

Records Management Metadata Standard

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Table of Contents

1	INTRODUCTION.....	5
2	PURPOSE.....	5
3	APPLICATION.....	5
4	FORMAT AND STRUCTURE OF THE RECORDS MANAGEMENT STANDARD.....	5
4.1	ORIENTATION.....	6
4.2	COMPULSORY ELEMENTS.....	6
4.3	ELEMENT SET.....	6
5	ELEMENTS.....	7
5.1	COLLECTION, CREATION, CAPTURE, RECEIPT.....	7
5.1.1	Identifier.....	7
5.1.2	Title.....	7
5.1.3	Description.....	7
5.1.4	Subject.....	7
5.1.5	Type.....	8
5.1.6	Creator.....	8
5.1.7	Record Date.....	8
5.1.8	Approved Date.....	8
5.1.9	Approved By.....	8
5.2	ORGANIZATION, CLASSIFICATION, USE, DISSEMINATION, AND ACCESSIBILITY.....	9
5.2.1	File Code.....	9
5.2.2	Aggregation.....	9
5.2.3	Compound Record Links.....	9
5.2.4	File Name.....	9
5.3	MAINTENANCE, STORAGE, PROTECTION, AND PRESERVATION.....	9
5.3.1	Record Locked.....	9
5.3.2	Usage Conditions.....	10
5.3.3	Supplemental Markings.....	10
5.3.4	Addressee.....	10
5.3.5	Access Rights.....	10
5.3.6	Office of Primary Interest.....	10
5.3.7	Freedom of Information (FOI) Indicator.....	11
5.3.8	Trustee Individual Name.....	11
5.3.9	Trustee Institution Name.....	11
5.3.10	Trustee Institutional Entity.....	11
5.3.11	Location.....	11
5.3.12	Format Medium.....	11
5.3.13	Format Extent.....	12
5.3.14	Data Format.....	12
5.3.15	Container.....	12
5.3.16	Vital Record.....	12
5.4	RETENTION AND DISPOSITION.....	12
5.4.1	Retention Period.....	12
5.4.2	Retention Trigger.....	12
5.4.3	Retention Trigger Date.....	13
5.4.4	Container from Date.....	13
5.4.5	Container to Date.....	13
5.4.6	Disposition Action.....	13
5.4.7	Disposition Authority.....	13

5.4.8	Agent Individual Name	14
5.4.9	Agent Individual Identifier	14
5.4.10	Agent Institution Name	14
5.4.11	Agent Institutional Entity	14
5.4.12	Agent Position Title	14
5.4.13	Agent Role.....	15
5.4.14	Event Date/Time.....	15
5.4.15	Event Description	15
5.4.16	Event Type	15
6	STANDARD REVIEW AND APPROVAL	15
7	REFERENCES.....	15
8	RELATED DOCUMENTS	16
9	GLOSSARY	16

1 Introduction

People use metadata everyday and don't even realize it. For example, whenever an individual uses the search engine Google™, the user types in a keyword and usually finds what they are looking for within the first few results. These keywords are known as metadata. Metadata describes background information about a record, web page, or document. Metadata helps manage records by storing important details about the content i.e. Title, Subject, or Create Date. Records Management Metadata goes a step further and captures keywords relative to the business records such as Records Date, File Code and Retention Period. This ensures that City records are trustworthy, accurate and up-to-date, and meets regulatory and compliance requirements.

2 Purpose

This document describes a metadata element set for the City's records. The collection and use of records management metadata is not new. Records and information management have always used metadata to assist in the management of the City's records however as we move forward into a complex electronic environment there is a need to formalize records management metadata. To formalize the process, the City of Toronto Records Management Metadata Standard (RMMS) was developed to aid in describing, locating, and managing records in a systematic and consistent way to meet business and accountability requirements. The RMMS is a tool that ensures City records are consistently managed throughout their lifecycle.

