



ISO/TC 46/SC 11
Archives/records management

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Background: Dear TC 46 / SC 11 Members
As per the agreed action from the Lisbon 2018 meeting, this project to revise ISO 30300 is now proceeding to a second CD ballot for 6 weeks.
Kind regards
Saim Riaz

Committee URL: <https://isotc.iso.org/livelink/livelink/open/tc46sc11>

Information and documentation - Records Management - Core concepts and vocabulary

CD stage

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A model manuscript of a draft International Standard (known as "The Rice Model") is available at https://www.iso.org/iso/model_document-rice_model.pdf

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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).

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For an explanation on 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 Technical Committee ISO/TC 46, Information and documentation, Subcommittee SC 11, Archives/records management.

This second edition cancels and replaces ISO 30300:2011, which has been technically revised. Its scope has been broadened beyond the series of standards on Management Systems for Records as it contains the definitions corresponding to the core concepts stated in all the updated products of ISO/TC 46/SC 11.

Introduction

0.1 General

A vocabulary is a “terminological dictionary which contains designations and definitions from one or more specific subject fields” (ISO 1087-1:2000, 3.7.2). This document defines core concepts and basic terms to provide a common understanding of the records management domain within the ISO/TC 46/SC 11 standards.

Clear, consistent and coherent standards need clear, consistent and coherent terminology. This standard follows rules and guidelines provided by *ISO/TC 37- Language and terminology* to build terminology standards.

Terms and definitions in this International Standard have been developed within a concept system. A concept is a unit of knowledge created by a unique combination of characteristics. Concepts are arranged in concept systems according to the relationships among them. Concept systems are graphically represented by concept diagrams. A concept in a specific domain is represented by a term. Concepts are not necessarily bound to particular languages. They are, however, influenced by the social or cultural background which often leads to different categorizations. This International Standard facilitates consistent understanding of core concepts on records management used in ISO/TC 46/SC11 products beyond languages and cultural practices by including in Annex A the core concept diagrams illustrating the relationships among concepts. The concept diagrams in Annex A are:

- An overall diagram including the relationships of the core concepts which are developed in their own diagram
- Concepts relating to organization and its management
- Concepts relating to records, understood as both evidence of business activity and information assets
- Concepts related to appraisal, as the process to identify which records need to be created and the requirements for managing them
- Concepts relating to records management and records processes for creating, capturing and managing records.
- Concepts relating to management systems for records and records systems as sets of interrelated elements to manage records
- Concepts relating records controls as instruments to be used when managing records

This International Standard is intended to provide ISO/TC 46/SC 11 standards developers with the most relevant definitions related to the concepts used in the records management domain. It is also expected that this International Standard will be used by standards users and any interested party to clearly understand records management concepts represented by consistent terms and definitions.

0.2 Background

The terms and definitions in this document are based on the concept system of ISO 30300:2011 with new concepts added from ISO 15489-1:2016 *Records management - Concepts and principles*. This International Standard is the vocabulary standard for the ISO series Management Systems for Records. Therefore, this International Standard includes all core terms and definitions for management systems from Appendix 2 of Annex SL of ISO Directives Part 1. In addition, this International Standard includes any terms and

definitions that are relevant to core concepts of the records management domain used in TC 46/SC 11 products

This International Standard is not intended as a comprehensive vocabulary of all terms used in the records management domain, not even in all ISO/TC 46/SC11 products.

0.3 How to use this standard

Any new product of ISO/TC 46/SC 11, published after this International Standard, uses this ISO 30300 as a common vocabulary. The terms and definitions in this International Standard are adopted in any revision of the existing ISO/TC 46/SC 11 products. During the limited period of coexistence before a complete revision cycle of all ISO/TC 46/SC 11 products, definitions in this International Standard are preferred when a duplication or deviation exists in another ISO/TC 46/SC11 product.

When developing a new product, additional terms and definitions may be added when necessary. New notes on existing terms may be added to serve a specific purpose or explanation.

In the future revision of this International Standard new terms and definitions included in ISO/TC 46/SC 11 products are to be considered for inclusion.

