records system</th>
<th>information system which captures, manages and provides access to records through time</th>
</tr>
</thead>
<tbody>
<tr>
<td>transfer</td>
<td>3.20 transfer</td>
<td>(custody) change of custody, ownership and/or responsibility for records</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>transfer</th>
<th>3.3.12 transfer</th>
<th>change of custody or ownership of records</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NOTE 1</td>
<td>Transfer may include moving records from one location to another.</td>
</tr>
<tr>
<td></td>
<td>NOTE 2</td>
<td>Adapted from ISO 15489-1:2001, definition 3.20, 3.21.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>3.4.4 records system</th>
<th>information system which captures, manages and provides access to records over time</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NOTE</td>
<td>Adapted from ISO 15489-1: 2001, definition 3.17.</td>
</tr>
</tbody>
</table>

Updating for editorial change.

Changes made in conformity with following principles:
- “Every effort shall be made to avoid use of a single term for multiple concepts and multiple terms for a single concept” according to ISO 10241-1:2011.
- “Complex definitions shall contain only information that makes the concept unique; any additional descriptive information deemed necessary is to be included in a note” according to ISO 704:2009.
3.6 Are there any impacts on the use of ISO 15489-1: 2001 terms and definitions by adoption of ISO 30300:2011?

What are the implications of the adaptation of definitions of ISO 15489-1:2001?

Modification of definitions from ISO 15489-1:2001 will have positive consequence, with little impact on its original use, with not much (if any) cost of change (in terms of resource to be spent), due to the following principles built for acceptance of adaptation:

a) The modified definition is clearer, and not much cost of change.
b) The modified definition is shorter with better understanding and without much cost of change.
c) The modification is more accurate and not much cost of change.
d) The modification is more in conformity with latest international records management best practice and ISO MSS development and not much cost of change.
e) It is the intention of ISO/TC 46/SC11 to use the new definitions in future revisions of ISO15489 and other publications.

3.7 What significant changes have been made to concept of ‘records’?

The main changes are:

- Adding the concept of managing records as an asset, building collaborative ways of thinking for value-added services and high effectiveness; including awareness of multiple dimensional values of records (e.g. asset can be knowledge asset, business asset, intellectual asset, digital asset, not limited to information asset), making awareness of risk of inappropriate and inadequate control and the consequences.
- Establishing convergent and synergistic support at a strategic level in alignment with the objectives of ISOMSSs, e.g. ISO 9000 Quality management, ISO 31000 Risk management, ISO 27000 Information security management, ISO 19011 auditing management, etc., enabling evidence-based collaboration and linkage to Asset Owners and Asset Registers for records.
3 RELATIONSHIP BETWEEN TERMS AND DEFINITIONS OF ISO 30300:2011 AND OTHER ISO MSSs

As the ISO 30300 series of standards has been developed primarily for a management audience, 6 common terms and core definitions were added to ISO 30300 to convey the relationship between ISO 30300:2011 and other ISOMSSs. These terms and definitions are compatible and aligned with the ISO/IEC Directives Part1 Consolidated ISO Supplement – Procedures specific to ISO ANNEX SL, Appendix 3: 2012. It is fundamental to understand management systems for records as integral part of the ISO MSS family. See Table 3 for the relationships between terms and definitions of ISO30300:2011 and the other ISOMSSs. The adoption of existing ISO MSSs terms and definitions add power and association between the ISO 30300:2011 and the ISO MSS family. In addition, ISO 10241-1:2011 (6.9.1 and 6.9.2) states that reference to standardized terminological entries or parts thereof, or to standardized definitions in other standards, shall be made wherever possible instead of repetition.

Table 3 - Relationship between terms and definitions of ISO30300:2011 and other ISOMSSs

<table>
<thead>
<tr>
<th>Other ISO MSSs</th>
<th>Number of terms &amp; definitions adopted in ISO 30300</th>
<th>Terms and definitions in ISO 30300:2011 adopted from other ISOMSSs</th>
<th>Relationship</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISO 9000:2005</td>
<td>1</td>
<td>system</td>
<td>relating to management system for records</td>
</tr>
<tr>
<td>ISO/IEC 27000:2009</td>
<td>1</td>
<td>asset</td>
<td>relating to records</td>
</tr>
<tr>
<td>ISO/IEC Directives Part 1 Consolidated ISO Supplement – Procedures specific to ISO ANNEX SL, Appendix 3:2012</td>
<td>4</td>
<td>management system, nonconformity, organization, top management</td>
<td>relating to management system for records, and relating to management of an organization</td>
</tr>
<tr>
<td>Total terms adopted</td>
<td>6</td>
<td>asset, management system, nonconformity, organization, system, top management</td>
<td>Adoption for coherent and consistent use, compatibility and relevance</td>
</tr>
</tbody>
</table>
4 CONCEPT SYSTEMS OF ISO 30300:2011

Concepts for the terminology of ISO 30300:2011 are arranged in a “concept system” in conformity with ISO 704:2009 and ISO 10241-1:2011, which shows how the concepts within the field of MSR relate to each other.

Within ISO 30300:2011, the concept systems combining generic, partitive and associative relationships are common. There are four primary forms of concept relationships in the Annex 3 of ISO 30300:2011, according to ISO 704:2009 and with reference to ISO 9000:2005 and GB-T 19100-2003 (China):

a) associative (ISO 704:2009, 5.5.3 and ISO 9000:2005, A.3.4) (with arrows)
b) one-way circulating (GB-T 19100-2003, A.2.2.2) (with arrows)
c) partitive (ISO 704:2009, 5.5.2.3 and ISO 9000:2005, A.3.3) (without arrows)
d) generic (ISO 704:2009, 5.5.2.2 and ISO 9000:2005, A.3.2) (without arrows)

Illustration 2 shows the following associative relation concepts relating to ‘records’: documentation (3.1.4) -document (3.1.3) -evidence (3.1.5) -records (3.1.7) -archives (3.1.1) - asset (3.1.2) - metadata (3.1.6).
Illustration 2
Figure A.3.1 - Concepts relating to records (3.1), Source: ISO 30300:2011
Illustration 3 shows the following associative relation concepts relating to ‘management’: organization (3.2.3) -top management (3.2.5) -accountability (3.2.1) -non-conformity (3.2.2) -records policy (3.2.4).

![Diagram of management concepts]

Illustration 4 shows a combining one-way circulating relation concepts with partitive relation concepts relating to ‘records management processes’. The left is one-way circulating relation: document (3.3.6) -registration (3.3.10) -access (3.3.1) -disposition (3.3.5) -preservation (3.3.9) -tracking (3.3.11). The right is
partitive relation: registration(3.3.10)/classification(3.3.2) - indexing(3.3.7); disposition(3.3.5)/destruction(3.3.4) - transfer(3.3.12); preservation(3.3.9)/conversion(3.3.3) - migration(3.3.8).
Illustration 4

Figure A.3.3- Concepts relating to records management processes (3.3), Source: ISO 30300:2011

Illustration 5 combines generic relation with partitive relation relating to ‘management system for records’. The top is generic relation: system (3.4.5) -management system (3.4.1) -management system for records (3.4.2), and the bottom is partitive relation: records management (3.4.3) -management systems for records (3.4.2) -records system(3.4.4).
Figure A.3.4 - Concepts relating to management system for records (3.4), Source: ISO 30300:2011

Illustration 5
http://demo.quickmerger.com/resources/statics/comprehensive_glossary.php