Records management metadata is particularly important in managing digital records in an electronic environment. The increasing volume of electronic records demands that metadata standards are in place to ensure the accessibility, ease of use, and management of these records. Without metadata users would be unable to locate records, determine whether a record has been modified since its creation, determine who should have access to a record, and carry out the proper disposition of a record (e.g., archive, destroy) at the end of its retention period.

Metadata is composed of elements (see definition in glossary). Elements are important to understand in the context of this standard. Simply put, elements are used to describe the properties of a record. Some examples of records management metadata elements include Creator, File Name, Retention Trigger Date, and are selected according to relevance and usefulness for the City's programs and services. In a records management context, elements are defined to capture different stages of the information lifecycle.

3 Application

- This Standard applies to all City of Toronto Divisions, City employees, volunteers and contract employees hired by the City of Toronto.
- This Standard does not apply to Elected Officials, Accountability Officers or City Agencies and corporations. The City of Toronto encourages City Agencies and Corporations to review, adopt or update this Standard appropriate to their business circumstances.

- This Standard applies to all records, regardless of record format or the activities they reflect.
- These elements are applicable to both paper and electronic records management.

4 Format and Structure of the Records Management Standard

4.1 Orientation

- The elements in section 5 are listed according to the Information Management Lifecycle.
- The RMMS is one of two metadata standards in the City of Toronto. The second is the Descriptive Metadata Standard, which describes a record for identification purposes, published by the Information and Technology Division.
- The RMMS uses six Dublin Core descriptive metadata elements: Creator, Description, Identifier, Subject, Title, and Type.

4.2 Compulsory Elements

The following legend indicates when the elements of the standard should be used:

- **Mandatory:** indicates the element must be used in a records management application.
- **Mandatory, if applicable:** indicates the element must be used in a records management application if a condition exists that triggers the necessity to capture a metadata value.
- **Optional:** indicates the element is not deemed critical to records management. The element would only be included in a records management application upon the discretion of the organizational unit.

4.3 Element Set

The following legend explains the key properties or features of the element set of the records management metadata standard that follows in section 5:

Element Number and Name

Description	The description of the element.
Encoding Scheme	Type of scheme used to encode the element (see definition in glossary for more information).
Obligation	How the element is to be used. Broken down into Mandatory, Mandatory if Applicable and Optional.

- | | |
|--|---|
| | <p>Either the element:</p> <ul style="list-style-type: none"> • must be used (Mandatory) • could be used if a condition exists (Mandatory if applicable) • or is optional (Optional) |
|--|---|

5 Elements

5.1 Collection, Creation, Capture, Receipt

5.1.1 Identifier

Description	Identifies a record by a unique string or number conforming to a formal identification system.
Encoding Scheme	Uniform Resource Identifiers (URI): Generic Syntax http://www.ietf.org/rfc/rfc2396.txt
Obligation	Mandatory

5.1.2 Title

Description	A name given to the resource by which it is formally known.
Encoding Scheme	City-specific scheme – Naming Convention
Obligation	Mandatory

5.1.3 Description

Description	An account of the content of the resource. Description may include but is not limited to: an abstract, table of contents, reference to a graphical representation of content or a free-text account of the content.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.1.4 Subject

Description	The topic of the content of the resource. A subject should be expressed as keywords, key phrases or classification codes that describe a topic of the resource.
Encoding Scheme	Terms should be selected from controlled vocabularies registered with City of Toronto's Enterprise Thesaurus or recognized by the Dublin Core Metadata Initiative.

	Provided that a term has been selected from a registered controlled vocabulary, additional terms from division or unit specific schemes may be selected.
Obligation	Optional

5.1.5 Type

Description	The nature or genre of the content of the resource. Includes terms describing general categories, functions, genres, or aggregation levels for content i.e. invoice, briefing note, memorandum, contract, etc.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.1.6 Creator

Description	An entity primarily responsible for making the content of the resource. Examples of a Creator include a person, an organization, or a service. Typically, the name of a Creator should be used to indicate the entity.
Encoding Scheme	Enumerated entity values must be assigned from Lightweight Directory Access Protocol (LDAP) and/or Municipal-specific schemes for individual's name, unit name, position title (e.g. SAP, directories, etc.)
Obligation	Mandatory