1 Scope

This document contains the terms and definitions of the concepts used in ISO/TC 46/SC 11 products related to records management.

The terms and definitions provided in this document:

- cover commonly used terms and definitions in the ISO/TC 46/SC 11 products related to records management
- do not limit the ISO/TC 46/SC 11 products in defining new terms for use.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

3.1 Terms relating to organization

3.1.1

accountability

state of being answerable for decisions and activities to the interested parties of an organization.

[SOURCE: ISO 37100:2016, 3.1.5]

3.1.2

activity

major task performed by a business entity as part of a function

[SOURCE: ISO 15489-1:2016, 3.2]

3.1.3

agent

individual, workgroup or organization responsible for, or involved in the creation, capture and/or managing of records

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

[SOURCE: ISO 15489-1:2016, 3.3]

3.1.4

audit

systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it also can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the organization itself, or by an external party on its behalf.

Note 3 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.17]

3.1.5

competence

ability to apply knowledge and skills to achieve intended results

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.10]

3.1.6

compliance

meeting requirements and mandates of the organization

[SOURCE: Adapted from ISO 19600:2014 3.17]

3.1.7

conformity

fulfilment of a requirement

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.18]

3.1.8

continual improvement

recurring activity to enhance performance

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.21]

3.1.9

continuity

capability of the organization to continue delivery of products or services at acceptable predefined levels

[SOURCE: Adapted from ISO 41011:2017, 3.7.17]

3.1.10

corrective action

action to eliminate the cause of a nonconformity and to prevent recurrence

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.20]

3.1.11

effectiveness

extent to which planned activities are realized and planned results achieved

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.6]

3.1.12

function

group of activities aimed at achieving the strategic goals of a business entity

[SOURCE: ISO 15489-1:2016, 3.11]

3.1.13

interested party (preferred term)

stakeholder (admitted term)

person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.2]

3.1.14

mandate

legal, regulatory or business rule governing the management of records

[SOURCE: Adapted from ISO 23081-2]

3.1.15

measurement

process to determine a value

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.16]

3.1.16

monitoring

determining the status of a system, a process or an activity

Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.15]

3.1.17

nonconformity

non-fulfilment of a requirement

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.19]

3.1.18

objective

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process).

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as a records objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of management systems for record, records objectives are set by the organization, consistent with the records policy, to achieve specific results.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.8]

3.1.19

organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to sole trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.1]

3.1.20

outsource (verb)

make an arrangement where an external organization performs part of an organization's function or process

Note 1 to entry: An external organization is outside the scope of the management system, although the outsourced function or process is within the scope.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.14]

3.1.21

performance

measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, processes, products (including services), systems or organizations.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.13]

3.1.22

policy

intentions and direction of an organization, as formally expressed by its top management

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.7]

3.1.23

process

set of interrelated or interacting activities which transforms inputs into outputs

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.12]

3.1.24

records policy

overall intentions and direction of an organization in relation to records, formally expressed

Note 1 to entry: A records policy in the implementation of a Management Systems for Records is a unique declaration of intention normally in a short statement

Note 2 to entry: Records policy can be used in plural to designate documents covering technical aspects, set of rules and principles for the creation, capture and management of records.

[SOURCE: Adapted from ISO 5127:2017, 3.6.5.01]

3.1.25

requirement

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in documented information.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.3]

3.1.26

risk

effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.9]

3.1.27

top management

person or group of people who directs and controls an organization at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the management system covers only part of an organization, then top management refers to those who direct and control that part of the organization.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.5]

3.1.28

third party

person or body that is recognized as being independent of the parties involved, as concerns the issue in question

[SOURCE:ISO 17068:2017 3.17]

3.1.29

transaction

smallest unit of a work process consisting of an exchange between two or more participants or systems

[SOURCE: ISO 15489-1:2016, 3.18]

3.2 Terms relating to records

3.2.1

asset

item, thing or entity that has potential or actual value

Note 1 to entry: Examples of assets include information, software, computers, services, people, competences, skills, experience, reputation and image Note 2 to entry: Through time, the asset may have a different value to the organization

[SOURCE: ISO 50007:2017(en), 3.2]

3.2.2

authenticity

quality or condition of being authentic, trustworthy, or genuine

Note 1 to entry: the quality of a record or data that

- a) is what it purports to be,
- b) has been created or sent by the agent purported to have created or sent it, and
- c) has been created or sent when purported.

