



MODEL REQUIREMENTS FOR
THE MANAGEMENT OF ELECTRONIC RECORDS
UPDATE AND EXTENSION, 2008

**APPENDIX 9 TO THE
MoReq2 SPECIFICATION:
METADATA MODEL**



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APPENDIX 9 – METADATA MODEL

9.1 Introduction

This document is appendix 9, the metadata model, of MoReq2. It is published separately from the rest of MoReq2 because of its length and to facilitate use. It is published at <http://d1m-network.org/moreq2> .

This appendix describes the MoReq2 metadata model. It is significantly different from the model in MoReq. Accordingly there is no cross-reference between the two models.

The MoReq2 metadata model has two, closely related, purposes:

- ◆ to define the metadata needed to allow exchange of records between ERMSs with no loss of MoReq2-related mandatory functionality, subject to the following exclusions below;
- ◆ to define such metadata sufficiently to allow the production development and use of a MoReq2 XML schema.

This metadata model includes the metadata necessary to define the user access rights model. However, this aspect of the metadata model has the following limitations:

- ◆ User identities are not generally transportable between systems, and so cannot be meaningfully included here;
- ◆ It does not include a scheme to represent the different functions for which access can be granted or denied, as this is not transportable between systems (that is, it does not model the access control matrix in section 13.4);
- ◆ It does model the security categories and other requirements of the optional section 10.13.

Due to its focus on records, the metadata model does not include metadata for documents that are not considered records. Metadata for documents can easily be added to this model, preferably by using the records metadata as a basis and supplementing it with document-specific elements (in particular those related to version control and checkout/check/in).

The metadata model is described in terms of a minimum set of metadata “elements.” These “elements” are those that the ERMS must be able to export, import, and process. An “element”, referred to as “field” in the past, is the variable used to hold a metadata “value”. Examples of metadata elements and values are shown below.

| Example of metadata element | Examples of possible metadata values |
|-----------------------------|--|
| Title | Request for permission to release ABC or Report on failure of DEF or Complaint about GHI |

| Example of metadata element | Examples of possible metadata values |
|-----------------------------|---|
| Identifier | N1128A or 3F2504E0-4F89-11D3-9A0C-0305E82C3301 or 7QDBkvCA1+B9K/U0vrQx1A |
| Keyword | Records, Archives, Information or Air travel or Recreational activity, sport, field events, javelin |

Almost any ERMS can be configured with sufficient elements to support the metadata elements listed below. However, this alone is insufficient. It is important that:

- ◆ the ERMS must use the metadata elements to enable and support the functionality defined in the remainder of this specification (see 12.2.2);
- ◆ the ERMS must include features supporting validation, inheritance and default value rules when capturing the metadata values.

This model stops short of being a complete schema or application profile for ERMS metadata. An XML schema is the subject of a separate, related, development¹

9.2 Audit Trail

For the purposes of this model, audit trail information is not considered to be metadata.

However, the audit trail is used to store values of metadata elements that have been changed. So, for example, if a user changes the value of a Title element from

“Report on failure of XZY”

to

“Report on failure of XYZ”

then the old value,

“Report on failure of XZY”

will be stored in the audit trail, along with details of the change made (time, date, user etc) while

the new value,

“Report on failure of XYZ”

will be stored in the metadata.

9.3 Implicit and Explicit Metadata

The MoReq2 Metadata Model specifies minimum metadata needed for compliance with MoReq2. This is intended to represent the minimum metadata required for good records management and compliance with MoReq2. However, MoReq2 compliance does not mean that values for all the

¹ At the time of writing, development of an XML schema for MoReq2 is about to start. See http://ec.europa.eu/transparency/archival_policy for details.

elements specified in this model must be stored explicitly in a metadata database. It does mean that the ERMS must be capable of exporting, importing, and processing the values. Therefore, it is acceptable for metadata values to be stored implicitly by the ERMS. This is illustrated in two examples:

- ◆ The identifier of the retention and disposition schedule that applies to a file can be stored explicitly as a metadata value in a metadata database, as a value associated with the file. However, it is acceptable for the identifier to be stored in the database as a value associated with the file's parent class, in other words as a value implicitly associated with the file through inheritance.
- ◆ The title of a record can be stored explicitly as a metadata value in a metadata database, as a value associated with the record. However, it is acceptable for ERMS not to store the title explicitly if the title is stored as a part of the record itself, so long as the ERMS is able to process the title.

In both these cases, and in all other cases, the ERMS must make the metadata values explicit when exporting records. In other words, when exporting records, the ERMS must make any metadata that is implicit (for instance by inheritance) explicit for every entity that it applies to (see 5.3.6).

9.4 Principles

The MoReq2 metadata model is intended to be consistent, to the extent possible, with the following international standards:

- ◆ ISO 23081 – Records management processes – Metadata for records²;
- ◆ ISO 15489 – Records management;
- ◆ ISO 15836 – The Dublin Core metadata element set (for discovery purposes).

The MoReq2 metadata model complies partially with these three standards. Reasons for the partial compliance include:

- ◆ The scope of ISO 23081 is greater than the scope of MoReq2. The standard describes an entire record keeping environment whereas MoReq2 describes only the computer system that forms a part of it; the standard therefore defines more metadata than the MoReq2 metadata model;
- ◆ The metadata elements specified in ISO 15836 address resource discovery. While some are appropriate for this application, others less well-suited to records management;
- ◆ ISO 15836 lacks several concepts that are required to manage records.

ISO 23081 defines six “types” of metadata, as follows:

- a) Metadata about the record itself;
- b) Metadata about the business rules or policies and mandates;

² At the time of writing, ISO 23081-1 has the status of an International Standard; ISO/TS 23081-2 has the status of a technical standard. The latter is under review for acceptance as a full International Standard.

- c) Metadata about agents;
- d) Metadata about business activities or processes;
- e) Metadata about records management processes; and
- f) Metadata about the metadata record.”

The MoReq2 metadata model covers most of a), c), part of e), and part of f).

ISO 23081 partially represents the six “types” of metadata in a diagram; this is reproduced at figure A9.1³, with the addition of shading that represents the parts of the model covered by MoReq2.

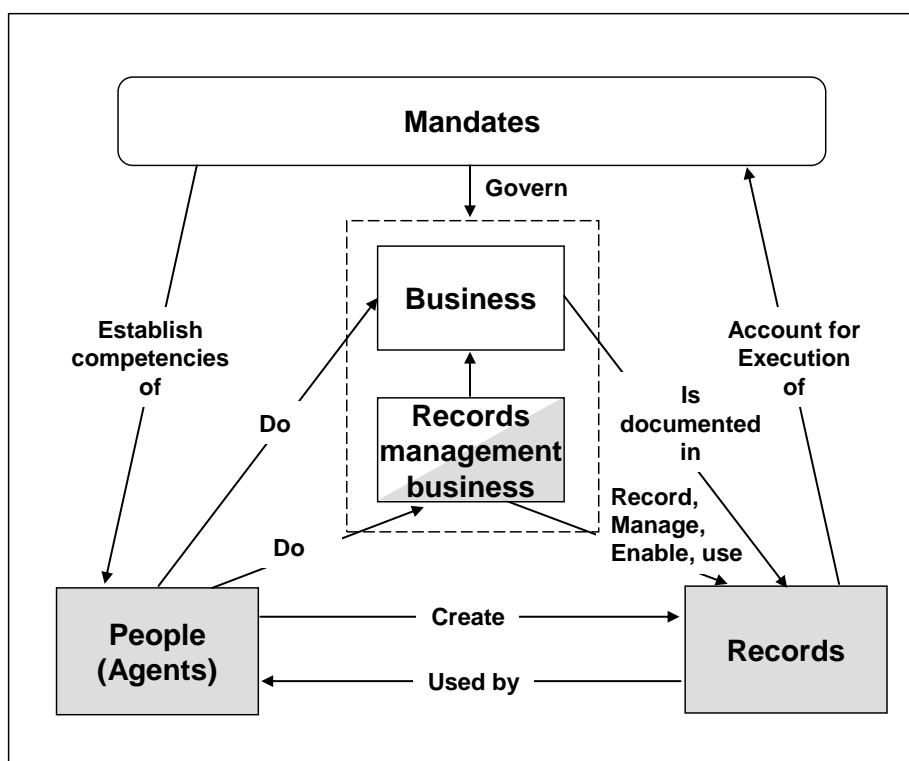


Figure A9.1

In omitting some of the metadata types identified in ISO 23081, it could be argued that under some circumstances, this metadata model leaves open an identifiable risk of compromising some aspects of records management. The same will be true of any records management that does not capture complete self-documenting metadata about every mandate, process, etc. A more complete model of metadata lessens these risks; for example, ISO 23081-1 requires (in clause 9.3.1) that metadata recorded at the time a record is captured should:

³ ISO 23081 attributes this diagram – without the shading – as follows: Derived from Figure 2 *Recordkeeping* and Figure 3 *The Business Context*, included in “Conceptual and Relationship models: Records in Business and Socio-legal Contexts”, a deliverable from the 1998-1999 Monash University research project, called “Recordkeeping Metadata Standards for Managing and Accessing Information Resources in Networked Environments Over Time for Government, Commerce, Social and Cultural Purposes”, Chief Investigators: Sue McKemish, Ann Pedersen and Steve Stuckey. (<http://www.sims.monash.edu.au/research/rcrg/research/spirt/reports.html>.)

- a) identify the specific metadata scheme or schema used in organisational business systems,
- b) capture the business rules or other system controls that regulate record creation and management,
- c) capture the business rules or other system controls that regulate metadata creation and management,
- d) capture the business rules or other system controls that regulate records management operations,
- e) capture the business rules or other system controls that regulate access, and rights to records,
- f) document the mandate or other regulatory requirement for record creation and/or management,
- g) document the mandate or other regulatory requirement for record retention, security or destruction requirements, and
- h) capture the links between the mandate or regulatory information and the records or records management processes to which it relates.”

However, the effort required to implement all the above completely is large, at least according to a strict interpretation of the text. Users of MoReq2 are advised to evaluate the level of risk for their organisation. The risks may be reduced by dealing with some metadata, such as that describing business rules and mandates, outside the ERMS. Where such risks are deemed unacceptable, ISO 23081 should be consulted for guidance on how to extend the metadata model. However, in many ERMS implementations the risks involved are likely to be acceptably low.

9.5 Presentational Conventions

Strictly for presentational reasons, the metadata elements are divided into several sections, as follows:

- ◆ Section 9.7.1 defines metadata for classification schemes;
- ◆ Section 9.7.2 defines metadata for classes, files, sub-files, volumes and records;
- ◆ Section 9.7.3 defines metadata that is unique to record redactions;
- ◆ Section 9.7.4 defines metadata stubs;
- ◆ Section 9.7.5 defines record types;
- ◆ Section 9.7.6 defines components;
- ◆ Section 9.7.7 defines metadata for retention and disposition schedules;
- ◆ Section 9.7.8 defines metadata for users, groups and roles;
- ◆ Section 9.7.9 defines metadata for the invented entity “Entity/Agent” (see explanation in near the beginning of section 9.7).

Within each section, the metadata elements are listed in alphabetical order by element name.

These metadata element definitions are followed in section 9.8 by two cross-reference aids:

- ◆ a table that relates each element to the requirements that affect it;
- ◆ a list of metadata elements in numerical order.

Notes on customisation of this model follow in section 9.9

The section headings used in this appendix are not intended to define any structure for the metadata elements; they are chosen solely to reduce the length of the model and the amount of redundancy in it. The sections relate to the structure defined in ISO 23081 as shown below:

| MoReq2 Section | ISO 23081 Entity |
|---|----------------------------|
| 9.7.1 Classification schemes | Record |
| 9.7.2 Classes, files, sub-files, volumes and records | Record |
| 9.7.3 Record redactions | Record |
| 9.7.4 Metadata stubs | Record |
| 9.7.5 Record types | Record |
| 9.7.6 Components | Record |
| 9.7.7 Retention and disposition schedules, disposal holds | Mandate |
| 9.7.8 Agents (users, groups and roles) | People (Agents) |
| 9.7.9 Entities/Agents | People (Agents) and Record |

The metadata elements for classes, files, sub-files, volumes and records are brought together in one section. Likewise, the elements for users, groups and roles are brought together despite the fact that they are describing different concepts. This is only for brevity and ease of presentation; if each metadata element for each conceptual entity were shown separately (distinct elements for classes, volumes, records, etc.) the model would be more than twice as long, would contain a large amount of redundant information, and so would be more difficult to understand, use and maintain.

Throughout the appendix the noun “entity” is used to mean “any of class, file, sub-file, volume and record, as appropriate.”

Every metadata element is defined in one table, similar to the table in figure A9.2 below. :

| <i>Number: Name</i> | | | | | |
|---------------------|-------------|------|----------|--------|--------|
| | Obligation: | | Occurs: | | |
| Definition: | | | | | |
| Applies to: | class | file | sub-file | volume | record |
| Applies to: | user | | group | | role |
| Populated: | | | | | |
| Source: | | | | | |
| Default: | | | | | |
| Inheritance | | | | | |
| Use conditions: | | | | | |
| Comment: | | | | | |
| Requirements | | | | | |

Figure A9.2

The table is preceded by a heading which gives a **reference number** and a **name** for the element. The reference number is a unique three-digit number, preceded by the letter M (for example, M012). This can be used to refer to the element. The number is an arbitrary identifier; the sequence of numbers has no significance. The name is constructed according to the conventions described in section 9.6.

