



# InterPARES 2 Project

International Research on Permanent Authentic Records in Electronic Systems

*International Research on Permanent Authentic  
Records in Electronic Systems (InterPARES) 2:  
Experiential, Interactive and Dynamic Records*

## APPENDIX 17

**Metadata Schema Analysis Questions**

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## Metadata Schema Analysis Questions

QID	Question	IP	ISO	CV Type	Controlled Vocab
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### General Schema Information

100	Is the schema intended for recordkeeping purposes?			Single CV Select (without Element List)	Yes#No
101	Whether or not the schema is intended for recordkeeping purposes, indicate which recordkeeping entities can be described. Select all that apply.			Multiple CV Select (without Element List)	Agents#Business Processes#Mandates#Records#Records Management Processes#Relationships#
102	Are the elements of the schema categorized according to a particular scheme?			Single CV Select (without Element List) Open End	Yes#No
102	If the elements in the schema are categorized according to a particular scheme, indicate the categories used to classify the elements.				
103	In general, which of the following views of records management metadata can the schema address? Select all that apply.			Multiple CV Select (without Element List)	Business Perspective#Records Management Perspective#Use Perspective#
104	Schemas may be classified as single object schemas or multiple object schemas. What is the schema type of the schema?			Single CV Select (without Element List)	Single Object Schema#Multiple Object Schema

### Record Metadata Questions

200	IDENTIFICATION OF RECORD AGGREGATION LEVELS			Dummy	
201	How does the schema describe a record object?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
202	How does the schema describe record aggregations?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
203	How does the schema describe recordkeeping systems or corporate archives?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
204	How does the schema describe collective archives?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable



223	Does the schema contain elements that directly identify the language of a record? If so, indicate the applicable element(s).	A1.a.iv	9.2.3.1 e;9.6.1 h	Single CV Select with Element List	Yes#No
224	Does the schema contain elements that directly identify record indexing? If so, indicate the applicable element(s).	A1.a.iv	9.2.3.1 e;9.6.1 h	Single CV Select with Element List	Yes#No
225	RECORD SECURITY			Dummy	
226	Does the schema contain elements that directly identify record and record aggregation access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 a	Single CV Select with Element List	Yes#No
227	Does the schema contain elements that directly identify business process access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 a	Single CV Select with Element List	Yes#No
228	Does the schema contain elements that directly identify agent access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 a	Single CV Select with Element List	Yes#No
229	Does the schema contain elements that directly identify time limitations on record access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 c	Single CV Select with Element List	Yes#No
230	Does the schema contain elements that directly identify time limitations on business process access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 c	Single CV Select with Element List	Yes#No
231	Does the schema contain elements that directly identify time limitations on agent access restrictions? If so, indicate the applicable element(s).	B1.b	9.2.4.1 c;9.6.1 e	Single CV Select with Element List	Yes#No
232	RELATIONSHIPS TO THE RECORD			Dummy	
233	Does the schema document the relationship between the record and the business transaction or activity that generated it? If so, indicate the applicable element(s).		9.2.1 l	Single CV Select with Element List	Yes#No
234	TBD Does the schema capture the relationships between the data and the format element(s) comprising the record? If so, indicate the applicable element(s).		9.2.1 g	Single CV Select with Element List	Yes#No

**Agent Metadata Questions**

300	IDENTIFICATION OF AGENT GROUPS			Dummy	Element Set#Element(s)#Other#Not Applicable
301	How does the schema identify a person or actor?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
302	How does the schema identify organizational unit and/or work group?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
303	How does the schema identify organizations or corporate bodies?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable

304	How does the schema identify social institutions?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
305	GENERAL AGENT METADATA			Dummy	
306	Does the schema contain elements that directly identify a creator of records? If so, indicate the applicable element(s).	A1.a.i	9.4.1 a;9.2.1 b	Single CV Select with Element List	Yes#No
307	Does the schema contain elements that directly identify agents involved in records management processes? If so, indicate the applicable element(s).	A1.a.i	9.4.1 b	Single CV Select with Element List	Yes#No
308	Does the schema contain elements that directly identify agents involved in records transactions (addressees, originators, etc.)? If so, indicate the applicable element(s).	A1.a.i	9.5.1 c	Single CV Select with Element List	Yes#No
309	AGENT SECURITY			Dummy	
310	Does the schema contain elements that directly identify agent authorizations for records management processes? If so, indicate the applicable element(s).	A2 B1.b; B2.a	9.4.1 b	Single CV Select with Element List	Yes#No
311	Does the schema contain elements that directly identify access privileges for authorized agents to create, use, modify, destroy, etc. records? If so, indicate the applicable element(s).	B1.b	9.4.1 c;9.6.1 d	Single CV Select with Element List	Yes#No