5.1.7 Record Date

Description	The date of an event in the lifecycle of the resource. Typically, Date will be associated with the creation or availability of the resource.
Encoding Scheme	YYYY-MM-DD HH:MM:SS - ISO International Standard 8601 [W3CDTF]
Obligation	Mandatory

5.1.8 Approved Date

Description	The date when the content was approved.
Encoding Scheme	ISO International Standard 8601 [W3CDTF] – YYYY-MM-DD
Obligation	Optional

5.1.9 Approved By

Description	The name of the individual or business unit that approved the content.
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Encoding Scheme	Enumerated entity values must be assigned from Lightweight Directory Access Protocol (LDAP) and/or Municipal-specific schemes for individual's name, unit name, position title (e.g. SAP, directories, etc.)
Obligation	Optional

5.2 Organization, Classification, Use, Dissemination, and Accessibility

5.2.1 File Code

Description	The unique code, derived from the City of Toronto business classification scheme / file plan, of the file.
Encoding Scheme	City approved corporate business classification system / file plan
Obligation	Mandatory

5.2.2 Aggregation

Description	The resource's level or position in a hierarchy i.e. Record level and File level.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.2.3 Compound Record Links

Description	Identification of linkages of the components of a record.
Encoding Scheme	City-specific scheme
Obligation	Mandatory, if Applicable

5.2.4 File Name

Description	The name of the record.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3 Maintenance, Storage, Protection, and Preservation

5.3.1 Record Locked

Description	An indicator that a record may not be further changed.
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Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.2 Usage Conditions

Description	Limitations or restrictions on how a record or file may be used.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.3.3 Supplemental Markings

Description	Special handling requirements for the record or file.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.3.4 Addressee

Description	The name of the recipient(s) to which a record has been sent.
Encoding Scheme	Enumerated entity values must be assigned from Lightweight Directory Access Protocol (LDAP) and/or Municipal-specific schemes for individual's name, unit name, position title (e.g. SAP, directories, etc.)
Obligation	Mandatory, if applicable

5.3.5 Access Rights

Description	Permissions assigned to a record or file that govern or restrict access to or actions taken on a record or file.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.6 Office of Primary Interest

Description	The authority that approves the disposition of the records relating to a specific function or activity.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.7 Freedom of Information (FOI) Indicator

Description	Identifies a record as a “Personal information Bank” or a “General Class of Record”.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.8 Trustee Individual Name

Description	The name of the individual responsible for the stewardship of the record.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.9 Trustee Institution Name

Description	Official name of the division of the individual responsible for the stewardship of the record.
Encoding Scheme	Title of City Division – Organizational Chart
Obligation	Optional

5.3.10 Trustee Institutional Entity

Description	The formal name of the work group, unit of work, business unit, etc. of the individual responsible for the stewardship of the record.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.3.11 Location

Description	A description or indication of where the analog or digital record or file resides.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.12 Format Medium

Description	The material or physical carrier of the data.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.13 Format Extent

Description	The size or duration of the data.
Encoding Scheme	Digital - auto populated and/or Analog – manual recording
Obligation	Optional

5.3.14 Data Format

Description	The logical format of the data.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.3.15 Container

Description	The storage receptacle for the record.
Encoding Scheme	City-specific scheme
Obligation	Mandatory, if Applicable

5.3.16 Vital Record

Description	An indicator that a record or file is considered to be vital in the event of an emergency or disaster.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4 Retention and Disposition

5.4.1 Retention Period

Description	The period of time a record or file must be retained before authorized disposition.
Encoding Scheme	City-specific retention schedule
Obligation	Mandatory

5.4.2 Retention Trigger

Description	A condition that must be met to initiate the retention period countdown.
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Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4.3 Retention Trigger Date

Description	The date that initiates the retention period countdown.
Encoding Scheme	YYYY-MM-DD HH:MM:SS - ISO International Standard 8601 [W3CDTF]
Obligation	Mandatory