Each table provides information about one metadata element. The information shown varies according to the element. It can include the following:

- ◆ **Obligation:** whether a value for the element is mandatory or optional for compliance with MoReq2.
- ◆ **Occurs:** whether more than one value is allowed for the element (for example, a “title” element must have only one value, whereas “author” may have many. This is technically referred to as “cardinality”). The term “Once” indicates only a single value is allowed. The term “Many” indicates one value or more than one value are allowed. Both allow for no values if the obligation is optional.
- ◆ **Definition:** a short description of the element.
- ◆ **Applies to:**
 - ◆ (section 9.7.2 only): to which of the entities class, file, sub-file, volume and record the element applies;
 - ◆ (section 9.7.8 only): to which of the entities user, group and role the element applies.
- ◆ A tick (✓) indicates that the element applies to the entity shown by the tick.
- ◆ **Populated:** how the value(s) for this element are produced.
- ◆ **Source:** the source of the value.

- ◆ **Default:** the suggested default value. This is included as an aid to usability for elements that are populated by users. Where the values are populated only automatically, no default is shown as the concept of default is not appropriate.
- ◆ **Inheritance:** Rules for the inheritance of the metadata values. Shown only where inheritance could be relevant. Examples of requirements relying on inheritance include 3.2.10, 5.1.11, 5.1.13, 12.2.10, 3.2.4 and 3.4.12. The inheritance shown is the minimum; it is acceptable for more inheritance to be implemented.
- ◆ **Use conditions:** conditions and rules that govern the use and value(s) of the element.
- ◆ **Comment:** additional information (for some elements only). In particular, where values can be extracted automatically from e-mails, the e-mail header fields are identified here, using the name of the field as specified in RFC 2822 (see appendix 7).
- ◆ **Requirements:** references to formal requirements from MoReq2 that can change values of the metadata element. In some cases the list of requirements may not be complete.

Several elements hold values that are the unique identifiers of entities managed by the ERMS. For example, one element of a volume's metadata holds identifiers for all the records stored in the file. In many cases the model specifies that these values are to consist of fully qualified classification codes. These codes are used instead of system identifiers as they are more likely to be meaningful when transferred between systems.

9.6 Naming Conventions

Metadata element names are unique within each section of the model (for example within section 9.7.2). The names are not necessarily unique within the entire model.

The name of each metadata element is made up of two or three parts, where:

- ◆ the first part is the metadata group (as defined in ISO 23081 part 2 section 8), namely one of the following:
 - ◆ Identity;
 - ◆ Description;
 - ◆ Use;
 - ◆ Event plan;
 - ◆ Event history;
 - ◆ Relation.
- ◆ the second part is a metadata element name relevant to the group. Wherever possible the names are taken from ISO 23081-2, but several have been developed for MoReq2;
- ◆ the third part (if present) is a refinement to the second part.

The parts of the name are separated by the "." delimiter. An underscore "_" is used to separate words within a part. Some example element names are:

- ◆ Description.classification.case_id;
- ◆ Event_history.date.opened.

9.7 Metadata Elements

This section defines the elements in the MoReq2 metadata model. It starts with a table of contents that groups the elements for ease of presentation and use.

The table of contents is followed by the element descriptions, in the format explained in section 9.5 of this appendix.

The element descriptions are followed by a cross-reference listing that relates the elements to the requirements that affect their values.

The MoReq2 metadata model includes a metadata entity named “Entity/Agent”. This fictitious entity is introduced for technical reasons: it resolves a many-to-many relationship between entities and agents who can access them.

Each user can have permissions related to several entities (classes, files, sub-files, volumes, records). Each entity can have permissions related to several agents. In metadata terms, this can best be expressed by introducing a new conceptual “object” – named Entity/Agent in this model – for which there is one instance for each pair of entity and agent recognised in the access control model.

Entity/Agent has no real existence; it is an artefact designed to normalise the metadata. Essentially it models the relationship between entities and agents. Alternatively each Entity/Agent can be regarded as the metadata that describes access rights for one agent (user, group or role) to the records held in one class.

Diagrammatically, the Entity/Agent can be shown as in figure A9.3 (using the same conventions as in the entity-relationship model at figure 13.3):

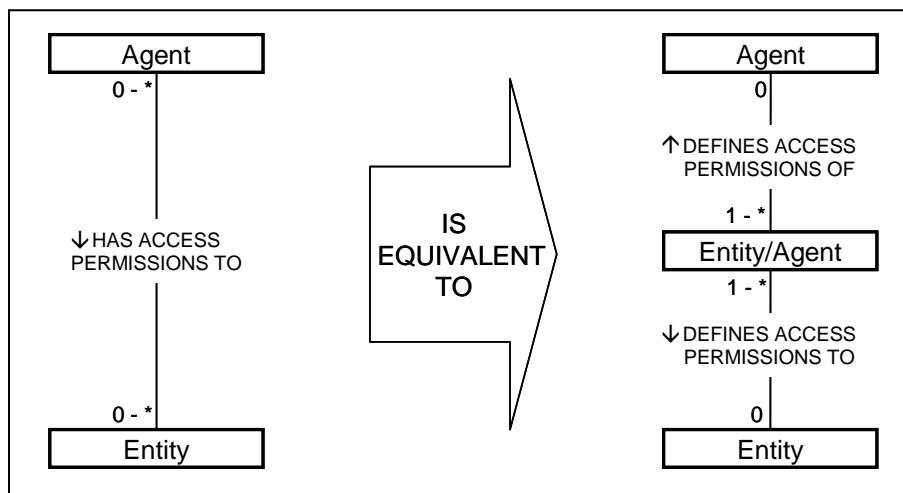


Figure A9.3

The metadata for Entity/Agent will never be used directly by users or administrators. It need not be used by the ERMS to manage access (though this is possible); its purpose is to communicate access permissions when exporting and importing records.

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9.7.1 Classification Schemes

M046: Description.abstract.description

| | | | | |
|------------------------|---|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The description of the classification scheme. | | | |
| Populated: | Entered manually at the time of creation. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | None. | | | |
| Use conditions: | Can be modified by an administrative role or user with appropriate access rights. | | | |
| Comment: | No comment. | | | |
| Requirements | 3.1.3 | | | |

M045: Description.title

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The name that identifies the classification scheme. | | | |
| Populated: | Entered manually at configuration time. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | None. | | | |
| Use conditions: | Can be modified only by an administrative role. | | | |
| Comment: | Often the name of the business or organisational unit responsible for the classification scheme. Modification of this element should be rare – typically only in response to a merger or change of corporate name. | | | |
| Requirements | 3.1.3 | | | |

M044: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The identifier of the classification scheme. | | | |
| Populated: | System-generated at configuration time. | | | |
| Source | System. | | | |
| Default | None. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | This element is required to identify classes from classification scheme if the classification scheme is combined with another or used alongside another. | | | |
| Requirements | 3.1.3 | | | |

9.7.2 Classes, Files, Sub-Files, Volumes, Records

M047: Description.abstract.description

| | | | | | |
|------------------------|---|----------|----------------|----------|--------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | A textual description of the entity and its relevant content. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record |
| Populated: | Manually entered when the entity is created. | | | | |
| Source | User. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be changed by users who have appropriate access rights. | | | | |
| Comment: | <p>For classes and files, also known as “scope notes” – narratives intended to clarify the intended contents and/or exclusions of classes and files for the benefit of users. Also known as description.</p> <p>For e-mail value can be taken from RFC 2822 header field “comment” if present (at the time of writing it is rarely used).</p> | | | | |
| Requirements | 3.1.10 | | | | |

M004: Description.abstract.keyword

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | Keyword(s) assigned to the entity to aid in discovering it. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume | record ✓ |
| Populated: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>Entered manually at any time.</p> | | | | |
| Source | User. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>It is good practice for keywords to be picked from or validated against a controlled vocabulary, but this is not mandatory.</p> <p>For e-mail value can be taken from RFC 2822 header field “Keywords” if present, but this is not mandatory as it may conflict with good practice as described above.</p> | | | | |
| Requirements | 4.1.23, 4.1.22, 3.2.13, 3.2.14, 8.1.20 | | | | |

M126: Description.abstract.reason_for_rendition

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | Why the record has been rendered. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Entered manually at time of rendition. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory for a rendition. May not be changed. Applies to the rendition, not the original record. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 11.7.10 | | | | |

M184: Description.author.e_mail_address

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The e-mail address(es) of the author(s) of a document that is captured as a record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by a user when an outgoing or internal document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no address available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the "addr-spec" part of the RFC 2822 header field "from", one occurrence for each mailbox listed in the "from" field.</p> <p>Manually entered in cases where for example an incompatible template is used.</p> <p>This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>May be the same as, or different from, the sender e-mail address (M187).</p> <p>See also M190.</p> | | | | |
| Requirements | 6.1.18 | | | | |

M069: Description.author.name

| | | | | | |
|------------------------|---|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Many | |
| Definition: | The name(s) of the author(s) of a document that is captured as a record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by a user, when an outgoing or internal document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no name available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “display-name” part of the RFC 2822 header field “from”, one occurrence for each mailbox listed in the “from” field; if a “display-name” is not present then a suitable alternative should be used such as the “local-part” or “addr-spec”.</p> <p>Manually entered in cases where for example an incompatible template is used. This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>May be the same as, or different from, the sender name (M075).</p> <p>See also M190.</p> | | | | |
| Requirements | 6.1.18 | | | | |

M108: Description.classification.case_id

| | | | | | |
|------------------------|---|----------|----------------|--------|--------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | An identifier specific to a case file. | | | | |
| Applies to: | Class | File ✓ | sub-file | volume | record |
| Populated: | Manually by an administrative role or by a user with appropriate access permission; or provided automatically by a case management application or by the ERMS. | | | | |
| Source | Case management application or user. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | <p>Can be modified by an administrative role or by a user with appropriate access permissions.</p> <p>Can optionally be captured automatically by the ERMS from word processed (or other) documents that have been prepared with an appropriate template.</p> | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.5.2, 10.5.6, 10.5.14 | | | | |

M011: Description.classification.classification_code

| | | | | |
|------------------------|---|-----------|----------------|----------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The classification code of the entity, unique within its parent. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Automatically generated by the ERMS at the time of creation of an entity. | | | |
| Source | ERMS. | | | |
| Inheritance | None – but incorporated into the fully qualified classification codes of all child entities. | | | |
| Use conditions: | Cannot be modified but see below. | | | |
| Comment: | Recalculated by the ERMS if the entity is moved. These classification codes can be concatenated (pre-pended with the parent's classification codes) to make a fully qualified classification code. See element M012. | | | |
| Requirements | 3.1.15, 3.2.3, 7.1.1, 7.1.4, 3.3.11, 3.4.2, 3.4.3 | | | |

M012: Description.classification.fully_qualified_classification_code

| | | | | |
|------------------------|---|-----------|----------------|----------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The hierarchical identifier of the entity, unique within the ERMS. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Automatically generated by the ERMS at the time of creation of an entity. | | | |
| Source | ERMS. | | | |
| Inheritance | None – but incorporated into the fully qualified classification codes of all child entities. | | | |
| Use conditions: | Can only be modified if the entity is moved. | | | |
| Comment: | Made up of concatenated classification codes of the entity and its parent entities. See element M011. | | | |
| Requirements | 3.1.15, 3.2.3, 7.1.1, 7.1.4, 3.3.11, 3.4.2, 3.4.3 | | | |

M158: Description.classification.new_fully_qualified_classification_code

| | | | | |
|------------------------|--|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The fully qualified classification code of a copy of the entity after its relocation. | | | |
| Applies to: | class ✓ | file ✓ | sub-file | volume record ✓ |
| Populated: | Automatically set by the ERMS when the entity is relocated within the classification scheme. | | | |
| Source | ERMS. | | | |
| Inheritance | None – but incorporated into the fully qualified classification codes of all child entities. | | | |
| Use conditions: | Used only when an entity is relocated in a system where the option in 9.3.1 is selected. | | | |
| Comment: | No comment. | | | |
| Requirements | 3.4.1, 3.4.2, 3.4.3 | | | |

M185: Description.copy_recipient.e_mail_address

| | | | | |
|------------------------|--|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | The e-mail address(es) of copy recipient(s) of a document that is captured as a record. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS from the document when possible. Otherwise entered manually when a record is captured. | | | |
| Source | Record or user. | | | |
| Default | Value most recently used for this element (if no address available from record). | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “addr-spec” part of the RFC 2822 header field “cc”, one occurrence for each mailbox listed in the “to” field (and one occurrence for each mailbox listed in any “group” fields).</p> <p>Manually entered in cases where, for example, an incompatible template is used or in the case of an e-mail with no “to” field.</p> <p>This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>See also M191.</p> | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | |

M067: Description.copy_recipient.name

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The name(s) of the copy recipient(s) of a document that is captured as a record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS from the document when possible. Otherwise entered manually when a record is captured. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no name available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “display-name” part of the RFC 2822 header field “to”, one occurrence for each mailbox listed in the “to” field (and one occurrence for each mailbox listed in any “group” fields); if a “display-name” is not present then a suitable alternative should be used such as the “local-part” or “addr-spec”.</p> <p>Manually entered in cases where, for example, an incompatible template is used or in the case of an e-mail with no “to” field. This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>See also M191.</p> | | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | | |

M065: Description.date

| | | | | | |
|------------------------|---|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Once | |
| Definition: | The document date (as in the body of the document). | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS from the document when possible. Otherwise entered manually when a record is captured. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no date available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from RFC 2822 header field "orig-date".</p> <p>Manually entered in cases where, for example, an incompatible template is used.</p> | | | | |
| Requirements | 6.1.18 | | | | |

M195: Description.external_identifier.external_system_reference

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | Unique identifier of an e-mail, as produced by the e-mail system. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS from the e-mail. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | <p>Used only for e-mails.</p> <p>Cannot be modified.</p> | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail message.</p> <p>For e-mail value is taken from RFC 2822 header field "Message-ID".</p> | | | | |
| Requirements | 6.1.37, 11.8.6, 11.8.7 | | | | |