Note 2 to entry: Business rules, processes, policies and procedures which control the creation, capture and management of records should be implemented and documented to ensure the authenticity of records.

[SOURCE: ISO/IEC 20248:2018, 3.1]

3.2.3

authoritative records

records which possess the characteristics of authenticity, reliability, integrity and usability

[SOURCE: ISO 15489-1: 2016, 5.2.2]”

3.2.4

data

reinterpretable representation of information in a formalized manner suitable for communication, interpretation, or processing

[SOURCE: ISO 5127:2017, 3.1.1.15]

3.2.5

documented information

information required to be controlled and maintained by an organization and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information refers to the information required to be controlled and maintained by the organization when implementing a management system. It can refer to:

- the management system, including related processes;
- information created in order for the organization to operate;
- evidence of results achieved

Note 3 to entry: Documented information of a management system is part of the records to be created and managed by an organization

3.2.6

evidence

documentation of a transaction

Note 1 to entry: This is proof of a business transaction which can be shown to have been created in the normal course of business activity and which is inviolate and complete. It is not limited to the legal sense of the term.

[SOURCE: ISO 15489-1:2016, 3.10]

3.2.7

information

data that are processed, organized and correlated to produce meaning

Note 1 to entry: Information concerns facts, concepts, objects, events, ideas, processes, etc.

[SOURCE: ISO 5127:2017, 3.1.16]

3.2.8

integrity

quality of being complete and unaltered [SOURCE: ISO 15489-1:2016, 5.2.2.3]

3.2.9

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 15489:2016 3.12]

3.2.10

record(s)

information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business

[SOURCE: ISO 15489-1:2016, 3.14]

Note 1 to entry: Traditionally, a record is a document made or received in the course of activities as an instrument and by product of such activity, and kept by the creator for further action, reference, or legal obligation.

Note 2 to entry: In some countries, records selected for permanent preservation in an archival repository are called archives.

Note 3 to entry: In a management system standard implementation records produced to conduct and direct the management system and to document its implementation are called documented information

3.2.11

reliability

property of consistent intended behavior and results

[SOURCE: ISO/IEC 27000:2018 ,3.55]

Note 1 to entry: Reliability of records includes measure of the completeness and accuracy of the representation of transactions and activities, or of the facts to which they attest

Note 2 to entry: The trustworthiness of a record as a statement of fact or act. A record is reliable when a record can stand for the fact it is about, and is established by examining the completeness of the record's form and the amount of control exercised on the process of its creation

3.2.12

usability

property of being able to be located, retrieved, presented and understood

Note 1 to entry: Usability may also refer to the extent to which a system, product, or service can be used by specified users to achieve specified goals with effectiveness, efficiency, and satisfaction in a specified context of use.

[SOURCE: Adapted from ISO 25066:2016, 3.16]

3.3 Terms relating to appraisal

3.3.1

appraisal

evaluation of business activities to determine which records need to be created and captured, and how, and how long, the records need to be kept

Note 1 to entry: In some records and archives management traditions, appraisal is solely used as an instrument to identify retention requirements, to create a disposition authority or to identify records which have potential to form part of the archival heritage. The concept of appraisal as defined here is meant to be used in a broader way.

