



NATIONAL
ARCHIVES
OF AUSTRALIA

Recordkeeping
Metadata Standard
for Commonwealth
Agencies

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EXECUTIVE SUMMARY

This standard describes the metadata that the National Archives of Australia recommends should be captured in the recordkeeping systems used by Commonwealth government agencies.

Compliance with the Recordkeeping Metadata Standard for Commonwealth Agencies will help agencies to identify, authenticate, describe and manage their electronic records in a systematic and consistent way to meet business, accountability and archival requirements. The standard is designed to be used as a reference tool by agency corporate managers, IT personnel and software vendors involved in the design, selection and implementation of electronic recordkeeping and related information management systems. It defines a basic set of 20 metadata elements (eight of which constitute a core set of mandatory metadata) and 65 sub-elements that may be incorporated within such systems, and explains how they should be applied within the Commonwealth sphere.

Part One of the standard explains the purpose and importance of standardised recordkeeping metadata and details the scope, intended application and features of the standard. Features include: flexibility of application; repeatability of data elements; extensibility to allow for the management of agency-specific recordkeeping requirements; interoperability across systems environments; compatibility with related metadata standards, including the Australian Government Locator Service (AGLS) standard; and interdependency of metadata at the sub-element level.

Part Two of the standard provides full details on the 20 elements and 65 sub-elements, defining them in relation to their purpose and rationale. For each element and sub-element the standard provides an indication of applicability, obligation, conditions of use, assigned values and approved schemes. Where useful, elements and sub-elements are illustrated with examples.

Appended to the standard are tables of element and sub-element inter-relationships and interdependencies, and a Change Request Form for use by agencies and vendors wishing to request changes or additions to the standard.

PART ONE

1. INTRODUCTION

This standard describes the metadata that the National Archives of Australia recommends should be captured in the recordkeeping systems used by Commonwealth government agencies.

Compliance with the Recordkeeping Metadata Standard for Commonwealth Agencies will help agencies to identify, authenticate, describe and manage their electronic records in a systematic and consistent way to meet business, accountability and archival requirements. In this respect the metadata is an electronic recordkeeping aid, similar to the descriptive information captured in file registers, file covers, movement cards, indexes and other registry tools used in the paper-based environment to apply intellectual and physical controls to records.

The standard is designed to be used as a reference tool by agency corporate managers, IT personnel and software vendors involved in the design, selection and implementation of electronic recordkeeping and related information management systems. It defines a basic set of 20 metadata elements (eight of which constitute a core set of mandatory metadata) and 65 sub-elements that may be incorporated within such systems, and explains how they should be applied within the Commonwealth sphere.

While the standard is designed primarily for electronic recordkeeping systems, many of its concepts are also applicable to traditional paper-based or hybrid recordkeeping environments. It should be regarded as a basic foundation which agencies can build upon in order to satisfy any additional specialised recordkeeping requirements they may have.

2. BACKGROUND

There are a number of forces within the Commonwealth Government and the broader information environment that make standard-setting for electronic recordkeeping not just desirable, but essential. They include:

- requirements for agencies to implement recordkeeping systems approved as part of the Government's Shared Systems Suite;
- broad policy directions for government business to be conducted online;
- initiatives such as the Australian Government Locator Service (AGLS) to facilitate the discovery and retrieval of government information online;
- the release of the Australian Standard on Records Management (AS 4390) as a code of best practice; and
- the National Archives' announcement in December 1998 of a new recordkeeping regime for Commonwealth agencies, consistent with AS 4390.

The Australian Standard on Records Management provides advice on how to design and implement recordkeeping systems that will capture and manage the content and context of transactions. The standard recommends that records be registered in a recordkeeping system and linked to descriptive information about their context

(AS 4390.4, section 6.2.2). Such descriptive information is now referred to by recordkeeping professionals as ‘metadata’.

The term ‘metadata’ originally emerged in the IT community, but the concept has been employed by information professionals for some years to describe information that is used to facilitate intellectual control of, and structured access to, information resources in library collections, file registries and archival holdings. Traditional records management tools such as file registers, file covers, movement cards, thesauri and indexes all provide metadata about records. Such tools help records managers control and manage records, and provide important contextual information about who used records, how and when. Traditionally, archivists provided additional metadata by creating indexes, file lists and other finding aids that helped researchers to locate and understand records once they were transferred from the organisational environment in which they were created to archival custody.

This recordkeeping metadata standard is one of a number of products being developed by the National Archives to help agencies respond to changes in the recordkeeping environment.

3. PURPOSE AND IMPORTANCE OF STANDARDISED RECORDKEEPING METADATA

This standard sets out the type of information that agencies should capture in a structured way to describe the identity, authenticity, content, structure, context and essential management requirements of records. Such descriptive information will enable reliable, meaningful and accessible records to be carried forward through time to satisfy business needs, evidential requirements and broader community expectations.

Commonwealth agencies are required to carry out their business in an accountable, equitable and efficient manner. Good recordkeeping is an essential requirement for efficient government administration and democratic accountability. It is the basis for establishing and maintaining documentary evidence of government activities and helps agencies manage and preserve corporate memory for short- and long-term purposes.

Government online access initiatives and the emergence of electronic commerce provide added impetus for agencies to implement reliable recordkeeping systems. Agencies need to create and keep not only information about what transactions they have carried out via electronic means but also evidence, in the form of records, that captures the content and the context of these activities. This evidence therefore needs to document what transaction occurred, when it occurred, its location, the identity of the participants, and its relationship to the business process for which it serves as evidence.

While in the traditional recordkeeping environment these requirements are accepted and built into the recordkeeping system, the electronic environment forces us to think anew about the strategies we need to adopt to ensure that records have the same degree of reliability, authenticity and useability they had in the paper world. In short, electronic recordkeeping systems are metadata systems, and metadata is the lifeblood of any good recordkeeping system.

The adoption of this metadata set as a common descriptive standard across government will help Commonwealth agencies to fulfil a range of records management responsibilities. Implementation will:

- ensure that adequate contextual information about transactions is recorded and linked to the relevant record;
- assist the discovery and retrieval of records, by describing them in terms of recognisable agency functions, by limiting the terms by which records are indexed, and by providing links between records of the same or similar activities and transactions, using controlled vocabularies and other schema;
- control access to records by nominating, at creation, the security or legal status of records or any other caveats on their retention or use;
- facilitate access to, and transfer of, records between agencies when functional responsibilities change;
- reduce the risk of unauthorised access to, or fraudulent use of, records;
- ensure that the costs of storing records beyond the period of their administrative utility does not escalate;
- ensure vital records are not lost when new systems are implemented;
- aid planning for data migration and other preservation needs by identifying, in standardised and accessible ways, the software and hardware dependencies of records;
- provide a benchmark for measuring the quality of recordkeeping within and between agencies for auditing and other purposes; and
- facilitate the efficient electronic incorporation of information about public records into the intellectual control systems and public finding aids of the National Archives.

4. SCOPE AND APPLICATION OF THE STANDARD

This standard describes the basic metadata elements that agencies should adopt to describe, manage and access their records. The National Archives has developed this service-wide standard to document metadata requirements that apply to all government records irrespective of the activities they reflect.

The standard includes both mandatory and optional descriptive elements. The eight mandatory elements must be applied to all records to ensure that they are complete, accurate, reliable and useable. The optional elements enhance the functionality of records but may not be appropriate to collect or, alternatively, retain for all types of records or all agency needs. The metadata elements in this standard are designed to be applicable to both individual records and to logical aggregations of records.

Significant or complex records, particularly those which will be kept for a long time and made available to the public under the *Archives Act 1983*, will need to be described within the agency's recordkeeping system using most or all of the metadata elements. In contrast, short-term, simple, ephemeral or unimportant records may need only the mandatory metadata to be created for them. Such decisions will rest with individual agencies.

4.1 Systems design considerations

Agencies are strongly encouraged to design, select and implement recordkeeping systems that are capable of supporting the full set of mandatory and optional metadata

elements to provide maximum flexibility in their recordkeeping practices over time. Such systems should be designed to support the *automatic* creation and capture of as much metadata as possible during the life span of the record. This has two benefits – it minimises the amount of manual input required by action officers and maximises the consistent interpretation of the standard within the recordkeeping system.

The greater the extent of automation of metadata creation and capture, the less it will seem like an intrusion on the daily activities of the agency. While a few metadata elements will require a conscious decision by an action officer, most of the data elements should be captured automatically by the system as transactions are performed.

The Australian Standard on Records Management (AS 4390) provides further guidance on the principles and processes that agencies should adopt when designing and implementing recordkeeping systems. Systems designers are also referred to the DIRKS (Designing and Implementing Recordkeeping Systems) Manual, which is a joint product of the National Archives of Australia and the State Records Authority of New South Wales. This manual spells out in more detail the systems design methodology that is recommended in AS 4390. It will become available on the National Archives of Australia website late in 1999. In many ways, the Recordkeeping Metadata Standard for Commonwealth Agencies presented herein can be considered to be a supplement to the DIRKS Manual.

When selecting records management software, agencies will need to satisfy themselves that particular products can accommodate the full range of their recordkeeping requirements. Discussions with recordkeeping software vendors during the development of this standard indicate that systems can be designed to accommodate the full metadata set and automate many of the processes of capture. The published standard provides a clear basis for vendors to develop or enhance software products to meet both government-wide and agency-specific metadata requirements.

A systems design issue that should not be forgotten is that records can be controlled simultaneously at multiple levels of aggregation. As such, certain metadata values, most notably Function and Disposal metadata, can be inherited at lower levels of aggregation from the metadata that has been captured for the relevant higher levels of aggregation.

Another important systems design issue that needs to be addressed is the retention of metadata for records where the records themselves have been destroyed in accordance with governing disposal authorities. Metadata elements that would need to be retained in these circumstances should include Identifier, Date, Agent, Relation, Function and Management History.

The data elements required by the National Archives for certain categories of records will form a subset of the 20 elements and 65 sub-elements outlined in this standard. Details of the subset will be incorporated as an appendix to this publication in the near future. The subset will replace the current requirements that are listed in the old *Australian Archives Handbook*.

Agencies will also need to determine and document, at a systems level, what descriptive schemes they will use as the source of data values for particular metadata elements. These may include the following:

- functional thesauri, including *Keyword AAA: A Thesaurus of General Terms*, published by the Archives Authority of New South Wales in 1998

- IMT (Internet Media Types), maintained by the University of Southern California Information Sciences Institute at <http://www.isi.edu/in-notes/iana/assignments/media-types/media-types>
- ISO 8601 – International Standard for Date Encoding
- National Archives schemes, such as the *Australian Archives Handbook*, the *CRS Manual*, and General Disposal Authorities (GDAs) and Records Disposal Authorities (RDAs)
- the Commonwealth *Protective Security Manual*, published by the Australian Government Publishing Service in 1991
- various other international and Australian standards
- X500 – GOLD (the Government On-Line Directory), at <http://gold.directory.gov.au>
- RFC 1766 – Tags for the Identification of Languages (<http://info.internet.isi.edu/in-notes/rfc/files/rfc1766.txt>)
Detailed information about the use of this scheme is provided in Appendix C of the AGLS Manual at http://www.naa.gov.au/GOVSERV/AGLS/user_manual.htm#_Toc427484936

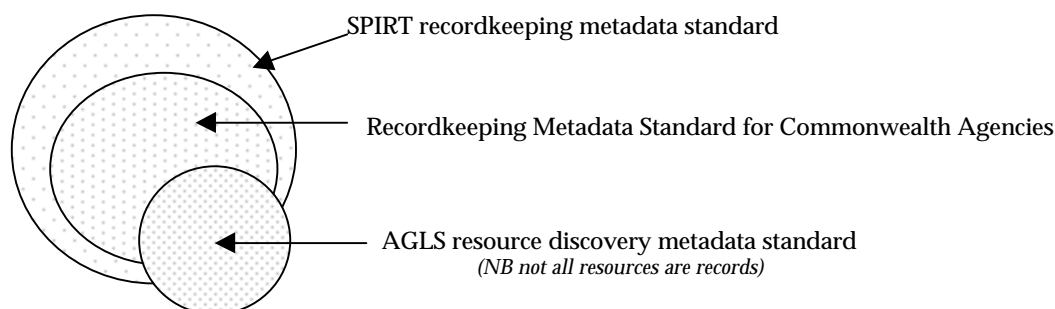
5. THE DEVELOPMENT PROCESS

This standard has been developed in consultation with recordkeeping software vendors endorsed by the Office for Government Online’s Shared Systems Initiative, as well as selected Commonwealth agencies. These consultations have enabled the National Archives to tap into expertise that resides in government agencies and the private sector and has been a useful gauge of the operational and technical feasibility of the standard.

The standard has also been developed with reference to other metadata standards emerging in Australia and overseas to ensure compatibility, as far as practicable, between related resource management tools, including:

- the Dublin Core-derived Australian Government Locator Service (AGLS) metadata standard for discovery and retrieval of government services and information in web-based environments, co-ordinated by the National Archives of Australia; and
- the non-sector-specific Recordkeeping Metadata Standards for Managing and Accessing Information Resources in Networked Environments Over Time for Government, Social and Cultural Purposes, co-ordinated by Monash University using an Australian Research Council Strategic Partnership with Industry Research and Training (SPIRT) Support Grant.

The following figure represents the existing conceptual relationship between the three metadata standards.



The Commonwealth recordkeeping metadata set has also been developed with reference to AS 4390 and, in particular, requirements for the registration of records outlined in Part 4.

In preparing this standard, particularly the element and sub-element definitions, the National Archives has drawn on a number of reference sources. In addition to those sources listed in section 4.1, the following publications have been consulted:

- David Bearman, *Electronic Evidence: Strategies for Managing Records in Contemporary Organisations*, Archives and Museum Informatics, Pittsburgh, 1994.
- David Bearman & Ken Sochats, *Metadata Requirements for Evidence*, published online at <http://www.sis.pitt.edu/~nhprc/BACartic.html>
- Defence Signals Directorate, *Australian Communications – Electronic Security Instructions 33 (ACSI 33): Security Guidelines for Australian Government IT Systems*, April 1998.
- Office for Government Online, *Gatekeeper: A Strategy for Public Key Technology Use in the Government*, 1998, published online at <http://www.ogit.gov.au/gatekeeper/index.html>
- University of British Columbia, *The Preservation of the Integrity of Electronic Records*, 1997, published online at <http://www.slais.ubc.ca/users/duranti/intro.htm>

6. FEATURES OF THE COMMONWEALTH RECORDKEEPING METADATA SET

The Commonwealth recordkeeping metadata set consists of 20 elements, eight of which are mandatory.

These elements can be divided into six categories, or layers, that reflect their role in the authentication and long-term management of records. The categories are consistent with the metadata reference model developed by the University of Pittsburgh as part of its Functional Requirements for Evidence in Recordkeeping project. The following table illustrates the correlation between the elements and their corresponding layers.

Layers	Element
Registration	14. RECORD IDENTIFIER
	10. DATE
	18. LOCATION
Terms and conditions	2. RIGHTS MANAGEMENT
	19. DISPOSAL
Structural	11. TYPE
	12. AGGREGATION LEVEL
	13. FORMAT
	17. PRESERVATION HISTORY

Contextual	1. AGENT
	7. RELATION
	9. FUNCTION
	20. MANDATE
Content	3. TITLE
	4. SUBJECT
	5. DESCRIPTION
	6. LANGUAGE
	8. COVERAGE
History of use	15. MANAGEMENT HISTORY
	16. USE HISTORY

The elements and their related sub-elements are described in detail in Part Two of this standard.

6.1 Flexibility

This standard is designed to be applicable in a wide variety of systems implementation settings. It does not prescribe rules for the order in which agencies should apply metadata elements to records either from a systems or a work-flow perspective. Business decisions such as these are part of an agency's particular systems implementation and should be guided by the Australian Standard on Records Management (AS 4390).

It is anticipated that metadata will accumulate over time, with many elements being automatically captured at the point of record creation and others being attributed at other times during the life of the record. Such a cumulative approach allows agencies to be flexible about the type and amount of metadata they apply to records at particular stages of existence.

However, agencies should note that certain elements and sub-elements within the metadata set are related and that the assignment of values in one may require the simultaneous attribution of metadata in another. These mandatory links are noted in Part Two. It is imperative that recordkeeping systems are designed to support these linkages.

6.2 Repeatability

Many, but not all, of the elements and sub-elements defined in the standard can be applied to a record more than once in order to adequately describe its character and usage. For example, a number of values may be assigned to a record to describe comprehensively its history of use or the relations it may have to other records. Part Two of this standard indicates which elements and sub-elements are repeatable.

6.3 Extensibility

Individual agencies may add new elements and/or sub-elements to the basic metadata set to suit their particular business recordkeeping requirements. When implementing the standard, agencies will need to make their own assessments about any special

requirements they might have for capturing additional metadata about their records. The Australian Standard on Records Management gives guidance to agencies on identifying recordkeeping requirements, including analysis of risk factors (AS 4390.3).

6.4 Interoperability

The adoption of a common metadata standard among agencies, supported by software vendors, will enable government records to be carried forward into the future irrespective of the agency or system within which they reside at any one time. The capacity of metadata to be transferred between agencies or migrated across systems with minimal manipulation will allow records to function as authoritative evidence of business activities within and between organisational boundaries for as long as they are required.

6.5 Compatibility

The Commonwealth recordkeeping metadata set is designed to be consistent with the AGLS metadata framework for resource discovery and retrieval. However, because recordkeeping metadata needs to do much more than help users find records, there are elements in the recordkeeping metadata standard that are not included in AGLS. These additional elements help address the broader evidential requirements for recordkeeping.

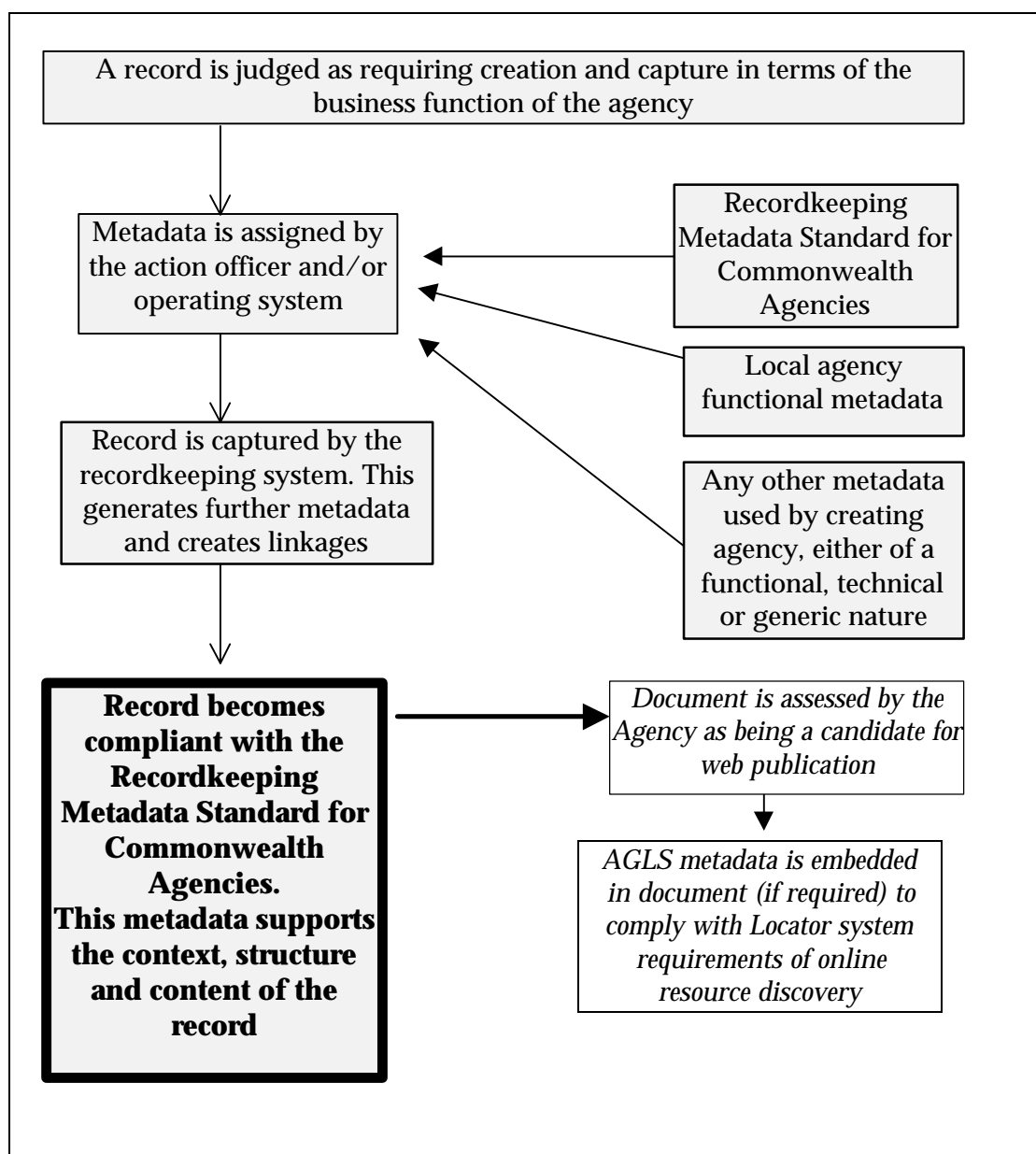
The following table maps each of the elements of the Commonwealth recordkeeping metadata set to corresponding elements in AGLS to illustrate the degree of compatibility between the metadata standards currently applicable in the government sector.