M070: Description.external_identifier.internal_reference

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | An internal reference on an outgoing or internal document that is captured as a record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights, when an outgoing or internal office document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no reference available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | Manually entered in cases where, for example, an incompatible template is used. | | | | |
| Requirements | 6.1.18 | | | | |

M086: Description.place.current_location

| | | | | | |
|------------------------|---|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The current physical location of a physical entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | | |
| Source | User. | | | | |
| Default | Current location of parent, where this exists. | | | | |
| Inheritance | Inherited from parent entity; propagated to child entities. | | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions when the entity is moved. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.1.7, 10.1.17 | | | | |

M122: Description.place.home_location

| | | | | |
|------------------------|---|----------|----------------|-------------------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | The home location of a physical entity. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | Inherited from parent entity; propagated to child entities. | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions when the entity is moved. | | | |
| Comment: | The home location is the normal storage location. | | | |
| Requirements | 10.1.7, 10.1.14 | | | |

M186: Description.recipient.e_mail_address

| | | | | |
|------------------------|--|-----------|----------------|-----------------|
| | Obligation: | Mandatory | Occurs: | Many |
| Definition: | The e-mail address(es) of recipient(s) of an outgoing or internal document that is captured as a record. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS from the document when possible. Otherwise entered manually when a record is captured. | | | |
| Source | Record or user. | | | |
| Default | Value most recently used for this element (if no address available from record). | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “addr-spec” part of the RFC 2822 header field “to”, one occurrence for each mailbox listed in the “to” field (and one occurrence for each mailbox listed in any “group” fields).</p> <p>Manually entered in cases where, for example, an incompatible template is used or in the case of an e-mail with no “to” field.</p> <p>This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>See also M192.</p> | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | |

M066: Description.recipient.name

| | | | | | |
|------------------------|--|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Many | |
| Definition: | The name(s) of the recipient(s) of an outgoing or internal document that is captured as a record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS from the document when possible. Otherwise entered manually when a record is captured. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no name available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “display-name” part of the RFC 2822 header field “to”, one occurrence for each mailbox listed in the “to” field (and one occurrence for each mailbox listed in any “group” fields); if a “display-name” is not present then a suitable alternative should be used such as the “local-part” or “addr-spec”.</p> <p>Manually entered in cases where, for example, an incompatible template is used or in the case of an e-mail with no “to” field.</p> <p>This element is required for incoming, outgoing and internal documents, despite the fact that the requirement below does not address all of these.</p> <p>See also M192.</p> | | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | | |

M187: Description.sender.e_mail_address

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The e-mail address of the sender of an e-mail or fax. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights, when an outgoing or internal document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no address available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “addr-spec” part of the RFC 2822 header field “sender”.</p> <p>For e-mail, if no “sender” is present, value is taken from the “addr-spec” part of the RFC 2822 header field “from”.</p> <p>Manually entered in cases where, for example, an incompatible template is used.</p> <p>May be the same as, or different to, the author e-mail address (M184).</p> <p>See also M193.</p> | | | | |
| Requirements | 6.3.1, 10.12.7, 10.12.8 | | | | |

M075: Description.sender.name

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The name(s) of the sender of an e-mail or fax or other correspondence. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights, when an outgoing or internal document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no name available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>Captured automatically by the ERMS from e-mail messages and from word processed (or other) documents that have been prepared with an appropriate template.</p> <p>For e-mail value is taken from the “display-name” part of the RFC 2822 header field “sender”; if a “display-name” is not present then a suitable alternative should be used such as the “local-part” or “addr-spec”.</p> <p>For e-mail, if no “sender” is present, value is taken from the “display-name” part of the RFC 2822 header field “from”; if a “display-name” is not present then a suitable alternative should be used such as the “local-part” or “addr-spec”.</p> <p>Manually entered in cases where, for example, an incompatible template is used.</p> <p>May be the same as, or different to, the author name (M069).</p> <p>See also M193.</p> | | | | |
| Requirements | 6.3.1, 10.12.7, 10.12.8 | | | | |

M003: Description.title

| | | |
|------------------------|--|-------------------------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The name given to the entity. | |
| Applies to: | class ✓ | file ✓ sub-file ✓ volume ✓ record ✓ |
| Populated: | Either manually entered when the entity is created; or (for some case files and some records) provided by an external application; or extracted automatically by the ERMS. | |
| Source | Record or user. | |
| Default | Value most recently used for this element (if no name available from record). | |
| Inheritance | None – but can be incorporated into the concatenated names of all child entities. | |
| Use conditions: | Can be changed by users who have appropriate access rights. | |
| Comment: | For e-mail value is taken from RFC 2822 header field “subject” if present. | |
| Requirements | 3.2.4, 4.1.23, 6.1.18, 6.3.11, 6.3.10, 10.12.7, 10.12.8, | |

M089: Event_history.abstract.keyword_change_reason

| | | |
|------------------------|---|-------------------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The reason for making changes to the keyword(s) of a file. | |
| Applies to: | class | file ✓ sub-file volume record |
| Populated: | Manually populated by an administrative role or by a user with appropriate access rights. | |
| Source | User. | |
| Default | Value most recently used for this element. | |
| Inheritance | None. | |
| Use conditions: | Can be modified by users who have appropriate access rights. | |
| Comment: | No comment. | |
| Requirements | 3.4.28 | |

M021: *Event_history.abstract.reclassification_reason*

| | | | | | |
|------------------------|---|--|----------------|----------|----------|
| | Obligation: | Mandatory if the entity is reclassified. | Occurs: | Once | |
| Definition: | The reason for the reclassification of an entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually by an administrative role. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Updated when a class, file, sub-file, volume or record is reclassified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.4.14, 3.4.2, 3.4.3 | | | | |

M054: *Event_history.abstract.review_action_reason*

| | | | | | |
|------------------------|--|----------|----------------|----------|--------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The reason for the decision taken during review. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record |
| Populated: | Manually populated by an administrative role or user with appropriate access rights. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.2.6 | | | | |

M071: *Event_history.date.captured*

| | | | | | |
|------------------------|--|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Once | |
| Definition: | The date and time at which a record was captured. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS when record is captured. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 6.1.19 | | | | |

M093: Event_history.date.checked_in

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The date the physical entity was checked in. | | | | |
| Applies to: | class | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically populated by the ERMS. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | If this date is later than the date in M094 then the entity is checked in. | | | | |
| Requirements | 10.1.9 | | | | |

M094: Event_history.date.checked_out

| | | | | | |
|------------------------|---|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The date the physical entity was checked out. | | | | |
| Applies to: | class | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically populated by the ERMS. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | If this date is later than the date in M093 then the entity is checked out. | | | | |
| Requirements | 10.1.9 | | | | |

M051: Event_history.date.closed

| | | | | | |
|------------------------|--|------------------------------------|----------------|----------|--------|
| | Obligation: | Mandatory if the entity is closed. | Occurs: | Once | |
| Definition: | The date the entity was closed. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record |
| Populated: | Generated by the ERMS when the entity is closed. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. Value null if entity is open. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.2.8, 3.3.4, 3.3.9, 3.4.20 | | | | |

M048: Event_history.date.created

| | | | | |
|------------------------|---|-----------|----------------|--------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The date the entity was created. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record |
| Populated: | Populated by the ERMS when the entity is created. | | | |
| Source | Operating system. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 3.2.9 | | | |

M120: Event_history.date.decrypted

| | | | | |
|------------------------|---|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The date and time the record was decrypted. | | | |
| Applies to: | Class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS. | | | |
| Source | Operating system. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 10.8.3, 10.8.2, 10.8.5 | | | |

M160: Event_history.date.deleted

| | | | | |
|------------------------|--|----------------------|----------------|--------------------|
| | Obligation: | Mandatory if deleted | Occurs: | Once |
| Definition: | Indicates the date the entity was deleted. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Populated automatically by the ERMS at time of destruction. | | | |
| Source | Operating system. | | | |
| Inheritance | None. | | | |
| Use conditions: | Used only if the option in 9.3.1 is selected. Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 9.3.1, 9.3.3 | | | |

M119: Event_history.date.encrypted

| | | | | |
|------------------------|--|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The date and time the record was encrypted. | | | |
| Applies to: | Class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS. | | | |
| Source | Record. | | | |
| Inheritance | None. | | | |
| Use conditions: | Mandatory if encrypted. Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 10.8.3, 10.8.2 | | | |

M049: Event_history.date.modified

| | | | | |
|------------------------|---|-----------|----------------|-----------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The date the volume was last modified. | | | |
| Applies to: | class | file | sub-file | volume ✓ record |
| Populated: | Generated by the ERMS when the volume is modified. | | | |
| Source | Operating system. | | | |
| Inheritance | None. | | | |
| Use conditions: | Can be modified only by the ERMS. | | | |
| Comment: | A volume is considered to be modified when a record is added to it. | | | |
| Requirements | 6.1.41 | | | |

M095: Event_history.date.moved_from_location

| | | | | |
|------------------------|---|----------|----------------|-------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The date the physical entity was moved from a previous location. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | |
| Comment: | No comment. | | | |
| Requirements | 10.1.17 | | | |

M050: Event_history.date.opened

| | | | | |
|------------------------|--|-----------|----------------|--------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The date the entity was opened. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record |
| Populated: | Populated by the ERMS when the entity is opened. | | | |
| Source | Operating system. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 3.2.8, 3.3.4, 3.3.9 | | | |

M088: Event_history.date.received

| | | | | |
|------------------------|--|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The date an e-mail or fax was received. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights, when an incoming or internal document is captured as a record. | | | |
| Source | Operating system or user. | | | |
| Default | Date most recently entered by user. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. Mandatory for any document that is received. | | | |
| Comment: | Manually entered in cases where, for example, an incompatible template is used. | | | |
| Requirements | 6.3.14 | | | |

M096: Event_history.date.received_at_location

| | | | | |
|------------------------|---|----------|----------------|----------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The date the physical entity was received at the current location. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | |
| Comment: | No comment. | | | |
| Requirements | 10.1.17 | | | |

M159: Event_history.date.relocated

| | | | | | |
|------------------------|---|------------------------|----------------|--------|----------|
| | Obligation: | Mandatory if relocated | Occurs: | Once | |
| Definition: | The date on which the entity was relocated. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file | volume | record ✓ |
| Populated: | Populated automatically by the ERMS at time of relocation. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Used only if the option in 9.3.1 is selected. Cannot be modified. Null if destroyed. Not used for records that were relocated as part of an aggregation; used for records only when they are handled individually. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.4.1, 9.3.1, 9.3.3 | | | | |

M127: Event_history.date.rendered

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | Date record was rendered. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Captured automatically at time of rendition. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Used whenever any or all of the record's components are rendered. Cannot be changed. | | | | |
| Comment: | Applies to the rendition, not the original record. | | | | |
| Requirements | 11.7.13 | | | | |

M055: Event_history.date.reviewed

| | | | | | |
|------------------------|--------------------------------------|----------|----------------|----------|--------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The date the review took place. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record |
| Populated: | Automatically populated by the ERMS. | | | | |
| Source | Operating system. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.2.5 | | | | |

M074: Event_history.date.sent

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The date a fax or e-mail was sent. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights, when an outgoing or internal document is captured as a record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | Manually entered in cases where, for example, an incompatible template is used. Mandatory for every document that is sent. | | | | |
| Requirements | 6.3.1, 6.3.14, 10.12.8 | | | | |

M114: Event_history.date.verified.electronic_signature

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The date and time the electronic signature was verified. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | Record. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory when the signature is validated. Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.7.5, 10.7.4 | | | | |

M035: Event_history.disposal_hold.agent_applied

| | | | | | |
|------------------------|--|---|----------------|----------|----------|
| | Obligation: | Mandatory if any disposal hold has been applied | Occurs: | Many | |
| Definition: | System identifier of the user who applied the disposal hold. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically captured when a hold is applied. | | | | |
| Source | ERMS. | | | | |
| Inheritance | Inherited by all child entities except components. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | <p>One value for each disposal hold applied.</p> <p>If any disposal holds have been applied to the entity then one value must be present for each hold, along with matching values in M034 and M135.</p> <p>This element represents a Relation to an Agent; it is represented here as an Event History element for consistency with the closely-associated Event History elements for disposal holds (M134, M034, M102, M135, M136).</p> | | | | |
| Requirements | 5.1.38 | | | | |

M134: Event_history.disposal_hold.agent_lifted

| | | | | | |
|------------------------|---|--|----------------|----------|----------|
| | Obligation: | Mandatory if any disposal hold has been applied and lifted | Occurs: | Many | |
| Definition: | System identifier of the user who lifted the disposal hold. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically captured when a hold is lifted. | | | | |
| Source | ERMS. | | | | |
| Inheritance | Inherited by all child entities except components. | | | | |
| Use conditions: | <p>Cannot be modified.</p> <p>If any disposal holds have been applied to the entity and then lifted, then one value must be present for each hold, along with matching values in M034, M035, M102, M135 and M136.</p> | | | | |
| Comment: | <p>One value for each disposal hold lifted.</p> <p>This element represents a Relation to an Agent; it is represented here as an Event History element for consistency with the closely-associated Event History elements for disposal holds (M035, M034, M102, M135, M136).</p> | | | | |
| Requirements | 5.1.38 | | | | |

