Records Management Metadata

Version 3.0
2013
Tallinn, Estonia

Contents

Brief Summary

Managing information efficiently is important for every organisation. This metadata set offers tools for managing records and information in a digital environment.

The purpose of the metadata set is to ensure that any records stored in information systems have a meaning, that they are easy to find and remain reliable over a longer period, as well as to facilitate the easy exchange of metadata between organisations and information systems. Implementing metadata in state and local government authorities promotes the implementation of electronic records exchange, paperless administration and digital archiving in the public sector. Agreements on using metadata sets promote the creation of more efficient and user-friendly public e-services.

This metadata set supports the requirement set forth in §6 of the Archives Act for agencies and persons performing public duties to ensure the preservation and usability of records. In order for records to be used as evidence of facts or activities, they will need to have context – in other words, metadata. Records management metadata document the creation, management and use of records. Metadata identify and describe records – their content and relations with other records and organisation activities. Records management metadata are essential for proving the authenticity of records and for associating records with context; the existence of metadata allows organisations to archive and reuse records.

This text presents a set of metadata elements that support efficient records management. The appendix lists the minimum set of required elements, which is based on the needs of public sector organisations and on the assumption that records are exchanged via the X-Road Document Exchange Centre (DEC)[1]. The structure of the set derives from a theoretical model based on the entity model described in ISO 23081-2 *Records Management Processes. Metadata for records. Part 2: Conceptual and implementation issues* (chapter 6).

Many listed metadata elements already exist in organisation records management and information systems. In that case, it is not necessary to create more; the goal is rather to locate and manage them in compliance with the given metadata model and requirements. The purpose of creating this set was to limit the amount of manually created or entered elements and to recommend using either classifications or the automatic creation, inheritance or copying of data whenever possible.

This list is primarily aimed at records management specialists in organisations. As the creation and administration of records management metadata in information systems also requires some technical know-how, IT experts, including records management systems developers, are included in the target group as well.

The records management metadata set includes XML schemas, which organisations can implement directly in their information systems and customise as needed. Any questions and comments regarding the set should be e-mailed to:
Infoyhiskonnateenustearendamiseosakond@mkm.ee.

[1] For further information about DEC see https://www.ria.ee/dec/

Introduction

1. Introduction

The creation of metadata is an essential part of records management: metadata are the data that describe the context, content and structure of records and their management through time (ISO 15489-1 *Records management. Part 1: General*). Records management metadata can be used within an organisation for various purposes: "to support, identify, authenticate, describe, locate and manage resources in a systematic and consistent manner, to comply with accountability and societal requirements". The purpose and structure of records management metadata are described in detail in the standard ISO 23081 *Records management processes. Metadata for records.* Parts 1 and 2.

The purpose of metadata standards and sets is to define the minimum composition of elements necessary to ensure the basic characteristics of records (authenticity, reliability, integrity, usability) and to support efficient administration and interoperability between organisations.

2. Set Versions

This *Records Management Metadata Set* (version 3.0, 2013) is an updated version of the *Records Management Metadata Set* (version 2.1) issued by the Government Office in 2006. This guide has been one of the source materials used for procuring and developing electronic records management systems (ERMS) in Estonia for many years. From 2012 onwards, in accordance with the Archives Act and the regulation of the Government of the Republic on the Common Principles of Administrative and Records Management Procedures, records management guidelines are issued by the Ministry of Economic Affairs and Communications and they are meant to be implemented in all public sector organisations.

The first set was compiled mostly on the basis of the standards ISO 15489-1 and ISO 23081-1 as well as metadata standards of other countries. This version of the set takes into account the more recent standard ISO 23081-2, the requirements of *MoReq2* that have been translated into Estonian, and the supplemented requirements of national legislative acts, including requirements regarding records exchange, disclosure and archival.

3. The Purpose and Target Group of the Set

This text presents a list or set of metadata elements that organisations can use for efficient records management. The set is primarily intended for implementation in Estonian public sector organisations but can be used also in other organisations. Chapter 9 lists the minimum set of required elements, which is based on the requirements of public sector organisations and on the assumption that records are exchanged via the Document Exchange Centre.

The text is primarily aimed at specialists, in particular specialists in charge of records management. As the creation and administration of records management metadata in information systems also requires some technical know-how, IT experts are included in the target group as well. The metadata set can also be used by:

- information managers and specialists responsible for information management;
- metadata specialists;

- developers and suppliers of records management software;
- specialists organising records disclosure and automatic records exchange;
- System analysts and organisation IT specialists.

4. Implementing the Records Management Metadata Set

The metadata set includes as a separate addition the presentation of metadata as XML schemas. Element usage cases – implementation profiles – are described separately and more may be added over time (e.g. DEC, records disclosure or archival implementation profiles).

Full implementation of the new version of the set in organisations that already use an electronic records management system may turn out to be resource-intensive. The metadata set should be used when implementing new or upgrading existing information systems. Metadata related requirements have to be included in the functionality requirements or source tasks of any new, planned and procured information systems. Existing information systems metadata can be revised and improved in parts during various projects (e.g. implementation of a new DEC container, implementation of the archival tool UAM etc.).

5. Feedback

The metadata set – the list of elements and the XML schemas – was commissioned by the Ministry of Economic Affairs and Communications. The set was developed by Raivo Ruusalepp (Estonian Business Archives) and Kuldar Aas (The National Archives of Estonia), taking into account the suggestions and comments made by members of the Records Management Board and suppliers of records management software as well as the Data Protection Inspectorate and the Estonian Land Board specialists in the course of the preliminary version survey.

The set has passed the XML assets approval and registration process in the administration system of state information system (RIHA), and is published in the XML repository of RIHA[2].

The English version of the list was prepared by the translation company Tilde OÜ and revised by Liivi Karpištšenko (Ministry of Economic Affairs and Communications). Any comments and questions regarding the set should be e-mailed to: Infoyhiskonnateenustearendamiseosakond@mkm.ee.

[2] https://riha.eesti.ee/riha/main/xml/dokumendihalduse_metaandmed/1

Metadata Description

6. The Structure of the Records Management Metadata Set

The records management metadata set has a modular structure: elements are groups (entities in Figure 1. Relationships between records management metadata entities.

). The structure of the set derives from a theoretical model based on the entity model described in ISO 23081-2 *Records Management Processes. Metadata for records. Part 2: Conceptual and implementation issues* (chapter 6). Figure 1. Relationships between records management metadata entities.

describes the main relationships between records management metadata entities; however, it does not include all possible relationships. Elements in the "Relationships" entity can be used to create additional "connections" between metadata elements of different groups in order to implement the full metadata model in a specific information system based on the needs of the organisation and the options offered by the information system. The hierarchical relationships between the different levels or components of entities are described in detail at the beginning of each module chapter.

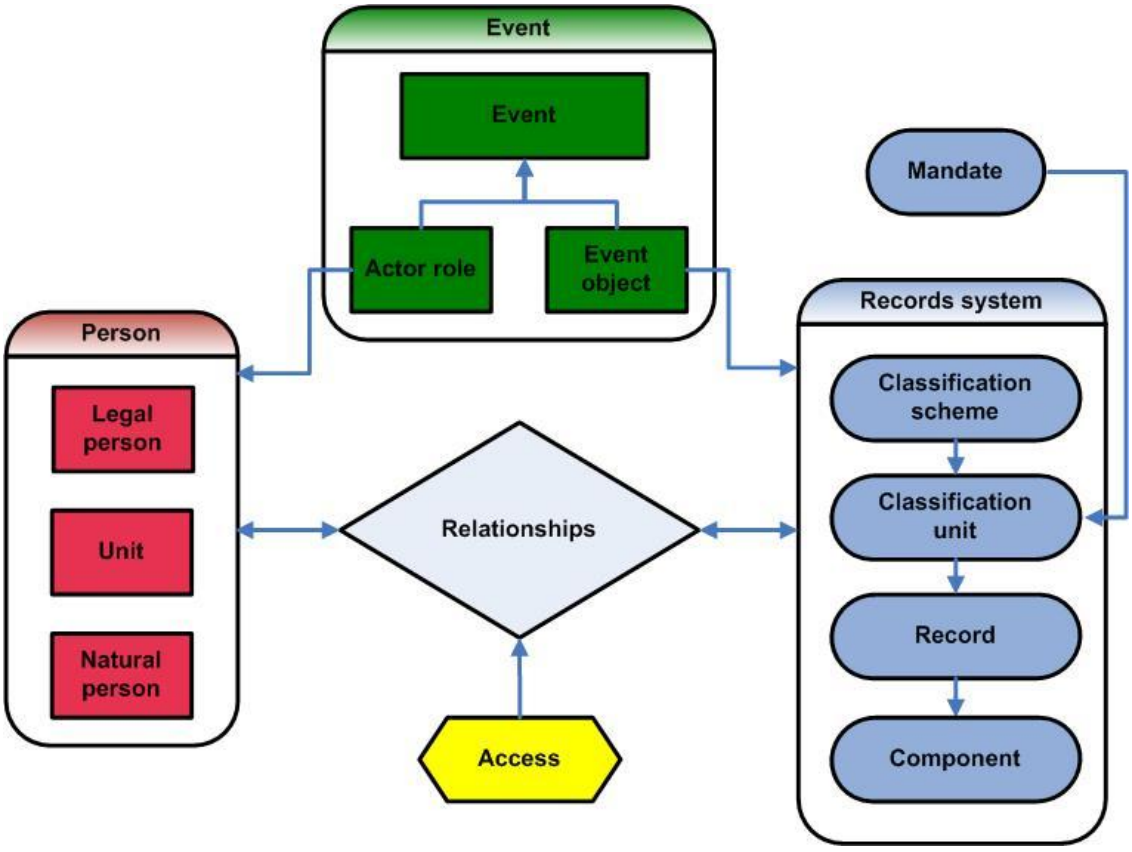

Figure 1. Relationships between records management metadata entities.

The records management metadata set consists of nine chapters, which define the metadata elements of each entity. Each chapter contains a text description of the purpose of metadata for

that entity and a table with metadata element descriptions. The set includes 82 elements and 61 element qualifiers. The set is followed by appendices:

- the list of standards referred to in the text;
- a table with references to equivalent elements in other countries' metadata standards.

The set includes as a separate addition the presentation of metadata in the form of XML schemas.

7. Mandatory and Optional Metadata Elements

Each metadata element and its qualifiers are either mandatory or optional. This is marked as follows in this set:

- Mandatory – the element is part of the minimum required composition of records management metadata.
- Optional – metadata element use depends on the existence of information required for the element and the organisation's need to store such information.

Some elements are mandatory under certain conditions and the element is marked as such. For example, element 4.2 Classification Scheme Approval Date is marked as: O (M, if the organisation is an archive creator, i.e. creates an archive of permanent value that will eventually be deposited with the National Archives for long-term preservation); this means that the element is optional unless the organisation is an archive creator and has to receive approval for its classification scheme from a public archives, in which case using the element is mandatory.

When implementing the metadata set, optional elements can be considered mandatory in an organisation if this is required to meet the organisation's particular needs. Elements are listed as mandatory or optional in the table in chapter 9.

8. Metadata Element Description

The description of each metadata element in the set is based on a table with the following structure:

Number	Metadata element serial number in this set
Name	Metadata element name
Tag	Short version of the metadata element name, used in a set XML schema
Definition	Metadata element content or definition
Purpose	Rationale behind using the metadata element
Level	Metadata element implementation level (optional)
Obligation	Metadata element importance: M = mandatory, O = Optional (cf chapter 7. Mandatory and Optional Metadata Elements)
Repeatability	Indicates whether the metadata element can be implemented repeatedly: yes, no
Data type	Metadata element value data type: text, date, etc.

Encoding system	Standard or other regulations for the creation and presentation of metadata element content
Creation	Metadata element creation: automatic, manual
Examples	Examples of possible metadata element values
Comments	Comments on the metadata element and instructions on its usage

If the metadata element is too general to allow non-ambiguous understanding or usage, element qualifiers have been added to the description of the element. Element qualifiers specify the meaning of the element and allow defining any required restrictions or limitations. The following fields are used to describe an element qualifier:

Qualifier	Number	Element qualifier serial number in this set
	Name	Element qualifier name
	Tag	Short version of the element qualifier name, used in the set XML schema
	Definition	Element qualifier content or definition
	Level	Element qualifier implementation level (optional)
	Obligation	Element qualifier importance: M = mandatory, O = optional
	Repeatability	Indicates whether the element qualifier can be implemented repeatedly: yes, no
	Data type	Element qualifier value data type
	Encoding system	Standard or other regulations for the creation and presentation of element qualifier content
	Creation	Element qualifier creation: automatic, manual

Metadata elements are numbered consistently throughout the set. Element qualifiers are numbered with an extension within the element (e.g. 12.5).