Element	Obligation	AGLS Equivalent	Extends AGLS
1. AGENT	Mandatory	CREATOR, PUBLISHER, OTHER CONTRIBUTOR	Yes
2. RIGHTS MANAGEMENT	Mandatory	RIGHTS	Yes
3. TITLE	Mandatory	TITLE	Yes
4. SUBJECT	Optional	SUBJECT	No
5. DESCRIPTION	Optional	DESCRIPTION	No
6. LANGUAGE	Optional	LANGUAGE	No
7. RELATION	Optional	RELATION (also includes SOURCE)	Yes
8. COVERAGE	Optional	COVERAGE	No
9. FUNCTION	Optional	FUNCTION	No
10. DATE	Mandatory	DATE	Yes
11. TYPE	Optional	TYPE	No
12. AGGREGATION LEVEL	Mandatory	TYPE (Aggregation Level qualifier)	Yes
13. FORMAT	Optional	FORMAT	Yes

14. RECORD IDENTIFIER	Mandatory	IDENTIFIER	Yes
15. MANAGEMENT HISTORY	Mandatory	DATE (partial only)	Yes
16. USE HISTORY	Optional	-	Yes
17. PRESERVATION HISTORY	Optional	-	Yes
18. LOCATION	Optional	-	Yes
19. DISPOSAL	Mandatory		Yes
20. MANDATE	Optional	MANDATE	Yes

Such compatibility will enable most of the metadata required for both AGLS and recordkeeping purposes to be simultaneously captured within a recordkeeping system from the point of creation and then managed or manipulated in such a way that it can be repackaged or revised for multiple different purposes as and when required. This will minimise the need for additional or retrospective metadata attribution for those records subsequently made available to the public via the Internet or other electronic means. It is intended that, once full deployment of the AGLS and recordkeeping standards is attained, the two sets will co-exist within a seamless, dynamic and overarching government metadata framework.

The following figure shows the interaction of the Commonwealth, agency-specific and AGLS metadata sets and their application within a recordkeeping system.



6.6 Interdependency

Many of the sub-elements in the recordkeeping metadata set inter-relate with each other. These inter-relationships may take the form of a sub-element that must be used in conjunction with another sub-element or, alternatively, a sub-element that depends upon another sub-element. For example, the date that a disposal action is due will often depend on the date the record was last used. These inter-relationships and interdependencies are noted against the descriptions for the sub-elements in question which appear in Part Two of this standard. The inter-relationships are also illustrated in the tables of sub-element inter-relationships and interdependencies, which appear as appendices.

7. CONCLUSION

This standard is one of a number of products being developed by the National Archives to assist agencies to meet their recordkeeping responsibilities and to promote compliance with the Australian Standard on Records Management (AS 4390) as a code of best practice. Implementation will lead to a more efficient recordkeeping regime across the Commonwealth and better access by agencies and the wider public to critical business information.

8. COMMENTS

The National Archives intends to consult with agencies, vendors and other interested parties on the implementation and continuing evolution of the Recordkeeping Metadata Standard for Commonwealth Agencies . This may occur through the National Archives' periodic Agency Forums or through other avenues. The National Archives expects to re-examine and reissue the standard in response to broad agency feedback and relevant advances in theory and methodology. The development of public key technology is one area the National Archives will monitor closely, in consultation with the Office for Government Online, for possible additions to a future version of the standard.

The National Archives welcomes comments on the standard. These may be forwarded to:

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9. ACKNOWLEDGMENTS

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PART TWO: RECORDKEEPING METADATA ELEMENTS AND SUB-ELEMENTS

1. EXPLANATORY NOTES

The Recordkeeping Metadata Standard for Commonwealth Agencies consists of 20 elements, eight of which are mandatory and 12 optional. In addition, many of these elements comprise a number of sub-elements, some mandatory and some optional. There are a total of 65 sub-elements.

Agencies and vendors must implement the mandatory elements and sub-elements in order to comply with this standard. Agencies are not required to implement optional elements unless they have business reasons for doing so. However, if mandatory sub-elements are included under an optional element, those sub-elements must be used if the element itself is used.

The word ‘shall’ in technical descriptions of elements and sub-elements denotes mandatory states, conditions or objectives. The word ‘should’ denotes desirable, but not mandatory, states, conditions or objectives.

1.1 Elements

Each recordkeeping metadata element is described in Part Two using the following structure:

Definition: Describes the information that is captured in the element.

Purpose: Indicates what will be achieved by using the element.

Rationale: Gives reasons for the use of the element.

Obligation: Indicates whether use of the element is mandatory (ie essential for Commonwealth recordkeeping purposes), or optional (ie use can be decided by individual agencies based on their own business requirements).

Applicability: Indicates the level(s) of aggregation/units of record description at which the element is applicable.

Use Conditions: Denotes any conditions which must be in place prior to using the element, including reliance on defined values for other elements or sub-elements, and any effects that use of the element will have on the values of other elements or sub-elements.

Repeatable?: Denotes whether or not the element may be used more than once in describing the same record/s.

Sub-elements: Lists any sub-elements which are applicable to the element, and indicates each sub-element’s obligations for implementation and any schemes (standards or methods) which may be used to encode that sub-element. In cases where an element has no sub-elements, appropriate schemes are indicated at the element level.

Comments: Provides additional information to aid in the understanding of the purpose and use of the element.

1.2 Sub-elements

Each recordkeeping metadata sub-element is described in Part Two using the following structure:

Definition: Provides a short description of the information that should be captured in the sub-element.

Purpose: Provides short statements of what will be achieved by using the sub-element. Sometimes also includes the rationale for its use.

Obligation: Indicates whether use of the element is mandatory (ie essential for Commonwealth recordkeeping purposes), or optional (ie use can be decided by individual agencies based on their specific business requirements).

Conditions: Denotes any conditions which must be in place prior to using the sub-element, including reliance on defined values for other elements or sub-elements, and any effects that use of the sub-element will have on the values of other elements or sub-elements.

Assigned Values: Lists and defines any values which can be used for the sub-element (some assigned values are undefined because they are self-explanatory). In many cases the lists are extensible, and new values may be added by agencies to meet specific business requirements. New values must be approved by the National Archives prior to their implementation to ensure that they are: (i) non-redundant; and (ii) consistent with other values. Not all sub-elements have assigned values.

Default Value: Provides a pre-selected value for the sub-element. A value will remain as the default unless changed by an individual or the system in response to other requirements.

Repeatable?: Denotes whether or not a particular sub-element may be used more than once in describing the same record at a single point in time.

Assigned By?: Denotes whether the value of the sub-element is assigned automatically (system-assigned/generated), or whether it is assigned by an individual, either by selecting the value from a pick list or entering the value manually.

Schemes: Indicates any defined standards or methods which may be used to encode the sub-element.

Comments: Provides additional information to aid in the understanding of the purpose and use of the sub-element.

1.3 Glossary

access profile. Information held about the user of a system which defines that user's rights to access particular areas of the system, and the types of access that user has to particular resources such as records or files.

ACSI. Australian Communications – Electronic Security Instructions, released by the Defence Signals Directorate (DSD).

APS. Australian Public Service.

ASSROs. Australian SIGINT Regulations and Orders.

CA. *See* **Certification Authority.**

certificate. A set of information which at least:

1. identifies the Certification Authority issuing the certificate;
2. unambiguously names or identifies its owner;
3. contains the owner's public key; and
4. is digitally signed by the Certification Authority issuing it.

Certification Authority. A trusted entity that verifies the identity of individuals or users. Verification is performed by issuing certificates which attest to the correctness of information concerning an individual or user.

CRS. Commonwealth Record Series.

DEA. Data Encryption Algorithm.

Disposal Class. A section in a disposal authority that describes the characteristics of a group of records that must be kept for the same length of time.

DSA. Digital Signature Algorithm.

file. A group of logically associated documents, which may or may not be physically co-located. The logical association may be based on function/activity, subject or some other criterion.

format. The organisation of information for storage, printing, or displaying.

GDA. General Disposal Authority.

GPKI. Government Public Key Infrastructure.

item. A single document, such as a report, a minute or an email message.

NAA. National Archives of Australia.

PKE. *See* **public key encryption.**

private key. The secret part or key from a pair of keys which together form the basis of public key technologies. The private key is known only to the key holder.

PSM. *Protective Security Manual* (for use by non-Defence agencies).

public key. The public part or key from a pair of keys which together form the basis of public key technologies. The public key is widely publicised.

public key encryption. A cryptographic algorithm which uses different keys for encryption and decryption. *See also* **private key** and **public key.**

RDA. Records Disposal Authority.

records. Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity (AS 4390.1, section 4.21).

RMSCA. Recordkeeping Metadata Standard for Commonwealth Agencies.

RSA. Rivest Shamir Adleman algorithm.

SECMANs. Security Manuals (for use by Defence agencies).

series. A group of items or files created or maintained by an agency or person that, regardless of currency, value or present custody, are in the same identifiable sequence, or result from the same accumulation or filing process and are of similar function, format or informational content.

transaction. An action taken in the course of conducting business.

URI. Universal Resource Identifier.

2. DETAILED METADATA REQUIREMENTS

The following table lists each element with all of its sub-elements, and displays the obligation for implementing each one. Full descriptions of each element and its corresponding sub-elements then follow.

Element	Obligation	Sub-element	Obligation
1. AGENT	Mandatory	1.1 Agent Type	Mandatory
		1.2 Jurisdiction	Optional
		1.3 Corporate ID	Optional
		1.4 Corporate Name	Mandatory
		1.5 Person ID	Optional
		1.6 Personal Name	Optional
		1.7 Section Name	Optional
		1.8 Position Name	Optional
		1.9 Contact Details	Optional
		1.10 Email	Optional
		1.11 Digital Signature	Optional
2. RIGHTS MANAGEMENT	Mandatory	2.1 Security Classification	Mandatory
		2.2 Caveat	Optional
		2.3 Codeword	Optional
		2.4 Releasability Indicator	Optional
		2.5 Access Status	Optional
		2.6 Usage Condition	Optional
		2.7 Encryption Details	Optional
3. TITLE	Mandatory	3.1 Scheme Type	Mandatory
		3.2 Scheme Name	Mandatory
		3.3 Title Words	Mandatory
		3.4 Alternative	Optional
4. SUBJECT	Optional	4.1 Keyword	Mandatory as required by scheme (4.1-4.3)
		4.2 Second Level Keyword	
		4.3 Third Level Keyword	
5. DESCRIPTION	Optional	-	-
6. LANGUAGE	Optional	-	-
7. RELATION	Optional	7.1 Related Item ID	Mandatory
		7.2 Relation Type	Mandatory
		7.3 Relation Description	Optional
8. COVERAGE	Optional	8.1 Jurisdiction	Optional
		8.2 Place Name	Optional
		8.3 Period Name	Optional
9. FUNCTION	Optional	9.1 Function Descriptor	Mandatory
		9.2 Activity Descriptor	Mandatory
		9.3 Third Level Descriptor	Optional
10. DATE	Mandatory	10.1 Date/Time Created	Mandatory
		10.2 Date/Time Transacted	Mandatory
		10.3 Date/Time Registered	Mandatory
11. TYPE	Optional	-	-
12. AGGREGATION LEVEL	Mandatory	-	-

Element	Obligation	Sub-element	Obligation
13. FORMAT	Optional	13.1 Media Format	Mandatory
		13.2 Data Format	Mandatory
		13.3 Medium	Mandatory
		13.4 Extent	Optional
14. RECORD IDENTIFIER	Mandatory	-	-
15. MANAGEMENT HISTORY	Mandatory	15.1 Event Date/Time	Mandatory
		15.2 Event Type	Mandatory
		15.3 Event Description	Mandatory
16. USE HISTORY	Optional	16.1 Use Date/Time	Mandatory
		16.2 Use Type	Mandatory
		16.3 Use Description	Optional
17. PRESERVATION HISTORY	Optional	17.1 Action Date/Time	Mandatory
		17.2 Action Type	Mandatory
		17.3 Action Description	Mandatory
		17.4 Next Action	Optional
		17.5 Next Action Due	Optional
18. LOCATION	Optional	18.1 Current Location	Mandatory
		18.2 Home Location Details	Mandatory
		18.3 Home Storage Details	Mandatory
		18.4 RKS ID	Optional
19. DISPOSAL	Mandatory	19.1 Disposal Authorisation	Mandatory
		19.2 Sentence	Mandatory
		19.3 Disposal Action Due	Optional
		19.4 Disposal Status	Optional
20. MANDATE	Optional	20.1 Mandate Type	Mandatory
		20.2 Refers To	Mandatory
		20.3 Mandate Name	Mandatory
		20.4 Mandate Reference	Optional
		20.5 Requirement	Mandatory

1. AGENT

Definition	<p>A corporate entity or organisational element which is responsible for some action on or usage of a record.</p> <p>An individual who performs some action on a record, or who uses a record in some way.</p>		
Purpose	<p>To ensure accountability for important recordkeeping decisions and actions.</p> <p>In conjunction with elements 10. DATE, 15. MANAGEMENT HISTORY and, when used, 16. USE HISTORY and 17. PRESERVATION HISTORY, to provide context for the creation, management and use of records.</p> <p>To act as a resource discovery point for users. For example, to enable users to search for all recordkeeping actions performed by particular agents on particular records, or to search for all records which have been accessed by a particular agent.</p>		
Rationale	<p>In order to meet regulatory and business requirements and community expectations for recordkeeping, agencies must be able to document corporate and personal responsibilities for actions taken on, and usage made of, records from creation and registration through to disposal.</p>		
Obligation	Mandatory		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	<p>Use each time an action is performed on a record, or a use is made of a record. Use in conjunction with elements 10. DATE, 15. MANAGEMENT HISTORY and, when used, 16. USE HISTORY, and 17. PRESERVATION HISTORY.</p> <p>Not all instances of this element will contain values for all the sub-elements. Agent Type and Corporate Name are the only sub-elements which shall always be used; use of the other sub-elements will depend on the role of the agent, which is described using the values under sub-element 1.1 Agent Type (see next page), and the level of agent description required by the agency.</p>		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	1.1 Agent Type	Mandatory	RMSCA, agency extensions
	1.2 Jurisdiction	Optional	-
	1.3 Corporate ID	Optional	CRS
	1.4 Corporate Name	Mandatory	CRS, X500 – GOLD
	1.5 Person ID	Optional	Agency system-assigned, agency Position Number (PN) schemes, CRS, APS
	1.6 Personal Name	Optional	CRS, X500 – GOLD, agency-defined
	1.7 Section Name	Optional	X500 – GOLD
	1.8 Position Name	Optional	X500 – GOLD
	1.9 Contact Details	Optional	X500 – GOLD
	1.10 Email	Optional	X500 – GOLD
1.11 Digital Signature	Optional	GPKE: DSA, RSA	
Comments	-		

1.1 Agent Type

Definition	A category which identifies the role and responsibilities of a particular agent.	
Purpose	To identify the role played by a particular agent. To provide consistency, through the use of assigned values, in the description of recordkeeping roles and responsibilities across the Commonwealth.	
Obligation	Mandatory	
Conditions	<p>All aggregations of records, including single items, shall have a Record Creator and a Registrar. All items shall have a Document Author.</p> <p>Each use of an Assigned Value shall result in the creation of a link between the specific instance of the AGENT element and the relevant date/history element – either 10. DATE, 15. MANAGEMENT HISTORY, 16. USE HISTORY or 17. PRESERVATION HISTORY.</p> <p>Different sub-elements under element 1. AGENT will be applicable to each Assigned Value for this sub-element. While the Corporate Name sub-element shall always be used, in some cases only one of the sub-elements 1.2–1.8 will be applicable to a particular Assigned Value. For example, only sub-element 1.6 Personal Name (and possibly 1.5 Person ID) will be applicable to a Registrar. Agencies need to make their own decisions regarding the levels of documentation they wish to use when describing an Agent.</p> <p>Specific roles (Record Manager, Preservation Officer, System Administrator, Access Examiner, Auditor, Security Officer) shall be assigned to individuals using system mechanisms (and linked to their logon IDs).</p> <p>The Agent Type of an individual who is not performing the actions of document authoring or registration, and who does not have a specific assigned role, shall default to ‘Action Officer’.</p>	
Assigned Values	Value Name	Definition
	Document Author	The corporate entity, organisational element and/or individual primarily responsible for the content of the record. Equates to the term ‘Originator’ used in some environments.
	Record Creator	The corporate entity which makes, receives and accumulates the records in the course of its business. The corporate entity to which the record belongs.
	Transactor	The individual(s), elements or entities, other than the Record Creator, involved in the act or transaction documented by the record.
	Registrar	The individual responsible for assigning the record to the recordkeeping system (ie registering the record into the recordkeeping system).

Assigned Values	Value Name	Definition
	Action Officer	<p>An individual who accesses or makes use of a record in the course of his/her work. Unlike other Assigned Values for this sub-element, this value does not generally denote any particular role and is meant to be used primarily with element 16. USE HISTORY.</p> <p>Agencies may choose to allow the value ‘Action Officer’ instead of ‘Transactor’ as the Agent Type of an individual involved in a transaction (sub-element 10.2), and instead of ‘Registrar’ as the Agent Type of an individual who registers a record into a recordkeeping system (sub-element 10.3).</p>
	Publisher	The corporate entity responsible for making a record publicly available.
	Authority	The corporate entity, organisational element and/or individual who is responsible for authorising some action on the record.
	Records Manager	An individual responsible for administering and controlling records on a day-to-day basis.
	Preservation Officer	An individual responsible for ensuring the continuing preservation of, and access to, records for as long as they have value.
	System Administrator	An individual responsible for the day-to-day running of the overall computer system of which the recordkeeping system is a part (including system backup and access control).
	Access Examiner	An individual who examines Commonwealth records to identify any exempt information they may contain.
	Auditor	An individual, either internal or external to the agency, who conducts a recordkeeping audit or an IT system audit of the recordkeeping system to determine agency compliance with certain standards.
	Security Officer	An individual responsible for promulgating and enforcing security policies, and for investigating breaches of security.
Default Value	-	
Repeatable?	Yes	
Assigned By?	Shall be assigned by the system according to the action being performed, the specific assigned role of the agent performing it, or a combination of the two.	
Schemes	RMSCA; NAA-approved agency extensions.	
Comments	The above list of assigned values may be extended by agencies to meet specific business requirements.	

1.2 Jurisdiction

Definition	The jurisdiction within which the agent operates.	
Purpose	To identify the jurisdiction within which records are created, managed and used. To provide contextual information about records.	
Obligation	Optional	
Conditions	-	
Assigned Values	Value Name	Definition
	Commonwealth	-
	ACT	-
	NSW	-
	NT	-
	QLD	-
	SA	-
	TAS	-
	WA	-
	Australian Territories	Includes, for example, Australian Antarctic Territory, Christmas Island, Cocos Island.
	Local	-
Default Value	Commonwealth	
Repeatable?	Yes	
Assigned By?	The default value should be assigned by the system. Changes to the default value should be manually selected from a pick list.	
Schemes	-	
Comments	<p>Agencies which deal with Australian Territories may choose to make each individual Territory an Assigned Value for this sub-element.</p> <p>It is recommended that this sub-element be used when the value of sub-element 1.1 Agent Type is 'Document Author', 'Records Creator', 'Transactor', 'Publisher' or 'Authority'.</p>	

1.3 Corporate ID

Definition	An identifier assigned to the agent department or agency.
Purpose	To uniquely identify the department or agency responsible for creating records. To act as a ‘key’ or link between information held about the department or agency by the National Archives in its CRS system, and information held by the department or agency about its records.
Obligation	Optional
Conditions	This sub-element shall only be used in conjunction with sub-element 1.1 Agent Type, Assigned Value ‘Record Creator’. This sub-element shall be used if and when a department or agency transfers details about its records to the National Archives (via the Transfer Record application in the National Archives’ integrated archival management system).
Assigned Values	-
Default Value	The agency’s/department’s CRS Agency ID.
Repeatable?	No
Assigned By?	Should be system-generated.
Schemes	CRS
Comments	-

1.4 Corporate Name

Definition	The name of the agent department or agency.
Purpose	To identify the department or agency which owns the records and which is responsible for actions carried out on the records. To provide contextual information about the creation, management and use of records. To ensure accountability for recordkeeping actions at the corporate level.
Obligation	Mandatory
Conditions	-
Assigned Values	-
Default Value	The default value should be established and set by the agency.
Repeatable?	Yes
Assigned By?	The default value should be assigned by the system. Changes to the default value need to be entered manually.
Schemes	CRS, X500 – GOLD
Comments	-

1.5 Person ID

Definition	An identifier assigned to an individual who performs some action.
Purpose	To uniquely identify the person responsible for actions carried out on records. To provide a ‘key’ or link to other details about the individual held by the system. To act as a system security mechanism.
Obligation	Optional
Conditions	A person may have more than one assigned identifier, but only one identifier per individual should be used within the agency recordkeeping system.
Assigned Values	-
Default Value	The ID of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	No
Assigned By?	Should be system-generated.
Schemes	Agency system-assigned (eg a system logon), agency Position Number (PN) schemes, CRS, APS.
Comments	It is recommended that this sub-element and/or sub-element 1.6 Personal Name be used to facilitate the linking of agent details to actions on records recorded in element 15. MANAGEMENT HISTORY and, where used, elements 16. USE HISTORY and 17. PRESERVATION HISTORY. Further identifiers may need to be added at a later time to uniquely identify the individual if records are moved outside the agency domain. In many cases, the addition of sub-element 1.3 Corporate ID may be enough to uniquely identify an individual outside the agency domain.