[SOURCE: Adapted from ISO/TR 21946; 2018 Introduction]

3.3.2

document (verb)

substantiate, annotate, identify information for later retrieval or reuse over time

3.3.3

provenance

set of relationships between data/records/information and the organization or individual that created, accumulated and/or maintained and used them in the conduct of personal or corporate activity

Note 1 to entry: It includes the relationship between data /records/information and the functions which generated them

[SOURCE: Adapted from ISO 5127:2017, 3.6.2.1.09]

3.3.4

records requirement

requirement for evidence of business function, activity or task based on appraisal

3.3.5

risk management

coordinated activities to direct and control an organization with regard to risk

[SOURCE: ISO Guide 73:2009, 2.1]

3.3.6

security

protection of records from unauthorized access, use, disclosure, modification or destruction

3.4 Terms relating to records management and records processes

3.4.1

access

right, opportunity, means of finding, using or retrieving information

[SOURCE: ISO15489-1:2016, 3.1]

3.4.2

capture

deliberate action that results in recording, saving or registration of a record into a records system

[SOURCE: Adapted from ISO/TS 22220:2011, 3.1]

3.4.3

classification

systematic identification and/or arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules

[SOURCE: ISO 15489-1:2016, 3.5]

3.4.4

conversion

process of changing records from one format to another

[SOURCE: ISO 15489-1:2016, 3.6]

3.4.5

description

capturing, collating, analyzing, and organizing information that identifies, manages, locates, and interprets archival materials and their context

[SOURCE: Adapted from ISO 5127:2017, 3.7.2.07]

3.4.6

destruction

process of eliminating or deleting a record, beyond any possible reconstruction

[SOURCE: ISO 15489-1:2016, 3.7]

3.4.7

disposition

range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments

[SOURCE: ISO 15489-1:2016, 3.8]

3.4.8

indexing

process of creating an index as a retrieval instrument

Note 1 to entry: the process includes the intellectual analysis and allocation of the corresponding index terms

Note 2 to entry: The term "subject indexing" is often used for this concept.

Note 3 to entry: Indexing can be carried out by human users or by automated agents.

[SOURCE: Adapted from ISO 5127: 2017, 3.8.2.01]

3.4.9

migration

process of moving records from one hardware or software configuration to another without changing the format

[SOURCE: ISO 15489-1:2016, 3.13]

3.4.10

preservation

all measures taken to maintain the usability, authenticity, reliability and integrity of records over time.

Note 1 to entry: Measures Include principles, policies, rules, strategies, processes and operations

3.4.11

records management (preferred term)

recordkeeping (admitted term)

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 15489-1:2016, 3.15]

3.4.12

records processes

set of activities for creating, capturing and managing authoritative records

3.4.13

retention

keeping a record according to prescribed conditions

3.4.14

transfer

moving of the custody of records from one person or organization to another, which may or may not involve change of location, control or legal ownership

3.5 Terms relating to records controls

3.5.1

access and permission rules

rules identifying rights and restrictions of access and permissions applicable to records and records systems

3.5.2

business classification scheme

tool for linking records to the context of their creation.

[SOURCE: ISO 15489-1:2016, 3.4]

3.5.3

description standard

conventions, guidelines and rules about the sources, structure, semantic and syntax of the information representing the description of archival materials

3.5.4

disposition authority

instrument that defines the disposition actions that are authorized for specified records

[SOURCE: ISO 15489-1:2016, 3.9]

3.5.5

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

[SOURCE: ISO 23081-1:2017, 3.10]

3.5.6

records control

Instrument developed for helping in the conduct of records processes

Note 1 to entry: Examples of records controls include metadata schemas for records, classification schemes, access and permission rules, and disposition authorities

[SOURCE: Adapted from ISO 15469-1:2016, 8]

3.6 Terms relating to systems and records systems

3.6.1

information system

system that processes, provides and distribute information together with associated organizational resources

[SOURCE: Adapted from ISO/IEC 20944-1:2013, 3.6.1.9]

3.6.2

management system

set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning, operation, etc.

Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

[SOURCE: Appendix 2 of Annex SL of ISO Directives Part 1, 3.4]

3.6.3

management system for records

management system to direct and control records

3.6.4

records system

information system which captures, manages and provides access to records over time

Note 1 to entry: A records system can consist of technical elements such as software, which may be designed specifically for managing records or for some other business purpose, and non-technical elements including policy, procedures, people and other agents, and assigned responsibilities.