M034: Event_history.disposal_hold.date_applied

| | | | | |
|------------------------|---|---|----------------|-------------------|
| | Obligation: | Mandatory if any disposal hold has been applied | Occurs: | Many |
| Definition: | The date a disposal hold was applied to the entity. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Generated by the ERMS when hold is applied. | | | |
| Source | Operating system. | | | |
| Inheritance | Inherited by all child entities except components. | | | |
| Use conditions: | Cannot be modified. If any disposal holds have been applied to the entity then one value must be present for each hold, along with matching values in M035 and M135. | | | |
| Comment: | One value for each disposal hold applied. | | | |
| Requirements | 5.1.38 | | | |

M102: Event_history.disposal_hold.date_lifted

| | | | | |
|------------------------|--|--|----------------|-------------------|
| | Obligation: | Mandatory if any disposal hold has been applied and lifted | Occurs: | Many |
| Definition: | The date a disposal hold was lifted from the entity. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Generated by the ERMS when hold is lifted. | | | |
| Source | Operating system. | | | |
| Inheritance | Inherited by all child entities except components. | | | |
| Use conditions: | Cannot be modified. If any disposal holds have been applied to the entity and then lifted, then one value must be present for each hold, along with matching values in M034, M035, M134, M135 and M136. | | | |
| Comment: | One value for each disposal hold lifted. | | | |
| Requirements | 5.1.38 | | | |

M135: Event_history.disposal_hold.reason_applied

| | | | | |
|------------------------|---|---|----------------|-------------------|
| | Obligation: | Mandatory if any disposal hold has been applied | Occurs: | Many |
| Definition: | The reason why a disposal hold was applied. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually entered when a hold is applied. Can optionally be captured automatically from the value of M043. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | Inherited by all child entities except components. | | | |
| Use conditions: | Cannot be modified. If any disposal holds have been applied to the entity then one value must be present for each hold, along with matching values in M034 and M035. | | | |
| Comment: | One value for each disposal hold applied. | | | |
| Requirements | 5.1.38 | | | |

M136: Event_history.disposal_hold.reason_lifted

| | | | | |
|------------------------|--|--|----------------|-------------------|
| | Obligation: | Mandatory if any disposal hold has been applied and lifted | Occurs: | Many |
| Definition: | The reason why a disposal hold was lifted. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually entered when a hold is applied. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | Inherited by all child entities except components. | | | |
| Use conditions: | Cannot be modified. If any disposal holds have been applied to the entity and then lifted, then one value must be present for each hold, along with matching values in M034, M035, M102, M134 and M135. | | | |
| Comment: | One value for each disposal hold lifted. | | | |
| Requirements | 5.1.38, 5.1.40 | | | |

M138: Event_plan.abstract.review_date

| | | | | |
|------------------------|--|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The disposition date decided by a reviewer during a review. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record |
| Populated: | Manually populated by a reviewer with appropriate access rights. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Can be modified.</p> <p>Value must be a valid date unless value of element M053 is RETAIN in which case it must be null.</p> <ul style="list-style-type: none"> ◆ DESTROY ◆ TRANSFER ◆ REVIEW ◆ RETAIN <p>Must be used with element M053.</p> | | | |
| Comment: | No comment. | | | |
| Requirements | 5.2.4 | | | |

M053: Event_plan.abstract.review_action

| | | | | |
|------------------------|---|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The disposition action decided by a reviewer during a review. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record |
| Populated: | Manually populated by a reviewer with appropriate access rights. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Can be modified.</p> <p>Value must be one of:</p> <ul style="list-style-type: none"> ◆ DESTROY ◆ TRANSFER ◆ REVIEW ◆ RETAIN <p>Must be used with element M138.</p> | | | |
| Comment: | No comment. | | | |
| Requirements | 5.2.4 | | | |

M098: Event_plan.date.return

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The date on which a checked out physical entity is due to be returned. | | | | |
| Applies to: | class | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually set by the user checking out the physical entity. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. Changed to null when checked in. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.1.10, 10.1.12 | | | | |

M031: Event_plan.status.permanent

| | | | | | |
|------------------------|--|-----------|----------------|----------|----------|
| | Obligation: | Mandatory | Occurs: | Once | |
| Definition: | Indicates whether an entity needs to be retained permanently. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually entered by an administrative role or by a user with appropriate access rights; can be inherited from parent entity. | | | | |
| Source | User. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access rights. Value must be either YES or NO. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.1.25 | | | | |

M059: Event_plan.volume.capacity

| | | | | |
|------------------------|--|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The maximum number of records a volume can hold. | | | |
| Applies to: | class | file | sub-file | volume ✓ record |
| Populated: | Manually populated by an administrative role or user with appropriate access rights when the volume is created. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Value is a number (the number of records allowed in the volume).</p> <p>The volume is automatically closed by the ERMS when the number of records exceeds the maximum number of records that the volume can hold.</p> <p>Cannot be used if either of the following is used:</p> <p>M022.</p> <p>M058.</p> | | | |
| Comment: | No comment. | | | |
| Requirements | 3.4.21 | | | |

M022: Event_plan.volume.cut-off

| | | | | |
|------------------------|---|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The annual cut-off date at which a volume must be closed. | | | |
| Applies to: | class | file | sub-file | volume ✓ record |
| Populated: | Manually populated by an administrative role or user with appropriate access rights when the volume is created. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Value is a date consisting of month and day only.</p> <p>The volume is automatically closed by the ERMS when the cut-off date is reached.</p> <p>Cannot be used if any of the following is used:</p> <ul style="list-style-type: none"> ◆ M058; ◆ M059; ◆ M062. | | | |
| Comment: | No comment. | | | |
| Requirements | 3.4.21 | | | |

M058: Event_plan.volume.event_trigger

| | | | | |
|------------------------|---|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The event which allows the calculation of when the volume can be closed. | | | |
| Applies to: | class | file | sub-file | volume ✓ record |
| Populated: | Manually populated by an administrative role or by a user with appropriate access rights. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Value must be taken from a controlled list; the list must include at least the following (taken from 3.4.21):</p> <ul style="list-style-type: none"> ◆ AFTER RECORD ADDED. <p>Can be modified.</p> <p>Cannot be used if either of the following are used:</p> <ul style="list-style-type: none"> ◆ M059; ◆ M022. <p>Must be used if M062 is used.</p> | | | |
| Comment: | It is acceptable to add events to the controlled vocabulary. | | | |
| Requirements | 3.4.21 | | | |

M062: Event_plan.volume.period

| | | | | |
|------------------------|--|----------|----------------|--------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The time interval which the ERMS monitors once the event trigger has occurred. | | | |
| Applies to: | class | file | sub-file | volume ✓ record |
| Populated: | Entered manually at the time of creation of the volume. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | None. | | | |
| Use conditions: | <p>Value must be a number of days (the length of the period).</p> <p>Can be modified by an administrative role or users with appropriate access rights.</p> <p>Cannot be used if either of the following are used:</p> <ul style="list-style-type: none"> ◆ M059; ◆ M022. <p>Must be used if M058 is used.</p> | | | |
| Comment: | Once this period expires the ERMS closes the volume. | | | |
| Requirements | 3.4.21 | | | |

M020: Identity.system_identifier

| | | | | |
|------------------------|---|-----------|----------------|----------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The system identifier for an entity. | | | |
| Applies to: | Class ✓ | File ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Automatically populated by the ERMS. | | | |
| Source | ERMS. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified | | | |
| Comment: | Primarily used for by the ERMS software. In some cases it may be used by users. | | | |
| Requirements | 3.3.11, 7.2.1 | | | |

M125: Identity.system_identifier_rendition

| | | | | |
|------------------------|---|-----------|----------------|--------------------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The unique identifier of a rendition of a record. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Mandatory for a rendition. Populated automatically by ERMS at time of capture and at time of rendition. Applies to a rendition, not to the original record. | | | |
| Source | ERMS. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be changed. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.2.3, 11.7.4 | | | |

M190: Relation.agent.author

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | System identifier of the author of the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS, when an outgoing or internal document is captured as a record and the author identity captured can be associated with an agent recognised by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>When the ERMS captures agent identity from a record, regardless of whether it is entered manually or extracted automatically (e.g. from an e-mail or from a document that has been prepared with an appropriate template) the ERMS may be able to relate this identity information to an agent for which metadata is stored by the ERMS (see 9.7.8). This may be achieved by recognising an e-mail address or a name, or by any other means. In this situation this element should be populated by the ERMS with the system identifier (M163) of the agent.</p> <p>See also M069, M184.</p> | | | | |
| Requirements | 6.1.18 | | | | |

M191: Relation.agent.copy_recipient

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | System identifier of the copy recipient(s) of the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS, when an outgoing or internal document is captured as a record and the copy recipient identity(ies) captured can be associated with agent(s) recognised by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>When the ERMS captures agent identity from a record, regardless of whether it is entered manually or extracted automatically (e.g. from an e-mail or from a document that has been prepared with an appropriate template) the ERMS may be able to relate this identity information to an agent for which metadata is stored by the ERMS (see 9.7.8). This may be achieved by recognising an e-mail address or a name, or by any other means. In this situation this element should be populated by the ERMS with the system identifier (M163) of the agent.</p> <p>See also M067, M185.</p> | | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | | |

M123: Relation.agent.custodian

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | System identifier of the custodian of the physical entity. | | | | |
| Applies to: | class | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | | |
| Source | User. | | | | |
| Default | Previous name entered by user. | | | | |
| Inheritance | In some situations, it may be desirable for this value to be inherited by child entities. This is acceptable but is not required by the model. | | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.1.9 | | | | |

M161: Relation.agent.deleted

| | | | | | |
|------------------------|--|----------------------|----------------|--------|----------|
| | Obligation: | Mandatory if deleted | Occurs: | Once | |
| Definition: | System identifier of the person who deleted the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Set automatically by the ERMS when the record is deleted. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Used only if the option in 9.3.1 is selected. Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 12.2.7, 9.3.3 | | | | |

M097: Relation.agent.movement

| | | | | |
|------------------------|--|----------|----------------|----------------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | System identifier of the person who was responsible for executing the movement of a physical entity. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Manually or automatically by the ERMS. | | | |
| Source | ERMS or user. | | | |
| Default | Value most recently used for this element. | | | |
| Inheritance | In some situations, it may be desirable for this value to be inherited by child entities. This is acceptable but is not required by the model. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | If the movement is executed by one person and logged by another, the value of this element is entered manually. If the same person executes the movement and logs it in the ERMS, the value can be captured automatically by the ERMS. | | | |
| Requirements | 10.1.17 | | | |

M002: Relation.agent.owner

| | | | | |
|------------------------|--|-----------|----------------|----------------------|
| | Obligation: | Mandatory | Occurs: | Many |
| Definition: | System identifier of the owner of the entity. | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ record ✓ |
| Populated: | Generated automatically by the ERMS when an entity is created. | | | |
| Source | ERMS. | | | |
| Inheritance | In some situations, it may be desirable for this value to be inherited by child entities. This is acceptable but is not required by the model. | | | |
| Use conditions: | Can be modified by an administrative role. | | | |
| Comment: | No comment. | | | |
| Requirements | 4.1.23, 4.1.17 | | | |

M192: Relation.agent.recipient

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | System identifier of the recipient(s) of the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS, when an outgoing or internal document is captured as a record and the recipient identity(ies) captured can be associated with agent(s) recognised by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>When the ERMS captures agent identity from a record, regardless of whether it is entered manually or extracted automatically (e.g. from an e-mail or from a document that has been prepared with an appropriate template) the ERMS may be able to relate this identity information to an agent for which metadata is stored by the ERMS (see 9.7.8). This may be achieved by recognising an e-mail address or a name, or by any other means. In this situation this element should be populated by the ERMS with the system identifier (M163) of the agent.</p> <p>See also M066, M186.</p> | | | | |
| Requirements | 6.1.18, 10.12.7, 10.12.8 | | | | |

M162: Relation.agent.relocated

| | | | | | |
|------------------------|---|------------------------|----------------|--------|----------|
| | Obligation: | Mandatory if relocated | Occurs: | Once | |
| Definition: | System identifier of the person who relocated the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Set automatically by the ERMS when the record is relocated. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | <p>Used only if the option in 9.3.1 is selected.</p> <p>Cannot be modified.</p> | | | | |
| Comment: | No comment. | | | | |
| Requirements | 12.2.7, 9.3.3 | | | | |

M193: Relation.agent.sender

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | System identifier of the sender of the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS, when an outgoing or internal document is captured as a record and the sender identity captured can be associated with an agent recognised by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | <p>When the ERMS captures agent identity from a record, regardless of whether it is entered manually or extracted automatically (e.g. from an e-mail or from a document that has been prepared with an appropriate template) the ERMS may be able to relate this identity information to an agent for which metadata is stored by the ERMS (see 9.7.8). This may be achieved by recognising an e-mail address or a name, or by any other means. In this situation this element should be populated by the ERMS with the system identifier (M163) of the agent.</p> <p>See also M075, M187.</p> | | | | |
| Requirements | 6.3.1, 10.12.7, 10.12.8 | | | | |

M172: Relation.entity_agent

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | Identifier(s) of the Entity/Agent(s) that describe some agent's (agents') access permissions to the entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | System generated whenever access rights are added or removed. | | | | |
| Source | ERMS. | | | | |
| Inheritance | <p>Inherited by child entities (save for records).</p> <p>Inherited from parent entity (save for top level classes).</p> | | | | |
| Use conditions: | <p>Can be modified.</p> <p>Value(s) must be the system identifier of existing Entity/Agent(s).</p> | | | | |
| Comment: | <p>The MoReq2 metadata model assumes that an agent has unrestricted access to an entity so long as:</p> <ul style="list-style-type: none"> ◆ there is no Entity/Agent that links them; ◆ there is no Entity/Agent that links the agent to a parent of the entity. <p>In other words, the value of an Entity/Agent in this model specifies a restriction in the access allowed to the entity by the agent.</p> <p>See the beginning of section 9.7 for an explanation of the Entity/Agent entity.</p> | | | | |
| Requirements | 4.1.2, 4.1.4, 4.1.5, 4.1.8 | | | | |