5.4.4 Container from Date

Description	The date of the earliest record in a container.
Encoding Scheme	ISO International Standard 8601 [W3CDTF] - YYYY-MM-DD
Obligation	Mandatory, if Applicable

5.4.5 Container to Date

Description	The date of the latest record in a container upon closure of the container.
Encoding Scheme	ISO International Standard 8601 [W3CDTF] - YYYY-MM-DD
Obligation	Mandatory if Applicable

5.4.6 Disposition Action

Description	The action that will be taken on a record or file on expiry of its retention period.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4.7 Disposition Authority

Description	Legal authority issued by the City of Toronto that approves the transfer, archival and/or destruction of a record or file.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4.8 Agent Individual Name

Description	The name of an individual who performed an action on a record or file at the time the action was taken.
Encoding Scheme	Enumerated entity values must be assigned from Lightweight Directory Access Protocol (LDAP) and/or Municipal-specific schemes for individual's name, unit name, position title (e.g. SAP, directories, etc.)
Obligation	Optional

5.4.9 Agent Individual Identifier

Description	A unique indicator that identifies the individual who performed an action on a record or file at the time the action was taken.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4.10 Agent Institution Name

Description	Official name of the division of the individual who performed an action on a record or file at the time the action was taken.
Encoding Scheme	Title of City Division – Organizational Chart
Obligation	Mandatory

5.4.11 Agent Institutional Entity

Description	The formal name of the work group, unit of work, business unit, etc. of the individual who performed an action on a record or file at the time the action was taken.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.4.12 Agent Position Title

Description	The position held by the individual who performed an action on a record or file at the time the action was taken.
Encoding Scheme	Enumerated entity values must be assigned from Lightweight Directory Access Protocol (LDAP) and/or Municipal-specific schemes for individual's name, unit name, position title (e.g. SAP, directories, etc.)
Obligation	Optional

5.4.13 Agent Role

Description	A category that identifies the job function or responsibility of a particular individual at the time an action was taken on a record or file.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

5.4.14 Event Date/Time

Description	The date and time of the action taken on a record or file.
Encoding Scheme	YYYY-MM-DD HH:MM:SS - ISO International Standard 8601 [W3CDTF]
Obligation	Mandatory

5.4.15 Event Description

Description	The details of the specific action taken on a record or file.
Encoding Scheme	City-specific scheme
Obligation	Optional

5.4.16 Event Type

Description	An action taken on a record or file during its life cycle.
Encoding Scheme	City-specific scheme
Obligation	Mandatory

6 Standard Review and Approval

- CIMS, I&T, and stakeholders will review this standard yearly.
- Approval follows the process in effect at the time of review.

7 References

The standard draws upon the research, guidelines, standards, efforts and publications of the following organizations:

- Dublin Core Metadata Initiative
- Government of Canada Records Management Metadata Standard
- Government of Canada Records Management Application Profile
- Government of Alberta - Metadata Resources Guide

- Minnesota – Recordkeeping Metadata Standard
- National Archives of Australia - Recordkeeping Metadata Standard
- The New Zealand Government Locator Service
- United Kingdom – National Archives Records Management Metadata Standard
- Association of Records Managers and Administrators (ARMA)
- ISO 15489-1 Information and Documentation – Records Management - ISO Technical Report 15489-2, s. 4.3.8
- ISO 23081-1 Information and Documentation – Records Management Processes – Metadata for Records
- What is Metadata, its Value and its Role in Records Management – Denese Bruno

8 Related Documents

- Information and Technology Descriptive Metadata Standard (2004)