[SOURCE: ISO 15489-1:2016, 3.16]

3.6.5

system

set of interrelated or interacting elements

[SOURCE: ISO 9000:2015, definition 3.5.1]

Annex A Concept diagrams

(Informative)

A.1 General

Concepts are not independent of one another. An analysis of the relationships among concepts within the field of records management and their arrangement into a concept system is a prerequisite of a coherent vocabulary.

Such an analysis was carried out in the development of the vocabulary defined in this International Standard. Since the concept diagrams used during the development process might be helpful for a better understanding of the vocabulary relationships, they are provided in this Annex.

A.2 Concept relationships and their graphical representation

There are three forms of concept relationships used in this Annex::

a) Associative (with arrow). Associative relations are non-hierarchical. An associative relation exists when a thematic connection can be established between concepts by virtue of experience (ISO 704:2009, 5.5.3).

b) Partitive (without arrow). Partitive relations are hierarchical. A partitive relation is said to exist when the superordinate concept represents a whole, while the subordinate concepts represent parts of that whole. The parts come together to form the whole (ISO 704:2009, 5.5.2.3.1)

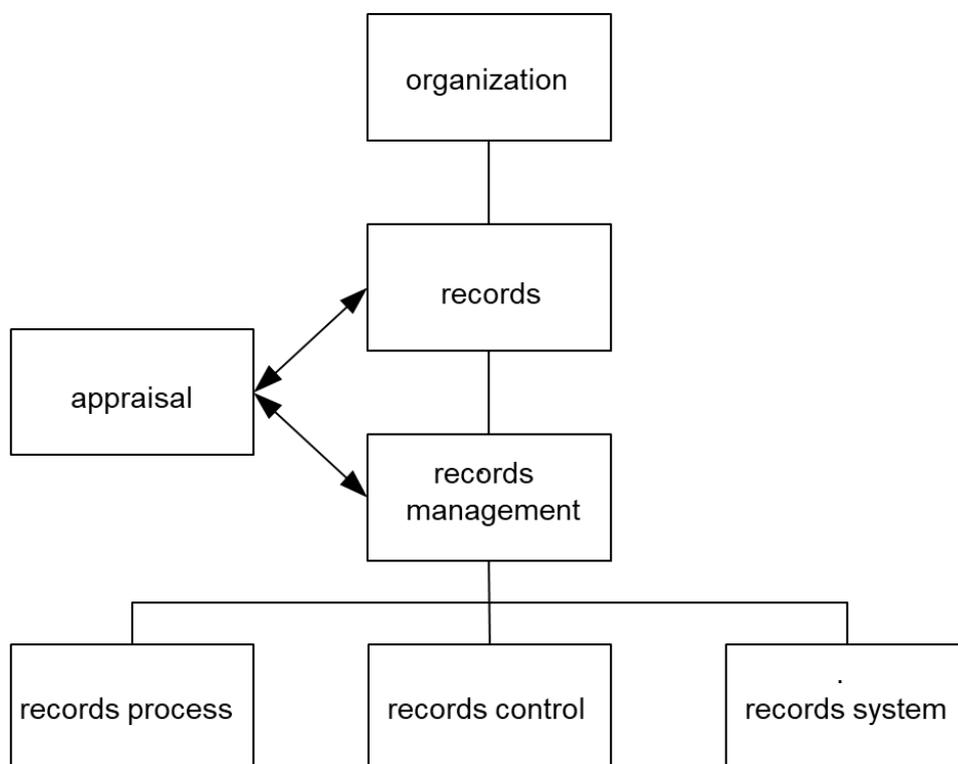
c) Generic (without arrow). Generic relations are hierarchical. A generic relation exists between two concepts when the intension of the subordinate concept includes the intension of the superordinate concept plus at least one additional delimiting characteristic (ISO 704:2009, 5.5.2.2.1)