M023: Relation.cross_referenced_to

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The fully qualified classification code of another entity that is related to the subject entity by a cross reference. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Populated by an administrative role or by users with appropriate access right. | | | | |
| Source | User. | | | | |
| Default | None. | | | | |
| Inheritance | In some situations, it may be desirable for this value to be inherited by child entities. This is acceptable but is not required by the model. | | | | |
| Use conditions: | Can be modified by suitably authorised user. Modified by the ERMS if the classification code of the referenced entity is modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.2.8, 6.3.12, 10.6.5 | | | | |

M032: Relation.disposal_hold

| | | | | | |
|------------------------|---|----------|----------------|----------|--------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | System identifier of a disposal hold applied to the entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record |
| Populated: | Disposal hold(s) selected by an administrative role or by a user with appropriate access permission. | | | | |
| Source | ERMS. | | | | |
| Inheritance | Inherited by child entities (save for records). Inherited from parent entity (save for top level classes). | | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | | |
| Comment: | One value for each disposal hold applied. | | | | |
| Requirements | 5.1.17, 5.1.34, 5.1.38 | | | | |

M082: Relation.has_redaction

| | | | | | |
|------------------------|---|--|----------------|--------|----------|
| | Obligation: | Mandatory when any redaction(s) exist(s) | Occurs: | Many | |
| Definition: | The fully qualified classification code of a redaction associated with the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS at the time of creation of the redaction. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can only be modified if the classification code of the referenced entity is modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 9.3.17, 9.3.18, 9.3.19 | | | | |

M148: Relation.has_rendition

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The fully qualified classification code of a rendition associated with the record. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS at the time of creation of the rendition. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory where a rendition exists. Can only be modified if the classification code of the referenced entity is modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 11.7.8 | | | | |

M057: Relation.is_child_of

| | | |
|------------------------|---|-------------------------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The fully qualified classification code of the parent entity. | |
| Applies to: | class ✓ | file ✓ sub-file ✓ volume ✓ record ✓ |
| Populated: | Automatically populated by the ERMS when the entity is captured or created. | |
| Source | ERMS. | |
| Inheritance | None. | |
| Use conditions: | Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. Null value for top level classes at all times. | |
| Comment: | No comment. | |
| Requirements | 3.4.2, 3.4.3 | |

M056: Relation.is_parent_of

| | | |
|------------------------|---|-------------------------------------|
| | Obligation: Optional | Occurs: Many |
| Definition: | The fully qualified classification code of a child entity. | |
| Applies to: | class ✓ | file ✓ sub-file ✓ volume ✓ record ✓ |
| Populated: | Automatically populated by the ERMS dependent at time of capture or creation of a child entity. | |
| Source | ERMS. | |
| Inheritance | None. | |
| Use conditions: | Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. | |
| Comment: | For classes, this element will reference child classes, files, and records; for files it will reference child sub-files; etc. | |
| Requirements | 3.4.2, 3.4.3 | |

M149: Relation.is_rendition_of

| | | |
|------------------------|--|-------------------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The fully qualified classification code of the record for which the subject is a rendition. | |
| Applies to: | class | file sub-file volume record ✓ |
| Populated: | Automatically populated by the ERMS when the rendition is created. | |
| Source | ERMS. | |
| Inheritance | None. | |
| Use conditions: | Mandatory for renditions. Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. | |
| Comment: | No comment. | |
| Requirements | 3.4.2, 3.4.3 | |

M091: Relation.previous_fully_qualified_classification_code

| | | | | | |
|------------------------|--|---|----------------|----------|----------|
| | Obligation: | Mandatory if entity has been reclassified | Occurs: | Many | |
| Definition: | The previous fully qualified classification code(s) of the entity following reclassification(s). | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically populated by the ERMS at time of reclassification. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.4.11 | | | | |

M025: Relation.r&d_schedule

| | | | | | |
|------------------------|---|-------------|----------------|----------|----------|
| | Obligation: | See comment | Occurs: | Many | |
| Definition: | System identifier of a retention and disposition schedule(s) assigned to the entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | <p>Can be automatically populated by the ERMS when the retention and disposition schedule is inherited, subject to inheritance rules.</p> <p>Where inheritance is not possible (for classes at the top level of the classification scheme and if no inheritable retention and disposition schedule applies) a default retention and disposition schedule is applied at the option of an administrative role – see 5.1.18.</p> | | | | |
| Source | ERMS. | | | | |
| Inheritance | <p>Inherited by child entities (save for records).</p> <p>Inherited from parent entity (save for top level classes).</p> | | | | |
| Use conditions: | Can be modified by an administrative role or by users with appropriate access rights. | | | | |
| Comment: | <p>Mandatory for class, file, sub-file and volume.</p> <p>Mandatory for records only when the records are allocated directly to a class.</p> | | | | |
| Requirements | 5.1.16, 5.1.10, 5.1.18, 5.1.12, 3.4.2, 3.4.3, 3.4.13 | | | | |

M026: Relation.record_type

| | | | | | |
|------------------------|--|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Once | |
| Definition: | System identifier of the related record type. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Selected by an administrative role or users with appropriate access rights at the time of creation or can be applied automatically by the ERMS based on some attribute(s) of the record. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element (if no record type available from record). | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be modified. | | | | |
| Comment: | The ERMS may use any appropriate attribute(s) to determine a record type, for example the file format or an underlying template. | | | | |
| Requirements | 5.1.15 | | | | |

M145: Use.language

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | The language(s) in which the content of the record is (are) written. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Populated manually or, if the system permits, automatically. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can be changed. Values specified by ISO 639 should be used to represent languages. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 6.1.27 | | | | |

M019: Use.status.active

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The status of the class or file; whether it is in active use or not. | |
| Applies to: | class ✓ | file ✓ |
| Populated: | Automatically populated by the ERMS. | |
| Source | User. | |
| Default | YES. | |
| Inheritance | Inherited by child entities (save for records). Inherited from parent entity (save for top level classes). | |
| Use conditions: | Can be changed by a suitably authorised administrator at any time. Value must be YES or NO. | |
| Comment: | No comment. | |
| Requirements | 3.4.17 | |

M155: Use.status.deleted_or_moved

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Whether a record has, or has not, been deleted or relocated. | |
| Applies to: | class | file |
| Populated: | Automatically populated by the ERMS when a record is deleted or relocated (but see use condition). | |
| Source | ERMS. | |
| Inheritance | None. | |
| Use conditions: | Only used if the option in 9.3.1 is selected; in this case this element is mandatory for all records. Is not used if the option in 9.3.2 is selected. Value must be NO or DELETED or MOVED. Value NO indicates that the record has not been deleted or relocated. Value DELETED indicates that the record is considered to have been deleted (and so access is restricted). Value MOVED indicates that the record is considered to have been relocated (and so access is restricted). | |
| Comment: | No comment. | |
| Requirements | 9.3.3 | |

M113: Use.status.electronic_signature

| | | | | | |
|------------------------|--|-----------|----------------|--------|----------|
| | Obligation: | Mandatory | Occurs: | Once | |
| Definition: | The validity of an electronic signature associated with a record following a verification process. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.7.5 | | | | |

M143: Use.status.encrypted_in_transit

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | Indicates that a record has been transmitted in encrypted form | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually entered if this is not possible. | | | | |
| Source | ERMS or user. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. Value YES indicates record has been encrypted. Value NO indicates no encryption. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.8.3, 10.8.2 | | | | |

M124: Use.status.offline_download

| | | | | | |
|------------------------|--|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | Indicates whether the entity is downloaded for offline use. | | | | |
| Applies to: | Class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | ERMS. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Modified automatically by the ERMS. Value YES indicates entity is currently downloaded. Value NO indicates entity is not currently downloaded. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.11.4 | | | | |

M084: Use.status.physical

| | | |
|------------------------|--|-------------------------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Indicates whether the entity is a physical container or a physical record. | |
| Applies to: | class ✓ | file ✓ sub-file ✓ volume ✓ record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | |
| Source | User. | |
| Default | Value most recently used for this element. | |
| Inheritance | None. | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. Value YES indicates entity is physical. Value NO indicates entity is not physical. | |
| Comment: | No comment. | |
| Requirements | 10.1.1, 10.1.3, 10.1.2 | |

M005: Use.status.vital_record

| | | |
|------------------------|--|---------------------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Identifies whether an entity is, or contains, vital record(s). | |
| Applies to: | class | file ✓ sub-file volume record ✓ |
| Populated: | Entered manually by an administrative role or user with appropriate access rights. | |
| Source | User. | |
| Default | Value most recently used for this element. | |
| Inheritance | If a file is flagged as vital (value = YES) this must be inherited to every record in it. | |
| Use conditions: | Can be modified at any time. Value YES indicates record is vital. Value NO indicates record is not vital | |
| Comment: | No comment. | |
| Requirements | 4.4.1, 4.4.5 | |

M146: Use.technical_environment.certificate_issuer

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The issuer of an electronic certificate | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically populated by the ERMS when a document is captured as a record. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if there is an electronic certificate. Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.7.5 | | | | |

M077: Use.technical_environment.certification_service_provider

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The certification service provider issuing the electronic certificate. | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically populated by the ERMS when an outgoing or internal document is captured as a record. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if there is an electronic certificate. Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 6.3.1 | | | | |

M111: Use.technical_environment.counter_signature

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | A counter-signature appended to a record by a certification service provider. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights. | | | | |
| Source | Record or user. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | A counter-signature can be required by some electronic signature applications. | | | | |
| Requirements | 10.7.7 | | | | |

M110: Use.technical_environment.digital_certificate

| | | | | |
|------------------------|---|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | The digital certificate of a record. | | | |
| Applies to: | Class | file | sub-file | volume record ✓ |
| Populated: | Automatically by the ERMS or manually by an administrative role or user with appropriate access rights. | | | |
| Source | Record. | | | |
| Inheritance | None | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment | | | |
| Requirements | 10.7.7 | | | |

M121: Use.technical_environment.drm_features

| | | | | |
|------------------------|---|----------|----------------|-----------------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | A textual description of the DRM features contained in the record. | | | |
| Applies to: | Class | file | sub-file | volume record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permissions. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Inheritance | None | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | |
| Comment: | It is good practice for the description to be taken from or validated against a controlled vocabulary, but this is not mandatory. | | | |
| Requirements | 10.9.2 | | | |

M076: Use.technical_environment.electronic_signature

| | | | | |
|------------------------|--|-----------|----------------|-----------------|
| | Obligation: | Mandatory | Occurs: | Many |
| Definition: | The electronic signature associated with a record. | | | |
| Applies to: | class | file | sub-file | volume record ✓ |
| Populated: | Automatically populated by the ERMS when an outgoing or internal document is captured as a record. | | | |
| Source | Record. | | | |
| Inheritance | None. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 10.7.7 | | | |

M116: Use.technical_environment.encryption_algorithm

| | | | | | |
|------------------------|---|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The encryption algorithm used to encrypt the record. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS or manually entered if this is not possible. | | | | |
| Source | Record or user. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if encrypted. Cannot be modified. Updated automatically when a different algorithm is used. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.8.3, 10.8.2 | | | | |

M092: Use.technical_environment.format

| | | | | | |
|------------------------|---|----------|----------------|----------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The format of the physical entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually set by an administrative role or by a user with appropriate access permission at the time of creation of the entity. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Can only be used for physical entities (entities for which M084 has value YES). Can be modified by an administrative role or by a user with appropriate access permissions when the entity is re-captured or copied onto a different format. | | | | |
| Comment: | MoReq2 does not define how the format is used; it can be used to describe any desired physical attribute such as: <ul style="list-style-type: none"> ◆ page size (especially for technical drawings); ◆ kind of container (e.g. archive box, folder); ◆ carrier (microfiche, DAT tape). It is good practice for the format to be taken from or validated against a controlled vocabulary, but this is not mandatory. | | | | |
| Requirements | 10.1.7 | | | | |

M118: Use.technical_environment.encryption_level

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The encryption level of the encryption code used on the record. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if encrypted. Updated automatically by the ERMS when a different level is used. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.8.3, 10.8.2 | | | | |

M117: Use.technical_environment.serial_number_digital_certificate

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | The serial number of the digital certificate. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if encrypted. Cannot be modified. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 10.8.3, 10.8.2 | | | | |

M147: Use.technical_environment.validated_by

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Once | |
| Definition: | System identifier of an agent who has initiated the validation of an electronic signature or certificate | | | | |
| Applies to: | class | file | sub-file | volume | record ✓ |
| Populated: | Automatically populated by the ERMS when a document is captured as a record, or manually by an authorised administrator. | | | | |
| Source | Record or user. | | | | |
| Default | None. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Mandatory if there is an electronic certificate Null if the check was initiated automatically by the system; Cannot be modified. | | | | |
| Comment: | This element represents a Relation to an Agent; it is represented here as a Use element for consistency with the closely-associated Use elements for the technical environment (M077, M111, M110, M076, M117, M144). | | | | |
| Requirements | 10.7.5 | | | | |

M144: Use.technical_environment.validation_token

| | | | | | |
|------------------------|--|----------|----------------|--------|----------|
| | Obligation: | Optional | Occurs: | Many | |
| Definition: | A validation ticket or token issued by a certification service provider. | | | | |
| Applies to: | Class | file | sub-file | volume | record ✓ |
| Populated: | Automatically by the ERMS. | | | | |
| Source | Record. | | | | |
| Inheritance | None. | | | | |
| Use conditions: | Cannot be modified. | | | | |
| Comment: | No comment | | | | |
| Requirements | 10.7.8 | | | | |

9.7.3 Record Redactions

Record redactions must have the same metadata as other records, and the following in addition.