1.6 Personal Name

Definition	The name of an individual who performs some action.
Purpose	To identify the person(s) who are responsible for carrying out actions on records. To enable searches on all actions carried out by a particular person. To provide contextual information about the creation, management and use of records. To ensure accountability for recordkeeping actions at the operational level.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	The name of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	Yes
Assigned By?	System-generated, taken from system logon details.
Schemes	CRS, X500 – GOLD, agency-defined naming conventions.
Comments	It is recommended that this sub-element and/or sub-element 1.5 Person ID be used to facilitate the linking of agent details to actions on records recorded in element 15. MANAGEMENT HISTORY and, where used, elements 16. USE HISTORY and 17. PRESERVATION HISTORY.

1.7 Section Name

Definition	The name of the business section(s) responsible for an action carried out on a record. The name of the business section within which a person responsible for a recordkeeping action works.
Purpose	To provide further detail about the agent. To enable searching on recordkeeping actions performed by a particular business section within a department or agency. To provide further contextual information about the creation, management and use of records.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	The business section of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	Yes
Assigned By?	The default value should be system-generated, taken from system logon details or system access profiles. Other values will need to be added manually.
Schemes	X500 – GOLD, agency-defined.
Comments	The section details will have been entered into the system and linked to the individual's logon and/or access profile.

1.8 Position Name

Definition	The name of the position(s) responsible for an action carried out on a record. The name of the position filled by a person responsible for a recordkeeping action.
Purpose	To provide further detail about the agent. To enable searching on recordkeeping actions performed by a particular position within a department or agency. To provide further contextual information about the creation, management and use of records.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	The position of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	Yes
Assigned By?	The default value should be system-generated, taken from system logon details or system access profiles. Other values will need to be added manually.
Schemes	X500 – GOLD, agency-defined.
Comments	The position details will have been entered into the system and linked to the individual's logon and/or access profile.

1.9 Contact Details

Definition	Information on how to contact the agent, such as street or postal address, telephone and fax numbers.
Purpose	To facilitate contact with an agent at either organisation or individual level. To enable an interested party to gain access to the records or to ascertain further information about the records.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	Should be established and set by the agency, but could be either global agency-level details or individual-specific details.
Repeatable?	Yes
Assigned By?	The default value should be system-generated.
Schemes	X500 – GOLD
Comments	In the case of individual-specific defaults, the contact details will have been entered into the system and linked to the individual's logon.

1.10 Email

Definition	The email address of the agent.
Purpose	To enable direct communication with the agent, who is a direct point of contact for providing access to, or further information about, the records.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	Should be established and set by the agency, but could be either a single central agency email address or, when the agent is an individual, that individual's personal email address.
Repeatable?	Yes
Assigned By?	The default value should be system-generated.
Schemes	X500 – GOLD
Comments	In cases where the default email address is that of an individual, the email details will be taken from the individual's system profile.

1.11 Digital Signature

Definition	An encrypted, tamper-proof piece of data which creates a unique and unforgeable identifier of the Document Author (either a corporate entity/ element, or an individual), the Record Creator (a corporate entity), the Transactors (corporate entities/elements, or individuals), or the Action Officers (individuals) involved as Transactors.
Purpose	To provide proof of the source and integrity of the record. To prevent records being forged. Commonwealth agencies, particularly those which conduct business with members of the public over the Internet, are moving towards the takeup of public key encryption (PKE) and digital signatures as a means of authenticating transactions carried out over the Internet.
Obligation	Optional
Conditions	May be the digital signature of a corporate entity, a corporate element or an individual. Only for use with 1.1 Agent Type, Assigned Values 'Document Author', 'Record Creator', 'Transactor' and 'Action Officer' (if the Transactor is designated as an Action Officer). If this element is used, it shall be used in conjunction with element 2. RIGHTS MANAGEMENT, sub-element 2.7 Encryption Details.
Assigned Values	-
Default Value	The digital signature of the Document Author or Record Creator.
Repeatable?	Yes
Assigned By?	The author of the document, or automatically by the system if the digital signature details are linked to an individual's logon. Automatically by the system in the event of record creation.
Schemes	GPKI: DSA, RSA
Comments	The exact data to be covered by the digital signature (eg whether it is the record only, or the record plus its metadata) is an implementation-dependent issue and shall be defined by the agency.

AGENT examples

Agent Type	Record Creator
Jurisdiction	Commonwealth
Corporate ID	CA 8550
Corporate Name	National Archives of Australia
Contact Details	PO Box 7425, Canberra Mail Centre ACT 2610 6212 3333 (phone) 6212 3989 (fax)
Email	naa@naa.gov.au

Agent Type	Document Author, Registrar
Corporate Name	Department of Communications, Information Technology and the Arts
Person Name	Sam T. Smyth
Person ID	PN30883
Section Name	Policy Development

Agent Type	Publisher
Jurisdiction	Commonwealth
Corporate Name	Australian National Audit Office
Contact Details	GPO Box 707 Canberra ACT 2601 +61 2 6203 7300 (phone) +61 2 6203 7777 (fax) http://www.anao.gov.au
Email	webmaster@anao.gov.au

Agent Type	Action Officer
Corporate Name	National Archives of Australia
Person Name	John Jakovic
Person ID	johnjak [system ID]
Section Name	Operations
Position Name	Agency Liaison
Email	johnjak@naa.gov.au

2. RIGHTS MANAGEMENT

Definition	Policies, legislation, caveats and/or classifications which govern or restrict access to or use of records.		
Purpose	To facilitate the proper and appropriate management of sensitive or classified records. To alert users to restrictions on access and use of records, and to advise on when such restrictions may change or cease.		
Rationale	Access to and use of records must be managed in accordance with relevant pieces of legislation and security policies to prevent damage to national security interests, and to protect the privacy of individuals and the business interests of corporate entities.		
Obligation	Mandatory		
Applicability	Sub-elements 2.1–2.4 are applicable at all levels of aggregation. Sub-elements 2.5 and 2.6 are generally applicable at Item and File levels only. Sub-element 2.7 is generally applicable at Item level only.		
Use Conditions	The values contained in the sub-elements reflect the <i>current</i> status of access and usage rights for the records. The values shall be able to be changed by an authorised Agent (‘authorised Agent’ shall be agency-defined). When values for access and usage rights are changed, the old values shall be stored in element 15. MANAGEMENT HISTORY.		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	2.1 Security Classification	Mandatory	PSM, SECMANs
	2.2 Caveat	Optional	PSM, SECMANs, ACSIs, ASSROs and other domain-specific instructions
	2.3 Codeword	Optional	ASSROs, other agency- or domain-specific instructions
	2.4 Releasability Indicator	Optional	SECMANs, PSM, agency- or domain-specific indicators
	2.5 Access Status	Optional	Freedom of Information (FOI) Act, agency-specific
	2.6 Usage Condition	Optional	Privacy Act, Copyright Act, agency-specific instructions, policies or procedures which govern how an agency’s records can be used
	2.7 Encryption Details	Optional	GPKI: public key (DEA)
Comments	-		

2.1 Security Classification

Definition	<p>A means of classifying records based on their security requirements.</p> <p>There are two categories of classification – ‘National Security’ and ‘Sensitive’ (non-National Security). The differences between National Security and Sensitive material are defined in Part III of the <i>Protective Security Manual</i>. The classifications for National Security material are Restricted, Confidential, Secret and Top Secret. The classifications for Sensitive material are In-Confidence, Protected and Highly Protected.</p>	
Purpose	<p>To minimise the chances of records being acquired by people or organisations not authorised to receive them.</p> <p>Agencies dealing with classified material are required to ensure that it is given the appropriate levels of protection to prevent its unauthorised disclosure and subsequent damage to government or national security interests. Penalties apply if classified material is not adequately protected.</p>	
Obligation	Mandatory	
Conditions	<p>It shall not be possible to use element 7. RELATION to relate a single item of a particular security classification with a file of a lower classification level – eg it shall not be possible to use sub-element 7.2 Relation Type, Assigned Value ‘Contains/Contained In’ to associate a secret item with a confidential or unclassified file.</p> <p>The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value ‘Classification Up/Downgraded’.</p> <p>When ‘Classification Up/Downgraded’ is selected as the action to be taken on the record, the old value of the Classification sub-element shall be replaced by the new value. Details of the change, including the old classification, shall be placed in MANAGEMENT HISTORY. Also refer to sub-element 15.2 Event Type.</p>	
Assigned Values	Value Name	Definition
	Unclassified	<p>Definitions are as laid down in</p> <p>the SECMANs for Defence agencies</p> <p>and the <i>Protective Security Manual</i> (PSM)</p> <p>for non-Defence agencies.</p>
	Restricted	
	Confidential	
	Secret	
	Top Secret	
	In-Confidence	
	Protected	
Highly Protected		
Default Value	<p>Unclassified.</p> <p>Shall also have the capability to be changed and set by an agency, according to the security domain within which it operates – ie it shall be possible to set the default to the ‘system high’ value of a particular agency system.</p>	
Repeatable?	No	
Assigned By?	The default value shall be system-generated. Changes to the default value shall be manually selected from a pick list by an agent, such as the Record Creator.	
Schemes	PSM, SECMANs, ACSIs.	
Comments	-	

2.2 Caveat

Definition	A warning that the record requires special handling, and that only people cleared and entitled to see that record may have access to it.	
Purpose	To help prevent unauthorised handling of, or access to, records with special sensitivities. Agencies are required to ensure that records with special caveats are properly handled and adequately protected against unauthorised access. Penalties may apply if caveated material is not adequately protected.	
Obligation	Optional	
Conditions	Other caveats may be added as Assigned Values by agencies working within particular security domains or compartments. The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value 'Caveat Changed'. When 'Caveat Changed' is selected as the action to be taken on the record, the old value of the Caveat sub-element shall be replaced by the new value. Details of the change, including the old caveat, shall be written to the MANAGEMENT HISTORY. Also refer to sub-element 15.2 Event Type.	
Assigned Values	Value Name	Definition
	Cabinet-in-Confidence	Definitions for caveats are laid down in SECMANs for Defence agencies, PSM for non-Defence agencies, in the DSD ACSIs, and in other domain-specific instructions such as ASSROs.
	Commercial-in-Confidence	
	Medical-in-Confidence	
	Staff-in-Confidence	
Personal		
Default Value	A default value shall be able to be set by an agency in order to meet its own requirements.	
Repeatable?	Yes	
Assigned By?	The default value shall be system-generated. Changes or additions to the default value shall be manually selected from a pick list by an agent, such as the Record Creator.	
Schemes	PSM, SECMANs, ACSIs, ASSROs, other agency- or domain-specific instructions.	
Comments	-	

2.3 Codeword

Definition	A form of caveat which is used to refer to classified information or activity, without revealing the nature of that information or activity to unauthorised personnel.
Purpose	To prevent discovery of the nature of the information or activity covered by particular security compartments. To provide a shorthand means of referring to classified material of a specific nature, thereby protecting the nature and purpose of that material from discovery by people without the relevant briefings.
Obligation	Optional
Conditions	The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value 'Codeword Changed'. When 'Codeword Changed' is selected as the action to be taken on the record, the old value of the Codeword sub-element shall be replaced by the new value. Details of the change, including the old codeword, shall be written to the MANAGEMENT HISTORY. Also refer to sub-element 15.2 Event Type.
Assigned Values	Most codewords are highly domain-specific and need to be specified by the agencies concerned.
Default Value	A default value shall be able to be set by an agency in order to meet its own requirements.
Repeatable?	Yes
Assigned By?	The default value shall be system-generated. Changes or additions to the default value shall be manually selected from a pick list by an agent, such as the Record Creator.
Schemes	ASSROs, other agency- or domain-specific instructions.
Comments	-

2.4 Releasability Indicator

Definition	A self-evident abbreviation applied to certain records to indicate their releasability status, such as whether they may be released to another country.	
Purpose	To restrict the dissemination of the records to certain nationalities. To provide a further level of protection against the compromise of national security interests.	
Obligation	Optional	
Conditions	<p>The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value 'Releasability Indicator Changed'.</p> <p>When 'Releasability Indicator Changed' is selected as the action to be taken on the record, the old value of the Releasability Indicator sub-element shall be replaced by the new value.</p> <p>Details of the change, including the old caveat, shall be written to the MANAGEMENT HISTORY. Also refer to sub-element 15.2 Event Type.</p>	
Assigned Values	Value Name	Definition
	AUSTEO	Australian Eyes Only
	AUSCANUKUS	Releasable to Australia, Canada, United Kingdom and United States
Default Value	A default value shall be able to be set by an agency in order to meet its own requirements.	
Repeatable?	Yes	
Assigned By?	The default value shall be system-generated. Changes or additions to the default value shall be manually selected from a pick list by an agent, such as the Record Creator.	
Schemes	SECMANs, PSM, agency- or domain-specific indicators.	
Comments	The above values are listed as examples only. There are many other possible values for Releasability Indicators (RIs), and these may be added as Assigned Values by agencies working within particular domains or compartments.	

2.5 Access Status

Definition	Information about whether a record in the closed period (ie a record which is less than 30 years old) may be released or published, or whether it is to be wholly or partially withheld from public access.	
Purpose	To facilitate or restrict public access to government records in the closed period.	
Obligation	Optional	
Conditions	<p>The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value 'Access Status Changed'.</p> <p>When 'Access Status Changed' is selected as the action to be taken on the record, the old value of the Access Status sub-element shall be replaced by the new value.</p> <p>Details of the change, including the old access status, shall be written to the MANAGEMENT HISTORY. Also refer to sub-element 15.2 Event Type.</p>	
Assigned Values	Value Name	Definition
	Not for Release	The record is not to be released or published.
	May be Published	The record may be published.
	May be Released under FOI	The record contains no information which might preclude it from being released to an individual or party under an FOI request.
	Limited Release	<p>Due to particular sensitivities of a national security, privacy, business or other nature:</p> <ul style="list-style-type: none"> the record may be released to a limited (agency-defined) audience only; or limited parts or sections only of a record may be released.
Published	The record has been made publicly available (through formal publishing or some other means).	
Default Value	Depending on its business requirements, an agency may set the default to be either 'Not for Release' or 'May be Published'.	
Repeatable?	No	
Assigned By?	A default value shall be system-generated. Any changes to the default value will be selected from a pick list by the agent – generally an Authority or a Records Manager.	
Schemes	<i>Freedom of Information Act 1982 (FOI Act)</i> , agency-specific.	
Comments	<p>Agencies may be required to provide access to records under the provisions of the FOI Act.</p> <p>This sub-element applies only to records in the closed period, over which agencies have full control (subject to the provisions of the FOI Act, and restrictions imposed on the basis of privacy and/or national security interests). This sub-element should not be confused with the authority of the National Archives, under the <i>Archives Act 1983</i>, to examine and determine the access status of records in the open period (ie records over 30 years of age). The National Archives remains the authority in this area, and will continue to record access status information for records in the open period in its CRS system.</p>	

2.6 Usage Condition

Definition	An indication that some kind of limitation or restriction has been placed on how a record may be used by staff within an agency or by the general public.
Purpose	To protect a record against any form of unauthorised use (including unauthorised disclosure), or any use which may place the owner or creator of a record (either a corporate entity or an individual) at a disadvantage. To help an agency ensure that the records for which it is responsible are not used in ways that contravene copyright or privacy restrictions, or that will cause damage to specific business or domain interests.
Obligation	Optional
Conditions	Some Usage Conditions may be system-enforceable and will require specific usage types to be included under element 16. USE HISTORY, sub-element 16.2 Use Type, to track authorised usage and unauthorised attempts at usage over time.
Assigned Values	-
Default Value	Copyright © Commonwealth of Australia YYYY may be the default for a published Item. It shall be possible for an agency to set its own default value for the Usage Condition.
Repeatable?	Yes
Assigned By?	The default value shall be system-generated. Any changes or additions to the default value shall be selected by an agent from a pick list of assigned values defined by the agency.
Schemes	Privacy Act, Copyright Act, agency-specific instructions, policies or procedures which govern how an agency's records can be used.
Comments	There are many possible values for Usage Conditions. Examples include copyright statements, statements which detail to whom use of the record is restricted, and statements which list penalties for unauthorised disclosure. Other Usage Conditions may be added as Assigned Values by agencies to meet their own requirements for restricting the use of records.

2.7 Encryption Details

Definition	Information, or pointers to information, about how a record has been encrypted.
Purpose	<p>To enable decryption (and hence, access) if the record is stored in the recordkeeping system in an encrypted state.</p> <p>To enable re-encryption if the record is stored in the recordkeeping system in a decrypted state, but needs to be moved to another system or location.</p> <p>If encryption is used, details need to be recorded about the public and private keys, and the Certification Authority which has authorised, and which vouches for, the identity of the key holders. These details are required in order to restrict or enable access to the encrypted record.</p>
Obligation	Optional
Conditions	Shall be used if the record is covered by a digital signature – ie if sub-element 1.11 Digital Signature has been used.
Assigned Values	-
Default Value	The agency's own public key and Certification Authority.
Repeatable?	No
Assigned By?	System shall be able to automatically sense and record encryption details.
Schemes	GPKE: public key encryption (DEA)
Comments	<p>This sub-element could be used either to record the encryption details themselves (if the recordkeeping system is considered sufficiently secure), or to record the location of the encryption details which are stored outside the recordkeeping system.</p> <p>It is recommended that information regarding private keys never be held within the recordkeeping system.</p>

RIGHTS MANAGEMENT examples

Security Classification	Unclassified
Access Status	Published
Usage Condition	© Commonwealth of Australia 1999

Security Classification	In-Confidence
Access Status	May be released under FOI

Security Classification	Protected
Caveat	Cabinet-in-Confidence
Access Status	Limited Release

Security Classification	Secret
Caveat	Commercial-in-Confidence
Codeword	[Domain-specific]
Releasability Indicator	AUSTEO
Access Status	Not for Release
Usage Condition	Use by British Aerospace defence contractors and JP66270 project staff only
Encryption Details	Held in Vault 2

3. TITLE

Definition	The name given to the record.		
Purpose	To assist in identifying the record. To act as a resource discovery access point for users. To describe the functions and/or subjects documented in the record.		
Rationale	For ease and speed of identification, and to facilitate control, a record must have a title which is representative of its contents.		
Obligation	Mandatory		
Applicability	Applicable at item and file levels.		
Use Conditions	-		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	3.1 Scheme Type	Mandatory	-
	3.2 Scheme Name	Mandatory	-
	3.3 Title Words	Mandatory	Thesaurus or controlled vocabulary used by the agency (and nominated in sub-element 3.2 Scheme Name)
	3.4 Alternative	Optional	-
Comments	The element 3. TITLE provides 'whole-of-title' access to records. If the sub-element 3.1 Scheme Type is either subject-based or functional, the elements 4. SUBJECT and 9. FUNCTION will provide access at the individual keyword or descriptor level.		