A.3 Concept diagrams

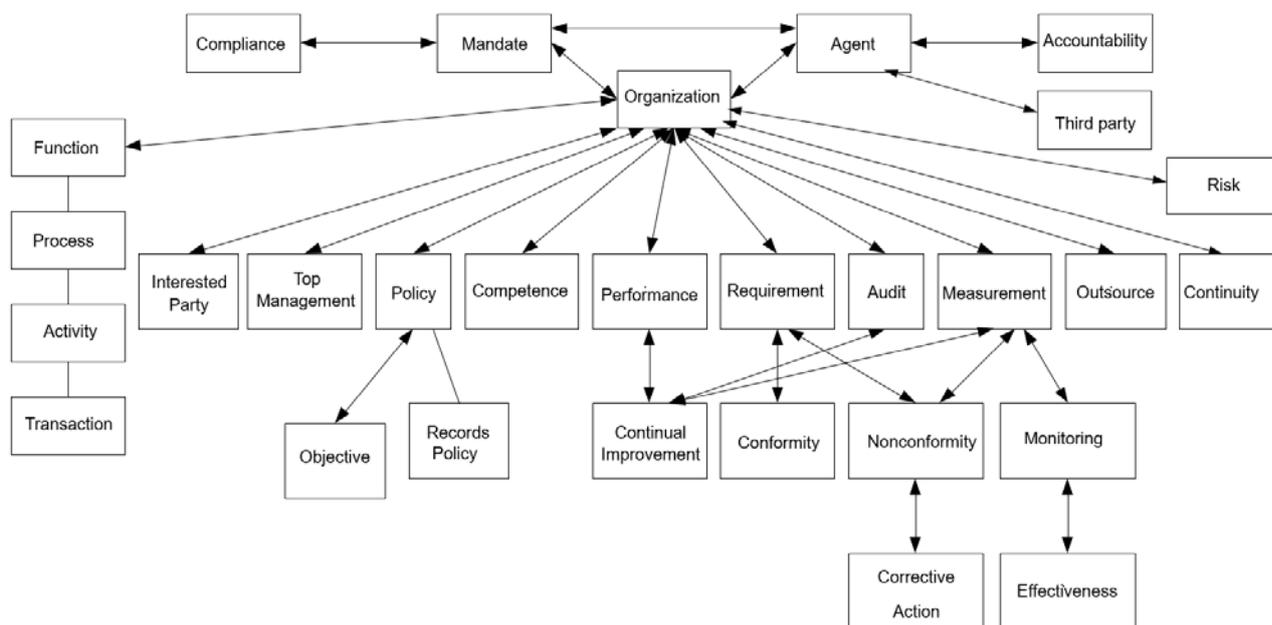
Figures show the concept diagrams on which the thematic groupings of core concepts are developed and where the term and vocabulary are associated with records management settings and frameworks. The first figure is the overarching diagram showing relationships among the main concepts. The other figures show the concept diagrams of the main concepts.

The concepts diagrams are presented without any definitions or notes associated to the terms. Refer to Clause 3 for the definitions and further information on the concepts..