9 Glossary

- **Agent:** Individual, workgroup or organization responsible for or involved in record creation, capture and/or records management processes.
(Source: ISO 23081-1:2006(E) Information and Documentation – Records Management Processes – Metadata for Records)
- **Aggregation:** The level at which the record(s) is/are being described and controlled. The level of aggregation of the unit of description.
(Source: <http://www.mnhs.org/preserve/records/metaagglevel.html>)
- **Dublin Core:** The Dublin Core Metadata Initiative is a global open forum engaged in the development of metadata standards that support a broad range of purposes and business models. (Source: Dublin Core, <http://dublincore.org/>)
- **Element:** Formally defined terms which are used to describe properties of a record or file.
(Source: Based on Dublin Core Metadata Initiative, *DCMI Glossary*, <http://www.dublincore.org/documents/usageguide/glossary.shtml>)
- **Encoding Scheme:** A set of specific definitions that describe the philosophy used to represent character data. Examples of specifications in such a definition are: the number of bits, the number of bytes, the allowable ranges of bytes, maximum number of characters, and meanings assigned to some generic and specific bit patterns.
(Source: <http://www.ibm.com/developerworks/library/glossaries/unicode.html>)
- **Entity** - A person, place, thing, concept or even about which an organization collects information.
(Source: it.csumb.edu/departments/data/glossary.html)
- **File:** In the analog environment, a collection of related records grouped together usually in reverse chronological order. In the digital environment, a named set of records stored or processed as a unit electronically.

(Source: Based on ARMA, *Glossary of Records and Information Management Terms*, 3rd Edition, 2007, http://insideto.toronto.ca/records_archives/pdf/glossary-rim.pdf)

- **Function** - A group of related activities and/or projects for which an organizational unit is responsible. This is also the principal purpose a program is intended to serve.
(Source: www.ojp.usdoj.gov/BJA/evaluation/glossary/glossary_f.htm)
- **ISO**: International Organization for Standards. (Source: <http://www.iso.org/iso/home.htm>)
- **Life cycle (of a record)**: The distinct phases of a record's existence, from creation to final disposition.
(Source: *ARMA Glossary of RIM Terms – 3rd Edition* - <http://www.arma.org/standards/glossary/index.cfm?index=76>)
- **Lightweight Directory Access Protocol (LDAP)**: allows the City to access employee lists such as the address book in GroupWise to populate an access control list in an application such as Livelink.
- **Metadata**: “data describing context, content and structure of records and their management of through time” (Source: ISO International Standard 15489-1:2001 (E))
- **Properties**: A property is a specific aspect, characteristic, attribute, or relation used to describe a resource. (Source: <http://dublincore.org/documents/2003/04/02/dc-xml-guidelines/>)
- **Record**: Constitute all documented information, regardless of media format, that provide verifiable evidence of the City of Toronto functions. (Source: http://insideto.toronto.ca/records_archives/glossary.htm)
- **Records Management**: Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
(Source: ISO International Standard 15489-1:2001 (E))
- **Resource**: A resource is anything that has identity. Familiar examples include electronic documents, an image, a service and a collection of other resources. Not all resources are network “retrievable”; i.e. human beings, corporations, and bound books in a library can also be considered resources.
(Source: <http://dublincore.org/documents/usageguide/glossary.shtml#R>)
- **Steward**:
 1. Stewards are accountable based on the actions that they take against the data. Robert S. Seiner (<http://www.tdan.com/view-articles/4840/>)
 2. A data steward is a person or organization delegated the responsibility for managing a specific set of data resources.
(Source: <http://stats.oecd.org/glossary/detail.asp?ID=543>)

3. In an organizational context, stewardship refers to management's responsibility to properly utilize and develop its resources, including its people, its property and its financial assets. (Source: <http://www.wikipedia.org/>)
- **Transitory Record:** are records of temporary usefulness that do not need to be kept once immediate usage has expired. Transitory records may include convenience duplicate record copies for personal reference and records that have no bearing on the City's functions, activities, and transactions. (Source: http://insideto.toronto.ca/records_archives/glossary.htm)
 - **Vital Record:** are records that are essential to the City's functions and ongoing business operations and that are impossible and/or expensive to replace, such as accounts receivable records. Vital records are irreplaceable because they give evidence of the City's legal status, financial status, and/or basic operations. (Source: http://insideto.toronto.ca/records_archives/glossary.htm)