**Business Process Metadata Questions**

400	IDENTIFICATION OF BUSINESS PROCESS CATEGORIZATIONS			Dummy	
401	How does the schema identify business transactions?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
402	How does the schema identify business activities?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
403	How does the schema identify business functions?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
404	How does the schema identify ambient functions?			Multiple CV Select (without Element List)	Element Set#Element(s)#Other#Not Applicable
405	GENERAL BUSINESS PROCESS METADATA			Dummy	
406	Does the schema contain elements that directly identify business processes? If so, indicate the applicable element(s).		9.5.2 a	Single CV Select with Element List	Yes#No
407	Does the schema contain elements that directly identify the security and access rules for business processes and transactions? If so, indicate the applicable element(s).	B1.b	9.5.1 d	Single CV Select with Element List	Yes#No

408	Does the schema contain elements that directly identify business process classification schemes? If so, indicate the applicable element(s).	9.2.3.1 f; 9.5.1 f; 9.6.1 g	Single CV Select with Element List	Yes#No
409	Does the schema contain elements that directly identify the date of a transaction? If so, indicate the applicable element(s).	A1.a.iii 9.5.1 h	Single CV Select with Element List	Yes#No
410	Does the schema contain elements that directly identify the time of a transaction? If so, indicate the applicable element(s).	A1.a.iii 9.5.1 h	Single CV Select with Element List	Yes#No
411	RELATIONSHIPS TO BUSINESS PROCESS		Dummy	
412	TBD Does the schema document the relationship between business processes and the records? If so, indicate the applicable element(s).	9.5.1 b	Single CV Select with Element List	Yes#No
413	Does the schema document the relationship between business processes and agents? If so, indicate the applicable element(s).	9.5.1 b	Single CV Select with Element List	Yes#No

**Mandate Metadata Questions**

500	INTERNAL BUSINESS RULES & SYSTEM CONTROLS		Dummy	
501	Does the schema contain elements to identify metadata schemes or schemas used in organization business systems? If so, indicate the applicable element(s).	9.3.1 a	Single CV Select with Element List	Yes#No
503	Does the schema contain elements to identify rules or controls that regulate record creation? If so, indicate the applicable element(s).	9.3.1 b	Single CV Select with Element List	Yes#No
504	Does the schema contain elements to identify rules or controls that regulate records management? If so, indicate the applicable element(s).	B1.b 9.3.1 b	Single CV Select with Element List	Yes#No
505	Does the schema contain elements to identify rules or controls that regulate record access? If so, indicate the applicable element(s).	B1.b 9.3.1 e	Single CV Select with Element List	Yes#No
506	Does the schema contain elements to identify rules or controls that regulate the rights to records? If so, indicate the applicable element(s).	B1.b 9.3.1 e	Single CV Select with Element List	Yes#No
507	Does the schema contain elements to identify rules or controls for records management operations? If so, indicate the applicable element(s).	B1.b 9.3.1 d	Single CV Select with Element List	Yes#No
508	Does the schema contain elements to identify rules or controls for metadata creation? If so, indicate the applicable element(s).	9.3.1 c	Single CV Select with Element List	Yes#No
509	Does the schema contain elements to identify rules or controls for metadata management? If so, indicate the applicable element(s).	B1.b 9.3.1 c	Single CV Select with Element List	Yes#No
510	EXTERNAL MANDATES AND REGULATIONS		Dummy	

511	Does the schema contain elements to identify mandates or regulatory requirements for record creation? If so, indicate the applicable element(s).	9.3.1 f	Single CV Select with Element List	Yes#No
512	Does the schema contain elements to identify mandates or regulatory requirements for records management? If so, indicate the applicable element(s).	9.3.1 f	Single CV Select with Element List	Yes#No
513	Does the schema contain elements to identify mandates or regulatory requirements for record retention? If so, indicate the applicable element(s).	9.3.1 g	Single CV Select with Element List	Yes#No
514	Does the schema contain elements to identify mandates or regulatory requirements for record security? If so, indicate the applicable element(s).	9.3.1 g	Single CV Select with Element List	Yes#No
515	Does the schema contain elements to identify mandates or regulatory requirements for record destruction? If so, indicate the applicable element(s).	9.3.1 g	Single CV Select with Element List	Yes#No
516	RELATIONSHIPS TO INTERNAL AND EXTERNAL MANDATES		Dummy	
517	Does the schema document the relationship between external mandates and regulations and the records? If so, indicate the applicable element(s).	9.3.1h	Single CV Select with Element List	Yes#No
518	Does the schema document the relationship between external mandates and regulations and internal records management operations? If so, indicate the applicable element(s).	9.3.1h	Single CV Select with Element List	Yes#No