Metadata element description includes the name of the element in everyday language as well as the name of the element tag in both Estonian and English for use in software applications. Element tags are also used in the set XML schemas and they follow the mandatory so-called *UpperCamelCase* rule in the Ministry of Economic Affairs and Communications *Guidelines for developing an XML data description of a record type*. In accordance with this rule, all the words in the element tags are concatenated and each word is capitalised (e.g. Title, ClassificationUnitDateCreated). Diacritics are not used in tags. If possible, no characters other than letters or numbers should be used. The element tags implemented in XML schemas as element attributes use the lowerCamelCase rule (e.g. classificationSchemeGuid).

Element definition and purpose explain the content of the element and offer context for its usage.

Element implementation level indicates the level(s) identified within a single module (e.g. series, file/case file, record; legal person, natural person; etc) at which the element is used. This field is used only when the implementation level needs to be identified within a module – e.g. all Component module metadata elements are only used for describing components (computer files), while Classification Unit module elements are used according to their purpose: at either

all classification levels or only specific levels. For the file/case file level it should be kept in mind that electronic files/case files and folders do not necessarily exist physically; they may be virtual and consist of metadata elements of the records designated for them. In that case, a record can inherit e.g. the basis for restriction on access (45.5 Restriction authorisation) directly from a series, not through a file.

The obligation of the element indicates whether using the element is mandatory or should only be included if needed (see chapter 7). Implementing mandatory elements is compulsory in organisations' records systems as these elements together form the minimum required set of metadata that support the management, long-term preservation, disclosure and exchange of records. The implementation of optional elements in an organisation's records system is up to each organisation, as is making those elements mandatory.

Element repeatability indicates whether an element may be created once or multiple times within a single entity. For example, one record can be characterised by multiple different keywords at the same time, while it cannot have more than one title. Repeatability on an entity, element and qualifier level should not be confused. For example, one record can be associated with multiple actors and processes (e.g. approval, signing), which means that element 72 *Actor* is repeatable, while its qualifiers (72.1 *Actor name* and 72.2 *Actor role*) are not repeatable.

Element value data type indicates the general nature of the element (text, date, number, etc.). (Technical) types used in information systems have been listed in metadata set XML schemas. When implementing metadata in an information system, it is mandatory to ensure the consistency of data types listed in XML schemas and those used within the application when importing or exporting metadata.

Encoding system supplements data type information and lists the possible values of the element; it may also indicate the format of how the element must be entered (e.g. date format). Encoding systems listing the possible values are for example classifications or a complete list of appraisal decisions.

The option of entering metadata element contents automatically in applications is indicated wherever it should be possible. Metadata element values should be entered manually only when adding the required information automatically is either impossible or technically too complicated in practice. Occasionally metadata fields filled in automatically through inheritance may need to be edited manually. Using classifications and controlled vocabulary in information systems is preferred.

The examples field contains examples of element and qualifier usage.

The comments field contains comments on the options and restrictions of element implementation.

Element qualifiers are described within the description of the element itself, combining the two sample tables presented in this chapter into one whole.

References to metadata elements with similar meanings in other standards are listed in a separate mapping table in Appendix 2 of the metadata element set. Used standards and legislative acts, including any abbreviations used to refer to those standards and acts in tables, are listed in Appendix 1.

Records Management Metadata Set

9. Aggregated Set of Records Management Metadata Elements

The following table presents the aggregated set of records management metadata elements and indicates any mandatory metadata elements. These 46 elements together form the minimum mandatory description supporting records management. Mandatory elements are indicated with a green background in the table while elements that are mandatory under certain circumstances have a grey background. Elements on a white background should be used when required and possible.

#	Element name	Obligation	Condition
Classification Scheme			
1	Classification scheme GUID	M	
2	Classification scheme name	M	
3	Classification scheme owner	M	
4	Classification scheme date	M	
4.1	Classification scheme opening date	M	
4.2	Classification scheme approval date	O	M, if the organisation is an archive creator
4.3	Classification scheme change date	O	
4.4	Classification scheme closing date	O	
5	Classification scheme description	O	
Classification Unit			
6	Classification unit GUID	M	
7	Classification unit type	M	
8	Classification unit identifier	M	
9	Classification unit title	M	
10	Classification unit description	O	M on a function level for archive creators
11	Classification unit keyword	O	
11.1	Thesaurus	O	
12	Classification unit date	M	
12.1	Classification unit creation date	M	
12.2	Classification unit opening date	M	
12.3	Classification unit closing date	O	M, if the classification unit is closed
12.4	Classification unit archival transfer date	O	M, if the file or case file has been transferred to a public archives
12.5	Classification unit storage transfer date	O	M, if the file or case file has been transferred to storage
12.6	Classification unit destruction date	O	M, once the file or case file has been destroyed
13	Classification unit status	O	
14	Agent responsible for the classification unit	O	
15	Classification unit location	O	
16	Retention period	M	
16.1	Retention period start date	O	
16.2	Retention period trigger	M	O, if the retention period is permanent

#	Element name	Obligation	Condition
16.3	Retention period duration	M	
16.4	Retention period end date	O	
17	Appraisal decision	O	
17.1	Appraisal decision reference	M	If appraisal decision exists
17.2	Appraisal decision date	M	If appraisal decision exists
17.3	Archival value code	M	If appraisal decision exists
18	Disposal schedule	O	
18.1	Disposal schedule action description	M	If disposal schedule is implemented
18.2	Disposal schedule action due date	O	
18.3	Disposal schedule action trigger	O	
18.4	Notification	O	
19	Mandate	O	M, if the organisation is an archive creator
19.1	Mandate type	O	
19.2	Mandate name	O	
19.3	Mandate reference	O	
19.4	Mandate description	O	
Record			
20	Record GUID	M	
21	Record type	K	
22	Record original identifier	M	
23	Record parent classification unit	O	
24	Record processing stage	M	
25	Record status in processing stage	O	
26	Record title	M	
27	Record abstract	O	
28	Record keyword	O	
28.1	Thesaurus	O	
29	Record language	O	
30	Record date	M	
30.1	Record creation date	M	
30.2	Record registration date	M	
30.3	Record disposal date	O	
30.4	Record receiving date	O	
30.5	Record sending date	O	
30.6	Record compliance due date	O	
30.7	Record delivery date	O	
31	Record location	O	
32	Record media format	O	
33	Record external context	O	
33.1	Record external party	M	If the record has an external party
33.2	Record external party role	M	If the record has an external party
33.3	Record original identifier at external party	O	
33.4	Record ID at external party	O	

#	Element name	Obligation	Condition
33.5	Record date at external party	O	
33.6	Record exchange method	O	
33.7	Message	O	
34	Record enclosures	O	
Component			
35	Component GUID	M	
36	Component name	M	
37	File format	M	
37.1	File format name	M	
37.2	File format version	O	
38	Component size	O	
39	Fixity	M	
39.1	Value	M	
39.2	Algorithm	M	
39.3	Creation date	M	
40	Software	O	
40.1	Software name	M	If the element is used
40.2	Software version	O	
41	Encoding	O	
42	Creation purpose	O	
Access			
43	Access conditions GUID	M	
44	Access conditions code	M	
45	Access restriction	O	M if Access conditions code is not “public”
45.1	Restriction GUID	M	if Access conditions code is not “public”
45.2	Restriction start date	M	if Access conditions code is not “public”
45.3	Restriction end due date	M	if Access conditions code is not “public”
45.4	Restriction length	O	
45.5	Restriction authorisation	M	if Access conditions code is not “public”
45.6	Restriction end event	O	
45.7	Restriction invalid since	O	M after restriction ends if Access conditions code is not “public”
45.8	Information owner	M	if Access conditions code is not “public”
46	Intellectual property	O	
46.1	Intellectual property rights restriction code	O	
46.2	Intellectual property rights restriction end date	M	If the record is intellectual property
46.3	Intellectual property owner	M	If the record is intellectual property
47	No copying allowed	O	
Legal or natural person			
48	Person GUID	M	
49	Person name	M	
50	Person type	M	
51	Organisation registry code	O	M, if the person is a legal person of Estonia

#	Element name	Obligation	Condition
52	Personal identification code	O	
53	Legal status	O	
54	Position title	O	
Address and Contact Data			
55	Country	O	
56	County	O	
57	Local government	O	
58	Settlement or city district	O	
59	Small place	O	
60	Land unit	O	
61	Traffic area	O	
62	House number	O	
63	Part of building number	O	
64	Postal code	O	
65	Phone number	O	
66	Fax number	O	
67	E-mail address	O	
68	Web page	O	
69	Messaging address	O	
Process			
70	Process GUID	M	
71	Process type	M	
72	Actor	M	
72.1	Actor name	M	
72.2	Actor role	M	
73	Event object	M	
74	Process date	M	
75	Process result	O	
Relationships			
76	Relationship GUID	M	
77	Relationship source object ID	M	
78	Relationship target object ID	M	
79	Relationship type	M	
80	Relationship description	O	
81	Relationship start date	O	
82	Relationship end date	O	

10. Classification Scheme Metadata

A classification scheme is a structured list of an organisation's functions and series, which is used as a central registry in information systems for capturing and managing records. Classification schemes are generally function-based. However, they can also be based on an organisation's structure or on work processes and activities related to those (see also ISO/TR 26122 *Work process analysis for records*).

When the purpose, activities, responsibilities or structure of the organisation changes, the classification scheme is changed as well. The purpose of the classification scheme metadata is to describe the current classification scheme and to document the history of changes in the classification scheme.

For a classification scheme that changes over time, the records system must make it possible to identify which classification scheme version was used as the basis for opening a specific function or series. In order to differentiate between classification scheme versions, they have to be assigned an identifier (GUID) in the metadata. Connections between classification unit titles and/or identifiers (fully qualified classification codes) used in different versions of the classification scheme are created via classification unit metadata (see chapter 11). When the records management system changes or when records are transferred e.g. into an archive management system, metadata describing the history of the classification scheme need to be transferred as well.

Classification scheme metadata consist of the following elements and their qualifiers:

I. Classification Scheme

1. Classification scheme name
2. Classification scheme owner
3. Classification scheme date
   - 3.1 Classification scheme opening date
   - 3.2 Classification scheme approval date
   - 3.3 Classification scheme change date
   - 3.4 Classification scheme closing date
4. Classification scheme description

Number	1
Name	**Classification scheme GUID**
Tag	liigitusskeemGuid / classificationSchemeGuid
Definition	The unique identifier of the classification scheme
Purpose	To enable unique and non-ambiguous references to the classification scheme
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	Elements tags that are named in accordance with the lowerCamelCase rule are implemented in XML schemas as element attributes

Number	2
Name	**Classification scheme name**

Tag	LiigitusskeemNimetus / ClassificationSchemeName
Definition	Classification scheme name
Purpose	Non-ambiguous definition of the classification scheme
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	A list of classification scheme units
Comments	The information system used for records management has to be able to manage multiple classification schemes concurrently

Number	3
Name	**Classification scheme owner**
Tag	LiigitusskeemVastutaja / ClassificationSchemeOwner
Definition	The name of the structural unit or job title responsible for managing the classification scheme
Purpose	Identifying the person responsible for the classification scheme. Mediating the information required for using and managing the classification scheme
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	Office manager of the “Ladybird” kindergarten Secretary
Comments	The element is used mainly for the following: 1) Forwarding classification scheme change proposals to the official in charge. 2) Exporting records from the records management system upon change of system or when transferring records into another information system (e.g. archive management system). 3) Organisations where multiple classification schemes are managed in parallel (e.g. local government and any organisations administered by it). The element reflects current information about the person responsible for the classification scheme. When the owner – person responsible for it – changes, element contents are changed and earlier values are not retained.