3.1 Scheme Type

Definition	The type of naming convention used to title records.	
Purpose	To provide information about the titling of the record. Summary information about how records are titled across different business areas in a department or agency may be useful in the management and control of those records.	
Obligation	Mandatory	
Conditions	If the identified Scheme Type is 'Subject-based', element 4. SUBJECT shall be used. If the identified Scheme Type is 'Functional', element 9. FUNCTION shall be used. If the identified Scheme Type is 'Free Text' <i>only</i> , the value of sub-element 3.2 Scheme Name shall be 'None'.	
Assigned Values	Value Name	Definition
	Functional	The titling scheme used describes the functions and activities covered by the content of the record.
	Subject-based	The titling scheme used describes the topic of the record.
	Free Text	Free text, alone or in combination with some form of controlled vocabulary, is used to title the record.
Default Value	Should be set to the default scheme type used by an agency to title its records.	
Repeatable?	Yes	
Assigned By?	The default value shall be system-generated. Any changes to the default value should be selected by the record creator from a pick list of the assigned values.	
Schemes	-	
Comments	Agency may designate more than one Scheme Type where, for example, they use a combination of a functional or subject-based scheme with free text. The National Archives strongly recommends that Commonwealth agencies use a function-based titling scheme, such as Keyword AAA, to comply with the Australian Standard on Records Management (AS 4390).	

3.2 Scheme Name

Definition	The name of the specific internal/external standard, method or convention used to title the record.	
Purpose	To inform users of the particular standard, method or convention used to title the record. To provide contextual information about how an agency titles/titled its records.	
Obligation	Mandatory	
Conditions	If the Scheme Type is 'Free Text', this sub-element shall take the Assigned Value 'None'.	
Assigned Values	Value Name	Definition
	None	No scheme has been used to title the record.
	Keyword AAA	A functional thesaurus of general terms used for titling records.
	Agency Functional Thesaurus	An internal agency-specific functional thesaurus used for titling records (may be combined with the Keyword AAA thesaurus).
	Agency Subject Thesaurus	An internal agency-specific, subject-based thesaurus used for titling records.
Default Value	Should be set to the default scheme used by an agency to title its records.	
Repeatable?	No	
Assigned By?	The default value shall be system-generated. Any changes to the default value should be selected by the record creator from a pick list of the assigned values.	
Schemes	-	
Comments	The above list of Assigned Values is not exhaustive; there are a number of schemes available for use in specialist areas. Agencies may extend the set of Assigned Values by adding specialist schemes or their own internal functional or subject-based schemes.	

3.3 Title Words

Definition	The words used to name the record – ie the title.
Purpose	To enable searching on a title in its entirety. To allow an exact hit on a record if its title is known in full by the searcher.
Obligation	Mandatory
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By?	In the case of items, manually entered (or selected from a linked thesaurus) by the Record Creator. In the case of files, manually entered (or selected from a linked thesaurus) by an agent, such as a Registrar or Records Manager.
Schemes	Thesaurus or controlled vocabulary used by the agency (and nominated in sub-element 3.2 Scheme Name).
Comments	-

3.4 Alternative

Definition	An alternative name by which the record is known.
Purpose	To identify the same record to areas or individuals that may refer to it by an alternative name to its official title. Organisations, business areas and individuals often have shorthand methods of referring to records, particularly if they have long or complex titles. The use of an acronym of the title, or of an informal or colloquial title, are common examples of this.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	In the case of items, manually entered (or selected from a linked thesaurus) by the Document Author. In the case of files, manually entered (or selected from a linked thesaurus) by the Registrar or Records Manager.
Schemes	-
Comments	-

TITLE examples

Scheme Type	Functional
Scheme Name	Keyword AAA
Title Words	Information Management – Intellectual Property – Copyright – Comments on draft Copyright Bill
Alternative	Draft Copyright Bill

Scheme Type	Functional
Scheme Name	Agency Functional Thesaurus (combines Keyword AAA)
Title Words	Records Management – Implementation – Recordkeeping System Pilot 2 Issues
Alternative	RkS Pilot 2

Scheme Type	Subject-based
Scheme Name	Agency Subject Thesaurus
Title Words	Software – Desktop Authoring Tools – Installation Problems

Scheme Type	Free Text
Scheme Name	None
Title Words	System Issues for Discussion at Weekly Meetings

4. SUBJECT

Definition	The subject or topic of a record which concisely and accurately describes the record's content.		
Purpose	To act as a resource discovery access point at a finer level of detail than that provided by the element 3. TITLE. Some users may require searching capability at individual keyword level, rather than just by the title as a whole.		
Obligation	Optional (see note under Use Conditions below)		
Applicability	Applicable at item and file level.		
Use Conditions	This element shall be used if a Scheme Type under sub-element 3.1 has been designated as 'Subject-based'.		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	4.1 Keyword	} As required	} As indicated under
	4.2 Second Level Keyword	} by the	} element 3. TITLE, sub-
	4.3 Third Level Keyword	} scheme	} element 3.2 Scheme Name
Comments	<p>Some subject-based schemes are hierarchical; others allow the use of a number of equally weighted keywords.</p> <p>If the scheme is hierarchical, as many sub-elements as required should be used. If the scheme allows for equally weighted keywords, multiple 4.1 Keyword sub-elements should be used.</p> <p>Users should be able to search for records both by individual keywords and, in hierarchical schemes, by combining keywords from the different levels.</p> <p>Further keywords – as many as are allowed by the scheme, and as many as are required to adequately describe the subject(s) covered by the content of the record – may be assigned.</p>		

4.1 Keyword

Definition	In some schemes, the first (highest) level of a subject-based title. In some schemes, the first of a number of equally weighted keywords.
Purpose	To indicate the broadest subject class of the record. To act as a broad level (imprecise) search point. To provide a single search entry point. Users often conduct broad searches when they are unsure of exactly what they are looking for. It enables them to browse a large number of titles before selecting new search criteria based on the titles brought up by their initial search.
Obligation	As required by the scheme (but the highest level is often Mandatory).
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Selected from a thesaurus and assigned manually by the creator of the record.
Schemes	As indicated under element 3. TITLE, sub-element 3.2 Scheme Name.
Comments	-

4.2 Second Level Keyword

Definition	In some schemes, the second (intermediate) level of a subject-based title. In some schemes, the second of a number of equally weighted keywords.
Purpose	To indicate that the record is about a particular subject category (or categories) within the subject class specified in sub-element 4.1 Keyword. To provide a single search entry point. Users can use further keywords to either refine or broaden their search (depending on the Boolean operators used).
Obligation	As required by the scheme.
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Selected from a thesaurus and assigned manually by the creator of the record.
Schemes	As indicated under element 3. TITLE, sub-element 3.2 Scheme Name.
Comments	-

4.3 Third Level Keyword

Definition	The third level of a subject-based title.
Purpose	To make the title more specific and meaningful, and more representative of the content of the record. To provide a single search entry point. Users can use further keywords to either refine or broaden their search (depending on the Boolean operators used).
Obligation	As required by the scheme.
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Selected from a thesaurus and assigned manually by the creator of the record.
Schemes	As indicated under element 3. TITLE, sub-element 3.2 Scheme Name.
Comments	-

5. DESCRIPTION

Definition	A description, in free text prose, of the content and/or purpose of the record.
Purpose	To enable searching based on words and phrases describing the record.
Rationale	Allows for more detail than that provided by the use of a titling scheme alone. Provides a means of describing higher-level aggregations of records than items and files.
Obligation	Optional
Applicability	Applicable at all levels of aggregation.
Use Conditions	-
Repeatable?	Yes
Sub-elements	-
Default Value	None
Assigned By?	Manually assigned by an agent, usually the Registrar or an Action Officer.
Schemes	-
Comments	This element may contain an abstract or summary of a textual record, or a textual description of a non-textual record (eg an image).

6. LANGUAGE

Definition	The language of the content of the record.
Purpose	To allow searches to be restricted to records in a specific language.
Rationale	Will be of use to agencies which deal with material originating in foreign countries (eg DFAT, DIMA).
Obligation	Optional
Applicability	Applicable at item level only.
Use Conditions	-
Repeatable?	Yes
Sub-elements	-
Default Value	en (English)
Assigned By?	The default value shall be system-generated. Any changes to the default value should be entered manually by an agent.
Schemes	RFC1766 – Tags for the Identification of Languages, Defence community abbreviations, agency-defined abbreviations.
Comments	-

7. RELATION

Definition	<p>A link between one record item and another, or between various aggregations of records.</p> <p>A link between a record and another information resource.</p>		
Purpose	<p>To provide contextual information about the record by documenting its place in the recordkeeping system and its relationships with other records and information resources documenting the same function, activity or transaction.</p> <p>To act as an access point for records and information resources which are related to each other.</p> <p>Documentation of these relationships enables both proper management and informed use of records over time.</p>		
Obligation	Optional		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	<p>Not to be used for relationships other than those between records or between records and other information resources (eg not to be used to describe relationships between agents).</p> <p>It is possible for a record to have no relationship with any other record, or with any resource.</p> <p>This element should be used in conjunction with element 15. MANAGEMENT HISTORY. Use of this element will be triggered when the Assigned Value 'Related' under sub-element 15.2 Event Type is selected.</p>		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	7.1 Related Item ID	Mandatory	System-generated, filenames, URI, CRS, agency classification and numbering schemes
	7.2 Relation Type	Mandatory	RMSCA
	7.3 Relation Description	Optional	-
Comments	<p>The information captured in this element pertains only to the nature of a particular relation between records, or between records and other information resources.</p> <p>Information relating to the agent responsible for implementing the relation, and the date/time the relation was implemented, is recorded under element 15. MANAGEMENT HISTORY.</p>		

7.1 Related Item ID

Definition	A unique identifier for the related record or information resource.
Purpose	To act as an access point to more information about the related record or information resource. The identifier is an essential element which uniquely identifies the related record or resource. It also provides the 'key' or link to all other (currently accessible) information about the related record or resource.
Obligation	Mandatory
Conditions	The identifier shall uniquely identify the related record or resource in the current domain. If the related record or resource resides in another recordkeeping system, or outside the agency itself, enough identifying information shall be provided to uniquely identify the item in the domain of the record to which it is related.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Selected from lists of existing items, files or series, and assigned or manually entered by the agent defining the relationship.
Schemes	System-generated, filenames, URI, CRS, agency classification and numbering schemes.
Comments	-

7.2 Relation Type

Definition	A category of relationship between records, at the same or different levels of aggregation, or between records and other information resources.	
Purpose	To document the nature of the relationships between the two or more items. To provide contextual information about records by documenting other items with which they have logical associations or historical relationships.	
Obligation	Mandatory	
Conditions	A record may have the same relationship with more than one other record or resource. A record may have more than one relationship with another record or resource.	
Assigned Values	Value Name	Definition
	Contains/Contained in	Denotes participation in a level of aggregation. Denotes a record or resource which makes up part of a defined whole. Items may be contained in files; files (and hence items) are contained in a series. It shall not be possible to use this value to relate an item of a particular security classification to a file of a lower security classification.
	Next/Previous	Denotes that the record is the next or previous part of a sequence – eg the next or previous part of file 99/131.
	Replaces/Replaced by	Denotes that the content of the record replaces/is replaced by (supersedes/is superseded by) the content of another record.
	Refers to	Denotes that the record refers (eg through textual references, URIs or bibliographic information) to other resources.
	Derived from (source)	Denotes another record or resource from which the record is derived.
Default Value	Should be able to be agency-defined and set, based on agency requirements.	
Repeatable?	Yes	
Assigned By?	The default value shall be system-generated. Any changes to the default value should be selected by an agent from a pick list of the assigned values.	
Schemes	RMSCA, agency-defined.	
Comments	‘Other Relations’ may be added as an Assigned Value by agencies to meet their own requirements for defining relationships between records, and records and other information resources. If sub-element 7.3 Relation Description is used, each Assigned Value under this sub-element should have a specially designed template associated with it. This would be used by agency staff when entering the event details under sub-element 7.3 Relation Description (see Comments under sub-element 7.3).	

7.3 Relation Description

Definition	Information about the relationship not explicit or obvious in sub-element 7.2 Relation Type. Further explanatory notes or details about the relationship.
Purpose	To provide additional contextual information about the relationship. It might be necessary to explain the reasoning behind why a particular relationship between particular records/resources was defined. Specific details about the actual instance of the relationship (other than date/time and agent information, which is recorded under element 15. MANAGEMENT HISTORY) might need to be recorded.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Manually entered by the agent defining the relationship. The amount of manual entry should be minimised by the use of templates.
Schemes	-
Comments	It is strongly recommended that this information be structured in some way, rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent.

RELATION examples

Related Item ID	1999/232, 1999/784
Relation Type	Contained in
Relation Description	Item associated with (placed on) two separate files

Related Item ID	f0098341 [System-assigned ID]
Relation Type	Next
Relation Description	New part number of file 97/112370

Related Item ID	SOP5.1.2
Relation Type	Replaces
Relation Description	Replace Version 1.2 of the procedures with Version 2.0

Related Item ID	http://www.ogit.gov.au/gatekeeper/index.html
Relation Type	Refers to
Relation Description	Chapter 4 of Project Gatekeeper paper

Related Item ID	h:\policies\erm9905.doc
Relation Type	Derived from
Relation Description	Includes Chapters 2 and 5 from the current Electronic Records Management Policy

8. COVERAGE

Definition	The jurisdictional, spatial and/or temporal characteristics of the <i>content</i> of the record.		
Purpose	To allow a search to be restricted to records about a certain jurisdiction, place or time.		
Rationale	Useful for agencies which collect and work with raw data on a large scale.		
Obligation	Optional		
Applicability	Applicable at item and file levels.		
Use Conditions	The information required in this element will often be adequately reflected in elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION or 9. FUNCTION. Use of this element for recordkeeping purposes is likely to be restricted to those agencies which deal with statistical or geospatial data on a large scale.		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	8.1 Jurisdiction	Optional	-
	8.2 Place Name	Optional	LCSH – Library of Congress Subject Headings, TGN – Getty Thesaurus of Geographic Names, agency-defined schemes
	8.3 Period Name	Optional	ISO 8601 – Standard for Date Encoding
Comments	-		

8.1 Jurisdiction

Definition	The jurisdiction(s) covered by and/or discussed in the content of the record.	
Purpose	To enable a search to be conducted on records covering nominated jurisdictions. To facilitate management of records dealing with the same jurisdiction. May provide valuable information about the content of the record which is additional to that provided by elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION and 9. FUNCTION.	
Obligation	Optional	
Conditions	-	
Assigned Values	Value Name	Definition
	Commonwealth	-
	ACT	-
	NSW	-
	QLD	-
	SA	-
	TAS	-
	VIC	-
	WA	-
	Australian Territories	Includes, for example, Australian Antarctic Territory, Christmas Island, Cocos Island.
Local	-	
Default Value	Commonwealth	
Repeatable?	Yes	
Assigned By?	The default value shall be system-generated. Any changes to the default value should be selected from a pick list of assigned values by an agent.	
Schemes	-	
Comments	Agencies which deal with records about Australian Territories may choose to make each individual Territory an Assigned Value for this sub-element.	

8.2 Place Name

Definition	Locations, regions or geographical areas covered by and/or discussed in the content of the record.
Purpose	To enable searches to be conducted on records covering nominated locations, regions or geographical areas. To facilitate management of records dealing with the same locations, regions or geographical areas. May provide valuable information about the content of the record which is additional to that provided by elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION and 9. FUNCTION.
Obligation	Optional
Conditions	Will often be indicated by the standard place name of the location being referred to. Some agencies use mechanisms such as digraphs, trigraphs or tetragraphs to refer to regions and locations, and these indicators are also acceptable.
Assigned Values	These may be specified by an agency to meet its own requirements.
Default Value	A default value may be specified by the agency.
Repeatable?	Yes
Assigned By?	The default value shall be system-generated. Any changes to the default value should be entered manually by an agent or selected by an agent from a pick list of assigned values.
Schemes	LCSH – Library of Congress Subject Headings, TGN – Getty Thesaurus of Geographic Names, agency-defined schemes.
Comments	-

8.3 Period Name

Definition	The time period covered by and/or discussed in the content of the record.
Purpose	To enable searches to be conducted on records covering nominated time periods or date ranges. To facilitate management of records dealing with the same time periods or date ranges. May provide valuable information about the content of the record which is additional to that provided by elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION and 9. FUNCTION.
Obligation	Optional
Conditions	Both standard period names and standard dates/date ranges may be used.
Assigned Values	These may be specified by an agency to meet its own requirements.
Default Value	A default value may be specified by the agency.
Repeatable?	Yes
Assigned By?	The default value shall be system-generated. Any changes to the default value should be entered manually by an agent or selected by an agent from a pick list of assigned values.
Schemes	ISO 8601 – Standard for Date Encoding
Comments	-

9. FUNCTION

Definition	The general or agency-specific business function(s) and activities which are documented by the record.		
Purpose	To document the relationship between records and the functions/activities they represent. To act as a resource discovery access point at a finer level of detail than that provided by the element 3. TITLE.		
Rationale	Documentation, through recordkeeping, of activities and transactions pertaining to the agency's core business functions will help to maintain agency accountability for its actions. Some users may require searching capability at individual descriptor level, rather than just by the title as a whole.		
Obligation	Optional (but use of this element is strongly recommended – see Comments below).		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	This element shall be used if a Scheme Type under sub-element 3.1 has been designated as 'Functional'.		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	9.1 Function Descriptor	Mandatory	} Keyword AAA, } agency functional } thesaurus
	9.2 Activity Descriptor	Mandatory	
	9.3 Third Level Descriptor	Optional	
Comments	Users should be able to search for records both by individual descriptors and by combining descriptors from the different levels. It is anticipated that this element will become Mandatory in time, as agencies move towards the use of Keyword AAA and start to meet the National Archives' requirement for the implementation of functional disposal authorities. The information recorded under element 20. MANDATE applies to the function(s) or function/activity pairs which describe the record. Agencies may choose to link the functions and activities documented under sub-elements 9.1 and 9.2 to their specific mandates, as recorded in element 20. MANDATE.		

9.1 Function Descriptor

Definition	The particular business function(s) documented by the record.
Purpose	To relate the record to the highest level of business activity it documents. To enable discovery of records related to a specific government business function. To ensure visibility and accountability of recordkeeping in a particular functional area. To provide a means of measuring how well an agency is meeting its high-level recordkeeping requirements.
Obligation	Mandatory
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Values to be selected from a controlled vocabulary, such as a functional thesaurus, and assigned by an agent, such as the Document Author or Registrar.
Schemes	Keyword AAA, agency functional thesaurus.
Comments	-

9.2 Activity Descriptor

Definition	The particular business activity or activities documented by the record.
Purpose	<p>To relate the record to the specific activities under a business function that it documents.</p> <p>To enable discovery of records related to specific government function/activity combinations.</p> <p>To ensure visibility and accountability of recordkeeping in a particular activity under a specific functional area.</p> <p>To provide a means of measuring how well an agency is meeting recordkeeping requirements pertaining to particular function/activity combinations.</p>
Obligation	Mandatory
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Values to be selected from a controlled vocabulary, such as a functional thesaurus, and assigned by an agent, such as the Document Author or Registrar.
Schemes	Keyword AAA, agency functional thesaurus.
Comments	-

9.3 Third Level Descriptor

Definition	A narrower activity descriptor which captures the actions or specific topics documented by the record.
Purpose	<p>To provide specific information about the transaction documented by the content of the record.</p> <p>To enable discovery of records which relate to specific government function/activity combinations, and which also document individual actions or transactions (it is useful as a further point of discovery because many users find it more natural to search for records by topic than by function or activity).</p> <p>To help document accountability for individual actions or transactions undertaken within particular functions/activities.</p>
Obligation	Optional
Conditions	Shall not be used on its own. This descriptor is meant to enhance the functional description of the record, not to stand on its own as a series of subject keywords.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Entered manually by an agent, such as the Document Author or Registrar.
Schemes	Keyword AAA, agency functional thesaurus.
Comments	-

FUNCTION examples

Function Descriptor	Information Management
Activity Descriptor	Intellectual Property
Third Level Descriptor	Copyright

Function Descriptor	Records Management
Activity Descriptor	Implementation
Third Level Descriptor	Recordkeeping System Pilot 2 Issues

Function Descriptor	Personnel
Activity Descriptor	Security

10. DATE

Definition	The dates and times at which the fundamental recordkeeping actions of creation, transaction and registration occur.		
Purpose	<p>To provide system validation of the acts of creation, transaction and registration. In combination with other metadata elements added at creation, transaction and registration, to provide evidence of the record's authenticity.</p> <p>To restrict or facilitate access to records based on their dates of creation, transaction or registration.</p> <p>These dates are 'defining' dates in the life of records, and are essential for the proper and accountable management of records.</p>		
Obligation	Mandatory		
Applicability	Sub-elements 10.1 and 10.3 are applicable at all levels of aggregation. Sub-element 10.2 is only applicable at item level.		
Use Conditions	<p>Values shall be assigned to the sub-elements at the actual dates and times the events themselves take place.</p> <p>This element shall be linked to element 1. AGENT to enable the corporate entity/element or individual responsible for each of the three actions to be recorded.</p> <p>This element shall also be linked to element 14. RECORD IDENTIFIER.</p>		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	10.1 Date/Time Created	Mandatory	} ISO 8601 – } Standard for } Date Encoding
	10.2 Date/Time Transacted	Mandatory	
	10.3 Date/Time Registered	Mandatory	
Comments	<p>The dates included in this element are fundamental to the description of a record. All other dates which pertain to the management, use and preservation of records are covered under elements 15. MANAGEMENT HISTORY, 16. USE HISTORY and 17. PRESERVATION HISTORY.</p> <p>For implementation purposes, this element may be subsumed under element 15. MANAGEMENT HISTORY.</p>		

10.1 Date/Time Created

Definition	The date and time at which a record is sent or received by a corporate entity, such as an agency, in the course of its business.
Purpose	To provide information on when the physical or logical entity which is/will be a record comes into being. To enable a search to be restricted to before, after or between particular dates of creation. Creation is a fundamental date in the life of a record. Creation date/time is a natural search point for users.
Obligation	Mandatory
Conditions	Shall be used in conjunction with element 1. AGENT, sub-element 1.1 Agent Type, Assigned Value 'Record Creator', and with element 14. RECORD IDENTIFIER. For a single item, this sub-element shall contain a single date. For aggregations of records, this sub-element shall contain a date range.
Assigned Values	-
Default Value	The system date/time at the time of creation.
Repeatable?	No
Assigned By?	System-generated
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	The act of creation applies not only to an item, but also to the logical aggregations file and series. In the case of aggregations of records, the value for this sub-element will be expressed as a date range. In many cases the date and time of creation may be identical to the date and time of transaction (see sub-element 10.2) or registration (see sub-element 10.3).