**RK Process Metadata Questions**

600	GENERAL RECORDKEEPING METADATA		Dummy	
601	Does the schema contain elements to identify retention information applied to a record? If so, indicate the applicable element(s).	B1.a 9.6.1 b	Single CV Select with Element List	Yes#No
602	Does the schema contain elements to identify disposition authority schemes? If so, indicate the applicable element(s).	9.6.1	Single CV Select with Element List	Yes#No
603	Does the schema contain elements to identify security classification schemes? If so, indicate the applicable element(s).	9.6.1	Single CV Select with Element List	Yes#No
604	Does the schema contain elements to identify a record's registration into a record system? If so, indicate the applicable element(s).	9.6.1	Single CV Select with Element List	Yes#No
605	LONG-TERM PRESERVATION		Dummy	
606	Does the schema contain elements to document conversion of records from one format or medium to another? If so, indicate the applicable element(s).	9.6.2 a;9.2.1 i;9.2.2	Single CV Select with Element List	Yes#No



607	Does the schema contain elements to document the agent responsible for record conversion? If so, indicate the applicable element(s).	B2.a	9.6.2 a;9.2.2	Single CV Select with Element List	Yes#No
608	Does the schema contain an element(s) to document the date and time of record conversion? If so, indicate the applicable element(s).	B2.a	9.6.2 a;9.2.2	Single CV Select with Element List	Yes#No
609	Does the schema contain an element(s) to document any changes created by the record conversion? If so, indicate the applicable element(s).	B2.c	9.6.2 a;9.2.2	Single CV Select with Element List	Yes#No
611	(TBD)?? Relationship between the records acquired from the creator and the copies produced by the preserver.	B2.b		Single CV Select with Element List	Yes#No
612	(TBD) Does the schema contain an element(s) to document the reason for record conversion? If so, indicate the applicable element(s).		9.6.2 a;9.2.2	Single CV Select with Element List	Yes#No
616	Does the schema contain elements to document migration of records from one hardware or software system to another? If so, indicate the applicable element(s).	B2.c		Single CV Select with Element List	Yes#No
617	Does the schema contain elements to document the agent responsible for record migration? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
618	Does the schema contain an element(s) to document the date and time of record migration? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
619	Does the schema contain an element(s) to document any changes created by the record migration? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
620	(TBD) Does the schema contain an element(s) to document the reason for record migration? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
621	Does the schema contain elements to document other procedures to counteract media fragility and technological obsolescence ? If so, indicate the applicable element(s).	A4		Single CV Select with Element List	Yes#No
624	RECORD BACKUP			Dummy	
625	Does the schema contain elements to document regular record back-ups performed on records? If so, indicate the applicable element(s).	A3		Single CV Select with Element List	Yes#No
626	Does the schema contain elements to document the agent responsible for record backups? If so, indicate the applicable element(s).	A3		Single CV Select with Element List	Yes#No
627	Does the schema contain an element(s) to document the date and time of record backup? If so, indicate the applicable element(s).	A3		Single CV Select with Element List	Yes#No
628	Does the schema contain an element(s) to document any changes created by the record backup? If so, indicate the applicable element(s).	A3		Single CV Select with Element List	Yes#No