Number	4	
Name	**Classification scheme date**	
Tag	LiigitusskeemKuupaev / ClassificationSchemeDate	
Definition	Date and time of the main management transactions undertaken on the classification scheme	
Purpose	Allows to verify actions taken on the classification scheme and their validity	
Encoding system	EVS 8 ISO 8601	
Qualifiers	Number	4.1
	Name	**Classification scheme opening date**

	Tag	LiigitusskeemKuupaevAvamine / ClassificationSchemeDateOpened
	Definition	Date and time when the classification scheme first became valid
	Obligation	M
	Repeatability	No
	Data type	Date
	Creation	Automatic
	Number	4.2
	Name	**Classification scheme approval date**
	Tag	LiigitusskeemKuupaevKooskolastamine / ClassificationSchemeDateApproved
	Definition	Date of approving the classification scheme by a public archives
	Obligation	O (M, if the organisation is an archive creator)
	Repeatability	Yes
	Data type	Date
	Creation	Manual
	Number	4.3
	Name	**Classification scheme change date**
	Tag	LiigitusskeemKuupaevMuutmine / ClassificationSchemeDateChanged
	Definition	Date when the current classification scheme became valid
	Obligation	O
	Repeatability	Yes
	Data type	Date
	Creation	Automatic
	Number	4.4
	Name	**Classification scheme closing date**
	Tag	LiigitusskeemKuupaevSulgemine / ClassificationSchemeDateClosed
	Definition	Date and time when the classification scheme was closed
	Obligation	O
	Repeatability	No
	Data type	Date
	Creation	Automatic
Examples	02.10.2012, 15:05:23	
Comments	Classification scheme dates are always created in connection with a process, the metadata of which are described separately (see chapter 14 Processes). Classification scheme date and its qualifiers are presented separately to show the necessity of fixing at least the opening, changing and approval dates of the classification scheme in records management metadata. If needed, an organisation can add more qualifiers to an element (e.g. submitted for approval, etc.)	

Number	5
Name	**Classification scheme description**
Tag	LiigitusskeemKirjeldus / ClassificationSchemeDescription

Definition	Brief free text summary of the classification scheme contents
Purpose	Extends the use of the Classification scheme name element. Simplifies locating a previously valid classification scheme in the records system.
Level	-
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	-
Creation	Manual
Examples	-
Comments	The element may contain a summary of the reasons for classification scheme change, classification scheme structure or validity period, or other comments or notes needed for archivists.

11. Classification Unit Metadata

Functions and series are typical hierarchical classification scheme units; if necessary, sub-parts (sub-functions, sub-series) are created. A file or case file is used as the physical records management unit (if necessary, a file can also be divided into volumes). The creation of classification units is discussed in detail in chapter 7.2.5 "Deriving records classification scheme from functional analysis" of the National Archives guidelines *Records and Archives Management* (2009).

Metadata describing the classification units are the same for all same level units but each level (i.e. function, series, file/case file) is described separately (e.g. element 9, Classification unit title, is used on all three levels). For certain elements, classification unit hierarchy levels work on an inheritance principle: function metadata matches the metadata of any series contained in the function and series metadata matches the metadata of any files contained in the series. There is no need to apply such metadata on all levels; it is enough for a value to exist on a higher hierarchy level (e.g. if element 17 Appraisal decision exists for a function, it is also automatically inherited by series and file/case file level in ERMS). Metadata inheritance is described in ISO 23081-2 chapter 7.2 Inheritance; requirements for its application in ERMSs are detailed in *MoReq2* chapter 3.2 Classes and files.

A mandate, which is a part of function description, indicates an organisation's compliance with the regulatory environment. On the other hand, it also indicates requirements deriving from the regulatory environment which form the basis for the organisation's activities, including the creation, use, access control, retention, disposition and destruction of records. The regulatory environment consists of framework and specific acts, regulations, standards, best practices and codes of ethics, and expectations of society.

A significant part of mandate information is defined during the analysis of the organisation's functions, in the process of records system creation. The purpose of mandate metadata is to record the records creation and usage context in order to guarantee the authenticity and reliability of a digital record in an information system.

The description of a classification unit is also applied to a file or case file, which in reality is closer to a unit for the physical organisation of the storage and disposition of records than to a classification unit containing and describing informational contents. Traditionally, there has been a requirement in records management that records are inserted into a file, not directly into a series. The requirements of *MoReq2* allow ignoring this rule if needed (see requirement 3.2.17), but for practical reasons related to disposal and destruction, creating a file level and describing it with metadata is recommended.

Classification unit metadata consist of the following elements and their qualifiers:

II. Classification Unit

6. Classification unit GUID
7. Classification unit type
8. Classification unit identifier
9. Classification unit title
10. Classification unit description
11. Classification unit keyword
    - 11.1 Thesaurus
12. Classification unit date
    - 12.1 Classification unit creation date
    - 12.2 Classification unit opening date
    - 12.3 Classification unit closing date
    - 12.4 Classification unit archival transfer date

- 12.5 Classification unit storage transfer date
- 12.6 Classification unit destruction date

13. Classification unit status
14. Agent responsible for the classification unit
15. Classification unit location
16. Retention period
    - 16.1 Retention period start date
    - 16.2 Retention period trigger
    - 16.3 Retention period duration
    - 16.4 Retention period end date
17. Appraisal decision
    - 17.1 Appraisal decision reference
    - 17.2 Appraisal decision date
    - 17.3 Archival value code
18. Disposal schedule
    - 18.1 Disposal schedule action description
    - 18.2 Disposal schedule action due date
    - 18.3 Disposal schedule action trigger
    - 18.4 Notification
19. Mandate
    - 19.1 Mandate type
    - 19.2 Mandate name
    - 19.3 Mandate reference
    - 19.4 Mandate description

Number	6
Name	**Classification unit GUID**
Tag	liigitusyksusGuid / classificationUnitGuid
Definition	The unique identifier of the classification unit
Purpose	To enable unique and non-ambiguous references to the classification unit
Level	Function, series, file/case file
Obligation	M
Repeatability	No (one GUID is assumed on each level of implementation)
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	7
Name	**Classification unit type**
Tag	LiigitusyksusTyyp / ClassificationUnitType
Definition	Classification unit category or level name
Purpose	Indicating the type and level of the classification unit being described
Level	Function, series, file/case file
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Final list: function, series, file/case file
Creation	Automatic
Examples	Series Case file

Comments	For encoding system lists, sub-levels (e.g. sub-series) can also be used

Number	8
Name	**Classification unit identifier**
Tag	LiigitusyksusViit / ClassificationUnitIdentifier
Definition	Classification code assigned to the classification unit in the classification scheme
Purpose	Identifying a classification unit and indicating its place in the classification scheme
Level	Function, series, file/case file
Obligation	M
Repeatability	No
Data type	Text
Encoding system	List of classification units or administrative procedures of the organisation
Creation	Automatic
Examples	1-4
Comments	Capturing the classification unit identifier (fully qualified classification code) separately in metadata may be invisible for the user and work as a query tool, depending on the software application. If classification scheme is changed, both the former and the new identifier have to be marked in the Classification scheme description element (see also the next element) § 6 (4) p 3 of *"Arhiivieeskiri"* (Archival Rules) requires the archive creator to store the earlier identifier on changing the identifier for at least the main functions: "(4) Archive creator classification scheme has to include the following in main functions: 3) names and classification codes of series in the previous classification scheme, if different."

Number	9
Name	**Classification unit title**
Tag	LiigitusyksusPealkiri / ClassificationUnitTitle
Definition	Name assigned to the function, series, sub-series or file
Purpose	Defining the classification unit
Level	Function, series, file/case file
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Automatic, manual
Examples	Function – Management Series – Standing committee meeting minutes Sub-series – Organisation-wide standing committee meeting minutes Sub-series – Structural unit standing committee meeting minutes File – Research council standing committee meeting minutes 2012

Comments	The title should offer some information about the classification unit contents. File or case file name can derive from the parent series' name § 6 (4) p 3 of *"Arhiivieeskiri"* (Archival Rules) requires the archive creator to store the earlier title on changing the title for at least the main functions: "(4) Archive creator classification scheme has to include the following in main functions: 3) names and classification codes of series in the previous classification scheme, if different."

Number	10
Name	**Classification unit description**
Tag	LiigitusyksusKirjeldus / ClassificationUnitDescription
Definition	Description explaining the classification unit
Purpose	Allows specifying the purpose of the classification unit and simplifies record search Allows automatic transfer of classification unit metadata into an archive
Level	Function, series, file/case file
Obligation	O; for archive creators, M on function level (see comments)
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	Function – Organising professional examinations Description – Function includes: (1) Planning and preparing professional examinations. (2) Reviewing applications and allowing the applicant to attend the examination. (3) Passing and arranging an examination. (4) Evaluating knowledge. (5) Issuing professional certificates.
Comments	Classification unit contents description is part of required archive description; so far it has generally been created during archiving but it can also be created already on classification unit creation or usage, in order to facilitate automatic records archiving § 6 (4) p 1 of *"Arhiivieeskiri"* (Archival Rules) requires the archive creator to include a description on at least function level: "(4) Archive creator classification scheme has to include the following in main functions: 1) Function description (activities or business processes done to perform the function);"

Number	11	
Name	**Classification unit keyword**	
Tag	LiigitusyksusMarksona / ClassificationUnitKeyword	
Definition	Word or phrase characterising the contents of the classification unit	
Purpose	Allows thematic search. Allows structuring classification units by theme	
Level	File/case file	
Obligation	O	
Repeatability	Yes	
Qualifier	Number	11.1
	Name	**Thesaurus**
	Tag	liigitusyksusTesaurus / classificationUnitThesaurus

	Definition	Reference to the keyword set that keywords characterising the contensts of a classification unit are based on
	Obligation	O
	Repeatability	No
	Encoding system	-
	Data type	Reference
	Creation	Automatic, manual
Examples	Keyword – budget Tesaurus – University of Tartu Estonian thesaurus: http://www.keelevara.ee/teosed/Teksaurus/	
Comments	If keywords are used to describe a classification unit and a thesaurus is used for assigning keywords, it needs to be referred to, in order to ensure the semantic interoperability of records management metadata	

Number	12	
Name	**Classification unit date**	
Tag	LiigitusyksusKuupaev / ClassificationUnitDate	
Definition	Date and time of the main records management actions taken on the classification unit	
Purpose	Allows to keep track of actions taken on the classification unit	
Obligation	M	
Repeatability	Yes	
Encoding system	EVS 8 ISO 8601	
Qualifiers	Number	12.1
	Name	**Classification unit creation date**
	Tag	LiigitusyksusKuupaevLoomine / ClassificationUnitDateCreated
	Definition	Date and time when the classification unit was created
	Level	Function, series, file/case file
	Obligation	M
	Repeatability	No
	Data type	Date
	Creation	Automatic, manual
	Number	12.2
	Name	**Classification unit opening date**
	Tag	LiigitusyksusKuupaevAvamine / ClassificationUnitDateOpened
	Definition	Date and time when the classification unit was opened
	Level	Function, series, file/case file
	Obligation	M
	Repeatability	No
	Data type	Date
	Creation	Automatic
	Number	12.3
	Name	**Classification unit closing date**
	Tag	LiigitusyksusKuupaevSulgemine / ClassificationUnitDateClosed

	Definition	Date and time when the classification unit was closed
	Level	Function, series, file/case file
	Obligation	O (M, if the classification unit is closed)
	Repeatability	No
	Data type	Date
	Creation	Automatic, manual
	Number	12.4
	Name	**Classification unit archival transfer date**
	Tag	LiigitusyksusKuupaevYleandmine / ClassificationUnitDateTransferredToArchive
	Definition	Date of transferring the classification unit to a public archives Elements Classification unit location and Record location change when this element is used
	Level	File/case file
	Obligation	O (M, if the file or case file has been transferred to a public archives)
	Repeatability	No
	Data type	Date
	Creation	Automatic
	Number	12.5
	Name	**Classification unit storage transfer date**
	Tag	LiigitusyksusKuupaevYleandmineSailitaja / ClassificationUnitDateTransferredToStorage
	Definition	Date of transferring a classification unit without archival value for short-term or long-term storage (without transfer of ownership) The values of elements Classification unit location and Record location change when this element is used
	Level	File/case file
	Obligation	O (M, if the file or case file has been transferred to storage)
	Repeatability	No
	Data type	Date
	Creation	Automatic
	Number	12.6
	Name	**Classification unit destruction date**
	Tag	LiigitusyksusKuupaevHavitamine / ClassificationUnitDateDestroyed
	Definition	Date and time of the physical destruction of the classification unit
	Level	File/case file
	Obligation	O (M, once the file or case file has been destroyed; see comments)
	Repeatability	No
	Data type	Date
	Creation	Automatic
Examples	02.10.2012, 15:05:23	

Comments	Dates are added to classification unit metadata when the relevant action is taken on the classification unit (e.g. a series is closed, file is transferred for storage) Element qualifiers 12.4 and 12.5 can also be implemented on series level if needed and if the Classification unit description element does not offer sufficient options Element qualifiers 12.4, 12.5 and 12.6 are part of the metadata stub that is retained after the classification unit is destroyed (see MoReq2 requirements 5.3.19 and 5.3.20)

Number	13
Name	**Classification unit status**
Tag	LiigitusyksusStaatus / ClassificationUnitStatus
Definition	Classification unit validity status.
Purpose	Facilitates tracking the classification unit management progress, validity and usage
Level	Function, series, file/case file
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Automatic
Examples	Open Transferred to the National Archives Retention period ended Closed Destroyed
Comments	It is recommended to use a complete list of allowed element values or universal classification. The list or the values of classification can be ordered according to the classification unit life cycle or workflows created in the system. Changing the status can be automatically associated with the Classification unit date element qualifier change in the software application

Number	14
Name	**Agent responsible for the classification unit**
Tag	LiigitusyksusVastutaja / ClassificationUnitAgentResponsible
Definition	Reference to the description of the organisation structural unit or position responsible for the creation and storage of the classification unit
Purpose	Defining the agent responsible for managing the classification unit based on either role or person
Level	Function, series, file/case file
Obligation	O
Repeatability	Yes
Data type	Reference
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	As a rule, based on person or role, it is the list of classification units that reflects responsibility on series level, and this rule should be followed also when using the element. Instead of the reference, the relevant metadata of the referred object (e.g. position title Academic secretary or Personnel department manager) is displayed to the user.