10.2 Date/Time Transacted

Definition	<p>The date and time at which the action or transaction documented by the record takes place.</p> <p>The date and time at which the action or transaction which results in the creation of a record takes place.</p>
Purpose	<p>To provide information about the date and time of an action or transaction, as distinct from information about the date and time of record creation.</p> <p>The date and time of the action or transaction which results in, or which is documented by, the creation of a record is a fundamental piece of information about that record.</p> <p>Proof of the date and time of an action or transaction is often crucial as evidence in a court of law.</p>
Obligation	Mandatory
Conditions	Shall be used in conjunction with element 1. AGENT, sub-element 1.1 Agent Type, Assigned Values ‘Transactor’ or ‘Action Officer’, and with element 14. RECORD IDENTIFIER.
Assigned Values	-
Default Value	The system date/time at which the action or transaction takes place.
Repeatable?	No
Assigned By?	The default value shall be system-generated. There may be times, however, when the action or transaction documented by the record may have taken place at some earlier time, and this information will have to be entered manually by the agent.
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	<p>In some cases the action or transaction is documented by a record after the action/transaction has occurred – eg minutes of a meeting (an action/transaction) form a record of that meeting, but the record itself may not be created until some time (hours or days) afterwards.</p> <p>In other cases the record itself is the transaction, and the date and time of the action/transaction will be identical to the date and time of creation – eg the act of sending an email (an action/transaction) is often simultaneous with the act of record creation.</p>

10.3 Date/Time Registered

Definition	The date and time at which the record is captured into the recordkeeping system.
Purpose	To document the date and time that the record came under the management and control of a formal recordkeeping system. To act as a search point for records management purposes. The date and time a record comes under formal records management control can be crucial in proving the authenticity and integrity of that record.
Obligation	Mandatory
Conditions	Shall be used in conjunction with element 1. AGENT, sub-element 1.1 Agent Type, Assigned Values 'Registrar', 'Records Manager' or 'Action Officer', and with element 14. RECORD IDENTIFIER.
Assigned Values	-
Default Value	The system date/time at the time the record is registered into the recordkeeping system.
Repeatable?	No
Assigned By?	System-generated
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	In many cases the date and time of registration may be identical to the date and time of creation (see sub-element 10.1). Whether or not creation and registration are simultaneous will depend on recordkeeping system design and implementation.

DATE examples

This element is meant to be implemented as a miniature history ‘log’. As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which *particular* information about agents and record IDs/titles etc is incorporated into this log is a system design decision that must be made by the agency.

The example below is not based on any assumptions as to how the DATE log will be designed and implemented. It could be implemented by keeping a separate log for each individual record. It could also be implemented by placing all fundamental date information on all records in one logical table, and writing search queries to extract the relevant details for each individual record. This information could also be displayed as the first three events in the MANAGEMENT HISTORY log. However, the purpose of the example is only to show the basic sorts of information which should be displayed in a record’s DATE log.

For user interface purposes, the column names displayed in the log do not have to exactly match the names of particular sub-elements.

Item, ID xz885212

Action	Date/Time	Agent Type	Agent Name	Agent Details
Created	1999-04-09T11:18+10:00	Creator	National Archives of Australia (NAA)	-
Transacted	1999-04-09T11:18+10:00	Action Officer	J. Jakovic	Government Services, NAA johnjak@naa.gov.au
		Action Officer	S. Jenson	National Library of Australia sjenson@nla.gov.au
Registered	1999-04-09T11:18+10:00	Action Officer	J. Jakovic	Operations Section, Government Services

Item, ID 117/99

Action	Date/Time	Agent Type	Agent Name	Agent Details
Created	1999-04-13T15:07+10:00	Creator	National Archives of Australia (NAA)	-
Transacted	1999-04-12	Transactor	J. Jakovic	GS Operations, NAA johnjak@naa.gov.au
		Transactor	M. Richards	Staffing, NAA mitchelr@naa.gov.au
Registered	1999-04-14T08:53+10:00	Records Manager	I. Stamp	Information Management, NAA ivanst@naa.gov.au

File, ID 1999/251

Action	Date/Time	Agent Type	Agent Name	Agent Details
Created	1999-04-14T10:09+10:00	Creator	National Archives of Australia (NAA)	-
Registered	1999-04-14T10:10+10:00	Registrar	P. Sharpe	Facilities Section, NAA pamelas@naa.gov.au

11. TYPE

Definition	The recognised form a record takes, which governs its internal structure and relates to its transactional purpose or to the action or activity it documents.	
Purpose	To provide additional information about the purpose and context of the record. To assist users in interpreting information contained in the record by identifying its internal structure.	
Rationale	May provide valuable extra information about the nature of the original action or transaction which is not evident from elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION and/or 9. FUNCTION.	
Obligation	Optional	
Applicability	Applicable at item level only.	
Use Conditions	-	
Repeatable?	No	
Sub-elements	-	
Assigned Values	Value Name	Definition
	Agenda	-
	Guideline	-
	Instruction	-
	Letter	-
	Message	-
	Minute	-
	Memorandum	-
	Presentation	-
	Procedure	-
Report	-	
Default Value	Should be able to be agency-defined and set.	
Assigned By?	Should be system-generated (see note under Comments).	
Schemes	-	
Comments	Agencies may apply to add other Assigned Values to meet their particular business requirements. Record types are often represented by templates in use within an agency. Such templates could be linked to the system and, when called up by an agent, used as triggers which enable the element to be system-assigned.	

12. AGGREGATION LEVEL

Definition	The level at which the record(s) is/are being described and controlled. The level of aggregation of the unit of description.	
Purpose	To control the management actions which may be taken on the record(s). To allow searches to be restricted to records at a particular level of aggregation.	
Rationale	This element acts as a 'switch'. Appropriate management and control of records is enabled according to their level of aggregation. The aggregation level also dictates the types of metadata to be assigned to the record(s). The Applicability field included under each metadata element description indicates the level(s) of aggregation to which that element may be applied.	
Obligation	Mandatory	
Applicability	Applicable to all records.	
Use Conditions	-	
Repeatable?	No	
Sub-elements	-	
Assigned Values	Value Name	Definition
	Item	A single document, such as a report, a minute or an email message.
	File	A group of logically associated documents, which may or may not be physically co-located. The logical association may be based on function/activity, subject or some other criterion.
	Series	A group of items or files created or maintained by an agency or person that, regardless of currency, value or present custody, are in the same identifiable sequence, or result from the same accumulation or filing process and are of similar function, format or informational content.
Default Value	Item	
Assigned By?	The default value shall be system-assigned. Any changes to the default should be selected by an agent from a pick list of the assigned values.	
Schemes	Australian Standard on Records Management (AS 4390), Part 4; CRS.	
Comments	The 'consignment' is not included here as a level of aggregation because it relates to a temporary physical grouping of records. In addition, the consignment is no longer being used as a means of intellectual control within the National Archives' CRS system. From the latter part of 1999, the transfer of records will be managed using the 'Transfer Record' application in the National Archives' integrated archival management system.	

13. FORMAT

Definition	The logical form (media and data format) and physical form (medium and extent) of the record.		
Purpose	<p>To serve as a management tool for the control, storage and preservation of records over time.</p> <p>To provide information, or pointers to information, on the technology required for access to the various kinds of electronic records held by an agency.</p> <p>To act as a resource discovery access point for recordkeeping professionals and other users.</p>		
Rationale	It is essential that information about media and data formats and storage media be kept, so that appropriate preservation and storage strategies are put in place for records of long-term value.		
Obligation	Optional		
Applicability	Generally applicable at item level only. Could be applicable at file level if all items associated with the file were of the same format.		
Use Conditions	<p>This element is intended to provide information on which preservation strategies will be based. Therefore, only minimal details about format and medium need to be kept for records of short-term temporary value. Such records are unlikely to ever require any kind of preservation action.</p> <p>If used, information in this element needs to be updated whenever a record is migrated from one format to another or moved to a new medium.</p> <p>It is recommended that this element be used in conjunction with element 17. PRESERVATION HISTORY. Selection of many of the Assigned Values under sub-element 17.2 Action Type should result in new details being written to this element (see Conditions under each FORMAT sub-element for specific information). The old details should be moved to element 17. PRESERVATION HISTORY, sub-element 17.3 Action Description.</p>		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	13.1 Media Format	Mandatory	IMT – Internet Media Types, generic file format listings
	13.2 Data Format	Mandatory	IMT, IT standards, AS and ISO standards
	13.3 Medium	Mandatory	Physical description scheme, IT standards, AS and ISO standards
	13.4 Extent	Optional	Physical description scheme, IT standards
Comments	The sub-elements are dynamic fields and shall always reflect the record's current status with regard to format and medium.		

13.1 Media Format

Definition	The generic format of the information comprising the record.	
Purpose	<p>To provide general information about the format of the record.</p> <p>To enable searching on all records of a particular generic format.</p> <p>To facilitate preservation and storage management.</p> <p>For preservation management purposes, to provide a general indication of the kind of preservation action the record will require.</p> <p>To enable movement of records from one medium or location to another based on their generic format, so records of like format can be stored together.</p>	
Obligation	Mandatory	
Conditions	Shall be used in conjunction with sub-element 13.2 Data Format to determine precise requirements for rendering the record, or to determine specific preservation strategies.	
Assigned Values	Value Name	Definition
	Audio	Sound only.
	Compound	<p>A resource comprising one or more other resources, which are linked together in some way to form a single object (eg HTML documents with embedded graphics or video clips, or email messages with word-processed documents attached). The Media and Data Formats of the individual resources comprising the object may be the same or different.</p> <p>If the Data Formats of the resources comprising the object are the same, then the Assigned Value can also include the generic Media Format (eg if the object comprises several linked SGML documents, the Assigned Value could be 'Compound (Text)').</p>
	Image	A static graphical representation of an object (including a textual object).
	Text	A textual document.
	Video	Moving images or pictures.
Default Value	Text	
Repeatable?	No	
Assigned By?	The generic form of a record should be able to be detected by the system, and system-assigned.	
Schemes	IMT – Internet Media Types, generic file format listings.	
Comments	Further assigned values for Media Formats may be added over time as formats evolve.	

13.2 Data Format

Definition	<p>The logical format of the data that comprises the record.</p> <p>The (often proprietary) file format of the record, usually denoted by the record's file extension.</p>	
Purpose	<p>To provide specific information on which decisions about the storage, preservation and rendering of records can be made.</p> <p>To enable searching on records of a particular data format for management or resource discovery purposes.</p> <p>To facilitate preservation and storage management.</p> <p>To enable movement of records from one medium or location to another based on their particular data format, so that records of the same data format can be managed together, migrated at the same time, etc.</p>	
Obligation	Mandatory	
Conditions	<p>This element should be used in conjunction with sub-element 13.4 Extent to provide full information on the format and size of the record.</p> <p>It is recommended that this sub-element be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type, Assigned Values 'Compressed', 'Imaged', 'Microfilmed' and 'Migrated'.</p> <p>The use of any of the above listed Action Types should result in the old Data Format details being copied to sub-element 17.3 Action Description, and the new details being written to this sub-element.</p>	
Assigned Values	Value Name	Definition
	ASCII text	Plain text (non-proprietary).
	Audio Visual Interleave (AVI)	Microsoft proprietary audiovisual file format.
	Hypertext Markup Language (HTML)	A format for marking up and linking text.
	Joint Photographic Experts Group (JPEG)	A graphics format.
	Multipurpose Internet Mail Extensions (MIME)	A compound format which enables the embedding of documents of various data formats into an email message.
	Portable Document Format (PDF)	Adobe image format, often used for imaging text.
	Real Audio (RA)	An audio format.
Default Value	-	
Repeatable?	Yes, in the case of a compound record.	
Assigned By?	The particular data format of a record shall be able to be detected by the system, and system-assigned.	
Schemes	IMT, IT standards, AS and ISO standards.	

Comments	This sub-element has many possible values. The above assigned values are only
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	<p>meant to provide representative samples.</p> <p>Agencies may choose to include version information as part of their Assigned Values for this sub-element.</p> <p>Agencies will need to work with vendors to ensure that the values they require, based on the particular data formats with which they work on a day-to-day basis, are included in their recordkeeping systems.</p> <p>This sub-element is not intended to include detailed technical specifications of the data format. Such information is often available elsewhere and, in situations where the information will be needed (eg to make a decision about migration strategies), it is suggested that links be provided from the values in this sub-element to relevant technical descriptions.</p> <p>Technical descriptions should include information about the software required to read the data format and the hardware platform required to run the software. Such descriptions should also specify the types of linking or embedding used in particular kinds of compound or multimedia documents, such as email messages with attachments or web pages containing text, video, sound and links to other pages.</p>
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13.3 Medium

Definition	The physical ‘carrier’ on which a record is stored, including, if required, the physical size and/or capacity of the carrier to hold or store information.	
Purpose	<p>To keep track of how and where a record is stored.</p> <p>To provide information about the capacity or physical size limitations of a storage medium.</p> <p>To enable forward planning for preservation actions such as the refreshing of records from one medium to another.</p> <p>To facilitate the development of effective strategies for the continued storage and preservation of records.</p> <p>To enable the informed selection of a storage medium for large or small numbers of records, records with large file sizes, or records which are frequently accessed.</p> <p>Well-managed storage and preservation operations facilitate the efficient location and retrieval of records and ensure continued access to valuable records over time.</p>	
Obligation	Mandatory	
Conditions	<p>While an item shall only be stored as ‘the record’ in one place, it may have defined relationships with more than one file, and it may be copied to another medium for backup purposes.</p> <p>It is recommended that this sub-element be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type, Assigned Values ‘Backed Up’, ‘Medium Refreshed’, ‘Microfilmed’, ‘Migrated (Platform)’ or ‘Moved Offline’.</p> <p>The use of any of the above listed Action Types should result in the old Medium details being copied to sub-element 17.3 Action Description and the new details being written to this sub-element.</p>	
Assigned Values	Value Name	Definition
	CD-R	Recordable Compact Disc – an optical storage medium which can be written to once only.
	DAT	Digital Audio Tape – a digital magnetic tape medium with up to 24 gigabytes of storage capacity.
	DVD	Digital Versatile Disk – a CD-ROM format with a maximum 17 gigabytes of storage capacity, intended to have full read/write capabilities.
	Floppy disk	A removable magnetic computer disk, with limited storage capacity (generally 1.44 megabytes).
	Hard disk	A fixed computer disk with several gigabytes of storage capacity.
	JAZ drive	A removable disk drive with up to 1 gigabyte of storage capacity.
	Microfilm	A film in roll form (16 or 35mm in width) which is used for storing reduced-size images of text and graphics.
	Paper	-
Videotape	Magnetic tape for storing moving pictures and sound.	

Assigned Values	Value Name	Definition
	WORM	Write Once Read Many – an optical disk drive with up to 1 terabyte of storage capacity which, once written to, becomes read-only.
	ZIP drive	A removable, portable disk drive with 100 megabytes of storage capacity.
Default Value	A default value shall be able to be set by an agency which reflects its own records storage policy.	
Repeatable?	No	
Assigned By?	The default value should be system-generated. Any changes to the default value should be selected by an agent from a pick list of assigned values.	
Schemes	Physical description scheme, IT standards, AS and ISO standards.	
Comments	Further assigned values for Medium may be added to meet agency requirements, both now and over time as new storage media and new storage media formats emerge.	

13.4 Extent

Definition	The physical size and/or capacity of the record.
Purpose	To provide information about the size of the record and the amount of storage space (either physical or electronic) that it requires. To enable the informed selection of a storage medium for large or small numbers of records, records with large file sizes, or records which are frequently accessed.
Obligation	Optional
Conditions	If used, this sub-element should be linked to sub-element 13.2 Data Format and updated as necessary whenever records are migrated to new formats. The old values for this sub-element should be copied, along with the old Data Format values, to element 17. PRESERVATION HISTORY, sub-element 17.3 Action Description.
Assigned Values	-
Default Value	-
Repeatable?	Yes, if the record is in the Media Format 'Compound'.
Assigned By?	For electronic records, the value should be system-assigned. The value for hard copy records (on paper, microfilm, etc) will need to be manually entered, or selected from a pick list of defined values.
Schemes	Physical description scheme, IT standards.
Comments	-

FORMAT examples

Media Format	Text
Data Format	ASCII text
Medium	Paper
Extent	A4, 8 pages

Media Format	Compound (Text)
Data Format	HTML
Medium	Hard disk (Intranet server)

Media Format	Text
Data Format	Microsoft Word 97
Medium	Floppy disk
Extent	1.26Mb

Media Format	Compound
Data Format	MIME
Medium	Hard disk (corporate records store)
Extent	210K

Media Format	Image
Data Format	JPEG
Medium	CD-R
Extent	3.8Mb

Media Format	Image
Data Format	PDF
Medium	JAZ drive (offline corporate records store)
Extent	3.8Mb

Media Format	Compound
Data Format	HTML / GIF / Real Audio
Medium	Hard disk (corporate web server)
Extent	13Mb

14. RECORD IDENTIFIER

Definition	A unique identifier for the record(s).
Purpose	To uniquely identify the record(s) in the current domain, regardless of the level of aggregation. To act as an access point to more information about the record(s).
Rationale	The identifier is an essential element which not only uniquely identifies the record(s), but also provides the 'key' to all other (currently accessible) information about the record(s).
Obligation	Mandatory
Applicability	Applicable at all levels of aggregation.
Use Conditions	The type and form of the identifier will be determined by the aggregation level of the record(s), which is documented under element 12. AGGREGATION LEVEL. An identifier at a particular aggregation level, such as item or file, may have to be combined with identifiers at other levels, or identifiers of other entities such as sub-element 1.1 Agent Type and/or sub-element 18.4 RKS ID, to ensure that a record continues to be uniquely identified if moved outside the original agency domain. There shall be links between this element and all elements used to document the history of actions taken on a record (ie elements 10. DATE, 15. MANAGEMENT HISTORY, 16. USE HISTORY and 17. PRESERVATION HISTORY). Agencies which use extensive copy numbering for distribution or dissemination purposes, and which need to track individually copy-numbered material, should use this element to indicate the copy number of the record (in the form 'Copy No. x of y'). The copy number will denote a legitimate and accounted-for copy of the record (ie it will be treated as a record in its own right).
Repeatable?	Yes
Sub-elements	-
Default Value	-
Assigned By?	System-generated in the case of an item; other identifiers may have to be manually assigned by an authorised agent.
Schemes	System-generated, URI, CRS, agency classification and numbering schemes.
Comments	This element allows for a layered approach to identifying the record(s). An item will have an identifier which uniquely identifies it from all other items in the system. When the item is associated with a file, it 'inherits' the file ID as part of its unique identifier. Likewise, when the file is associated with a series, it (and the items associated with the file) will inherit these additional identifiers which will enable both items and files to be uniquely identified outside the original agency domain. This same layered approach will work with identifiers which are sub-elements of other elements. Note that some care will need to be taken with regards to 'layering' because there can be more than one unique identifier – ie different unique identifiers may be assigned to the same unit of description, with each one serving a very different purpose. For example, a file may have a unique control symbol which reflects the sequence in which it was created, but it may also have a barcode number which is used to manage certain actions such as transfers to different storage locations.