M080: Description.abstract.reason_for_redaction

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The reason for creation of the redaction. | | | |
| Populated: | Manually populated by an administrative role or by a user with appropriate access permission. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Use conditions: | Can be modified by an administrative role or by a user with appropriate access permissions. | | | |
| Comment: | No comment. | | | |
| Requirements | 9.3.13, 9.3.14 | | | |

M081: Event_history.date.created

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The date and time the redaction is created. | | | |
| Populated: | Automatically by the ERMS. | | | |
| Source | Operating system. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 9.3.12 | | | |

M060: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The identifier of a record redaction. | | | |
| Populated: | Automatically populated by the ERMS at time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 7.2.1, 9.3.12 | | | |

M079: Relation.agent.creator

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The system identifier of the user who created the redaction. | | | |
| Populated: | Automatically by the ERMS when redaction is created. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 9.3.12 | | | |

M083: Relation.is_redaction_of

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The fully qualified classification code of the parent record of the redaction. | |
| Populated: | Automatically by the ERMS at the time of creation of the redaction. | |
| Source | ERMS. | |
| Use conditions: | Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. | |
| Comment: | No comment. | |
| Requirements | 9.3.17, 9.3.18, 9.3.19 | |

9.7.4 Metadata Stubs

Stubs must include at least the following, as specified in 5.3.20:

- ◆ M003;
- ◆ M012;
- ◆ M047.

They must also include the following metadata.

M157: Description.classification.new_fully-qualified_classification_code

| | | | | | |
|------------------------|--|---------------------|----------|--------|----------|
| | Obligation: Optional | Occurs: Once | | | |
| Definition: | The fully qualified classification code of the entity after its relocation. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file | volume | record ✓ |
| Populated: | Populated automatically by the ERMS when the entity is relocated within the classification scheme. | | | | |
| Source | ERMS. | | | | |
| Use conditions: | Used only when an entity is relocated in a system where the option in 9.3.2 is selected. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.4.1, 9.3.4 | | | | |

M140: Event_history.abstract.reclassification_reason

| | | | | | |
|------------------------|---|--|----------------|----------|----------|
| | Obligation: | Mandatory if the entity is reclassified. | Occurs: | Once | |
| Definition: | The reason for the reclassification of an entity. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Manually at time of destruction or transfer. | | | | |
| Source | User. | | | | |
| Default | Value most recently used for this element. | | | | |
| Use conditions: | Cannot be modified. Not used for records that were destroyed or transferred as part of an aggregation; used for records only when they are handled individually. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.3.20 | | | | |

M141: Event_history.date.destroyed

| | | | | | |
|------------------------|--|------------------------|----------------|----------|----------|
| | Obligation: | Mandatory if destroyed | Occurs: | Once | |
| Definition: | Indicates the date the entity was deleted. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Populated automatically by the ERMS at time of destruction. | | | | |
| Source | Operating system. | | | | |
| Use conditions: | Cannot be modified. Null if transferred. Not used for records that were destroyed as part of an aggregation; used for records only when they are handled individually. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 9.3.4, 5.3.20, 9.3.5 | | | | |

M133: Event_history.date.transferred

| | | | | | |
|------------------------|--|--------------------------|----------------|----------|----------|
| | Obligation: | Mandatory if transferred | Occurs: | Once | |
| Definition: | Indicates the date the entity was transferred. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Populated automatically by the ERMS at time of transfer. | | | | |
| Source | Operating system. | | | | |
| Use conditions: | Cannot be modified. Null if destroyed. Not used for records that were transferred as part of an aggregation; used for records only when they are handled individually. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 5.3.20 | | | | |

M156: Event_history.date.relocated

| | | | | | |
|------------------------|--|------------------------|----------------|--------|----------|
| | Obligation: | Mandatory if relocated | Occurs: | Once | |
| Definition: | Indicates the date the entity was relocated within the classification scheme. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file | volume | record ✓ |
| Populated: | Populated automatically by the ERMS at time of relocation. | | | | |
| Source | Operating system. | | | | |
| Use conditions: | Cannot be modified. Null if destroyed. Not used for records that were relocated as part of an aggregation; used for records only when they are handled individually. | | | | |
| Comment: | No comment. | | | | |
| Requirements | 3.4.1, 9.3.4 | | | | |

M194: Event_history.transferred_to

| | | | | | |
|------------------------|--|-------------------------|----------------|----------|----------|
| | Obligation: | Mandatory for transfers | Occurs: | Once | |
| Definition: | Information about the organisation or system to which the information was transferred. | | | | |
| Applies to: | class ✓ | file ✓ | sub-file ✓ | volume ✓ | record ✓ |
| Populated: | Populated manually at time of transfer. | | | | |
| Source | User. | | | | |
| Use conditions: | May consist of details of an organisation, of a system, or of the transfer. | | | | |
| Comment: | It is good practice for an organisation or system to be picked from or validated against a controlled vocabulary, but this is not mandatory. | | | | |
| Requirements | 5.3.20 | | | | |

M139: Relation.agent.destroy_or_transfer_or_relocate

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | System identifier of the user responsible for the destruction or transfer or relocation. | |
| Applies to: | class ✓ | file ✓ |
| | sub-file ✓ | volume ✓ |
| | record ✓ | |
| Populated: | Populated automatically by the ERMS at time of destruction or transfer or relocation. | |
| Source | ERMS. | |
| Use conditions: | Used only if the option in 9.3.2 is selected. Cannot be modified. Not used for records that were destroyed or transferred or relocated as part of an aggregation; used for records only when they are handled individually. | |
| Comment: | No comment. | |
| Requirements | 5.3.20 | |

9.7.5 Record Types

M029: Description.abstract

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | A description of the record type. | |
| Populated: | Manually entered when the entity is created. | |
| Source | User. | |
| Default | None. | |
| Use conditions: | Can be changed by an administrative role or by users that have appropriate access rights. | |
| Comment: | No comment. | |
| Requirements | 5.1.15 | |

M028: Description.title

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | A name given to a record type. | |
| Populated: | Manually entered when the entity is created. | |
| Source | User. | |
| Default | None. | |
| Use conditions: | Can be changed by an administrative role or by users that have appropriate access rights. Must be unique. | |
| Comment: | No comment. | |
| Requirements | 5.1.15 | |

M027: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | An identifier assigned to a record type. | | | |
| Populated: | Generated by the ERMS at the time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.15 | | | |

M087: Relation.r&d_schedule

| | | | | |
|------------------------|---|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | System identifier of the retention and disposition schedules assigned to the record type. | | | |
| Populated: | Manually populated by an administrative role or by a user with appropriate access rights. | | | |
| Source | ERMS. | | | |
| Default | Value most recently used for this element. | | | |
| Use conditions: | Can be modified by an administrative role or by users with appropriate access rights. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.15 | | | |

9.7.6 Components**M131: Description.abstract.reason_for_rendition**

| | | | | |
|------------------------|--|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | Why the component has been rendered. | | | |
| Populated: | Entered manually at time of rendition. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Use conditions: | May not be changed. | | | |
| Comment: | No comment. | | | |
| Requirements | 11.7.10 | | | |

M153: Description.classification.classification_code

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The classification code of the component, unique within its parent. | | | |
| Populated: | Automatically generated by the ERMS at the time of capture of the component. | | | |
| Source | ERMS. | | | |
| Use conditions: | Can only be modified if the component is moved. | | | |
| Comment: | These classification codes can be concatenated (pre-pended with the parent's classification codes) to make a fully qualified classification code. See element M154. | | | |
| Requirements | 7.1.1, 7.1.4, 3.4.2, 3.4.3 | | | |

M154: Description.classification.fully_qualified_classification_code

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The hierarchical identifier of the component, unique within the ERMS. | | | |
| Populated: | Automatically generated by the ERMS at the time of capture of the component. | | | |
| Source | ERMS. | | | |
| Use conditions: | Can only be modified if the component is moved. | | | |
| Comment: | Is made up of concatenated classification codes of the component and its parent entities. See element M153. | | | |
| Requirements | 7.1.1, 7.1.4, 3.4.2, 3.4.3 | | | |

M132: Event_history.date.rendered

| | | | | |
|------------------------|--|-------------------------|----------------|------|
| | Obligation: | Mandatory for rendition | Occurs: | Many |
| Definition: | Date component was rendered. | | | |
| Populated: | Captured automatically at time of rendition. | | | |
| Source | Operating system. | | | |
| Use conditions: | Cannot be changed. | | | |
| Comment: | Applies to the rendition, not the original record. | | | |
| Requirements | 11.7.13 | | | |

M064: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | An identifier for a record component. | | | |
| Populated: | Automatically populated by the ERMS at time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 6.1.3, 6.1.4, 6.1.5 | | | |

M130: Identity.system_identifier_rendition

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The unique identifier of a rendition of a component. | | | |
| Populated: | Populated automatically by ERMS at time of rendition. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be changed. | | | |
| Comment: | No comment. | | | |
| Requirements | 11.7.8, 11.7.9 | | | |

M090: Relation.is_child_of

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The fully qualified classification code of the parent record. | | | |
| Populated: | Automatically populated by the ERMS at time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 6.1.3, 6.1.4, 6.1.5 | | | |

M150: Relation.has_rendition

| | | | | |
|------------------------|--|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Many |
| Definition: | The fully qualified classification code of a rendition associated with the component. | | | |
| Populated: | Automatically by the ERMS at the time of creation of the rendition. | | | |
| Source | ERMS. | | | |
| Use conditions: | Mandatory where a rendition exists. Can only be modified if the classification code of the referenced entity is modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 11.7.9 | | | |

M151: Relation.is_rendition_of

| | | | | |
|------------------------|--|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The fully qualified classification code of the component for which the subject is a rendition. | | | |
| Populated: | Populated automatically by ERMS at time of capture and at time of rendition. | | | |
| Source | ERMS. | | | |
| Use conditions: | Mandatory for renditions. Modified automatically if the classification code of the referenced entity is modified, otherwise cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 11.7.9 | | | |

M128: Use.technical_environment.file_format

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The file format in which the component is encoded. | | | |
| Populated: | Populated automatically by ERMS at time of capture and at time of rendition. | | | |
| Source | See comment. | | | |
| Default | None. | | | |
| Use conditions: | Cannot be changed. | | | |
| Comment: | For this to be useful, it needs to be populated from a controlled vocabulary that is continually maintained as file formats evolve. Ideally, the vocabulary is taken from an established file format registry. At the time of writing, the leading file format registry in Europe is PRONOM, see http://www.nationalarchives.gov.uk/pronom . | | | |
| Requirements | 11.7.7, 11.7.8, 11.7.9 | | | |

M196: Use.technical_environment.file_format_original

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The file format in which the component was encoded at time of capture. | | | |
| Populated: | Populated automatically by ERMS at time of capture. | | | |
| Source | See comment. | | | |
| Default | None. | | | |
| Use conditions: | Cannot be changed. | | | |
| Comment: | For this to be useful, it needs to be populated from a controlled vocabulary that is continually maintained as file formats evolve. Ideally, the vocabulary is taken from an established file format registry. At the time of writing, the leading file format registry in Europe is PRONOM, see http://www.nationalarchives.gov.uk/pronom . | | | |
| Requirements | 11.7.13 | | | |

M129: Use.technical_environment.file_format_version

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The version of the file format in which the component is encoded. | |
| Populated: | Populated automatically by ERMS at time of capture and at time of rendition. | |
| Source | See comment. | |
| Default | None. | |
| Use conditions: | Cannot be changed. | |
| Comment: | <p>For this to be useful, it needs to be populated from a controlled vocabulary that is continually maintained as file formats evolve. Ideally, the vocabulary is taken from an established file format registry. At the time of writing, the leading file format registry in Europe is PRONOM, see http://www.nationalarchives.gov.uk/pronom.</p> <p>It is acceptable for this element to be combined with the element M128.</p> | |
| Requirements | 11.7.7, 11.7.8, 11.7.9 | |

M142: Use.technical_environment.file_format_version_original

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The version of the file format in which the component was encoded at time of capture. | |
| Populated: | Populated automatically by ERMS at time of capture. | |
| Source | See comment. | |
| Default | None. | |
| Use conditions: | Cannot be changed. | |
| Comment: | <p>For this to be useful, it needs to be populated from a controlled vocabulary that is continually maintained as file formats evolve. Ideally, the vocabulary is taken from an established file format registry. At the time of writing, the leading file format registry in Europe is PRONOM, see http://www.nationalarchives.gov.uk/pronom.</p> <p>It is acceptable for this element to be combined with the element M196.</p> | |
| Requirements | 11.7.13 | |

9.7.7 Retention and Disposition Schedules, Disposal Holds

M043: Description.abstract.description

| | | | | |
|------------------------|---|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | A description of the retention and disposition schedule or disposal hold. | | | |
| Populated: | Entered manually by an administrative or user role. | | | |
| Source | User. | | | |
| Default | Blank. | | | |
| Use conditions: | Can be modified by an administrative role or user with appropriate access rights. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.21 | | | |

M030: Description.mandate

| | | | | |
|------------------------|---|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | A mandate which specifies the justification for the retention and disposition schedule. | | | |
| Populated: | Manually entered by a user administrative role or by a user role with appropriate access rights. | | | |
| Source | User. | | | |
| Default | Blank. | | | |
| Use conditions: | Can be modified or amended by an administrative role or by a user with appropriate access rights. | | | |
| Comment: | A mandate is often a law, regulation or corporate policy. | | | |
| Requirements | 5.1.21 | | | |