Number	15
Name	**Classification unit location**
Tag	LiigitusyksusAsukoht / ClassificationUnitLocation
Definition	Physical location of file, case file or another classification unit if needed
Purpose	Tracking the location of (paper) records that the organisation is responsible for
Level	File/case file
Obligation	O
Repeatability	For paper files: no; for digital files/case files, if required: yes
Data type	Text
Encoding system	Organisation administrative procedures, list of classification units
Creation	Automatic; manual for paper files if needed
Examples	Archive room 3A/2/5 Development office adviser Archive database within ERMS Digital archives of archival service provider NN
Comments	Using a final list of locations is recommended. This element should not be used to indicate any temporary movements of a paper record (e.g. on lending); use it to indicate only the primary location (home). To reflect temporary movement of the record, ERMS tools should be used instead. When transferring digital records to a retention service provider, the organisation may choose to temporarily keep a copy of the records; in this case, both locations should be indicated in this element

Number	16	
Name	**Retention period**	
Tag	Sailitustahtaeg / RetentionPeriod	
Definition	Description of the retention period assigned to the classification unit	
Purpose	Keeping records to prove organisation actions. Implementing the list of classification units	
Level	Series, file/case file	
Obligation	M	
Repeatability	No	
Qualifiers	Number	16.1
	Name	**Retention period start date**
	Tag	SailitustahtaegKuupaevAlgus / RetentionDateBeginning
	Definition	The date on which the retention period begins
	Obligation	O
	Repeatability	No
	Encoding system	EVS 8 ISO 8601
	Data type	Date
	Creation	Automatic
	Number	16.2
	Name	**Retention period trigger**
	Tag	SailitustahtaegKaivitaja / RetentionTrigger
	Definition	Event triggering the retention period
	Obligation	M; O if the retention period is permanent

	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Automatic, manual
	Number	16.3
	Name	**Retention period duration**
	Tag	SailitustahtaegKestus / RetentionPeriodDuration
	Definition	Retention period duration in years or marked as “permanent”
	Obligation	M
	Repeatability	No
	Encoding system	-
	Data type	Text; Number
	Creation	Automatic, manual
	Number	16.4
	Name	**Retention period end date**
	Tag	SailitustahtaegKuupaevLopp / RetentionDateEnd
	Definition	The date on which the retention period ends; filled in when the retention period has ended or the event ending it takes place
	Obligation	O
	Repeatability	No
	Encoding system	EVS 8 ISO 8601
	Data type	Date
	Creation	Automatic
Examples	Retention period start date – 31.12.2012 Retention period trigger – Closing the file Retention period duration – 20 Retention period end date – 31.12.2032	
Comments	Retention period trigger describes the event or process starting the retention period but does not date it If possible, a national classification can be used for events triggering retention period; such classification can also be created in the organisation	

Number	17	
Name	**Appraisal decision**	
Tag	Hindamisotsus / AppraisalDecision	
Definition	Reference to appraisal decision made by a public archives	
Purpose	Associating a classification unit with the official appraisal decision	
Level	Function, series, file/case file	
Obligation	O	
Repeatability	Yes	
Qualifiers	Number	17.1
	Name	**Appraisal decision reference**
	Tag	HindamisotsusViide / AppraisalDecisionReference
	Definition	Non-ambiguous reference to appraisal decision record
	Obligation	M (if appraisal decision exists)

	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Automatic, manual
	Number	17.2
	Name	**Appraisal decision date**
	Tag	HindamisotsusKuupaev / AppraisalDecisionDate
	Definition	Appraisal decision date
	Obligation	M (if appraisal decision exists)
	Repeatability	No
	Encoding system	EVS 8 ISO 8601
	Data type	Date
	Creation	Automatic, manual
	Number	17.3
	Name	**Archival value code**
	Tag	ArhiivivaartusMarge / ArchivalValueCode
	Definition	Existence of archival value
	Obligation	M (if appraisal decision exists)
	Repeatability	No
	Encoding system	AV (appraised: has archival value) H (appraised: does not have archival value) T (has not been appraised)
	Data type	Text
	Creation	Automatic, manual
Examples	Reference to appraisal decision – Appraisal Decision 251 “Töö- ja teenistussuhete ning töötervishoiu ja tööohutuse korraldamise käigus loodava teabe hindamine arhiiviväärtuse väljaselgitamiseks“ (“Appraisal of information created during the organisation of employment and service relationships and occupational health and safety to determine its archival value”) http://rahvusarhiiv.ra.ee/public/Hindamine/PERSONAL_HO_5.05.2011_nr_251.pdf Appraisal decision date – 05.05.2011 Archival value code – H	
Comments	The appraisal decision forms the basis for disposal for destruction and transfer into a public archives. Classification units that have not been appraised (T) cannot be disposed or transferred by archive creators (cf. Archives Act § 7, *“Arhiivieeskiri”* (Archival Rules) chapter 4)	

Number	18
Name	**Disposal schedule**
Tag	EraldamineAjakava / DisposalSchedule
Definition	Classification unit retention and disposal schedule
Purpose	To allow describing any scheduled activities or processes related to the classification unit lifecycle
Level	Series, sub-series, file/case file
Obligation	O
Repeatability	Yes (element qualifiers are used for every stage of the schedule)

Qualifiers	Number	18.1
	Name	**Disposal schedule action description**
	Tag	AjakavaTegevusKirjeldus / DisposalScheduleAction
	Definition	Description of activity or process related to disposal schedule action
	Obligation	M (if disposal schedule is implemented)
	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Automatic, manual
	Number	18.2
	Name	**Disposal schedule action due date**
	Tag	AjakavaTegevusTahtaeg / DisposalScheduleActionDate
	Definition	Date of activity or process related to disposal schedule action
	Obligation	O
	Repeatability	No
	Encoding system	EVS 8 ISO 8601
	Data type	Date
	Creation	Automatic, manual
	Number	18.3
	Name	**Disposal schedule action trigger**
	Tag	AjakavaTegevusKaivitaja / DisposalScheduleActionTrigger
	Definition	Description of event triggering an activity or process related to disposal schedule action
	Obligation	O
	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Automatic, manual
	Number	18.4
	Name	**Notification**
	Tag	AjakavaTegevusTeade / DisposalScheduleActionNotification
	Definition	Notification settings for activity or process related to disposal schedule action
	Obligation	O
	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Automatic, manual
Examples	Disposal schedule action description – Transfer to service provider digital storage Disposal schedule action due date – 02.01.2015 Disposal schedule action trigger – Closing the file Notification – If service provider is changed in the interim period, XML schema used on transfer needs to be checked to make sure that any restrictions in the file have been followed	

Comments	Disposal schedule is implemented as needed to indicate disposal actions during retention. Disposal schedule actions are generally determined by usage, access control, physical storage etc. requirements and splitting retention into multiple stages or actions allows to improve the efficiency of the information system managing the active collection of records.

Number	19	
Name	**Mandate**	
Tag	LiigitusyksusVolitus / ClassificationUnitMandate	
Definition	Description of function or if needed another mandate that the classification unit is based on	
Purpose	Associating the classification unit with a specific mandate	
Level	Function, other classification units if needed	
Obligation	O (M, if the organisation is an archive creator)	
Repeatability	Yes	
Qualifiers	Number	19.1
	Name	**Mandate type**
	Tag	VolitusTyyp / MandateType
	Definition	Identifies the type of the mandate being described
	Obligation	O
	Repeatability	No
	Encoding system	Using universal classification is recommended
	Data type	Text
	Creation	Manual, automatic
	Number	19.2
	Name	**Mandate name**
	Tag	VolitusNimetus / MandateName
	Definition	The name indicates the name or reference to the record containing the mandate
	Obligation	O
	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Manual
	Number	19.3
	Name	**Mandate reference**
	Tag	VolitusViide / MandateReference
	Definition	Reference to an act or legislation establishing the competency or duty of the organisation
	Obligation	O
	Repeatability	No
	Encoding system	URL, IEE RFC 1738
	Data type	Text
	Creation	Automatic, manual
	Number	19.4

	Name	**Mandate description**
	Tag	VolitusKirjeldus / MandateDescription
	Definition	Free text description of the nature or characteristics of the mandates
	Obligation	O
	Repeatability	No
	Encoding system	-
	Data type	Text
	Creation	Manual
Examples	Mandate type – internal legislation Mandate name – Organisation statutes Mandate reference – http://www.asutus.ee/docs/pdf/pm/AmetiPohimaarus.pdf Mandate description – Basis for restricting access to records containing sensitive personal data	
Comments	Mandate name can be the basis for compiling queries to search for the standard the organisation function is based on. Mandate reference is used to refer to materials located online § 6 (4) p 2 of *"Arhiivieeskiri"* (Archival Rules) requires the archive creator to include a reference to a mandate for at least any main functions: "(4) Archive creator classification scheme has to include the following in main functions: 2) the mandate for performing the function, i.e. a reference to the legislative act(s);"	

12. Metadata for Records

Metadata for records have two purposes:

1) They describe the record as a static object and its contents, making it possible to find the record through a search.
2) They describe administrative tasks that are performed on the record during its lifecycle, thereby capturing the context of the record.

In addition to fully qualified classification codes used in administration, the relationship of a record with a file and other classification units is also indicated as a direct element referring to a classification unit (see element 23 Record parent classification unit). The record itself can consist of one or multiple components (see chapter 13 Component (computer file) metadata). Appendices, extracts and other parts related to the record are associated with the record through relationship metadata (see chapter 18 Relationship metadata) and marked in element 34 Record enclosures, if needed.

Capturing important events related to record management and administration is solved through the date element and its qualifiers. If needed, an organisation can also include additional qualifiers in order to document its administrative tasks in greater detail. In addition to the metadata elements listed here, type-specific metadata are also used for different records (e.g. letter reply date; contract end date; letter of authority validity period, etc); those should be defined and used in accordance with the Ministry of Economic Affairs and Communications *Guidelines for developing an XML data description of a record type*.

The primary purpose of elements 24 Record processing stage and 25 Record status in processing stage is the disclosure (e.g. in a public registry of records) of harmonised notifications regarding record processing progress within the agency. Until a common classification has been created, it is recommended to use general language names for administration procedures, based on the record (e.g. transferred to NN office for approval), not on employee duties (e.g. transferred to public relations manager).

The set also includes element 33 Record external context, which supports records exchange via DEC and stores additional record context.

For function, series and file/case file level metadata, the "inheritance principle" has to be considered when implementing record metadada (see also chapter 11). If record metadata values differ from the higher level metadata in the classification scheme hierarchy, these elements have to be indicated separately in the record metadata and they must be assigned new values (e.g. if the retention period or access restriction of a record is different from that of the series, etc.).