15. MANAGEMENT HISTORY

Definition	The dates and descriptions of all records management actions performed on a record from its registration into a recordkeeping system until its disposal.		
Purpose	To act as a cumulative control record of all movements and management actions which are carried out on a single record over time. Provides a historical log of the records management and control actions performed on a record.		
Rationale	Agencies are required, as per General Disposal Authority (GDA) 14, Class No. 34.2, to maintain control records which track records movements and provide details about the management of those records over time.		
Obligation	Mandatory		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	<p>Only recordkeeping and auditing staff should have full access to this element.</p> <p>Use each time a records management action is performed on a record.</p> <p>This element shall be used in conjunction with element 1. AGENT to document the agent responsible for performing or authorising the action (see Comments under 15.3 Event Description for information on linking to/capturing agent details).</p> <p>This element shall be linked to element 14. RECORD IDENTIFIER to identify the record on which the actions are being performed.</p>		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	15.1 Event Date/Time	Mandatory	ISO 8601 – Standard for Date Encoding
	15.2 Event Type	Mandatory	RMSCA, NAA-approved agency extensions
	15.3 Event Description	Mandatory	Use of a specially designed template
Comments	The element 15. MANAGEMENT HISTORY forms a record in its own right and requires permanent retention as a control record (GDA 14, Class No. 34.2).		

15.1 Event Date/Time

Definition	The date and time at which a defined management event occurs.
Purpose	To provide system validation of management actions carried out on records. To restrict or facilitate access to records based on dates pertaining to particular management actions.
Obligation	Mandatory
Conditions	The system shall assign the date/time of the event when the corresponding Event Type (sub-element 15.2) is selected by the agent from a pick list of the assigned values – ie the selection of the event by the agent is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time.
Repeatable?	Yes
Assigned By?	System-generated.
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	-

15.2 Event Type

Definition	An event which relates to the management or control of a record.	
Purpose	To provide a finite (but extensible) set of defined management events which can be used to describe the management of the record over time.	
Obligation	Mandatory	
Conditions	<p>The following events are <i>not</i> to be used as Assigned Values in this element:</p> <p>‘File Opened’ – this equates to Record Creation (ie the creation of a record whose unit of description is a file) and is covered by element 10. DATE, sub-element 10.1 Date/Time Created.</p> <p>‘Received’ (an item from an external entity is received) – this equates to Record Creation and Registration (ie for the purposes of the agency, the record is not created until it is received/registered into the recordkeeping system) and is covered by element 10. DATE, sub-elements 10.1 Date/Time Created and 10.3 Date/Time Registered.</p> <p>‘Sent’ (a copy of a record is forwarded to an external entity) – not necessary, because the ‘sending’ of a record results in the creation of another record.</p>	
Assigned Values	Value Name	Definition
	Access Examined	Record examined to identify any exempt material it may contain (not generally carried out by an agency).
	Appraised	Record examined to assess value, and to determine where and for how long it should be kept.
	Audited	Record scrutinised by an authorised internal or external auditor to check agency compliance with various recordkeeping mandates, such as legislation and standards.
	Caveat Changed	Caveat is changed, added to or removed from a record. Use of this value shall result in sub-element 2.2 Caveat being updated.
	Classification Up/Downgraded	Classification of a record is upgraded or downgraded (including declassification). Use of this value shall result in sub-element 2.1 Security Classification being updated.
	Codeword Changed	Codeword is changed, added to or removed from a record. Use of this value shall result in sub-element 2.3 Codeword being updated.
	Custody Transferred	Record is placed under management by another organisation and transferred to a new storage location. Use of this value shall result in the sub-elements under element 18. LOCATION (if used) being updated.
	Declassified	Classification of a record is removed (ie the record becomes ‘unclassified’).
	Destroyed	Record is deleted from the system (but some of the record’s metadata will be retained – refer to Part One of this standard for details).
	Distributed	Refers to copies of a single record being distributed (sent) to multiple recipients, using the mechanism of formal distribution lists.

Assigned Values	Value Name	Definition
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Document Authored	The content of a document which is a record, or which is part of a record, is written/compiled by the Agent Type 'Document Author'. As a record can be comprised of more than one document, this Assigned Value is repeatable for any given record.
File Closed	All activities and transactions documented by a particular file have ceased, and no further items are to be associated with that file.
Location Changed	Record is moved to another location/office (either local or remote) within the agency. Different from 'Custody Transferred', in that the agency retains management control of the record. Use of this value shall result in the sub-elements under element 18. LOCATION (if used) being updated.
Published	Record is formally published – eg on the agency's website. If sub-element 2.5 Access Status is used, this action should only occur if the Access Status is set to 'May be Published'.
Related	Record is related in some way to another record or to an information resource (this event will be triggered each time element 7. RELATION is used).
Released under FOI	Record is released to an individual or party as the result of a request under FOI.
Released with Limitations	Record is released to a limited (agency-defined) audience only; or only limited parts, sections or contents of records are released.
RI Changed	Releasability Indicator is changed, added to, or removed from a record. Use of this value shall result in sub-element 2.4 Releasability Indicator being updated.
Sentenced	Application of the relevant disposal action to a record identified as belonging to a particular Disposal Class. Use of this value shall result in sub-element 19.2 Sentence being updated, and the date in sub-element 19.3 Disposal Action Due being calculated.
Sentence Changed	The disposal action for a record is changed because the disposal authority changes, the record is identified as belonging to a different Disposal Class, or the record becomes the subject of a discovery order or disposal freeze. Use of this value shall result in sub-element 19.2 Sentence being updated, and the date in sub-element 19.3 Disposal Action Due being recalculated.

Assigned Values	Value Name	Definition
	Top Numbered	The previous control number of a record is cancelled and a new one assigned, in order to incorporate an older record into a current recordkeeping system. Use of this value shall result in another identifier being assigned to the record under element 14. RECORD IDENTIFIER.

Default Value	-
Repeatable?	Yes
Assigned By?	Selected by an agent from a pick list of the assigned values.
Schemes	RMSCA, NAA-approved agency extensions.
Comments	<p>Agencies may apply to the National Archives for further events to be added to this list which meet specific management requirements.</p> <p>Each time a particular event occurs, it will change the current values displayed in one or more other sub-elements (the specific details of this are listed as part of the description for each event and cross-referenced to the relevant elements/sub-elements). Details of the old values shall be entered under sub-element 15.3 Event Description.</p> <p>Each Assigned Value should have a specially designed template associated with it for use by agency staff when entering the details of the event under sub-element 15.3 Event Description (see Comments under sub-element 15.3).</p>

15.3 Event Description

Definition	The specific details of the event, including information about the original status, the changes made to it, the reasons for the changes, and authorisation for the changes.
Purpose	To ensure the visibility and auditability of agency records management decisions and actions. To ensure accountability for agency recordkeeping.
Obligation	Mandatory
Conditions	The old value of the particular record status being changed by the event shall be recorded in this sub-element.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By?	The action of selecting the Event Type under sub-element 15.2 should cause the system to automatically bring up a template tailored for that Event Type, and to prompt the agent to fill in the Event Description details (see Comments below).
Schemes	-
Comments	It is strongly recommended that this information be structured in some way, rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent – eg required information about the agent could be automatically assigned to the template. Information about the agent performing the action shall be associated with the event itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether agent information is automatically captured through the use of templates and stored as part of the Event Description.

MANAGEMENT HISTORY example

This element is meant to be implemented as a history ‘log’. As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which *particular* information about agents and record IDs/titles etc is incorporated into this log is a system design decision that must be made by the agency.

The example below is not based on any assumptions as to how the MANAGEMENT HISTORY log will be designed and implemented. It could be implemented by keeping a separate log for each individual record. It could also be implemented by placing all management information on all records in one logical table, and writing search queries to extract the relevant details for each individual record. However, the purpose of the example is only to show the basic sorts of information which should be displayed in a record’s MANAGEMENT HISTORY log.

For user interface purposes, the column names displayed in the log do not have to exactly match the names of particular sub-elements.

Item, ID 112/94

Event Date	Agent Type	Agent Name	Agent Details	Event Type	Event Description
1994-01-24	Action Officer	N. James	Project 123 Dept of xxxx	Related	Item now contained in file 1994/007
1994-04-17	System Administrator	P. Hillis	Dept of xxxx	Location Changed	Server moved from IT Systems to Information Services area
1997-03-22	Action Officer	R. Lee	Project 123 Dept of xxxx	Related	Item replaced by item ID 717/99
1997-04-11	Security Officer	L. Jones	Dept of xxxx	Declassified	From Confidential
1997-04-11	Security Officer	L. Jones	Dept of xxxx	Caveat Changed	Commercial-in-Confidence removed
1997-07-09	Publisher	Dept of xxxx	-	Published	Placed on departmental website
1999-01-13	Records Manager	I. Stamp	Dept of xxxx	Closed	Parent file 1994/007 closed
1999-02-02	Sentencer	A. Smith	ABC Contractors	Sentenced	Under RDA 3333
2001-01-13	Records Manager	I. Stamp	Dept of xxxx	Destroyed	Deleted from Corporate Records Store

16. USE HISTORY

Definition	The dates and descriptions of both legal and illegal attempts to access and use a record, from the time of its registration into a recordkeeping system until its disposal.		
Purpose	To act as a cumulative audit trail of all significant (agency-defined) accesses to and uses made of the record over time. To provide contextual information about the ways in which the record is or was used. To provide a mechanism by which recordkeeping system security can be monitored.		
Rationale	All agencies have a responsibility to ensure that their records are adequately protected from unauthorised or illegal access and use. This element provides, in conjunction with other physical, personnel and system access controls, a means of ensuring ongoing record and recordkeeping system security.		
Obligation	Optional		
Applicability	Applicable at item (and possibly file) levels only.		
Use Conditions	If used, only recordkeeping, systems administration and auditing staff should have full access to this element. Other staff, including action officers, should be given limited (viewing and searching) access to this element. Use each time the record is used or accessed in a way an agency has defined (and documented) as 'significant'. This element should be used in conjunction with element 1. AGENT to document the agent responsible for making use of the record (see Comments under 16.3 Use Description for information on linking to/capturing agent details). This element should be linked to element 14. RECORD IDENTIFIER to identify the record which is being accessed or used.		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	16.1 Use Date/Time	Mandatory	ISO 8601 – Standard for Date Encoding
	16.2 Use Type	Mandatory	RMSCA, NAA-approved agency extensions
	16.3 Use Description	Optional	-
Comments	As an 'audit trail', this element forms a record in its own right. The level of auditing and retention periods for the resulting logs are left up to individual agencies. Agencies shall make decisions regarding these matters according to their business requirements and based on an assessment of the risks, costs and benefits involved in keeping or not keeping detailed logs for long periods of time.		

16.1 Use Date/Time

Definition	The date and time at which a defined use of or access to a record occurs.
Purpose	To timestamp when records are accessed and used. The dates and times at which a record was accessed or used may be essential information in a case of illegal access or record tampering.
Obligation	Mandatory
Conditions	The system shall assign the date/time of the event when the corresponding event described under sub-element 16.2 Event Type takes place – ie the event itself is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time.
Repeatable?	Yes
Assigned By?	System-generated.
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	-

16.2 Use Type

Definition	An event which relates to access to or use made of a record.	
Purpose	To provide a finite (but extensible) set of defined access and use events which can be used to describe and audit the use of the record over time.	
Obligation	Mandatory	
Conditions	-	
Assigned Values	Value Name	Definition
	Booked	A copy made of the record through official recordkeeping system mechanisms is provided to a user so that s/he can work on it. Other users can view the record in the recordkeeping system but cannot copy it until the original user returns the 'booked' copy to the recordkeeping system. Use of this value may result in sub-element 18.1 Current Location being updated.
	Copied*	Some or all of the content of a record is selected and pasted to another document.
	Downloaded*	Transfer of a copy of all or part of a record from the recordkeeping system to a user's network drive, local hard drive or a peripheral device such as a floppy disk drive.
	Screen Dumped*	A printout is taken of the current screen's contents.
	Viewed	The record is opened but no other action is performed.
	Illegally Accessed	An unsuccessful attempt to move, modify or delete a record without assigned system authority or other form of authorisation.
	Security Breached	A successful attempt by a user to access a classified or sensitive record that s/he is not cleared to see.
Default Value	-	
Repeatable?	Yes	
Assigned By?	System-generated.	
Schemes	RMSCA, NAA-approved agency extensions.	
Comments	<p>* In many computer systems there is little difference between 'Copied', 'Downloaded' and 'Screen Dumped'. In such cases, agencies may choose to use the value 'Copied' and include details, under 16.3 Use Description, of the device and/or file to which the record was copied (eg 'Copied to printer', 'Copied to a:\', 'Copied to file h:\mydocs\xxx.doc', etc).</p> <p>The extent to which an agency implements the auditing of these and other events is a risk-based business decision – eg an agency may choose to implement limited or no auditing of the action 'Viewed' because it is such a frequent event, or because the agency's records are not classified or sensitive in any way.</p>	

16.3 Use Description

Definition	Details of the event, such as information about where the record was downloaded to, the name and location of the document record contents were copied to, and the specific nature of any illegal action or security breach.
Purpose	To enable auditing of accesses to and uses made of agency records. To ensure accountability for agency recordkeeping.
Obligation	Optional
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By?	System-generated.
Schemes	-
Comments	Some events, such as ‘Viewed’, may not require any extra level of description. Information about the agent making use of the record shall be associated with the use itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether the agent information is automatically captured into the Use Description.

USE HISTORY example

This element is meant to be implemented as a history ‘log’. As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which *particular* information about agents and record IDs/titles etc is incorporated into this log is a system design decision that must be made by the agency.

The example below is not based on any assumptions as to how the USE HISTORY log will be designed and implemented. It could be implemented by keeping a separate log for each individual record. It could also be implemented by placing all usage and access information on all records in one logical table, and writing search queries to extract the relevant details for each individual record. However, the purpose of the example is only to show the basic sorts of information which should be displayed in a record’s USE HISTORY log.

For user interface purposes, the column names displayed in the log do not have to exactly match the names of particular sub-elements.

Item, ID xto77539

Use Date/Time	Agent ID	Agent Name	Agent Details	Use Type	Use Description
99-05-17T08:19+10:00	wilpd	Wilson, PD	Action Officer	Viewed	-
99-05-17T08:19+10:00	jonsw	Jonas, SW	Action Officer	Copied	To location: h:\jonsw\newpart.doc
99-05-17T08:38+10:00	wilpd	Wilson, PD	Action Officer	Screen Dumped	To location: Printer07
99-05-17T10:10+10:00	stuab	Stuart, AB	Auditor, ANAO	Attempted to modify	** Illegal action **
99-05-17T10:12+10:00	stuab	Stuart, AB	Auditor, ANAO	Attempted to delete	** Illegal action **
99-05-17T10:22+10:00	hilpp	Hillis, PP	System Administrator	Viewed	-
99-05-17T14:34+10:00	tysmr	Tyson, MR	Action Officer	Booked (Out)	-
99-05-17T16:41+10:00	bilbi	Billings, BI	Action Officer	Viewed	-
99-05-17T16:50+10:00	ranto	Ransom, TO	Action Officer	Copied	To location: a:\workdocs
99-05-18T09:09+10:00	tysmr	Tyson, MR	Action Officer	Booked (In)	-

17. PRESERVATION HISTORY

Definition	The dates and descriptions of all actions performed on a record after its registration into a recordkeeping system which ensure that the record remains readable (renderable) and accessible for as long as it has value to the agency or department, and to the community at large.		
Purpose	<p>To act as a tool for preservation management.</p> <p>To provide a history of all preservation actions carried out on a single record over time.</p> <p>To provide evidence that an agency took all due care to keep its records of value both readable and accessible.</p>		
Rationale	Under the National Archives' policy of distributed management, agencies are required to take responsibility for the care and maintenance of their records of value.		
Obligation	Optional		
Applicability	<p>Migration from one data format to another is generally applicable at item level only (unless a file or series is comprised of items that are all in the same format).</p> <p>Movement of records from one hardware platform/software environment to another, or one medium to another, is applicable at all levels of aggregation.</p>		
Use Conditions	<p>If used, this element should be used in conjunction with element 13. FORMAT, which provides information on which preservation strategies should be based. It may also be used in conjunction with element 18. LOCATION, if that element is used.</p> <p>Use each time a preservation action is performed on a record – eg add information to this element whenever a record is migrated from one format to another or moved to a new medium. The current details about the format and medium of the record shall always be recorded in element 13. FORMAT, sub-elements 13.2 Data Format, 13.3 Medium and 13.4 Extent.</p> <p>Some preservation actions which involve moving or copying from one medium to another may result in changes to details held in element 18. LOCATION.</p> <p>This element should also be used in conjunction with element 1. AGENT to document the agent responsible for performing or authorising the preservation action (see Comments under 17.3 Action Description for information on linking to/capturing agent details).</p> <p>This element should be linked to element 14. RECORD IDENTIFIER to identify the record on which the preservation action is being taken.</p>		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	17.1 Action Date/Time	Mandatory	ISO 8601 – Standard for Date Encoding
	17.2 Action Type	Mandatory	RMSCA, NAA-approved agency extensions
	17.3 Action Description	Mandatory	IT standards or guidelines
	17.4 Next Action	Optional	RMSCA, NAA-approved agency extensions
	17.5 Next Action Due	Optional	ISO 8601 – Standard for Date Encoding
Comments	-		

17.1 Action Date/Time

Definition	The date and time at which a defined preservation action on a record takes place.
Purpose	To provide system validation of preservation actions carried out on records. To restrict or facilitate access to records based on dates pertaining to particular preservation actions.
Obligation	Mandatory
Conditions	The system shall assign the date/time of the event when the corresponding Action Type (sub-element 17.2) is selected by the agent from a pick list of the assigned values – ie the selection of the event by the agent is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time.
Repeatable?	Yes
Assigned By?	System-generated.
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	-

17.2 Action Type

Definition	A preservation action carried out on a record.	
Purpose	To provide a finite (but extensible) set of defined preservation actions which can be used to describe how the record was maintained in a readable and accessible state over time.	
Obligation	Mandatory	
Conditions	-	
Assigned Values	Value Name	Definition
	Backed Up	A regular maintenance procedure that copies all records, or a subset of records, in the recordkeeping system to a backup storage medium, such as a tape drive or optical disk drive. Often seen purely as a data administration function, but it has applicability to ensuring continued accessibility to the record over time. Metadata will need to be stored with backups of records. Use of this value may result in sub-element 13.3 Medium being updated. It may also result in sub-element 18.3 Home Storage Details being updated.
	Compressed (Zipped)	Records are converted by a file compression utility to a special format that minimises the amount of storage space required. Use of this value should result in further information being added to sub-elements 13.2 Data Format and 13.4 Extent. It is included here because it is important to know whether records which have been refreshed or migrated have also been compressed in order to save space. It also affects the accessibility and speed of access to a record.
	Imaged	Records are converted from their native text/document format to a particular graphics format, resulting in the information being stored as a picture or image rather than as text. Use of this value should result in sub-elements 13.1 Media Format, 13.2 Data Format and 13.4 Extent being updated.
	Medium Refreshed	Records are periodically copied from one storage medium to another to ensure that deterioration of the medium itself does not affect or prevent access to the records. Use of this value should result in sub-element 13.3 Medium being updated. It may also result in sub-element 18.3 Home Storage Details being updated.
	Microfilmed	Photographic processes are used to produce reduced-size images of records on a high-resolution, fine-grain film stock. Can be utilised with both hard copy and electronic records. Use of this value should result in sub-elements 13.1 Media Format, 13.3 Medium and 13.4 Extent being updated.

Assigned Values	Value Name	Definition
	Migrated (Platform)	Records are moved from one hardware/operating system platform to another. Use of this value may result in sub-elements 13.2 Data Format, 13.3 Medium and most sub-elements under element 18. LOCATION being updated.
	Migrated (Software)	<p>The data format of a record is updated to be compatible with (and readable by) a newer version of the same software, or is changed to be compatible with a different vendor's software – eg MS Word documents can be migrated from Word 6.0 to Word 97. Use of this value should result in sub-element 13.2 Data Format being updated (and possibly 13.4 Extent).</p> <p>This action may be required because the agency has moved to a new hardware and software environment, or because the current format of the records is becoming obsolete and is no longer supported by current technology.</p>
	Moved Offline	<p>The record is moved to some form of offline storage, such as a CD-R. Metadata about the record will also need to be stored with the record.</p> <p>Use of this value should result in sub-elements 13.3 Medium, 18.1 Current Location and 18.3 Home Storage Details being updated.</p>
Default Value	-	
Repeatable?	Yes	
Assigned By?	Selected by an agent from a pick list of the assigned values.	
Schemes	RMSCA, NAA-approved agency extensions.	
Comments	<p>Agencies may apply to the National Archives for further events to be added to this list to meet specific preservation requirements.</p> <p>Each time a particular action is carried out, it will change the current values displayed in one or more other sub-elements (refer to each event for specific details). Details of the old values shall be entered under sub-element 17.3 Action Description.</p> <p>Each Assigned Value should have a specially designed template associated with it for use by agency staff when entering the details of the action under sub-element 17.3 Action Description.</p>	

17.3 Action Description

Definition	The specific details of the action, including information about the original status, the changes made to it, the reasons for the changes, and authorisation for the changes.
Purpose	To ensure the visibility and auditability of agency preservation management decisions and actions. To ensure accountability for records readability and accessibility.
Obligation	Mandatory
Conditions	The old value of the particular record status being changed by the event shall be recorded in this sub-element. This may be the information relating to the old format, medium and extent, which shall be taken from element 13 FORMAT, sub-elements 13.2 Data Format, 13.3 Medium and (if used) 13.4 Extent, or it may be information relating to the location of the record, stored under element 18. LOCATION, sub-elements 18.1 Current Location or 18.3 Home Storage Details.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By?	The action of selecting the Action Type under sub-element 17.2 should cause the system to automatically bring up a template tailored for that Action Type, and to prompt the agent to fill in the Action Description details (see Comments below).
Schemes	-
Comments	It is strongly recommended that this information be structured in some way rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent – eg required information about the agent could be automatically assigned to the template. Information about the agent performing the action shall be associated with the action itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether agent information is automatically captured through the use of templates and stored as part of the Action Description.