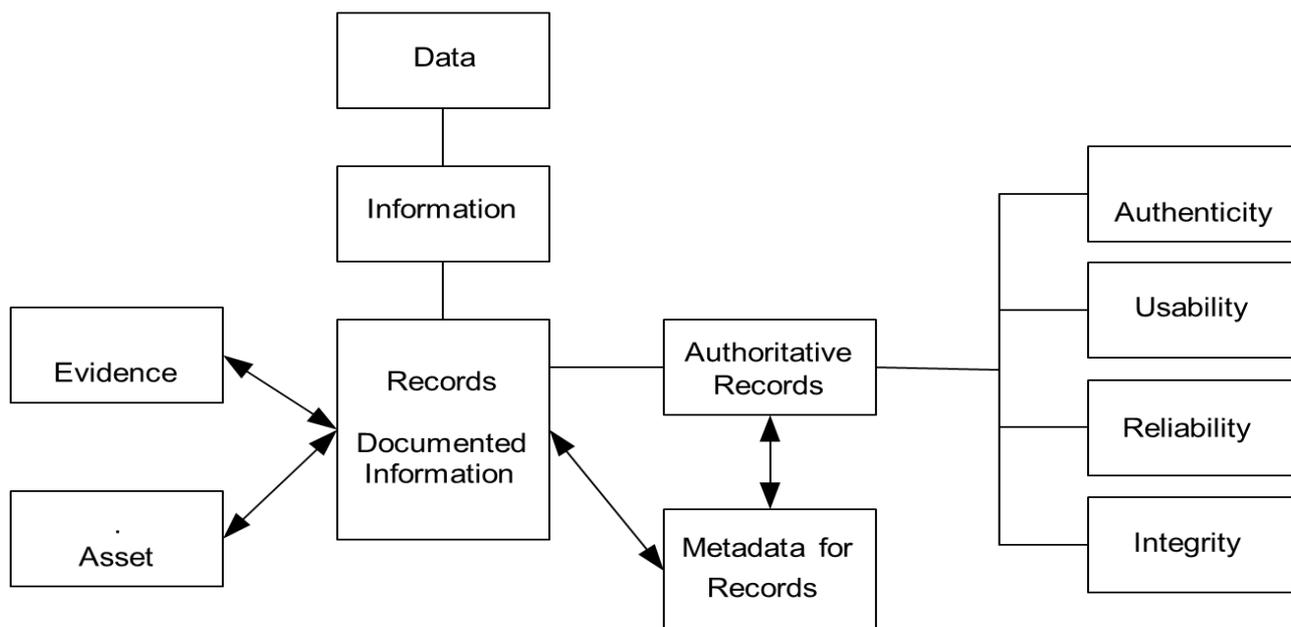
A.3.1 Core concepts diagram



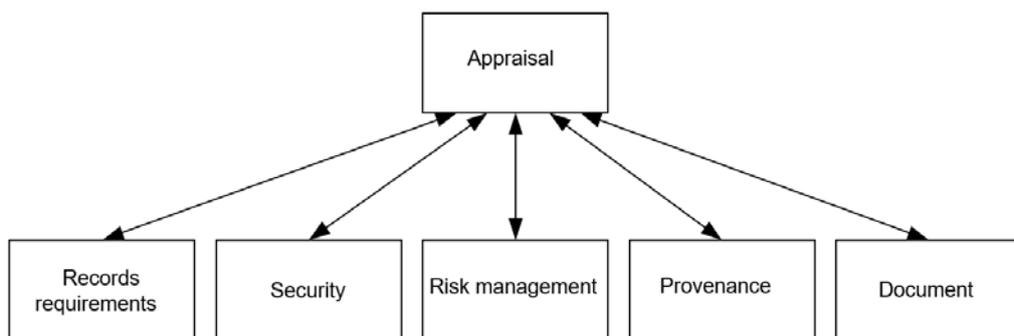
A.3.2 Concepts relating to organization and its management