Record metadata consist of the following elements and their qualifiers:

III. Record

20. Record GUID
21. Record type
22. Record original identifier
23. Record parent classification unit
24. Record processing stage
25. Record status in processing stage
26. Record title
27. Record abstract
28. Record keyword
    28.1 Thesaurus

29. Record language
30. Record date
    30.1 Record creation date
    30.2 Record registration date
    30.3 Record disposal date
    30.4 Record receiving date
    30.5 Record sending date
    30.6 Record compliance due date
    30.7 Record delivery date
31. Record location
32. Record media format
33. Record external context
    33.1 Record external party
    33.2 Record external party role
    33.3 Record original identifier at external party
    33.4 Record ID at external party
    33.5 Record date at external party
    33.6 Record exchange method
    33.7 Message
34. Record enclosures

Number	20
Name	**Record GUID**
Tag	dokumentGuid / recordGuid
Definition	The unique identifier of the record
Purpose	To enable unique and non-ambiguous references to the record
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	21
Name	**Record type**
Tag	DokumentLiik / RecordType
Definition	The name of the record type
Purpose	Allows finding and reusing records of a specific type. Provides additional information about the purpose of using the record
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Manual, automatic
Examples	Directive Contract Memo Letter

Comments	Many record types (directives, contracts, etc.) are used for a similar purpose in organisations; therefore a single classification can be used for most of the more common record types. Organisations can expand this with their own specific record types or sub-types Record type data descriptions as well as the type-based metadata set are managed by the central XML repository in RIHA (https://riha.eesti.ee/riha/main) A national classification should be used if possible; if this does not exist, an internal classification should be created and applied

Number	22
Name	**Record original identifier**
Tag	DokumentViit / RecordOriginalIdentifier
Definition	Classification code assigned to a record upon registering; this code points to the location of the record in the records system
Purpose	Determines the connections of the record with other records and organisation functions and creates proof of the existence of those connections. Allows creating references between related records and classification units
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Organisation administrative procedures
Creation	Automatic
Examples	12-5.2/85
Comments	The original identifier (fully qualified classification code) of the record can be created based on the original identifier of an automatically calculated classification unit and the record serial number The original identifier of the record should be used in its full or complete state regardless of context (e.g. “1-6.1/30-3”, not “3” or “30-3”)

Number	23
Name	**Record parent classification unit**
Tag	DokumentLiigitusyksus / RecordClassificationUnit
Definition	Reference to classification unit that the record belongs to
Purpose	Associating a classification unit with the record
Obligation	O
Repeatability	Yes
Data type	Reference
Encoding system	GUID
Creation	Automatic
Examples	25892e17-80f6-415f-9c65-7395632f0223

Comments	Although the relationship between the record and the classification unit has to be presented also as a dependency of the relationships block, sometimes it may be advisable to note down the record classification unit directly in the record metadata. This will primarily mean extra insurance for retaining the integrity of the records system on bulk export and import of classification units (e.g. when changing the ERMS). Referencing the classification unit also simplifies the daily work of the person working with the record Although the unique identifier of the classification unit is used as the record classification unit reference, the fully qualified classification code (original identifier) and title of the classification unit, not the identifier, is displayed to the person working with the record

Number	24
Name	**Record processing stage**
Tag	DokumentEtapp / RecordStage
Definition	The stage of record processing in internal or cross-organisation administration
Purpose	Facilitates tracking the processing stage of the record and informing related parties
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	Compiling Proceedings Approval in Rescue Board Proceedings in Riigikogu
Comments	The record processing stage allows tracking the (administrative) processes related to proceedings within the records management system as well as informing any external party associated with the record about the state of the cross-organisation proceedings Actions taken during the internal record stages can be automated with workflows A national classification should be used if possible; if this does not exist, an internal classification should be created and applied

Number	25
Name	**Record status in processing stage**
Tag	DokumentStaatus / RecordStatus
Definition	In-stage status during record proceedings
Purpose	Facilitates tracking the processing stage of the record and informing related parties
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	Submitted Data checked Approved with notes Submitted to 1st reading

Comments	The record processing stage allows tracking the (administrative) processes related to proceedings within the records management system as well as informing any external party associated with the record about the main states of internal proceedings State change can be used as an automatic trigger for the next workflow activity A national classification should be used if possible; if this does not exist, an internal classification should be created and applied

Number	26
Name	**Record title**
Tag	DokumentPealkiri / RecordTitle
Definition	A name appropriate for the contents of the record
Purpose	Facilitating understanding the record contents, differentiating it from other records and simplifying finding the record
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	Approving the organisation work plan for 2014 Establishment of the national contact point for the “People’s Europe” program starting from 2013 Changes in the holiday time of the employee
Comments	Record title is set by the person creating the record. It should be noted that in some cases the official title of a record may differ from the title presented in the public records register. In such cases, the organisation may find it advisable to extend the title element in ERMS, differentiating between the full title and title presented online.

Number	27
Name	**Record abstract**
Tag	DokumentLyhisisu / RecordAbstract
Definition	Short free text summary of the contents of the record
Purpose	Expands the meaning of the Title element. Facilitates searching
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	The record contains an overview of the organisation’s main activities in 2014 The employee is granted 24 calendar days of annual leave for 2013 from 2 January to 25 January 2014 instead of from 27 December 2013 to 4 January 2014 as noted in the leave schedule
Comments	May contain an extract of a text document or summary of the contents, or the textual description of a non-text document

Number	28
Name	**Record keyword**
Tag	DokumentMarksona / RecordKeywords

Definition	Word or phrase characterising the contents of the record	
Purpose	Facilitates finding and using the record, enables classification of records by keywords	
Obligation	O	
Repeatability	Yes	
Qualifier	Number	28.1
	Name	**Thesaurus**
	Tag	dokumentTesaurus / recordThesaurus
	Definition	Thesaurus used for assigning keywords to the record
	Obligation	O
	Repeatability	No
	Data type	Reference
	Encoding system	-
	Creation	Automatic
Examples	Keyword – human resources management: recruiting, training, salaries Tesaurus – University of Tartu Estonian thesaurus: http://www.keelevara.ee/teosed/Teksaurus/	
Comments	If keywords are used to describe a record and a thesaurus is used for assigning keywords, it needs to be referred to, in order to ensure the semantic interoperability of records management metadata	

Number	29
Name	**Record language**
Tag	DokumentKeel / RecordLanguage
Definition	The language in which the record contents are presented
Purpose	Allows finding and identifying records in other languages
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	EVS 8
Creation	Automatic, manual
Examples	de (German)
Comments	Estonian can be used as the element default value in applications. Language names should be presented to the users of the information system in accordance with the language dictionary (e.g. “eesti keel” (Estonian), “inglise keel” (English), “prantsuse keel” (French), etc.)

Number	30
Name	**Record date**
Tag	DokumentKuupaev / RecordDate
Definition	Date of the main records management actions taken on the record
Purpose	Proof of action taken on the record. Facilitates finding and using the record
Obligation	M
Repeatability	Yes
Data type	Date
Encoding system	EVS 8 ISO 8601

	Number	30.1
	Name	**Record creation date**
	Tag	DokumentKuupaevLoomine / RecordDateCreated
	Definition	Date and time when the record was first entered in the system
	Obligation	M
	Repeatability	No
	Creation	Automatic
	Number	30.2
	Name	**Record registration date**
	Tag	DokumentKuupaevRegistreerimine / RecordDateRegistered
	Definition	Date and time when the record was registered in the system
	Obligation	M
	Repeatability	No
	Creation	Automatic
	Number	30.3
	Name	**Record disposal date**
	Tag	DokumentKuupaevEraldamine / RecordDateDisposed
	Definition	Date and time when the record was disposed from the system
	Obligation	O
	Repeatability	No
	Creation	Automatic
	Number	30.4
	Name	**Record receiving date**
	Tag	DokumentKuupaevSaamine / RecordDateReceived
	Definition	Date and time of receiving the record from outside the organisation Note. This should not be confused with element qualifier 30.7 Record delivery date!
	Obligation	O
	Repeatability	No
	Creation	Automatic
	Number	30.5
	Name	**Record sending date**
	Tag	DokumentKuupaevSaatmine / RecordDateSent
	Definition	Date and time of sending the record (to another organisation)
	Obligation	O
	Repeatability	No
	Creation	Automatic
	Number	30.6
	Name	**Record compliance due date**
	Tag	DokumentTahtaegTaitmine / RecordDueDate
	Definition	Due date of completing the task accompanying the record
	Obligation	O
	Repeatability	No

	Creation	Automatic
	Number	30.7
	Name	**Record delivery date**
	Tag	DokumentKuupaevVastuvotmine / RecordDateRecievedAtRecipient
	Definition	The date the sent record was received in the recipient's system Note. This should not be confused with element qualifier 30.4 Record receiving date
	Obligation	O
	Repeatability	No
	Creation	Automatic
Examples	02.10.2012, 15:05:23	
Comments	If needed, other dates can be included in the metadata as well, e.g. record version creation date, etc. Note. Element qualifiers 30.4 Record receiving date and 30.7 Record delivery date indicate respectively the following: • The date the record was received from another organisation. • The date the record sent by your organisation was received in the recipient organisation. The record reception date is entered automatically only if the record has been submitted via DEC	

Number	31
Name	**Record location**
Tag	DokumentAsukoht / RecordLocation
Definition	Physical location of the record (if different from physical location of the file)
Purpose	Tracking the location of records that the organisation is responsible for
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Organisation administrative procedures, list of classification units
Creation	Automatic, manual
Examples	Development office adviser Pilli St. 12 archive room
Comments	The element is used only for paper records and if the location of the record differs from the location of the file The element is mainly used to indicate change in the temporary location of the record (e.g. lending the record, allowing temporary use, etc.) Record location can change during the record's life cycle (e.g. when disposed to an archive), but at any given moment, one (paper) record has only one physical location

Number	32
Name	**Record media format**
Tag	DokumentSalvestusTyyp / RecordMediaFormat
Definition	Record media format
Purpose	Differentiating between various record media
Obligation	O

Repeatability	Yes
Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	Paper Digital Hybrid Duplicated
Comments	An organisation can make this element mandatory if differentiating between record media formats is needed and useful (e.g. when storing the same record on various types of media). Indicating the media type is important in particular in organisations with a significant number of hybrid files or records (some records or their parts are in paper format, others in digital format) or if the contents of records are duplicated both on paper and digitally It is recommended that organisations create their own custom classification with e.g. the following values: • Paper – the record exists only in paper format. • Digital – the record exists only in digital format. • Hybrid – some record components are digital, others in paper format. • Duplicated – the entire record exists both on paper and in digital format. For duplicated records, the organisation can also indicate the type of the original component, e.g. “Duplicated: on paper and digitised”

Number	33	
Name	**Record external context**	
Tag	DokumentValineKontekst / RecordExternalContext	
Definition	Description of the external parties and relationship of the record or its contents	
Purpose	Associating the record or its contents with external parties	
Obligation	O	
Repeatability	Yes	
Qualifiers	Number	33.1
	Name	**Record external party**
	Tag	DokumentValineOsapool / RecordExternalParty
	Definition	External party (person or organisation) associated with the record
	Obligation	M (if the record has an external party)
	Repeatability	No
	Data type	Text, reference (to the description of the person or organisation)
	Encoding system	-
	Creation	Automatic, manual
	Number	33.2
	Name	**Record external party role**
	Tag	DokumentValineOsapoolRoll / RecordPartyRole
	Definition	Role of the external party related to the record in the relationship
	Obligation	M (if the record has an external party)
	Repeatability	No
	Data type	Text

	Encoding system	-
	Creation	Automatic, manual
	Number	33.3
	Name	**Record original identifier at external party**
	Tag	DokumentValineOsapoolSeosviit / OriginalIdentifier
	Definition	The fully qualified classification code (identifier) of the record in the related party's system
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic, manual
	Number	33.4
	Name	**Record ID at external party**
	Tag	DokumentValineOsapoolDokId / RecordIdAtExternalParty
	Definition	Record ID in the related party's system
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic
	Number	33.5
	Name	**Record date at external party**
	Tag	DokumentValineOsapoolDokKuupaev / RecordPartyDate
	Definition	The date of the record in the related party's system
	Obligation	O
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Automatic, manual
	Number	33.6
	Name	**Record exchange method**
	Tag	DokumentEdastamineViis / RecordExchangeMethod
	Definition	Method of sending the record to an external party or receiving it from an external party
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	Classification
	Creation	Automatic, manual
	Number	33.7
	Name	**Message**
	Tag	Sonum / Message

	Definition	Message or comment sent together with the record
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic, manual
Examples	Example 1 (received record): Record external party – Ministry of Finance Record external party role – Record sender Original identifier – 2-3.1-23 Related party ID – ID:97fad6385ffaacd63b54683fab33 Related party date – 13.06.2012 Record exchange method – DEC Message – Please note that sensitive personal data is included in appendix 3 Example 2 (contract): Record external party – Private limited company “Kirp ja kägu” Record external party role – Contracting party Original identifier – 2/12 Related party ID – ID:52fad6385ffaacd63b54683aksh1 Related party date – 17.10.2012 Record exchange method – Post Message – Contract for signing	
Comments	One record can be associated with more than one party (e.g. if the record has been sent to all organisations in the area, if there are more than two contracting parties, etc.) Although the Record external context element is primarily meant for records exchanged with other organisations, the concept of “context” is not narrowly defined and an organisation may use the element also for a more general description of parties related to the record. If the record is being sent or received (i.e. the context concerning record sender or recipient is described), many of these elements can be populated automatically with the descriptions included in the DEC container. The element mostly includes element qualifiers needed for interoperability and data exchange. In practice the organisation may use additional, mostly type-based, description elements or qualifiers to describe record external parties and the corresponding relationships. If the record is officially registered at the related party and has a fully qualified classification code assigned to it, original identifier should be used instead of the system ID. If the related party is an international organisation or private person (i.e. the record does not have an original identifier), a system ID should be used if possible (e.g. when using ADIT). Qualifier 33.1. Qualifiers 33.3–33.7 are generally populated automatically for received records, using metadata contained in the DEC container. For qualifier 33.6, national classification should be used if possible; if this does not exist, internal classification should be created and applied. Qualifier 33.7 is similar to a “cover letter” in the body of an e-mail when a record is sent by e-mail and can be used e.g. in DEC data exchange.	