17.4 Next Action

Definition	The next preservation review, check or action that the record needs to undergo.	
Purpose	To act as a tool for preservation planning and coordination. To enable searches on all records which next require a particular action.	
Obligation	Optional	
Conditions	-	
Assigned Values	Value Name	Definition
	Review Action	Next action on the record may need to be reviewed in the case of a change in agency policy or procedures, or in the event that the agency is changing to a new hardware and/or software environment.
	Check Condition	Physical check of a particular storage medium (or storage conditions), or a check to determine that records on a particular medium are still readable.
	Take No Further Action	No more action is required – eg because the record is due for destruction in the near term.
	Back Up	} See definitions under sub-element 17.2.
	Compress	
	Image	
	Refresh Medium	
	Microfilm	
	Migrate Platform	
Migrate Software		
Default Value	Any default would be determined and set by the agency.	
Repeatable?	No	
Assigned By?	Selected by the agent from a pick list of the assigned values.	
Schemes	RMSCA, NAA-approved agency extensions.	
Comments	Agencies may apply to the National Archives for further actions to be added to this list to meet specific preservation requirements.	

17.5 Next Action Due

Definition	The date that the record is due for preservation action review or that the next preservation action is due.
Purpose	To act as a tool for preservation planning and coordination. To enable searches on all actions due within a particular time period.
Obligation	Optional
Conditions	Use in conjunction with sub-element 17.4 Next Action.
Assigned Values	-
Default Value	Any default (eg the date one year from the current date) would be determined and set by the agency.
Repeatable?	No
Assigned By?	Generated by the system, and calculated on the current date, after the agent selects from a pick list of set time periods (eg '3 months', '6 months', '1 year', '2 years', '5 years', etc); or manually entered by the agent.
Schemes	ISO 8601 – Standard for Date Encoding.
Comments	This sub-element could be used to generate reminders at set (agency-defined) times before the action due date arrives.

PRESERVATION HISTORY example

This element is meant to be implemented as a history ‘log’. As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which *particular* information about agents and record IDs/titles etc is incorporated into this log is a system design decision that must be made by the agency.

The example below is not based on any assumptions as to how the PRESERVATION HISTORY log will be designed and implemented. It could be implemented by keeping a separate log for each individual record. It could also be implemented by placing all preservation management information on all records in one logical table, and writing search queries to extract the relevant details for each individual record. However, the purpose of the example is only to show the basic sorts of information which should be displayed in a record’s PRESERVATION HISTORY log.

For user interface purposes, the column names displayed in the log do not have to exactly match the names of particular sub-elements.

File, ID ‘Ministerials – 1997’

Date	Agent Details	Action Type	Action Description	Next Action	Next Action Due
1998-11-17	Jamison, LJ – System Administrator	Back Up	To DAT ‘RecBackup 11/17’	Weekly Backup	1998-11-24
1998-11-24	Jamison, LJ – System Administrator	Back Up	To DAT ‘RecBackup 11/24’	Migrate Software (MS Word docs) and Check Data Integrity	1998-11-25
1998-11-25	Hillis, PP – System Administrator	Migrate Software and Check Data Integrity	All 1997 ministerials successfully migrated from MS Word 6.0 to MS Word 97	Move Offline and Back Up	1998-11-26
1998-11-26	Stanton, SE – Preservation Officer	Move Offline and Back Up	Move all 1997 ministerials from corporate record store to CD-R (CD-R No. 22/98 – ‘Ministerials 97’) Back up all 1997 ministerials onto 2nd CD-R (CD-R No. 22b/98 – ‘Ministerials 97 Backup’)	Check condition of CD-R; refresh if necessary	1999-12-01

18. LOCATION

Definition	The current (physical or system) location of the record. Details about the location where the record usually resides, such as a registry or an electronic store.		
Purpose	To keep track of records for which the agency is responsible. To act as a storage management tool. To enable ease of identification of the record's current location, and quick retrieval when required.		
Rationale	Agencies are responsible for keeping track of the records they use in their day-to-day business. Under the National Archives' distributed management policy, agencies are also responsible for managing the storage of their own records of long-term value (which may include outsourcing to a storage service provider).		
Obligation	Optional for electronic records, otherwise Mandatory.		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	If used, use in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2, Event Type. Each time the Event Types 'Custody Transferred' or 'Location Changed' are used, the sub-element 18.1 Current Location shall be updated. May be used in conjunction with element 16. USE HISTORY, sub-element 16.2 Use Type. Each time the Use Type 'Booked' is used, the sub-element 18.1 Current Location may be updated. May also be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. Each time the Action Types 'Backed Up', 'Medium Refreshed', 'Migrated (Platform)' or 'Moved Offline' are used, the sub-elements 18.1 Current Location and/or 18.3 Storage Details may be updated.		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	18.1 Current Location	Mandatory	Agency-assigned, X500 – GOLD
	18.2 Home Location Details	Mandatory	Agency-assigned, X500 – GOLD
	18.3 Home Storage Details	Mandatory	Agency-defined
	18.4 RKS ID	Optional	A whole-of-government scheme to uniquely identify department or agency recordkeeping systems is recommended
Comments	If an agency is storing its electronic records of long-term value in-house and offline (eg on magnetic tape or on recordable CDs), it is strongly recommended that this element be utilised, in conjunction with element 17. PRESERVATION HISTORY, to manage the storage of those records.		

18.1 Current Location

Definition	<p>The current location of the record.</p> <p>In the case of hard copy records:</p> <ul style="list-style-type: none"> • the external corporate entity with which the record currently resides; or • the internal agency/departmental element or individual with which or with whom the record currently resides. <p>In the case of electronic records:</p> <ul style="list-style-type: none"> • the individual to whom a record has been booked through the recordkeeping system; • the location to which records stored on an offline medium, such as CD-R, have been temporarily moved (eg records stored on a medium which requires refreshing being moved from their usual storage location to a preservation action area); or • the system location to which records have been moved (eg the movement of records from one recordkeeping system server/document store to another). 	
Purpose	<p>To keep track of the current locations of both hard copy and electronic records.</p> <p>To enable searches for records by location.</p> <p>To enable quick location and retrieval of records when required.</p> <p>To ensure the accountability and auditability of an agency's records.</p>	
Obligation	Mandatory	
Conditions	<p>This sub-element shall be used in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type. Each time the Event Types 'Custody Transferred' or 'Location Changed' are used, this sub-element shall be updated with the new current location details. The details of the previous location shall be captured in the sub-element 15.3 Event Description.</p> <p>This sub-element can be used in conjunction with element 16. USE HISTORY, sub-element 16.2 Use Type. Each time the Use Type 'Booked' is used, agencies may choose to update this sub-element with the details of the individual to whom the record has been booked.</p> <p>This sub-element can also be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. Each time the Action Types 'Backed Up', 'Medium Refreshed', 'Migrated (Platform)', or 'Moved Offline' are used, agencies may choose to update this sub-element with new current location details. The details of the previous location should be captured in the sub-element 17.3 Action Description.</p>	
Assigned Values	Value Name	Definition
	Home	The home location of the record, as described in sub-element 18.2 Home Location Details.
Default Value	Home	
Repeatable?	No	

Assigned By?	<p>The default value will be system-assigned.</p> <p>The name of an individual or corporate element (within the agency) booking an electronic record will be system-assigned.</p> <p>Details of an external corporate entity, a physical location or a server/electronic store to which a record is moved will be either selected from a pick list of agency-defined values or manually keyed by an agent.</p>
Schemes	Agency-assigned, X500 – GOLD.
Comments	An agency may assign further values for use with this sub-element to reflect its specific situation (eg other corporate entities to which it regularly moves records, or details of physical and/or electronic storage areas within the agency).

18.2 Home Location Details

Definition	The name and address of the corporate entity/element or individual with which or with whom a record normally resides or is stored.
Purpose	To provide physical, personal or system details about where a record is usually kept. To facilitate the checking or surveying of records against their usual home locations. To act as a storage management tool.
Obligation	Mandatory
Conditions	Agencies may choose to use this sub-element to record information about the system location of electronic records (eg details such as a server name and the physical location of the server itself, particularly if system resources are geographically dispersed). This sub-element shall be used in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type. Each time the Event Type 'Custody Transferred' is used, this sub-element shall be updated with the new home location details. The details of the previous home location shall be captured in the sub-element 15.3 Event Description.
Assigned Values	-
Default Value	The default value will be agency-defined and set – eg it may be the name and address of the department/agency or individual responsible for the record, or the name and address of the agency's records storage provider.
Repeatable?	No
Assigned By?	The default value shall be system-assigned.
Schemes	Agency-assigned, X500 – GOLD.
Comments	The corporate entity where a record is located is not necessarily the same entity which controls the record (eg some records are housed by an external storage provider).

18.3 Home Storage Details

Definition	Information about a record's specific storage location and any special conditions under which it is stored.
Purpose	<p>To enable quick identification of any missing records, or of any records not stored in the correct location.</p> <p>To ensure that the appropriate home storage conditions are provided for records of particular values, and for records on specific types of physical media.</p> <p>To facilitate appropriate storage and efficient retrieval of records.</p>
Obligation	Mandatory
Conditions	<p>Use this sub-element to provide information about the room in which a record is stored (such as floor and room number), its shelf position within that room, the name/number of the server or electronic medium on which it is stored, and any special conditions required for its proper storage.</p> <p>This sub-element should be used in conjunction with both element 13. FORMAT and element 17. PRESERVATION HISTORY to ensure that records are stored under appropriate conditions in their home locations.</p> <p>This sub-element may be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. Each time the Action Types 'Backed Up', 'Medium Refreshed', 'Migrated (Platform)', or 'Moved Offline' are used, agencies may choose to update this sub-element with new home storage details. The previous home storage details should be captured in the sub-element 17.3 Action Description.</p>
Assigned Values	- (Values may be assigned by an agency to meet its own specific requirements).
Default Value	-
Repeatable?	No
Assigned By?	Assigned by an agent, using some form of template (see Comments below), or selected by an agent from a pick list of agency-specific values.
Schemes	Agency-assigned.
Comments	Values could be assigned to this sub-element using some form of agency-defined template, which would help to structure the information entered manually by an agent.

18.4 RKS ID

Definition	A unique identifier for the agency recordkeeping system of which a record is a part, or in which a record resides.
Purpose	<p>To link a record to the specific agency recordkeeping system to which it belongs.</p> <p>To act as a search point for external agents looking for records of particular activities held by specific departments or agencies.</p> <p>To act as a 'key' or link to all information about a particular agency recordkeeping system.</p> <p>A department or agency which operates more than one formal recordkeeping system will be able to determine under which system a particular record is managed.</p> <p>Could also be used to provide a means of uniquely identifying individual agency recordkeeping systems within groups of related agencies or across the Commonwealth.</p>
Obligation	Optional
Conditions	If used, this sub-element shall be equally applicable to paper-based, electronic and hybrid recordkeeping systems.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By?	System-assigned.
Schemes	A whole-of-government scheme to uniquely identify department or agency recordkeeping systems is recommended.
Comments	This sub-element could be linked to element 14. RECORD IDENTIFIER, to provide unique identification of a record which moves outside its original agency domain.

LOCATION examples

Current Location	Regional Office, Melbourne
Home Location	Offsite storage facility, Fyshwick
Home Storage Details	Room 5, Shelf L9

Current Location	Home
Home Location	National Archives of Australia Corporate Records Store
Home Storage Details	Server ID SMIH22, Parkes
RKS ID	NAA02

If ‘Booked’ (see 16.2 Use Type)

Current Location	John Jakovic (Government Services Operations)
Home Location	National Archives of Australia Corporate Records Store
Home Storage Details	Server ID SMIH22, Parkes
RKS ID	NAA02

Current Location	Preservation Section
Home Location	IT Systems Electronic Records Storeroom
Home Storage Details	CD-R #17/99, Shelf E7

19. DISPOSAL

Definition	Information about policies and conditions which pertain to or control the authorised disposal of records. Information about the current disposal authorities and actions to which the record is subject.		
Purpose	To advise users of laws, policies and/or authorities that govern the retention or disposal of the record. To alert recordkeeping staff when disposal actions for records are due.		
Rationale	Disposal policies enable agencies to meet their recordkeeping requirements with regard to the retention of records of value (and the disposal of records that no longer have value). This element will assist in disposal management, as well as provide disposal process visibility and accountability through documentation.		
Obligation	Mandatory (if there is no current disposal coverage for the record(s), the default values for the sub-elements shall be used).		
Applicability	Applicable at all levels of aggregation.		
Use Conditions	<p>Only recordkeeping and auditing staff should have full access to this element. This element shall be used in conjunction with elements 15. MANAGEMENT HISTORY and 16. USE HISTORY. Due to the nature of many sentences (eg 'Destroy 10 years after all reference ceases'), sub-elements 19.2 Sentence and 19.3 Disposal Action Due shall be dynamic fields, linked to the relevant sub-elements under MANAGEMENT HISTORY and USE HISTORY.</p> <p>Some event/use dates and types which are recorded under sub-elements 15.1 and 15.2 (Event Date/Time and Event Type) and 16.1 and 16.2 (Use Date/Time and Use Type) shall cause the information in sub-elements 19.2 Sentence and/or 19.3 Disposal Action Due to be updated. Such event and use types include: 'File Closed', 'Sentenced', 'Sentence Changed', 'Booked', 'Copied', 'Downloaded' and 'Viewed'.</p> <p>The date in sub-element 19.3 Disposal Action Due shall be calculated (or recalculated) according to the current sentencing details under sub-element 19.2 Sentence, and using the date the event was performed or the record used as the starting point for the calculation.</p>		
Repeatable?	No		
Sub-elements	Name	Obligation	Schemes
	19.1 Disposal Authorisation	Mandatory	NAA GDAs, agency RDAs
	19.2 Sentence	Mandatory	Disposal Classes
	19.3 Disposal Action Due	Optional	ISO 8601 – Standard for Date Encoding
	19.4 Disposal Status	Optional	NAA disposal procedures
Comments	<p>All records within a recordkeeping system require the use of this element at some time in their existence. However, it may not be possible to provide the information required by this element at the creation of a record for a variety of reasons, including the unavailability of relevant (functional) disposal authorities and an organisational policy which precludes sentencing on creation.</p> <p>As this element is considered mandatory, the default values for the sub-elements will need to be used until such time as an agency is able to assign the specific values applicable to its own disposal situation.</p>		

19.1 Disposal Authorisation

Definition	Legal documentation issued by the National Archives which authorises the disposal of Commonwealth records. For general administrative records, this will be a General Disposal Authority (GDA); for records specific to an agency's core functions, it will be a Records Disposal Authority (RDA).	
Purpose	To provide a visible link between agency records and the disposal action(s) taken on them. To help ensure that the correct disposal actions are taken on records.	
Obligation	Mandatory	
Conditions	If there is currently no authorisation for the disposal of a record, or if the authorisation is under development, the default value 'No Disposal Coverage' shall be applied to this sub-element. Records with 'No Disposal Coverage' are not authorised for disposal and so cannot be destroyed. More than one disposal authorisation can apply to the same record.	
Assigned Values	Value Name	Definition
	No Disposal Coverage	There is currently no GDA or RDA in place which covers this record.
	GDA <i>nn</i> – Records relating to the <i>xxx</i> function, Class No. <i>yyyy</i>	Example format for quoting a General Disposal Authority which authorises disposal of the record.
	RDA <i>nnnn</i> – for agency <i>xxx</i> , Class No. <i>yyyy</i>	Example format for quoting an agency-specific Records Disposal Authority which authorises disposal of the record.
Default Value	No Disposal Coverage.	
Repeatable?	Yes	
Assigned By?	System-assigned, if the National Archives functional GDA and the agency's RDAs are linked to the agency's functional thesaurus. Otherwise, it should be possible for an authorised agent, such as the agency Records Manager, to select the correct disposal authorisation from a pick list of the disposal authorities which apply to that agency.	
Schemes	National Archives GDAs, agency RDAs.	
Comments	A GDA/RDA Assigned Value should also include the specific Disposal Class No. which pertains to the record.	

19.2 Sentence

Definition	The retention period assigned to a record. This is based on a determination of the record's value and the resulting identification of the specific Disposal Class to which it belongs.	
Purpose	<p>To act as a trigger for the authorised disposal of agency records.</p> <p>To provide a means of determining all records with a particular sentence (ie all records in a particular Disposal Class).</p> <p>To provide a mechanism for sentencing on record creation and for automating the records disposal process.</p>	
Obligation	Mandatory	
Conditions	<p>If there is currently no authorisation for the disposal of a record, or if the authorisation is under development, the default value 'No Disposal Coverage' shall be applied to this sub-element.</p> <p>Records with 'No Disposal Coverage' cannot be sentenced and so cannot be destroyed.</p> <p>If more than one disposal authorisation under sub-element 19.1 applies to the same record, the sentence requiring the longest retention period shall be assigned to this sub-element.</p> <p>The value in this sub-element determines the date for disposal action under sub-element 19.3 Disposal Action Due, but only after the record is closed.</p> <p>This sub-element reflects the sentence which currently applies to the record. If the sentence is changed, the new sentence will be reflected in this sub-element. The old sentence, and details of reasons for the change, will be recorded under element 15. MANAGEMENT HISTORY, using sub-element 15.2 Event Type, Assigned Value 'Sentence Changed', and sub-element 15.3 Event Description.</p>	
Assigned Values	Value Name	Definition
	No Disposal Coverage	There is currently no GDA or RDA in place which covers this record.
Default Value	No Disposal Coverage.	
Repeatable?	No	
Assigned By?	<p>System-assigned, if the National Archives functional GDA and the agency's RDAs are linked to the agency's functional thesaurus at the level of the Disposal Classes.</p> <p>In the case of an event such as a disposal freeze, an authorised agent, such as the agency Records Manager, shall be able to manually override the sentence provided by a particular Disposal Class and replace it with a new value. For this reason, an agency may choose to define a set of assigned values which can be selected from a pick list under certain (defined and documented) conditions.</p>	
Schemes	Disposal Classes.	
Comments	For implementation purposes, this sub-element may need to be split into two separate sub-elements – one to record information about the sentence action and the other to record, as a purely numeric value, the length of the sentence on which sub-element 19.3 Disposal Action Due will be calculated.	