M015: Description.abstract.reason

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Many |
| Definition: | The reason for the specification of the retention and disposition schedule or disposal hold. | | | |
| Populated: | Entered manually by an administrative role or by a user. | | | |
| Source | User. | | | |
| Default | Blank. | | | |
| Use conditions: | Can be modified. | | | |
| Comment: | May be related to a corporate policy or other business reason; M030 should be used for formal mandates. | | | |
| Requirements | 5.1.20, 5.1.38 | | | |

M024: Description.title

| | | | | |
|------------------------|--|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The title of the retention and disposition schedule or disposal hold. | | | |
| Populated: | Manually entered at the time of creation. | | | |
| Source | User. | | | |
| Default | Blank. | | | |
| Use conditions: | Can be modified by an administrative role or by user roles that have appropriate access rights. Value must be unique. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.5, 5.1.38, 5.1.40, 5.1.42 | | | |

M152: Event_plan.date

| | | | | |
|------------------------|--|----------|----------------|------|
| | Obligation: | Optional | Occurs: | Once |
| Definition: | The disposition date associated with a retention and disposition schedule. | | | |
| Populated: | Entered manually at the time of creation of the retention and disposition schedule. | | | |
| Source | User. | | | |
| Default | Blank. | | | |
| Use conditions: | Can be modified by an administrative role or users with appropriate access rights. Used only for retention and disposition schedules; not used for disposal holds. Either this element or M013 must be used. | | | |
| Comment: | A date which the ERMS must monitor. Once this date is reached the ERMS must initiate the disposition process. See 5.1.25. | | | |
| Requirements | 5.1.19, 5.1.25 | | | |

M014: Event_plan.event_type.disposition_action

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The retention and disposition action that will be executed. | |
| Populated: | Selected manually by an administrative role or user with appropriate access rights once the retention period ends. | |
| Source | User. | |
| Default | Blank. | |
| Use conditions: | <p>Can be re-reviewed and thus modified by an administrative role or by users with appropriate access rights.</p> <p>Used only for retention and disposition schedules; not used for disposal holds.</p> <p>Must have one of the following values:</p> <ul style="list-style-type: none"> ◆ RETAIN; ◆ REVIEW; ◆ DESTROY AUTOMATICALLY; ◆ DESTROY AFTER AUTHORISATION; ◆ TRANSFER. | |
| Comment: | <p>Once the retention period ends the ERMS will initiate the disposition process and execute relevant actions as per the decision.</p> <p>It is acceptable to add terms to the controlled vocabulary.</p> | |
| Requirements | 5.1.19, 5.1.24, 5.2.4, 5.1.20 | |

M013: Event_plan.period

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The retention period associated with a retention and disposition schedule. | |
| Populated: | Entered manually at the time of creation of the retention and disposition schedule. | |
| Source | User. | |
| Default | Blank. | |
| Use conditions: | <p>Value must be a number of days (the length of the period).</p> <p>Can be modified by an administrative role or users with appropriate access rights.</p> <p>Used only for retention and disposition schedules; not used for disposal holds.</p> <p>Either this element or M152 must be used. If this is used then M052 must not be used.</p> | |
| Comment: | A period of time which the ERMS must monitor. The period starts when the trigger event occurs (see M052). Once this period expires the ERMS must initiate the disposition process. See 5.1.25. | |
| Requirements | 5.1.19, 5.1.25, 5.1.20 | |

M037: Event_plan.reminder

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The date the reminder for the disposal hold is due. | |
| Populated: | Manually populated by an administrative role or by a user role with appropriate access permission. | |
| Source | User. | |
| Default | Blank. | |
| Use conditions: | Can be modified by an administrative role or by a user role with appropriate access permissions. Used only for disposal holds; not used for retention and disposition schedules. | |
| Comment: | No comment. | |
| Requirements | 5.1.43 | |

M052: Event_plan.event_trigger.kind

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Defines the kind of event which allows the calculation of when the disposition schedule action can be executed. | |
| Populated: | Manually populated by an administrative role or by a user with appropriate access rights. | |
| Source | User. | |
| Default | Value most recently used for this element. | |
| Use conditions: | Can be modified. Used only for retention and disposition schedules; not used for disposal holds. Value must be taken from a controlled list; the list must include at least the following (taken from 5.1.25): <ul style="list-style-type: none"> ◆ AFTER ENTITY OPENED; ◆ AFTER ENTITY CLOSED; ◆ AFTER RECORD ADDED; ◆ AFTER RECORD RETRIEVED; ◆ AFTER EXTERNAL EVENT; ◆ PERMANENT. | |
| Comment: | See 5.1.25. When the trigger event occurs, the period specified in M013 starts to run. | |
| Requirements | 5.1.19, 5.1.25 | |

M183: Event_plan.event_trigger.external_event

| | | | | |
|------------------------|--|---|----------------|------|
| | Obligation: | Mandatory if value of M052 is AFTER EXTERNAL EVENT. | Occurs: | Once |
| Definition: | An event external to the ERMS that triggers the start of the retention period of a retention and disposition schedule. | | | |
| Populated: | Manually populated by an administrative role or by a user with appropriate access rights. | | | |
| Source | User. | | | |
| Default | Value most recently used for this element. | | | |
| Use conditions: | Must be used if value of M052 is AFTER EXTERNAL EVENT. Must not be used otherwise. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.25 | | | |

M137: Identity.system_identifier.disposal_hold

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The unique identifier for a disposal hold. | | | |
| Populated: | Generated by the ERMS at the time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. Used only for disposal holds; not used for retention and disposition schedules. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.17 | | | |

M008: Identity.system_identifier.retention_and_disposition_schedule

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The unique identifier for a retention and disposition schedule. | | | |
| Populated: | Generated by the ERMS at the time of creation. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. Used only for retention and disposition schedules; not used for disposal holds. | | | |
| Comment: | No comment. | | | |
| Requirements | 5.1.4, 7.2.1 | | | |

M197: Use.status.inheritance

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Specifies whether the retention and disposition schedule should, or should not, be inherited by child entities of entities to which it is allocated. | |
| Populated: | Manually, at time of creation of schedule or at any other time. | |
| Source | User. | |
| Default | YES. | |
| Use conditions: | <p>Can be modified.</p> <p>Used only for retention and disposition schedules; not used for disposal holds.</p> <p>Value YES indicates entity retention and disposition schedule should be inherited by child entities of entities to which it is allocated.</p> <p>Value NO indicates entity retention and disposition schedule should not be inherited by child entities of entities to which it is allocated.</p> | |
| Comment: | No comment. | |
| Requirements | 5.1.18 | |

9.7.8 Agents (Users, Groups and Roles)**M189: Description.email_address**

| | | |
|------------------------|--|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The e-mail address of the user. | |
| Applies to: | User ✓ | Group Role |
| Populated: | Entered by user when the agent is defined. | |
| Source | User. | |
| Default | None. | |
| Use conditions: | Can be modified. | |
| Comment: | None. | |
| Requirements | 6.3.5, 6.3.13 | |

M167: Description.title

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The title or name of the agent (user, group or role). | | | |
| Applies to: | User ✓ | Group ✓ | Role ✓ | |
| Populated: | Manually entered when the agent is defined. | | | |
| Source | User. | | | |
| Default | None. | | | |
| Use conditions: | Can be modified by an administrative role. For roles and groups, must be unique. | | | |
| Comment: | <p>There is no consistent standard for the format of user names. By way of illustration, a user called Jan Schmidt might have any of the following user names in an ERMS:</p> <ul style="list-style-type: none"> ◆ Jan Schmidt; ◆ JSchmidt; ◆ J. Schmidt; <p>etc., according to local standards.</p> <p>MoReq2 does not specify a format for user names. In consequence, values of this element for users may not be unique. It is advisable for an organisation to select a standard format with the aim of making names unique, both at any point in time and over long periods. Organisations can also extend this model by adding further metadata to define users, such as a permanent ID or a payroll number.</p> | | | |
| Requirements | 4.1.1, 4.1.3, 4.1.12 | | | |

M163: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The identifier of the agent (user, group or role). | | | |
| Applies to: | User ✓ | Group ✓ | Role ✓ | |
| Populated: | System-generated when the agent is defined. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | This element is required to identify agents. In the context of the export and import of records, this is especially to facilitate access controls. | | | |
| Requirements | 4.1.1, 4.1.3, 4.1.12 | | | |

M171: Relation.entity_agent

| | | |
|------------------------|--|---------------------|
| | Obligation: Optional | Occurs: Many |
| Definition: | Identifier(s) of the Entity/Agent entity(ies) that describe the agent's access permissions to a class. | |
| Applies to: | User ✓ | Group ✓ Role ✓ |
| Populated: | System generated whenever access rights are added or removed. | |
| Source | ERMS. | |
| Use conditions: | Can be modified. Value(s) must be the system identifier of an existing Entity/Agent (M175) (see section 9.7.9). | |
| Comment: | See section 9.7.9 for an explanation of the Entity/Agent entity. | |
| Requirements | 4.1.2, 4.1.4, 4.1.5, 4.1.8 | |

M166: Relation.has_role

| | | |
|------------------------|--|---------------------|
| | Obligation: Optional | Occurs: Many |
| Definition: | Identifier(s) of the user's role(s). | |
| Applies to: | User ✓ | Group Role |
| Populated: | System generated, at any time, when an administrative role changes a role. | |
| Source | ERMS. | |
| Use conditions: | Value(s) must be the system identifier (M175) of an existing role. | |
| Comment: | No comment. | |
| Requirements | 4.1.7, 9.1.2, 9.1.5 | |

M168: Relation.has_user

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Many |
| Definition: | Identifier(s) of the user(s) in the group or holding the role. | |
| Applies to: | User | Group ✓ Role ✓ |
| Populated: | System generated, at any time when an administrative role changes a group or role. | |
| Source | ERMS. | |
| Use conditions: | Value(s) must be the system identifier (M175) of an existing user. | |
| Comment: | No comment. | |
| Requirements | 4.1.7, 4.1.16, 4.1.13, 9.1.2, 9.1.5 | |

M165: Relation.is_member_of

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Many |
| Definition: | Identifier(s) of the groups of which the user is a member. | |
| Applies to: | User ✓ | Group Role |
| Populated: | System generated, at any time, when an administrative role changes a group. | |
| Source | ERMS. | |
| Use conditions: | Value must be the system identifier (M175) of an existing group. | |
| Comment: | No comment. | |
| Requirements | 4.1.7, 4.1.13, 9.1.5 | |

M169: Use.administrator

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Indicates whether the user has administrator privileges. | |
| Applies to: | User ✓ | Group Role |
| Populated: | Entered manually, when user is defined. | |
| Source | User. | |
| Default | NO. | |
| Use conditions: | Can be changed. Value YES indicates user is an administrator. Value NO indicates user is not an administrator. | |
| Comment: | No comment. | |
| Requirements | 4.1.8, 4.1.15, 4.1.18 | |

M170: Use.inactive

| | | |
|------------------------|--|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | Indicates whether the user has been marked as "inactive". | |
| Applies to: | User ✓ | Group Role |
| Populated: | Entered manually at any time. | |
| Source | User. | |
| Default | NO. | |
| Use conditions: | Can be changed. Value YES indicates user has been marked as "inactive". Value NO indicates user has not been marked as "inactive". | |
| Comment: | No comment. | |
| Requirements | 4.1.9 | |

9.7.9 Entities/Agents

In this model the existence of an element for the combination of an agent and an entity indicates that access to the entity by the agent is not allowed.

M175: Identity.system_identifier

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The identifier of the Entity/Agent. | | | |
| Populated: | System-generated when the Entity/Agent is defined. | | | |
| Source | ERMS. | | | |
| Use conditions: | Cannot be modified. | | | |
| Comment: | No comment. | | | |
| Requirements | 4.1.2, 4.1.4, 4.1.5, 4.1.8 | | | |

M177: Relation.applies_to_agent

| | | | | |
|------------------------|---|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The agent for which the Entity/Agent describes access permissions. | | | |
| Populated: | System generated when access permissions are changed. | | | |
| Source | ERMS. | | | |
| Use conditions: | Can be modified. Value is the system identifier of the agent (M163). | | | |
| Comment: | No comment. | | | |
| Requirements | 4.1.2, 4.1.4, 4.1.5 | | | |

M176: Relation.applies_to_entity

| | | | | |
|------------------------|--|-----------|----------------|------|
| | Obligation: | Mandatory | Occurs: | Once |
| Definition: | The entity for which the Entity/Agent describes access permissions. | | | |
| Populated: | System generated when access permissions are changed. | | | |
| Source | ERMS. | | | |
| Use conditions: | Can be modified. Value is the fully qualified classification code of the entity (M012). | | | |
| Comment: | No comment. | | | |
| Requirements | 4.1.2, 4.1.4, 4.1.5 | | | |

M180: Use.rights.permission

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | Indicates the level of access available by the agent specified in M176 to the entity specified in M177. | |
| Populated: | System generated whenever access rights are changed. | |
| Source | ERMS. | |
| Use conditions: | Value must be NO (indicating the agent has no access to the entity or any of its contents). | |
| Comment: | <p>The MoReq2 metadata model assumes that an agent has unrestricted access to an entity so long as:</p> <ul style="list-style-type: none"> ◆ there is no Entity/Agent that links them; ◆ there is no Entity/Agent that links the agent to a parent of the entity. <p>In other words, the value of an Entity/Agent in this model specifies a restriction in the access allowed to the entity by the agent.</p> <p>An element with only one permitted value is used here to allow for future expansion, by the possible definition of other allowed values to represent other levels of permitted access.</p> | |
| Requirements | 4.1.2, 4.1.4, 4.1.5 | |