Number	34
Name	**Record enclosures**
Tag	Lisad / Enclosures
Definition	List of record enclosures

Purpose	Ensuring the integrity of the record
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	-
Creation	Automatic, manual
Examples	Enclosure 1: Statistics report
Comments	The element lists any enclosures belonging to the record For digital records, it is also necessary to use the relationships block to describe the relationship between the record and its components (computer files)

13. Component (Computer File) Metadata

The relationship between a record and its components – computer files – is not always one-to-one: many created records consist of a single computer file, while there are also more and more records consisting of multiple computer files. At the same time, there are also computer files that may contain multiple records (e.g. spreadsheet files, databases, etc.). A single electronic record may be present in one information system in multiple file formats and under different names. Thus ensuring the integrity of the relationship between the record and its component files and the management of that relationship (which also includes managing computer file metadata) is an important function of a records management system.

Metadata that are needed to describe a computer file are technical by nature, and element values can be created automatically if the information systems are configured to allow that. Computer file metadata do not need to be permanently displayed to the users of the information system, but it must be possible to export the metadata from the information system together with the record, and the information system administrator must be able to use them for performing any required management activities while managing the organisation's collection of records as a whole.

Computer file metadata consist of the following elements and their qualifiers:

IV. Component

35. Component GUID
36. Component name
37. File format
    37.1 File format name
    37.2 File format version
38. Component size
39. Fixity
    39.1 Value
    39.2 Algorithm
    39.3 Creation date
40. Software
    40.1 Software name
    40.2 Software version
41. Encoding
42. Creation purpose

Number	35
Name	**Component GUID**
Tag	failGuid / fileGuid
Definition	The unique identifier of the component (computer file)
Purpose	To enable unique and non-ambiguous references to the component
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	36
Name	**Component name**
Tag	FailNimi / FileName
Definition	The name of the computer file forming the record or its component
Purpose	Ensuring the integrity of the record, identifying the component
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Automatic, manual
Examples	Record_exchange_metadata_version_2.7.rtf
Comments	The organisation may have a set of rules determining the name of the component; including the component name in the metadata makes it possible to check if these rules have been followed

Number	37	
Name	**File format**	
Tag	FailVorming / FileFormat	
Definition	The format of the computer file forming the record or its component	
Purpose	Ensuring the usability and retention of the record	
Obligation	M	
Repeatability	No	
Qualifier	Number	37.1
	Name	**File format name**
	Tag	FailVormingNimetus / FileFormatName
	Definition	Full-length name of the file format
	Obligation	M
	Repeatability	No
	Data type	Text
	Encoding system	
	Creation	Automatic
	Number	37.2
	Name	**File format version**
	Tag	FailVormingVersioon / FileFormatVersion
	Definition	File format version number
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic
Examples	File format – Rich Text Format File format version – version 1.9.1	

Comments	It is recommended to include the full-length / complete name of the file format. If possible, names should be used in accordance with an existing file format register (e.g. Pronom – http://www.nationalarchives.gov.uk/pronom/). In order to identify the file format (and version), tools should be used which use information included in the computer file (the so-called *internal signature*) in addition to the file extension if possible

Number	38
Name	**Component size**
Tag	FailSuurus / FileSize
Definition	The size of the computer file forming the record or its component
Purpose	Ensuring the integrity of the record and allowing management of records repository
Obligation	O
Repeatability	No
Data type	Number
Encoding system	-
Creation	Automatic
Examples	468,256 KB
Comments	-

Number	39	
Name	**Fixity**	
Tag	Pysivus / Fixity	
Definition	Component (computer file) hash value	
Purpose	Checking the authenticity of the computer file	
Obligation	M	
Repeatability	No	
Qualifiers	Number	39.1
	Name	**Value**
	Tag	PysivusVaartus / FixityValue
	Definition	A value that enables checking the fixity of the file based on an algorithm (checksum)
	Obligation	M
	Repeatability	No
	Data type	Text
	Encoding system	Depending on the algorithm
	Creation	Automatic
	Number	39.2
	Name	**Algorithm**
	Tag	PysivusAlgoritm / FixityAlgoritm
	Definition	Algorithm used to create and check the checksum
	Obligation	M
	Repeatability	No
	Data type	Text
	Encoding system	-

	Creation	Automatic
	Number	39.3
	Name	**Creation date**
	Tag	PysivusRasiKuupaev / FixityDate
	Definition	Date and time when the checksum was created
	Obligation	M
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Automatic
Examples	Value – 3500\dat@0@858166912@858166912@D@NOCRC Algorithm – SHA-1; MD5; RSA-MD4-DES Creation date – 13.10.2006, 12:32:00	
Comments	-	

Number	40	
Name	**Software**	
Tag	Tarkvara / SoftwareDependencies	
Definition	The name of the software required for using the computer file forming the record or its component	
Purpose	Ensuring the usability and retention of the record	
Obligation	O	
Repeatability	Yes	
Qualifier	Number	40.1
	Name	**Software name**
	Tag	TarkvaraNimetus / SoftwareName
	Definition	Official name of the software product
	Obligation	M (If the element is used)
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic
	Number	40.2
	Name	**Software version**
	Tag	TarkvaraVersioon / SoftwareVersion
	Definition	Software version number or name
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic
Examples	Software name – SAGA-GIS Software version – 2.0.3	

Comments	Using the element is recommended only if the tool used to identify the file format can fill it in automatically Alternatively, the element can be filled in manually if: • Opening the file correctly requires using a specific software program or version. • The file is in an unusual format not familiar to regular users. Writing out the full name and version number of the software in the element is recommended

Number	41
Name	**Encoding**
Tag	Kodeering / EncodingScheme
Definition	Encoding or character set used in the computer file
Purpose	Ensuring the usability and retention of the computer file Required for presenting a text file in the character set it was created in
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Automatic
Examples	Unicode ISO 859-1 Windows 1258
Comments	-

Number	42
Name	**Creation purpose**
Tag	EesmarkKasutus / Purpose
Definition	List of main purposes of using the computer file
Purpose	Differentiating between computer files belonging to the same record and containing identical or similar contents
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	For publication Original For archival

Comments	The element should be used in circumstances where multiple different computer files per record have been created. Example: the source record is in .doc format, personally identifiable data has been removed from it and the record has been converted into .pdf format, and for long-term storage, the file has been converted into PDF/A format. The purpose of having multiple different files of the same record is to allow presenting the record in different ways depending on the intended usage; these computer files can be stored in the ERMS concurrently. It should be noted that the contents of the record may also be presented as multiple different computer files (e.g. directive_87_2012.rtf, directive_87_2012_appendix_4.xls, etc.). Thus there is a many-to-many relationship: one record may contain multiple computer files with the same usage purpose, and one record can be assigned multiple usage purposes. A national classification should be used if possible; if this does not exist, an internal classification should be created and applied.

14. *Metadata about access*

Public access to an organisation's records and sets of records is regulated based on relevant legislation and in accordance with the accepted (administrative) procedures. Metadata about access are primarily used for informing the public about the basis, nature and time of change or cancellation of access restrictions. This metadata group is not sufficient for managing user group access restrictions within an information system or item access restrictions within an organisation; this should be handled with tools offered by the information system (see also ISO 23081-1 chapter 9.2.3.2 Accessibility metadata at point of record capture, and chapter 9.2.3.3 Process metadata supporting accessibility after record capture).

Access metadata element composition has been approved by the Data Protection Inspectorate and complies with the requirements of national legislation valid as of autumn 2012. The set of acceptable values for element 44 Access rights code ("Avalik" or "AK", i.e. Public or Restricted) and the requirement to use element 45 Access restriction for the "AK" code support adding access restriction information to records exchanged through DEC.

Metadata describing public access to records, options for using records, and any usage restrictions are needed primarily in the active stage of the record's life cycle. Most usage restrictions set by legislation are valid for a specific term, but some restrictions may be valid for longer. Therefore it is important that metadata about access can be exported from the information system together with the records or record sets.

A rare special case of usage rights concerns records under intellectual property (copyright) protection. A similar category (in some cases, identical) is formed by records containing information related to business secrets, industrial property, etc.

Access metadata consist of the following elements and their qualifiers:

V. Access

43. Access conditions GUID
44. Access conditions code
45. Access restriction
    - 45.1 Restriction GUID
    - 45.2 Restriction start date
    - 45.3 Restriction end due date
    - 45.4 Restriction length
    - 45.5 Restriction authorisation
    - 45.6 Restriction end event
    - 45.7 Restriction invalid since
    - 45.8 Information owner
46. Intellectual property
    - 46.1 Intellectual property rights restriction code
    - 46.2 Intellectual property rights restriction end date
    - 46.3 Intellectual property owner
47. No copying allowed

Number	43
Name	**Access conditions GUID**
Tag	juurdepaasTingimusGuid / accessConditionsGuid
Definition	The unique identifier of access rights
Purpose	To enable unique and non-ambiguous references to access restriction description and intellectual property rights restriction code
Obligation	M

Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	44
Name	**Access conditions code**
Tag	JuurdepaasTingimusMarge / AccessConditionsCode
Definition	Description of access rights/conditions assigned to a series, file/case file or record
Purpose	Authorised use of the record and protection of record contents
Level	Series, file/case file, record
Obligation	M
Repeatability	No
Data type	Text
Encoding system	List of possible values: Avalik (Public), AK (Restricted); on a series or file/case file level also: “May contain AK records”
Creation	Automatic, manual
Examples	AK
Comments	A national classification should be used if possible; if this does not exist, an internal classification should be created and applied. Record metadata field is filled in automatically if the record arrives through the record exchange centre (DEC)

Number	45	
Name	**Access restriction**	
Tag	JuurdepaasPiirang / AccessRestriction	
Definition	Description of access restrictions applied to a series, file/case file or record	
Purpose	Authorised use of the record and protection of record contents	
Level	Series, file/case file, record	
Obligation	O (M if Access rights code is not “public”)	
Repeatability	Yes	
Qualifiers	Number	45.1
	Name	**Restriction GUID**
	Tag	piirangIdentifikaator / restrictionGuid
	Definition	The unique identifier of an access restriction
	Level	Series, file/case file, record
	Obligation	M (if Access conditions code is not “public”)
	Repeatability	No
	Data type	Identifier
	Encoding system	GUID
	Creation	Automatic
	Number	45.2
	Name	**Restriction start date**

	Tag	PiirangAlgus / RestrictionBeginDate
	Definition	Date of access restriction code note (code preparation date)
	Level	File/case file, record
	Obligation	M (if Access conditions code is not “public”)
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Automatic
	Number	45.3
	Name	**Restriction end due date**
	Tag	PiirangLopptahtaeg / RestrictionEndDate
	Definition	Latest possible date and time for the restriction to end
	Level	File/case file, record
	Obligation	M (if Access conditions code is not “public”)
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Automatic, manual (if latest possible end date is filled in automatically and there is a need to shorten it manually, e.g. restrictions set on a draft etc.)
	Number	45.4
	Name	**Restriction length**
	Tag	PiirangKestus / RestrictionLength
	Definition	Access restriction duration in years or months
	Level	File/case file, record
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic
	Number	45.5
	Name	**Restriction authorisation**
	Tag	**PiirangAlus / RestrictionAuthorisation**
	Definition	Legislation or another reason for the restriction
	Level	Series, file/case file, record
	Obligation	M (if Access conditions code is not “public”)
	Repeatability	Yes
	Data type	Text
	Encoding system	Classification
	Creation	Automatic, manual
	Number	45.6
	Name	**Restriction end event**
	Tag	PiirangLoppSyndmus / RestrictionEndEvent