19.3 Disposal Action Due

Definition	The date that a record is due for some kind of disposal action, such as transfer or destruction, as specified under sub-element 19.2 Sentence.	
Purpose	To act as a tool for disposal management. To enable searches on all records due for some form of disposal action by a given date.	
Obligation	Optional (Mandatory for closed records with disposal coverage).	
Conditions	<p>If the record is not yet closed, not currently covered by a disposal authorisation, or has a sentence of 'Retain Permanently', this sub-element shall contain a null value. This sub-element shall be used in conjunction with sub-element 19.2 Sentence, which defines the length of time on which the date of the disposal action shall be calculated, and the specific activity from which the time period applies.</p> <p>This sub-element is a dynamic field, linked to defined Event Types or Use Types under elements 15. MANAGEMENT HISTORY and 16. USE HISTORY. The date value in this sub-element will need to be recalculated each time one of these defined events or uses takes place.</p> <p>For example, in some cases (depending on the sentence) the event 'File Closed' under sub-element 15.2 Event Type will cause the date value in this sub-element to be calculated from the date of closure (as recorded in sub-element 15.1 Event Date/Time).</p> <p>If sub-element 19.2 Sentence is of the form '... after all reference ceases', then all uses of/accesses to the record under element 16. USE HISTORY will cause the date value to be recalculated from the date of use or access (ie from the date recorded in sub-element 16.1 Use Date/Time).</p>	
Assigned Values	Value Name	Definition
	Null	No value (date) has yet been specified.
Default Value	Null	
Repeatable?	No	
Assigned By?	System-generated, based on the sentence applied under sub-element 19.2 and calculated from the date of a specific (defined) event, such as the date the record is closed, or the date of last reference to the record.	
Schemes	ISO 8601 – Standard for Date Encoding.	
Comments	<p>See Comments under sub-element 19.2 Sentence.</p> <p>It should be possible to provide a system alarm or reminder which alerts authorised agents to impending disposal actions at some (defined) time period before those actions are to take place.</p>	

19.4 Disposal Status

Definition	A general grouping which describes how long records need to be kept.	
Purpose	To provide management information (particularly at times of record transfer) about the numbers of records held with a specific disposal status. To enable searching on all records, or on a defined subset of records, by their disposal status.	
Obligation	Optional	
Conditions	If the value of sub-element 19.1 is 'No Disposal Coverage', the value of this sub-element shall be 'Unknown'.	
Assigned Values	Value Name	Definition
	Permanent	The record is of enduring value, and has been sentenced to be retained permanently.
	Long-term Temporary	The record is sentenced to be destroyed some time after it reaches 30 years of age, and so will be available for general public access for some period of time.
	Short-term Temporary	The record is sentenced to be destroyed before it reaches 30 years of age, and so will never be available for general public access.
	Unknown	The record has no disposal coverage, or is unsentenced, or not enough is known about the record to determine its status.
Default Value	Unknown	
Repeatable?	No	
Assigned By?	System-assigned, based on the value recorded under sub-element 19.2 Sentence.	
Schemes	National Archives disposal procedures.	
Comments	-	

DISPOSAL examples

Disposal Authorisation	No Disposal Coverage
Sentence	No Disposal Coverage
Disposal Action Due	-
Disposal Status	Unknown

Disposal Authorisation	GDA 14 for General Administrative Records, Class No. 34.1
Sentence	Retain Permanently
Disposal Action Due	-
Disposal Status	Permanent

Disposal Authorisation	RDA 1222, Class No. 95.4
Sentence	Destroy 10 years after action completed
Disposal Action Due	2009-05-19
Disposal Status	Short-term Temporary

Disposal Authorisation	RDA 1033, Class No. 1.2
Sentence	Destroy 53 years after lodgment
Disposal Action Due	2051-07-22
Disposal Status	Long-term Temporary

20. MANDATE

Definition	<p>A source of recordkeeping requirements.</p> <p>A piece of legislation, formal directive, policy, standard, guideline, set of procedures, or community expectation which (explicitly or implicitly) imposes a requirement to create, keep, dispose of, or control access to and use of a record.</p>		
Purpose	<p>To document the sources of recordkeeping requirements.</p> <p>To provide a visible link between recordkeeping requirements and the strategies implemented to meet those requirements.</p>		
Rationale	<p>At present, the motivating factors behind particular recordkeeping strategies in the areas of control, disposal, preservation and storage are either poorly documented or not easily or centrally accessible. The use of this element will assist agencies to keep track of their recordkeeping requirements, and to more easily ensure that they continue to meet those requirements over time.</p>		
Obligation	Optional		
Applicability	Applicable at item and file levels.		
Use Conditions	-		
Repeatable?	Yes		
Sub-elements	Name	Obligation	Schemes
	20.1 Mandate Type	Mandatory	RMSCA
	20.2 Refers To	Mandatory	RMSCA
	20.3 Mandate Name	Mandatory	Agency-defined, URIs
	20.4 Mandate Reference	Optional	URIs
	20.5 Requirement	Mandatory	URIs
Comments	<p>Much of the information required for this element should normally be collected during the development of agency business classification schemes, functional disposal authorities and specific recordkeeping systems and strategies.</p> <p>There should be direct links from the information contained in this element to the agency functions, activities and transactions to which they apply (ie links could be provided from this element to element 9. FUNCTION).</p> <p>Information about mandates could be kept in a separate agency recordkeeping requirements database, or documented, through this element, as part of the agency's overall set of metadata for recordkeeping.</p>		

20.1 Mandate Type

Definition	The nature of the resource which, explicitly or implicitly, contains the recordkeeping requirement or mandate.	
Purpose	To provide a general indication of the rationale behind the creation, retention, access control and/or disposal of a record.	
Obligation	Mandatory	
Conditions	-	
Assigned Values	Value Name	Definition
	Legislation	The mandate exists in a piece of Commonwealth legislation.
	Regulation	The mandate exists in a piece of subsidiary legislation (a regulation issued pursuant to an Act).
	Formal Directive	The mandate exists in government or departmental policy, or in a formal ministerial directive.
	Industry Regulation	The mandate exists in a mandatory regulation or standard pertaining to a particular industry or type of work.
	Best Practice Standard	The mandate exists in a discretionary standard (eg the Australian Standard on Records Management (AS 4390) or the ISO 9000 series of Quality Management standards), which recommends best practice in particular areas.
	Internal Business Requirement	The mandate exists in an internal agency policy or procedure, put in place to meet specific business requirements.
	Community Expectation	The mandate exists in an expectation by the larger community that particular records will be created and kept.
Default Value	-	
Repeatable?	Yes	
Assigned By?	Selected by an agent from a pick list of the assigned values.	
Schemes	RMSCA	
Comments	-	

20.2 Refers To

Definition	The kind of recordkeeping activity to which the mandate, either explicitly or implicitly, refers.	
Purpose	To provide easily accessible justification for how an agency's records are managed, controlled and used.	
Obligation	Mandatory	
Conditions	-	
Assigned Values	Value Name	Definition
	Creation	The mandate states that a record shall be created.
	Retention	The mandate states that a record shall be kept (it may or may not state for how long).
	Access/Usage	The mandate states that certain access/usage rights to or access/usage restrictions on a record shall be allowed or enforced.
	Accessibility	} The mandate states that a record shall be } maintained and stored in such a way that } it retains its original functionality, and remains } both accessible and readable.
	Record Quality	
Default Value	-	
Repeatable?	Yes	
Assigned By?	Selected by an agent from a pick list of the assigned values.	
Schemes	RMSCA	
Comments	These values provide the bases for agency-specific business rules which stipulate how particular records should be managed, and how they can be used and accessed, from creation through to disposal.	

20.3 Mandate Name

Definition	The name of the resource which contains explicit or implicit recordkeeping requirements or mandates relating to a record. A link to an online resource containing recordkeeping requirements or mandates.
Purpose	To enable the reasons for decisions on managing, controlling and using records to be linked back to the source(s) of the original recordkeeping requirements.
Obligation	Mandatory
Conditions	-
Assigned Values	An agency may assign its most common sources of mandates for recordkeeping, such as the pieces of legislation under which it operates, as values for this sub-element.
Default Value	-
Repeatable?	Yes
Assigned By?	Selected from a pick list of the agency's most common sources of recordkeeping mandates, or manually entered/linked, by an authorised agent such as the agency Records Manager.
Schemes	Agency-defined, URIs.
Comments	-

20.4 Mandate Reference

Definition	The actual reference (numeric, paragraph, etc) within the resource, or a link to an online reference, which details the explicit or implicit recordkeeping requirement or mandate.
Purpose	To enable direct access to the recordkeeping requirements which govern the management, control and use of a record. To provide a completely visible link between a record and the recordkeeping requirements which govern its management and use.
Obligation	Optional
Conditions	The format of the reference will be dependent on the format of the source document from which the mandate reference is taken.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Manually entered or linked by an authorised agent, such as the agency Records Manager.
Schemes	URIs
Comments	-

20.5 Requirement

Definition	Either a direct quote (or link to a direct quote) of any explicit or implicit recordkeeping requirement or mandate contained in the source, or a description of the requirement itself.
Purpose	To provide the specific details of any recordkeeping requirements relating to a record.
Obligation	Mandatory
Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By?	Manually entered or linked by an authorised agent, such as the agency Records Manager.
Schemes	URIs
Comments	This sub-element may also be used to provide details of the agency's own interpretation of an implicit recordkeeping requirement and its reasons for interpreting the requirement in a particular way.

MANDATE examples

Mandate Type	Legislation
Refers To	Creation Access/Usage Accessibility
Mandate Name	<i>Patents Act 1990</i> (No. 83 of 1990)
Mandate Reference	Section 186 – Register of Patents Section 190 – Inspection of Register
Requirement	A register of patents, in either hard copy or electronic form, shall be created and maintained. The register shall be kept at the Patent Office. The register shall be accessible to members of the public. If all or any part of the register is in electronic form, the appropriate hardware and software shall be available at the Patent Office to enable access by members of the public.

Mandate Type	Best Practice Standard
Refers To	Retention
Mandate Name	Australian Standard on Software Quality Management System, Part 2: Implementation Guide (AS 3563.2), 1991
Mandate Reference	Section 4.16.2 – Retention of Records
Requirement	‘The quality system procedures should give guidelines to personnel for the retention period for records produced during operation of the system. Records should be kept as a defence against possible litigation and to enable copies to be provided, as required, to quality accreditation bodies. The period of time for which records shall be retained will be determined by legislation, the contract or developer’s policy. ‘In practice, records relating to development activities are often archived in a secure storage area if there is no need for them to be accessed regularly. The archive area should be periodically purged of records which have exceeded their current retention period.’

APPENDIX 1: TABLE OF ELEMENT INTER-RELATIONSHIPS

Element	Relates to
1. AGENT	2. RIGHTS MANAGEMENT 10. DATE 12. AGGREGATION LEVEL 15. MANAGEMENT HISTORY 16. USE HISTORY 17. PRESERVATION HISTORY
2. RIGHTS MANAGEMENT	1. AGENT 7. RELATION 12. AGGREGATION LEVEL 15. MANAGEMENT HISTORY 16. USE HISTORY
3. TITLE	4. SUBJECT 9. FUNCTION 12. AGGREGATION LEVEL
4. SUBJECT	3. TITLE 12. AGGREGATION LEVEL
5. DESCRIPTION	12. AGGREGATION LEVEL
6. LANGUAGE	12. AGGREGATION LEVEL
7. RELATION	2. RIGHTS MANAGEMENT 12. AGGREGATION LEVEL 14. RECORD IDENTIFIER 15. MANAGEMENT HISTORY
8. COVERAGE	12. AGGREGATION LEVEL
9. FUNCTION	3. TITLE 12. AGGREGATION LEVEL 20. MANDATE
10. DATE	1. AGENT 12. AGGREGATION LEVEL 14. RECORD IDENTIFIER
11. TYPE	12. AGGREGATION LEVEL
12. AGGREGATION LEVEL	* ALL OTHER ELEMENTS *
13. FORMAT	17. PRESERVATION HISTORY
14. RECORD IDENTIFIER	10. DATE 12. AGGREGATION LEVEL 15. MANAGEMENT HISTORY 16. USE HISTORY 17. PRESERVATION HISTORY

Element	Relates to
15. MANAGEMENT HISTORY	1. AGENT 2. RIGHTS MANAGEMENT 7. RELATION 12. AGGREGATION LEVEL 14. RECORD IDENTIFIER 18. LOCATION 19. DISPOSAL
16. USE HISTORY	1. AGENT 2. RIGHTS MANAGEMENT 12. AGGREGATION LEVEL 14. RECORD IDENTIFIER 18. LOCATION 19. DISPOSAL
17. PRESERVATION HISTORY	1. AGENT 12. AGGREGATION LEVEL 13. FORMAT 14. RECORD IDENTIFIER 18. LOCATION
18. LOCATION	12. AGGREGATION LEVEL 15. MANAGEMENT HISTORY 16. USE HISTORY 17. PRESERVATION HISTORY
19. DISPOSAL	12. AGGREGATION LEVEL 15. MANAGEMENT HISTORY 16. USE HISTORY
20. MANDATE	9. FUNCTION 12. AGGREGATION LEVEL

APPENDIX 2: TABLE OF ELEMENT/SUB-ELEMENT LINKS AND DEPENDENCIES

**** Denotes dependency by the element/sub-element in the first column on the sub-element/element listed in the second column**

Element / Sub-element	Linked to / Depends on
1.1 Agent Type	1.6 Person Name 1.7 Section Name 1.8 Position Name 1.11 Digital Signature 10.1 Date/Time Created ** 10.2 Date/Time Transacted ** 10.3 Date/Time Registered ** 15.2 Event Type ** 16.2 Use Type 17.2 Action Type
1.3 Corporate ID	14. RECORD IDENTIFIER (if moved outside the agency domain)
1.4 Corporate Name	14. RECORD IDENTIFIER (if moved outside the agency domain)
1.6 Person Name	1.1 Agent Type **
1.7 Section Name	1.1 Agent Type **
1.8 Position Name	1.1 Agent Type **
1.11 Digital Signature	1.1 Agent Type ** 2.7 Encryption Details
2.1 Security Classification	7.2 Relation Type 'Contains/Contained In' 15.2 Event Type 'Classification Up/Downgraded' ** 15.2 Event Type 'Declassified' ** 15.3 Event Description
2.2 Caveat	15.2 Event Type 'Caveat Changed' ** 15.3 Event Description
2.3 Codeword	15.2 Event Type 'Codeword Changed' ** 15.3 Event Description
2.4 Releasability Indicator	15.2 Event Type 'RI Changed' ** 15.3 Event Description
2.5 Access Status	15.2 Event Type 'Published' ** 15.2 Event Type 'Released under FOI' 15.2 Event Type 'Released with Limitations' 15.3 Event Description
2.6 Usage Condition	16.2 Use Type
2.7 Encryption Details	1.11 Digital Signature **

Element / Sub-element	Linked to / Depends on
3.1 Scheme Type	3.2 Scheme Name 4. SUBJECT 9. FUNCTION
3.2 Scheme Name	3.1 Scheme Type ** 3.3 Title Words 4.1 Keyword 4.2 Second Level Keyword 4.3 Third Level Keyword 9.1 Function Descriptor 9.2 Activity Descriptor 9.3 Third Level Descriptor
3.3 Title Words	3.2 Scheme Name **
4. SUBJECT	3.1 Scheme Type **
4.1 Keyword	3.2 Scheme Name **
4.2 Second Level Keyword	3.2 Scheme Name **
4.3 Third Level Keyword	3.2 Scheme Name **
7.1 Related Item ID	14. RECORD IDENTIFIER
7.2 Relation Type	15.2 Event Type 'Related'
7.2 Relation Type 'Contains/Contained In'	2.1 Security Classification
9. FUNCTION	3.1 Scheme Type **
9.1 Function Descriptor	3.2 Scheme Name ** 20. MANDATE
9.2 Activity Descriptor	3.2 Scheme Name ** 20. MANDATE
9.3 Third Level Descriptor	3.2 Scheme Name **
10.1 Date/Time Created	1.1 Agent Type 'Record Creator' 14. RECORD IDENTIFIER
10.2 Date/Time Transacted	1.1 Agent Type 'Transactor' or 'Action Officer' 14. RECORD IDENTIFIER
10.3 Date/Time Registered	1.1 Agent Type 'Registrar', 'Records Manager' or 'Action Officer' 14. RECORD IDENTIFIER
12. AGGREGATION LEVEL	** The majority of elements and sub-elements have some dependency on this element **
13.1 Media Format	13.2 Data Format
13.2 Data Format	13.1 Media Format 13.4 Extent 17.2 Action Types 'Compressed', 'Imaged', 'Microfilmed' or 'Migrated' ** 17.3 Action Description

Element / Sub-element	Linked to / Depends on
13.3 Medium	17.2 Action Types 'Backed Up', 'Medium Refreshed', 'Microfilmed', 'Migrated (Platform)' or 'Moved Offline' ** 17.3 Action Description
13.4 Extent	13.2 Data Format ** 17.3 Action Description
14. RECORD IDENTIFIER	1.3 Corporate ID (if moved outside the agency) 1.4 Corporate Name (if moved outside the agency) 7.1 Related Item ID 10.1 Date/Time Created 10.2 Date/Time Transacted 10.3 Date/Time Registered 15. MANAGEMENT HISTORY 15.2 Event Type 'Top Numbered' ** 16. USE HISTORY 17. PRESERVATION HISTORY 18.4 RKS ID (if moved outside the agency)
15. MANAGEMENT HISTORY	14. RECORD IDENTIFIER
15.1 Event Date/Time (in conjunction with 15.2 Event Type 'File Closed')	19.3 Disposal Action Due
15.2 Event Type	1.1 Agent Type
15.2 Event Types 'Classification Up/Downgraded' and 'Declassified'	2.1 Security Classification
15.2 Event Type 'Caveat Changed'	2.2 Caveat
15.2 Event Type 'Codeword Changed'	2.3 Codeword
15.2 Event Type 'RI Changed'	2.4 Releasability Indicator
15.2 Event Types 'Published', 'Released under FOI', and 'Released with Limitations'	2.5 Access Status
15.2 Event Type 'Related'	7.2 Relation Type
15.2 Event Type 'Custody Transferred'	18.1 Current Location 18.2 Home Location Details
15.2 Event Type 'Location Changed'	18.1 Current Location
15.2 Event Type 'Sentenced'	19.2 Sentence 19.3 Disposal Action Due
15.2 Event Type 'Sentence Changed'	19.2 Sentence 19.3 Disposal Action Due
15.3 Event Description	15.2 Event Type Old details from the related sub-elements under: 2. RIGHTS MANAGEMENT ** 18. LOCATION ** 19. DISPOSAL **

Element / Sub-element	Linked to / Depends on
16. USE HISTORY	14. RECORD IDENTIFIER
16.1 Use Date/Time	19.3 Disposal Action Due

(in conjunction with 16.2 Use Types 'Booked', 'Copied', 'Downloaded' or 'Viewed')	
16.2 Use Type	1.1 Agent Type 2.6 Usage Condition
16.2 Use Type 'Booked'	18.1 Current Location
16.3 Use Description	Old details from 18.1 Current Location **
17. PRESERVATION HISTORY	14. RECORD IDENTIFIER
17.2 Action Type	1.1 Agent Type
17.2 Action Types 'Compressed', 'Imaged' and 'Migrated'	13.2 Data Format 13.4 Extent
17.2 Action Type 'Microfilmed'	13.2 Data Format 13.3 Medium 13.4 Extent
17.2 Action Types 'Backed Up' and 'Medium Refreshed'	13.3 Medium 18.3 Home Storage Details
17.2 Action Types 'Migrated (Platform)' and 'Moved Offline'	13.3 Medium 18.1 Current Location 18.3 Home Storage Details
17.3 Action Description	Old details from sub-elements: 13.2 Data Format ** 13.3 Medium ** 13.4 Extent ** 18.1 Current Location ** 18.2 Home Location Details** 18.3 Home Storage Details **
17.4 Next Action	17.5 Next Action Due
17.5 Next Action Due	17.4 Next Action
18.1 Current Location	15.2 Event Type 'Custody Transferred' ** 15.2 Event Type 'Location Changed' ** 15.3 Event Description 16.2 Use Type 'Booked' ** 16.3 Use Description 17.2 Action Type 'Migrated (Platform)' ** 17.2 Action Type 'Moved Offline' ** 17.3 Action Description
18.2 Home Location Details	15.2 Event Type 'Custody Transferred' ** 15.3 Event Description

Element / Sub-element	Linked to / Depends on
18.3 Home Storage Details	17.2 Action Type 'Backed Up' ** 17.2 Action Type 'Medium Refreshed' ** 17.2 Action Type 'Migrated (Platform)' ** 17.2 Action Type 'Moved Offline' **

	17.3 Action Description
18.4 RKS ID	14. RECORD IDENTIFIER (if moved outside the agency domain)
19.1 Disposal Authorisation	19.2 Sentence 19.4 Disposal Status
19.2 Sentence	15.2 Event Types ‘Sentenced’ and ‘Sentence Changed’ ** 15.3 Event Description 19.1 Disposal Authorisation ** 19.3 Disposal Action Due
19.3 Disposal Action Due	15.1 Event Date/Time (in conjunction with 15.2 Event Type ‘File Closed’) ** 16.1 Use Date/Time (in conjunction with 16.2 Use Types ‘Booked’, ‘Copied’, ‘Downloaded’ or ‘Viewed’) ** 19.2 Sentence **
19.4 Disposal Status	19.1 Disposal Authorisation ** 19.2 Sentence **
20. MANDATE	9.1 Function Descriptor 9.2 Activity Descriptor

APPENDIX 3: CHANGE REQUEST FORM

RMSCA Change Request No.

National Archives of Australia – Metadata Change Request Form		
Date of Request:		
Requesting Department/Agency:		
Person Requesting:	(Name)	(Position)
Contact Details:	(Phone)	(Email)
Authorised By:	(Name)	(Position)
Metadata Standard Version No.		
New Element/Sub-element:	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]
Existing Element/Sub-element Name & Ref:		
Change Request Details:		
Reason(s) for Request:		