M181: Use.rights.end_date

| | | |
|------------------------|---|---------------------|
| | Obligation: Optional | Occurs: Once |
| Definition: | The date on which the access defined by the Entity/Agent ceases to be in effect. | |
| Populated: | Manually entered. | |
| Source | User. | |
| Default | Value most recently used for this element. | |
| Use conditions: | Can be modified. | |
| Comment: | <p>No comment.</p> <p>If this element is absent, the access continues indefinitely.</p> | |
| Requirements | 4.1.2, 4.1.4, 4.1.5 | |

M179: Use.rights.start_date

| | | |
|------------------------|---|---------------------|
| | Obligation: Mandatory | Occurs: Once |
| Definition: | The date on which the access defined by the Entity/Agent comes into effect. | |
| Populated: | Manually entered. | |
| Source | User. | |
| Default | Today. | |
| Use conditions: | Can be modified. Default value is date of creation of element. | |
| Comment: | No comment. | |
| Requirements | 4.1.2, 4.1.4, 4.1.5 | |

9.8 Metadata Elements Cross-Reference Aids**9.8.1 Requirements Cross-Referenced to Metadata Elements**

| Requirement Ref | Metadata Elements |
|------------------------|--|
| 3.1.3 | M044, M045, M046 |
| 3.1.10 | M047 |
| 3.1.15 | M011, M012 |
| 3.2.3 | M011, M012 |
| 3.2.4 | M003 |
| 3.2.8 | M050, M051 |
| 3.2.9 | M048 |
| 3.2.13 | M004 |
| 3.2.14 | M004 |
| 3.3.4 | M050, M051 |
| 3.3.9 | M050, M051 |
| 3.3.11 | M011, M012, M020 |
| 3.4.1 | M156, M157, M158, M159 |
| 3.4.2 | M011, M012, M021, M025, M056, M057, M149, M153, M154, M158 |
| 3.4.3 | M011, M012, M021, M025, M056, M057, M149, M153, M154, M158 |
| 3.4.11 | M091 |
| 3.4.13 | M025 |
| 3.4.14 | M021 |
| 3.4.17 | M019 |
| 3.4.20 | M051 |
| 3.4.21 | M022, M058, M059, M062 |

| Requirement Ref | Metadata Elements |
|------------------------|--|
| 3.4.28 | M089 |
| 4.1.1 | M163, M167 |
| 4.1.2 | M171, M172, M175, M176, M177, M179, M180, M181 |
| 4.1.3 | M163, M167 |
| 4.1.4 | M171, M172, M175, M176, M177, M179, M180, M181 |
| 4.1.5 | M171, M172, M175, M176, M177, M179, M180, M181 |
| 4.1.7 | M165, M166, M168 |
| 4.1.8 | M169, M171, M172, M175 |
| 4.1.9 | M170 |
| 4.1.12 | M163, M167 |
| 4.1.13 | M165, M168 |
| 4.1.15 | M169 |
| 4.1.16 | M168 |
| 4.1.17 | M002 |
| 4.1.18 | M169 |
| 4.1.22 | M004 |
| 4.1.23 | M002, M003, M004 |
| 4.4.1 | M005 |
| 4.4.5 | M005 |
| 5.1.4 | M008 |
| 5.1.5 | M024 |
| 5.1.10 | M025 |
| 5.1.12 | M025 |
| 5.1.15 | M026, M027, M028, M029, M087 |
| 5.1.16 | M025 |
| 5.1.17 | M032, M137 |
| 5.1.18 | M025, M197 |
| 5.1.19 | M013, M014, M015, M052, M152 |
| 5.1.20 | M013, M014, M015 |
| 5.1.21 | M043, M030 |
| 5.1.24 | M014 |
| 5.1.25 | M013, M031, M052, M152, M183 |
| 5.1.34 | M032 |
| 5.1.38 | M015, M024, M032, M034, M035, M102, M134, M135, M136 |
| 5.1.40 | M024, M136 |
| 5.1.42 | M024 |

| Requirement Ref | Metadata Elements |
|------------------------|--|
| 5.1.43 | M037 |
| 5.2.3 | M125 |
| 5.2.4 | M014, M053, M138 |
| 5.2.5 | M055 |
| 5.2.6 | M054 |
| 5.2.8 | M023 |
| 5.3.20 | M133, M139, M140, M141, M157, M194 |
| 6.1.3 | M064, M090 |
| 6.1.4 | M064, M090 |
| 6.1.5 | M064, M090 |
| 6.1.18 | M003, M065, M066, M067, M069, M070, M184, M185, M186, M190, M191, M192 |
| 6.1.19 | M071 |
| 6.1.27 | M145 |
| 6.1.37 | M195 |
| 6.1.41 | M049 |
| 6.3.1 | M074, M075, M077, M187, M193 |
| 6.3.5 | M189 |
| 6.3.10 | M003 |
| 6.3.11 | M003 |
| 6.3.12 | M023 |
| 6.3.13 | M189 |
| 6.3.14 | M074, M088 |
| 7.1.1 | M011, M012 |
| 7.1.4 | M011, M012, M153, M154 |
| 7.2.1 | M008, M020, M060 |
| 8.1.20 | M004 |
| 9.1.2 | M166, M168 |
| 9.1.5 | M165, M166, M168 |
| 9.3.1 | M159, M160 |
| 9.3.3 | M155, M159, M160, M161, M162 |
| 9.3.4 | M141, M156, M157 |
| 9.3.5 | M141 |
| 9.3.12 | M060, M079, M081 |
| 9.3.13 | M080 |
| 9.3.14 | M080 |
| 9.3.17 | M082, M083 |

| Requirement Ref | Metadata Elements |
|------------------------|--|
| 9.3.18 | M082, M083 |
| 9.3.19 | M082, M083 |
| 10.1.1 | M084 |
| 10.1.2 | M084 |
| 10.1.3 | M084 |
| 10.1.7 | M086, M122, M092 |
| 10.1.9 | M093, M094, M123 |
| 10.1.10 | M098 |
| 10.1.12 | M098 |
| 10.1.14 | M122 |
| 10.1.17 | M086, M095, M096, M097 |
| 10.5.2 | M108 |
| 10.5.6 | M108 |
| 10.5.14 | M108 |
| 10.6.5 | M023 |
| 10.7.4 | M114 |
| 10.7.5 | M113, M114, M146, M147 |
| 10.7.7 | M110, M111, M076 |
| 10.7.8 | M144 |
| 10.8.2 | M116, M117, M118, M119, M120, M143 |
| 10.8.3 | M116, M117, M118, M119, M120, M143 |
| 10.8.5 | M120 |
| 10.9.2 | M121 |
| 10.11.4 | M124 |
| 10.12.7 | M003, M066, M067, M075, M185, M186, M187, M191, M192, M193 |
| 10.12.8 | M003, M066, M067, M074, M075, M185, M186, M187, M191, M192, M193 |
| 11.7.4 | M125 |
| 11.7.7 | M128, M129 |
| 11.7.8 | M128, M129, M130, M148 |
| 11.7.9 | M128, M129, M130, M150, M151 |
| 11.7.10 | M126, M131 |
| 11.7.13 | M127, M132, M142, M196 |
| 11.8.6 | M195 |
| 11.8.7 | M195 |
| 12.2.7 | M161, M162 |

9.8.2 Numerical listing of Metadata Elements

M002: Relation.agent.owner
M003: Description.title
M004: Description.abstract.keyword
M005: Use.status.vital_record
M008: Identity.system_identifier.retention_and_disposition_schedule
M011: Description.classification.classification_code
M012: Description.classification.fully_qualified_classification_code
M013: Event_plan.period
M014: Event_plan.event_type.disposition_action
M015: Description.abstract.reason
M019: Use.status.active
M020: Identity.system_identifier
M021: Event_history.abstract.reclassification_reason
M022: Event_plan.volume.cut-off
M023: Relation.cross_referenced_to
M024: Description.title
M025: Relation.r&d_schedule
M026: Relation.record_type
M027: Identity.system_identifier
M028: Description.title
M029: Description.abstract
M030: Description.mandate
M031: Event_plan.status.permanent
M032: Relation.disposal_hold
M034: Event_history.disposal_hold.date_applied
M035: Event_history.disposal_hold.agent_applied
M037: Event_plan.reminder
M043: Description.abstract.description
M044: Identity.system_identifier
M045: Description.title
M046: Description.abstract.description
M047: Description.abstract.description
M048: Event_history.date.created
M049: Event_history.date.modified
M050: Event_history.date.opened
M051: Event_history.date.closed
M052: Event_plan.event_trigger.kind
M053: Event_plan.abstract.review_action

M054: Event_history.abstract.review_action_reason
M055: Event_history.date.reviewed
M056: Relation.is_parent_of
M057: Relation.is_child_of
M058: Event_plan.volume.event_trigger
M059: Event_plan.volume.capacity
M060: Identity.system_identifier
M062: Event_plan.volume.period
M064: Identity.system_identifier
M065: Description.date
M066: Description.recipient.name
M067: Description.copy_recipient.name
M069: Description.author.name
M070: Description.external_identifier.internal_reference
M071: Event_history.date.captured
M074: Event_history.date.sent
M075: Description.sender.name
M076: Use.technical_environment.electronic_signature
M077: Use.technical_environment.certification_service_provider
M079: Relation.agent.creator
M080: Description.abstract.reason_for_redaction
M081: Event_history.date.created
M082: Relation.has_redaction
M083: Relation.is_redaction_of
M084: Use.status.physical
M086: Description.place.current_location
M087: Relation.r&d_schedule
M088: Event_history.date.received
M089: Event_history.abstract.keyword_change_reason
M090: Relation.is_child_of
M091: Relation.previous_fully_qualified_classification_code
M092: Use.technical_environment.format
M093: Event_history.date.check_in
M094: Event_history.date.check_out
M095: Event_history.date.moved_from_location
M096: Event_history.date.received_at_location
M097: Relation.agent.movement
M098: Event_plan.date.return
M102: Event_history.disposal_hold.date_lifted

M108: Description.classification.case_id
M110: Use.technical_environment.digital_certificate
M111: Use.technical_environment.counter_signature
M113: Use.status.electronic_signature
M114: Event_history.date.verified.electronic_signature
M116: Use.technical_environment.encryption_algorithm
M117: Use.technical_environment.serial_number_digital_certificate
M118: Use.technical_environment.encryption_level
M119: Event_history.date.encrypted
M120: Event_history.date.decrypted
M121: Use.technical_environment.drm_features
M122: Description.place.home_location
M123: Relation.agent.custodian
M124: Use.status.offline_download
M125: Identity.system_identifier_rendition
M126: Description.abstract.reason_for_rendition
M127: Event_history.date.rendered
M128: Use.technical_environment.file_format
M129: Use.technical_environment.file_format_version
M130: Identity.system_identifier_rendition
M131: Description.abstract.reason_for_rendition
M132: Event_history.date.rendered
M133: Event_history.date.transferred
M134: Event_history.disposal_hold.agent_lifted
M135: Event_history.disposal_hold.reason_applied
M136: Event_history.disposal_hold.reason_lifted
M137: Identity.system_identifier.disposal_hold
M138: Event_plan.abstract.review_date
M139: Relation.agent.destroy_or_transfer_or_relocate
M140: Event_history.abstract.reclassification_reason
M141: Event_history.date.destroyed
M142: Use.technical_environment.file_format_version_original
M143: Use.status.encrypted_in_transit
M144: Use.technical_environment.validation_token
M145: Use.language
M146: Use.technical_environment.certificate_issuer
M147: Use.technical_environment.validated_by
M148: Relation.has_rendition
M149: Relation.is_rendition_of

M150: Relation.has_rendition
M151: Relation.is_rendition_of
M152: Event_plan.date
M153: Description.classification.classification_code
M154: Description.classification.fully_qualified_classification_code
M155: Use.status.deleted_or_moved
M156: Event_history.date.relocated
M157: Description.classification.new_fully-qualified_classification_code
M158: Description.classification.new_fully-qualified_classification_code
M159: Event_history.date.relocated
M160: Event_history.date.deleted
M161: Relation.agent.deleted
M162: Relation.agent.relocated
M163: Identity.system_identifier
M165: Relation.is_member_of
M166: Relation.has_role
M167: Description.title
M168: Relation.has_user
M169: Use.administrator
M170: Use.inactive
M171: Relation.entity_agent
M172: Relation.entity_agent
M175: Identity.system_identifier
M176: Relation.applies_to_entity
M177: Relation.applies_to_agent
M179: Use.rights.start_date
M180: Use.rights.permission
M181: Use.rights.end_date
M183: Event_plan.event_trigger.external_event
M184: Description.author.e_mail-address
M185: Description.copy_recipient.e_mail_address
M186: Description.recipient.e_mail_address
M187: Description.sender.e_mail_address
M189: Description.email_address
M190: Relation.agent.author
M191: Relation.agent.copy_recipient
M192: Relation.agent.recipient
M193: Relation.agent.sender
M194: Event_history.transferred_to

M195: Description.external_identifier.external_system_reference

M196: Use.technical_environment.file_format_original

M197: Use.status.inheritance

9.9 Customisation Notes for Metadata Requirements

Users of this specification should analyse their application's requirements for metadata and amend the above accordingly.

After identifying which metadata elements are needed, they should identify for each element the following attributes:

- ◆ field format (see 12.2.5) and length;
- ◆ obligation (mandatory or optional);
- ◆ source of data (see 6.1.18, 12.2.9, 12.2.10, 12.2.11);
- ◆ nature of validation (see 12.2.14, 6.1.9, 12.2.15).

It will only be possible to specify requirements in detail once this has been achieved.

Note that the validation, automatic capture, inheritance and default value rules are especially important for usability and acceptably low error rates where the system is to be used in an ongoing office operation (as opposed to in a dedicated archive).