	Definition	Trigger event ending the restriction before the latest possible end date
	Level	File/case file, record
	Obligation	O
	Repeatability	No
	Data type	Text
	Encoding system	Classification
	Creation	Automatic, manual
	Number	45.7
	Name	**Restriction invalid since**
	Tag	**PiirangKehtetuAlates / RestrictionInvalidSince**
	Definition	Record access restriction end date
	Level	File/case file, record
	Obligation	O (M after restriction ends if Access conditions code is not “public”)
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Automatic, manual
	Number	45.8
	Name	**Information owner**
	Tag	**Teabevaldaja / InformationOwner**
	Definition	Name of the organisation that first established the access restriction
	Level	Record
	Obligation	M (if Access condition code is not “public”)
	Repeatability	No
	Data type	Text
	Encoding system	-
	Creation	Automatic, manual
Examples	Restriction start – 13.10.2010 Restriction end date – 13.10.2015 Restriction duration – 5 years Restriction authorisation – Public Information Act, § 35, subsection 10 Restriction end event – Director general’s ruling/decision in directive # 112 (10.12.2012) Restriction invalid since – 12.12.2012 Information owner – NN office	

Comments	If the record has multiple restrictions assigned for different reasons, a separate access restriction element should be created for every basis or authorisation – different authorisations often also mean different end dates. Using multiple elements simplifies the work of the person working with information requirements. Even extending the duration of the restriction means reviewing the record and setting a new restriction (the authorisation may differ from the previous one). Until the necessary technical solutions have been created, a solution where one restriction has multiple authorisations and a single (latest possible) end date is also acceptable Restriction start usually matches the record registration date. Restriction end date indicates the longest possible period for the duration of the restriction, i.e. this is the date until which the restriction is in effect if it is not ended prematurely In some cases the duration and end date of the restriction can be calculated automatically based on the definition of the authorisation of the restriction A national classification should be used for assigning restrictions if possible; if this does not exist, an internal classification should be created and applied

Number	46	
Name	**Intellectual property**	
Tag	Intellektuaalomand / IntellectualPropertyRights	
Definition	Intellectual property rights for record contents	
Purpose	Information regarding whether intellectual property legislation and restrictions based on it are applied to the record or not	
Level	Record	
Obligation	O	
Repeatability	No	
Qualifiers	Number	46.1
	Name	**Intellectual property rights restriction code**
	Tag	IntellektuaalomandiMarge / IprRestrictionCode
	Definition	Information regarding the necessity of intellectual property rights
	Obligation	O
	Repeatability	No
	Data type	Yes / No
	Encoding system	-
	Creation	Manual
	Number	46.2
	Name	**Intellectual property rights restriction end date**
	Tag	IntellektuaalomandiTahtaeg / IprEndDate
	Definition	End date of intellectual property rights restriction
	Obligation	M (If the record is intellectual property)
	Repeatability	No
	Data type	Date
	Encoding system	EVS 8 ISO 8601
	Creation	Manual
	Number	46.3
	Name	**Intellectual property owner**
	Tag	IntellektuaalomandiOmanik / IprOwner

	Definition	The name of the owner of the intellectual property or a reference to the description of the owner
	Obligation	M (If the record is intellectual property)
	Repeatability	No
	Data type	Text / Reference
	Encoding system	-
	Creation	Manual
Examples	Intellectual property rights restriction code – Yes Intellectual property rights restriction end date – 13.10.2055 Intellectual property owner – NN office	
Comments	Intellectual property description generally includes record access conditions. It is usually not necessary to describe these conditions in their entirety in the metadata; it is enough to refer to the relevant legislation	

Number	47
Name	**No copying allowed**
Tag	ReprodutseerimineKeelatud / NoCopyingAllowed
Definition	Note about prohibiting the reproduction of the contents of the record
Purpose	Information about the possibility of making copies of the record
Level	Record
Obligation	O
Repeatability	No
Creation	Manual
Encoding system	Yes / No
Examples	No
Comments	-

15. Metadata about organisations and persons

These metadata describe the legal persons (organisations), their (structural) units and natural persons participating in the creation, management, using and exchange of records. Persons participate via processes (see chapter 17 Metadata about processes) in working with records and thus form an integral part of the context of the records.

The choice of elements is based on the principle of minimum description. Organisations may opt to use additional elements. The entire metadata element set describing persons is repeatable, i.e. description elements required for describing both the organisation and the person may be added to a single record.

Organisation and person metadata consist of the following elements:

VI. Legal or natural person

48. Person GUID
49. Person name
50. Person type
51. Organisation registry code
52. Personal identification code
53. Legal status
54. Position title

Number	48
Name	**Person GUID**
Tag	isikGuid / personGuid
Definition	The unique identifier of the unit, legal/juridical person or natural person description
Purpose	To enable unique and non-ambiguous references to the description of the person
Level	Legal person, natural person, unit
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	49
Name	**Person name**
Tag	IsikNimi / PersonName
Definition	Official name of the unit, legal/juridical person or natural person
Purpose	Identifying the person and differentiating the person from other persons
Level	Legal person, natural person, unit
Obligation	M
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual

Examples	The Government Office Mari Maasikas
Comments	-

Number	50
Name	**Person type**
Tag	IsikTyyp / PersonType
Definition	Type of unit or person being described
Purpose	Differentiating between different types of persons or groups
Level	Legal person, natural person, unit
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Manual
Examples	Legal person Natural person Structural unit Workgroup
Comments	A national classification should be used if possible; if this does not exist, an internal classification should be created and applied

Number	51
Name	**Organisation registry code**
Tag	OrganisatsioonRegistrikood / OrganisationCode
Definition	Agency code / registry code of a legal/juridical person
Purpose	To enable identifying a legal person transnationally
Level	Legal person
Obligation	O (M, if the person is a legal person in Estonia)
Repeatability	No
Data type	Text
Encoding system	-
Creation	Automatic, manual
Examples	70008747
Comments	-

Number	52
Name	**Personal identification code**
Tag	Isikukood / PersonalIdentificationCode
Definition	Personal identification code (or social security number) of a natural person
Purpose	Using the personal identification code to identify a natural person
Level	Natural person
Obligation	O
Repeatability	No
Data type	Number

Encoding system	EVS 585; personal identification code / social security number standards of other countries if needed
Creation	Automatic
Examples	36503236528
Comments	-

Number	53
Name	**Legal status**
Tag	OiguslikStaatus / LegalStatus
Definition	Legal status of a legal person
Purpose	Identifying the legal status of a legal person
Level	Legal person
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	Public department managed by a government authority Private limited company
Comments	Classification is created in accordance with the Statistical Office state register of state and local government agencies

Number	54
Name	**Position title**
Tag	Ametinimetus / PositionTitle
Definition	Name of the position of the natural person
Purpose	Classifying the job position of a natural person
Level	Natural person
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Set of an organisation’s job titles/positions
Creation	Automatic, manual
Examples	Chief specialist
Comments	Job titles used in an organisation should be entered during the initial setup of the records management information system. One position can have only one job title, although there may be multiple employees with the same job title in the organisation If it is necessary to note the job title (position title) in the description of an external person, it can also be done manually

16. Address metadata

The address differs from the rest of the modules in the metadata set by the simplicity of its technical realisation.

When implementing metadata about the address, the classification of Estonian administrative units and settlements[3] and the national place names register[4] should be taken into account. The listed metadata elements are based on the Spatial Data Act[5] and the regulation of the Government of the Republic on the Address Data System (see also ADS[6]), with a separate element added for the postal code.

Address metadata consist of the following elements:

VII. Address and contact data

55. Country
56. County
57. Local government
58. Settlement or administrative unit
59. Small place
60. Land unit
61. Traffic area
62. House number
63. Part of building number
64. Postal code
65. Phone number
66. Fax number
67. E-mail address
68. Web page
69. Messaging address

Number	55
Name	**Country**
Tag	Riik / Country
Definition	The name of the country of the address object
Purpose	Facilitating cross-border records exchange and using registry and personal codes of other countries
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual, automatic
Examples	Finland
Comments	It is advisable to follow the rules of the postal service provider when using the element

Number	56

[3] See https://riha.eesti.ee/riha/main/kla/eesti_haldus-_ja_asustusjaotuse_klassifikaator_2012v2_ver2
[4] See http://xgis.maaamet.ee/knravalik/
[5] Spatial Data Act is the national law transposing the European INSPIRE Directive. For further information on INSPIRE see http://inspire.jrc.ec.europa.eu/
[6] http://ads.maaamet.ee/

Name	**County**
Tag	Maakond / County
Definition	The name of the county
Purpose	Identifying the county part of an address
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Classification of Estonian administrative units and settlements (EHAK)
Creation	Manual
Examples	Põlva county
Comments	It is recommended to associate EHAK with the records management system dynamically via ADS, which allows constant synchronisation, or to enter it during the ERMS system set-up

Number	57
Name	**Local government**
Tag	Omavalitsusyksus / LocalGovernment
Definition	The name of the local government (municipality, self-governing city)
Purpose	Identifying the local government
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Classification of Estonian administrative units and settlements
Creation	Manual
Examples	Tähtvere rural municipality Valga city
Comments	-

Number	58
Name	**Settlement or city district**
Tag	Haldusyksus / Settlement
Definition	The name of the settlement or city district
Purpose	Identifying a settlement or city district
Obligation	O
Repeatability	No
Data type	Text
Encoding system	Classification of Estonian administrative units and settlements
Creation	Manual
Examples	Kohtla-Nõmme town Tsirguliina small town Karja village Nõmme city district
Comments	-

Number	59
Name	**Small place**
Tag	Vaikekoht / SmallPlace
Definition	A site that is smaller than a settlement
Purpose	Identifying a site that is smaller than a settlement, the name of which is used in the address of other address objects
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	Kaunismaa small place Porgandi AÜ Metsapiiga cottage association Smuuli GÜ
Comments	All words identifying the type of a small place are written out, with the exception of “gardening association” (“aiandusühistu”), “cottage association” (“suvilaühistu”) and “garage association” (“garaažiühistu”), in which case using upper case abbreviations without a full stop (“AÜ”, “SÜ”, “GÜ”) is allowed A combination of the elements Small place, House number and Part of building number is used to note the small place, house number and apartment number in an address

Number	60
Name	**Land unit**
Tag	MaayksusNimi / Place
Definition	The name of the land unit
Purpose	Identifying a land unit
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	Niidu farm Triigi port
Comments	Used separately only if the address cannot be identified to the accuracy of small place / house number or street name / house number. The name may be followed by a number; the name can also be accompanied by a part of building number (e.g. for an apartment building in a low density area)

Number	61
Name	**Traffic area**
Tag	Liikluspind / Street
Definition	A road, street or other construction used for vehicle or pedestrian traffic
Purpose	Identifying a traffic area
Obligation	O
Repeatability	No
Data type	Text

Encoding system	-
Creation	Manual
Examples	Puiestee street Ehitajate road Islandi square Market square
Comments	A combination of the elements Traffic area, House number and Part of building number is used to note the street, house number and apartment number in an address

Number	62
Name	**House number**
Tag	Aadressinumber / HouseNumber
Definition	House number
Purpose	Identifying a house
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	3a 248
Comments	A combination of the elements Small place, Traffic area, House number and Part of building number is used to note the street, house number and apartment/workroom number in an address Using a slash or a hyphen as a separator between numbers and letters is allowed

Number	63
Name	**Part of building number**
Tag	HooneosaNumber / BuildingPartNumber
Definition	The number of an apartment/flat or workroom
Purpose	Identifying an address
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	314
Comments	Apartments (living quarters) are assigned distinct numbers, which should be used in an address For workrooms, using a number may not always be required – e.g. the address of an organisation may be given with house number accuracy In accordance with the national address data system, every part of a building that constitutes a postal service provision access point requires a separate unique address (part of building number). If it has not been registered, it is not necessary to use it for addressing records. This means that if a room in a building has not been assigned a geographical address and it has not been registered in ADS, this number should not be used in official records

Number	64
Name	**Postal code**
Tag	Postiindeks / PostalCode
Definition	The postal code of the location of the address object
Purpose	Identifying an address
Obligation	O
Repeatability	No
Data type	Number
Encoding system	EVS 8
Creation	Manual
Examples	63304
Comments	It is advisable to follow the rules of the postal service provider when using the element

Number	65
Name	**Phone number**
Tag	Telefon / Phone
Definition	Phone number
Purpose	To allow contacting an organisation, group or employee by phone
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	ITU-T E.123
Creation	Manual
Examples	738 7500
Comments	-

Number	66
Name	**Fax number**
Tag	Faks / Fax
Definition	Fax number
Purpose	To allow contacting an organisation, group or employee by fax
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	ITU-T E.123
Creation	Manual
Examples	738 7501
Comments	-

Number	67
Name	**E-mail address**
Tag	Epost / Email
Definition	E-mail address

Purpose	To allow contacting an organisation, group or employee by e-mail
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	EVS 8
Creation	Manual
Examples	office@organisation.com
Comments	-

Number	68
Name	**Web page**
Tag	Veebileht / WebPage
Definition	Web page address of a person
Purpose	To allow obtaining information on a person online
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	IEE RFC 1738
Creation	Manual
Examples	http://www.organisation.ee/
Comments	-

Number	69
Name	**Messaging address**
Tag	SonumsideAadress / MessagingAddress
Definition	Messaging address
Purpose	To allow contacting an employee via instant messaging (Skype, ICQ etc.)
Obligation	O
Repeatability	Yes
Data type	Text
Encoding system	-
Creation	Manual
Examples	Skype: MyAddress
Comments	The element should contain both the name of the instant messaging channel and the address or user ID of the person

17. Metadata about processes

The primary purpose of metadata about processes is to describe transactions undertaken on records, creating relationships between records, persons and a more thorough description of their activities. Metadata about processes, whilst being more detailed, can be compared to systematic log entries. When created and managed in a records system in a controlled fashion, metadata about processes are the primary tool used as evidence of certain processes or activities performed (or not performed) and of their correctness, thus proving the reliability of records.