629	(TBD) Does the schema contain an element(s) to document the reason for record backup? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
635	<b>RECORD REPRODUCTION</b>			Dummy	
636	Does the schema contain elements to identify record reproduction activities (other than backups) for a record? If so, indicate the applicable element(s).			Single CV Select with Element List	Yes#No
637	Does the schema contain an element(s) to indicate the agent responsible for record reproduction? If so, indicate the applicable element(s).	B2.a		Single CV Select with Element List	Yes#No
638	Does the schema contain an element(s) to indicate the date and time of record reproduction? If so, indicate the applicable element(s).	B2.a		Single CV Select with Element List	Yes#No
639	Does the schema contain an element(s) to document the relationship between records acquired from the creator and copies produced by the preserver? If so, indicate the applicable element(s).	B2.b		Single CV Select with Element List	Yes#No
640	Does the schema contain an element(s) to identify any changes to the record due to copy procedures? If so, indicate the applicable element(s).	B2.c		Single CV Select with Element List	Yes#No
641	Does the schema contain an element(s) to document changes and provide such information both to the preservers and users? If so, indicate the applicable element(s).	B2.d		Single CV Select with Element List	Yes#No
650	<b>RECORD AUTHENTICATION</b>			Dummy	
651	Does the schema identify authentication declarations for records or groups of records? If so, indicate the applicable element(s).	A6	9.6.1 c	Single CV Select with Element List	Yes#No
652	Does the schema identify rules under which authentication declarations are utilized? If so, indicate the applicable element(s).	A6	9.6.1 c	Single CV Select with Element List	Yes#No
653	Does the schema identify agents providing authentication declarations? If so, indicate the applicable element(s).	A6	9.6.1 c	Single CV Select with Element List	Yes#No
660	<b>RECORD TRACKING</b>			Dummy	
661	Does the schema contain elements to identify record access? If so, indicate the applicable element(s).	B1.b		Single CV Select with Element List	Yes#No
662	Does the schema contain elements to identify an agent who accessed the record? If so, indicate the applicable element(s).	B1.b		Single CV Select with Element List	Yes#No
663	Does the schema contain elements to identify the date a record was accessed? If so, indicate the applicable element(s).	B1.b		Single CV Select with Element List	Yes#No
664	Does the schema contain elements to identify the action taken on record? If so, indicate the applicable element(s).	B1.b		Single CV Select with Element List	Yes#No

665	Does the schema contain elements to identify the physical transfer of records from one location to another? If so, indicate the applicable element(s).	B1.a	Single CV Select with Element List	Yes#No
666	Does the schema contain elements to identify the agent responsible for the transfer of records from one physical location to another? If so, indicate the applicable element(s).	B1.a	Single CV Select with Element List	Yes#No
667	Does the schema contain elements to identify the date and time of record transfer? If so, indicate the applicable element(s).	B1.a	Single CV Select with Element List	Yes#No
668	Does the schema contain elements to identify the transfer location name? If so, indicate the applicable element(s).	B1.a	Single CV Select with Element List	Yes#No
670	Does the schema contain elements to identify the custodial transfer of records from one agent to another? If so, indicate the applicable element(s).	B1.a	Single CV Select with Element List	Yes#No
680	Does the schema capture changes to the classification of a record over time? If so, indicate the applicable element(s).	9.2.2	Single CV Select with Element List	Yes#No
681	AGENT TRACKING		Dummy	
682	Does the schema capture changes to personnel (including records creators, managers, users, etc.) over time?	9.2.3.2 b	Single CV Select with Element List	Yes#No
683	Does the schema capture changes to the agents' roles (including security classifications) over time? If so, indicate the applicable element(s).	9.4.2	Single CV Select with Element List	Yes#No
684	BUSINESS PROCESS TRACKING		Dummy	
685	TBD: Does the schema capture changes to records-producing business processes over time? If so, indicate the applicable element(s).	9.5.2;9.2.3.2 a;9.2.3.2 g	Single CV Select with Element List	Yes#No
686	Does the schema capture changes to business process classification schemes over time? If so, indicate the applicable element(s).	9.5.2	Single CV Select with Element List	Yes#No
687	MANDATE TRACKING		Dummy	
688	Does the schema capture changes to business rules and system controls over time? If so, indicate the applicable element(s).	9.3.2	Single CV Select with Element List	Yes#No
689	Does the schema capture changes to external mandates and regulatory requirements over time? If so, indicate the applicable element(s).	9.3.2	Single CV Select with Element List	Yes#No
690	METADATA RECORD TRACKING		Dummy	
691	Does the metadata schema contain elements to manage metadata about the metadata record? If so, indicate the applicable element(s).	8.3.9.2	Single CV Select with Element List	Yes#No
691	Indicate what metadata record information the schema describes. Select all that apply.	8.3.9.2;8.3.8	Multiple CV Select (without Element List)	Date and time of metadata creation or alteration#Date and time of metadata alteration#Agent responsible for metadata creation or alteration#Activity undertaken to metadata record#Metadata version number#Security and

				Dummy	access restrictions for metadata#
697	RELATIONSHIPS TO THE RECORDKEEPING PROCESS				
699	Does the schema document the relationship between the record, the agent and recordkeeping processes the agent performs on the record? If so, indicate the applicable element(s).	9.6.1 i		Single CV Select with Element List	Yes#No