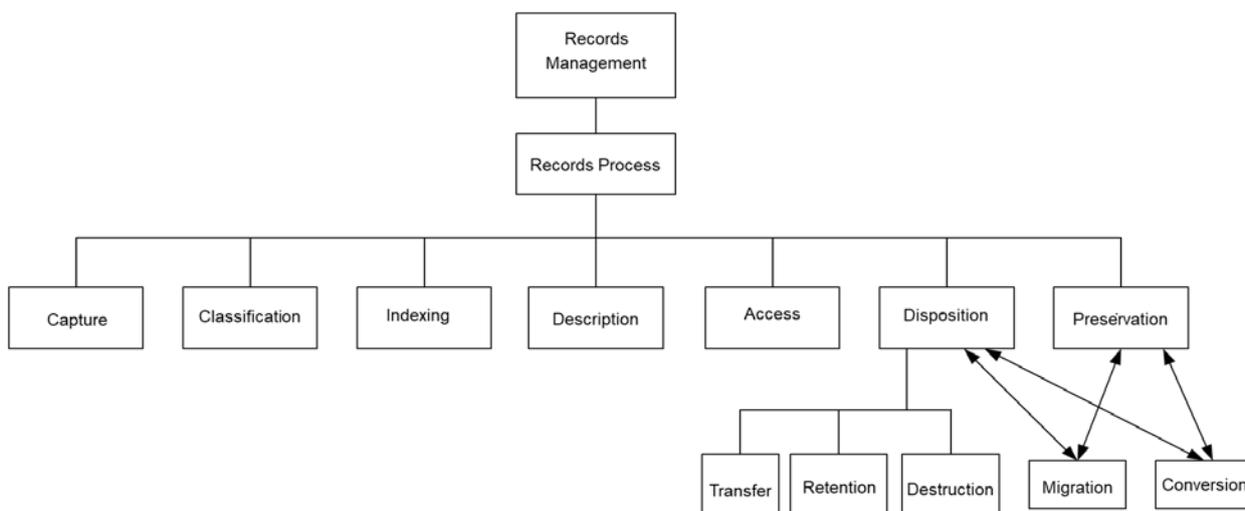
A.3.3 Concepts relating to records



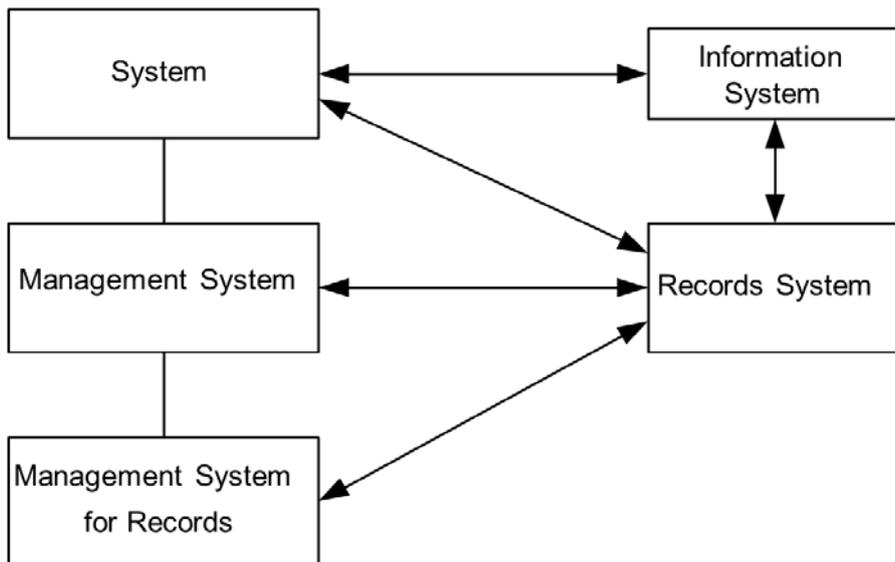
A.3.4 Concepts relating to appraisal



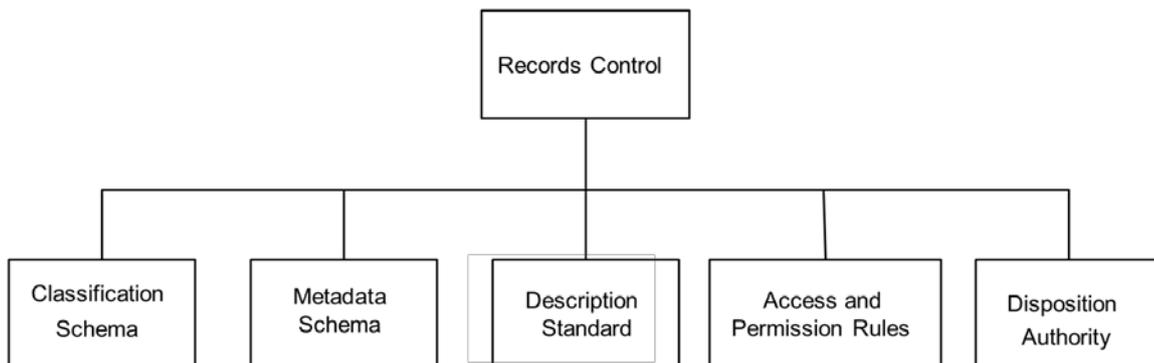
A.3.5 Concepts relating records managements and processes



A.3.6 Concepts relating systems and records systems



A.3.7 Concepts relating records control



Bibliography

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