Metadata about processes can be divided into two closely related groups:

- metadata used to plan and manage future activities or processes (e.g. appraisal, disposal, preservation, destruction, changing the usage mode, etc.);
- metadata describing processes that have already taken place, creating an audit trail of transactions undertaken on the record and persons connected to those transactions.

In this metadata set, the metadata of the first group are described in other element groups (e.g. 16 *Retention period*, 45 *Access restriction*, etc.) and only undertaken transactions are described as process metadata. Performing many of these processes causes the creation or changing of other element values (e.g. 25 *Record status in processing stage*, 30.2 *Record registration date*, etc.) or vice versa. Therefore it is recommended to automate the describing of records and to perform the process as part of records system workflows (if possible), in order to prevent mistakes and to ensure the reliability of records.

An organisation has to determine its own preferred precise scope of implementing the process metadata (the number of processes described by the metadata), based on its records appraisal decisions, accountability requirements and information system capabilities. Each organisation has to describe **at least** those records management processes that are included in the qualifiers of element 30 *Record date*.

At the very least, metadata should be recorded for processes important for records management, which include storing a record (upon creation and change), approval, signing, registration, sending and receiving, creating a summary, accepting a record for information or for performing a task, completing a task associated with a record, disposal and destruction of a record. Mandatory processes on a file and series level include opening, closing, disposal and destruction. It is recommended to include also any retention processes, usage and change of usage conditions (e.g. access restrictions) undertaken on records and classification units. On a component (computer file) level, it is recommended to include any technical processes undertaken on the file, which lead to changing the file or creating a new version (including converting the file into another file format, creating a new version for public disclosure, etc.). For certain technical processes performed on computer files, the actor is not necessarily a person but an automatically implemented software component.

Process metadata must be applied as a complete block to any process that has only one actor or person responsible. For example, if a record is approved by several employees, the "approval" process is described separately for each approver, repeating the elements 72 *Action officer* and 74 *Process date* and also 75 *Process result*, if required.

Metadata about processes consist of the following elements and their qualifiers:

VII. Process

70 Process GUID

71 Process type
72 Actor
72.1 Actor name
72.2 Actor role
73 Event object
74 Process date
75 Process result

Number	70
Name	**Process GUID**
Tag	tegevusGuid / processGuid
Definition	The unique identifier of the process
Purpose	To enable unique and non-ambiguous references to a process
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	71
Name	**Process type**
Tag	TegevusTyyp / ProcessType
Definition	The unique name of a process
Purpose	Differentiating between processes and understanding their nature
Obligation	M
Repeatability	No
Data type	Text
Encoding system	Classification
Creation	Manual (predefined), automatic (as part of workflows)
Examples	Signing Converting into another file format Sending
Comments	A selection of process names should be entered already during the initial set-up of the records management system or information system. The existence of predefined processes allows to associate a process type with record metadata elements (e.g. registration date), which simplifies undertaking records management processes and decreases the need to enter data manually

Number	72
Name	**Actor**
Tag	TegevusTeostaja / Actor
Definition	Reference to the actor performing the process
Purpose	Associating a process with the description of its performer. Planning future processes
Obligation	M
Repeatability	No

Qualifiers	Number	72.1
	Name	**Actor name**
	Tag	TeostajaNimi / ActorName
	Definition	Reference to the description of the action officer (job position)
	Obligation	M
	Repeatability	No
	Data type	Reference
	Encoding system	GUID
	Creation	Automatic
	Number	72.2
	Name	**Actor role**
	Tag	TeostajaRoll / ActorRole
	Definition	The role of the action officer in the process
	Obligation	M
	Repeatability	No
	Data type	Text
	Encoding system	Final list of roles
	Creation	Manual (predefined)
Examples	Actor name – 21EC2020-3AEA-1069-A2DD-08002B30309D (reference to the person's description) Actor role – Signer	
Comments	The action officer is the person holding the position. One position and the person holding that position may have multiple roles in records management (e.g. record creator, approver or signer); in this case actor role must be defined separately for the action officer. It should also be noted that within one process, only one position can be the action officer and that position can only have one role for the process. Instead of the reference, the user is displayed the relevant metadata of the referred object in the system (e.g. person name and position)	

Number	73
Name	**Event object**
Tag	TegevusObjektId / EventObjectId
Definition	The identifier of the object used to perform the process event
Purpose	Associating the process with the description of the object
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	74
Name	**Process date**
Tag	TegevusKuupaev / ProcessDate
Definition	Date and time when the process was completed

Purpose	Capturing the date and time of the completion of the process. Ensuring the authenticity and reliability of the record and other objects. Planning future records management activities.
Obligation	M
Repeatability	No
Data type	Date
Encoding system	EVS 8 ISO 8601
Creation	Automatic, manual
Examples	13.10.2012, 12:32:00
Comments	Process date is captured automatically as the process is completed. The date for a process planned to be performed in the future (e.g. resolution deadline for a record) may be assigned manually by an employee.

Number	75
Name	**Process result**
Tag	TegevusTulem / ProcessResult
Definition	Description of the end result of the process
Purpose	Expanding the process description in exceptional cases
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	File cannot be closed as it contains unfinished records
Comments	Free text description of the process, problems appearing during the process, or other situations deviating from the usual flow of the process

18. Relationship metadata

One characteristic feature of this metadata set is that entities which co-exist in practice (e.g. file and record, record and computer file) are not directly related to one another. Relationship metadata are used to create and describe actual relationships. The main reason for such a solution is the high amount of possible relationships, which makes realising them as a formal (XML) model both complicated and hard to implement.

The relationship contains metadata which connect two or more entities (see also ISO 23081-2, chapter 9.6 Relation metadata). By making sure that the entities of the records system remain connected to one another, the relationship metadata ensures the integrity of the records system.

In general, records management involves dependencies or parent/child relationships (e.g. the record "Director general's directive #23 from 14 February 2006" belongs in the "Director general's directives 2006" file), but other types of relationships are possible as well (see the list in the examples of element 79 *Relationship type*). Relationship metadata can also be used for enriching descriptions of records or classification units (e.g. "see also" type relationships), increasing the ease of use (by creating virtual folders where all records required by an employee can be accessed in one central location), etc. Any organisation can create their own complete list of relationship types and implement it in the records management system in such a way that as many relationships as possible are described automatically as they are generated.

The main elements describing relationships are relationship object (source and target object) identifiers and relationship type. Relationships should be described using the following structure: <source object> <relationship> <target object> (e.g. <record A> <is child> <file B>). With dependencies in particular, ignoring the correct order may lead to an incorrect situation where for example a file belongs to a record, not vice versa.

Relationship metadata also offer a chance for a more complete description of the relationship and for specifying the start and end dates of the created relationship. These elements are only used if possible and required.

Relationship metadata consist of the following elements:

IX. Relationships

76. Relationship GUID
77. Relationship source object ID
78. Relationship target object ID
79. Relationship type
80. Relationship description
81. Relationship start date
82. Relationship end date

Number	76
Name	**Relationship GUID**
Tag	seosGuid / relationshipGuid
Definition	The unique identifier of the relationship
Purpose	To enable unique and non-ambiguous references to a relationship
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID

Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	-

Number	77
Name	**Relationship source object ID**
Tag	SeosAlgobjektId / RelationshipObjectFromId
Definition	The identifier of the object initiating the relationship
Purpose	Defining the first party of the relationship
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	An object can also be picked manually when the relationship is described. In that case, the system should automatically insert the object's identifier in the description.

Number	78
Name	**Relationship target object ID**
Tag	SeosLoppobjektId / RelationshipObjectTowardsId
Definition	The identifier of the object forming the second party of the relationship
Purpose	Defining the second party of the relationship
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	M
Repeatability	No
Data type	Identifier
Encoding system	GUID
Creation	Automatic
Examples	21EC2020-3AEA-1069-A2DD-08002B30309D
Comments	An object can also be picked manually when the relationship is described. In that case, the system should automatically insert the object's identifier in the description.

Number	79
Name	**Relationship type**
Tag	SeosTyyp / RelationshipType
Definition	The type of the relationship between the related objects
Purpose	A brief explanation of the relationship
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	M
Repeatability	No

Data type	Text
Encoding system	Classification
Creation	Automatic, manual
Examples	Is Child Of – Is Parent Of (Relationship between a record, a component and/or a classification unit) Is Referenced By – References (Relationship between a record and a record) Is Rendition Of – Has Rendition (Relationship between a component and a component) Contains – Is Part Of (Relationship between a legal person and a unit) Is Controlled By – Controls (Relationship between a record and an access description)
Comments	A national classification should be used if possible; if this does not exist, an internal classification should be created and applied

Number	80
Name	**Relationship description**
Tag	SeosKirjeldus / RelationshipDescription
Definition	A more detailed description of the relationship between the related objects
Purpose	Expanding the type of the relationship
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	O
Repeatability	No
Data type	Text
Encoding system	-
Creation	Manual
Examples	The workgroup is established on a temporary basis to perform tasks connected to the enforcement of the regulation (relationship between a legal person and a unit). Record B is created for performing tasks indicated in record A (relationship “is referenced by” between a record and a record).
Comments	The relationship description is entered only if the classification-based relationship type is not sufficient for describing the nature of the relationship.

Number	81
Name	**Relationship start date**
Tag	SeosKuupaevAlg / RelationshipDateBegin
Definition	The date the relationship was established
Purpose	A more exact description of relationships with defined start and end times
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	O
Repeatability	No
Data type	Date
Encoding system	EVS 8 ISO 8601
Creation	Automatic, manual
Examples	13.10.2012, 12:32:00

Comments	Relationship start date should be described only if it offers significant additional value, especially if several relationships of the same type follow one another (e.g. a record is mistakenly sorted into file A and is later re-sorted into file B; start date of the new dependent relationship should be described).

Number	82
Name	**Relationship end date**
Tag	SeosKuupaevLopp / RelationshipDateEnd
Definition	The date the relationship ended
Purpose	A more exact description of relationships with defined start and end times
Level	Classification scheme, classification unit, record, component, access, legal person, natural person, unit
Obligation	O
Repeatability	No
Data type	Date
Encoding system	EVS 8 ISO 8601
Creation	Automatic, manual
Examples	13.10.2012, 12:32:00
Comments	Relationship end date should be described only if it offers significant additional value, especially if several relationships of the same type follow one another (e.g. a record is mistakenly sorted into file A and is later re-sorted into file B; end date of the original dependent relationship should be described).

APPENDICES

APPENDIX 1. Legislation and standards used and referenced

Archives Act[7]: https://www.riigiteataja.ee/akt/121032011001

Public Information Act[7]: https://www.riigiteataja.ee/akt/122032011010

Personal Data Protection Act[7]: https://www.riigiteataja.ee/akt/130122010011

Spatial Data Act[7]: https://www.riigiteataja.ee/akt/128022011002

Regulation no. 251 of the Government of the Republic of Estonia *"Aadressiandmete süsteem"* (Address Data System), December 20, 2007: https://www.riigiteataja.ee/akt/12901083, English version available at http://www.legaltext.ee/et/andmebaas/document.asp?ptyyp=RT&q2=aadressiandmete+s%FCsteem&order=TA&tyyp=X&query=&display=1&nupp=Otsi%21

Regulation no. 80 of the Government of the Republic of Estonia *"Asjaajamiskorra ühtsed alused"* (The Common Principles of Administrative and Records Management Procedures), February 26, 2001: https://www.riigiteataja.ee/akt/119062012007, in Estonian

Regulation no. 181 of the Government of the Republic of Estonia *"Arhiivieeskiri"* (Archival Rules), December 22, 2011: https://www.riigiteataja.ee/akt/129122011229, in Estonian

EVS 8:2008 *"Infotehnoloogia reeglid eesti keele ja kultuuri keskkonnas"* (Requirements of information technology in Estonian language and cultural environment), in Estonian

EVS 585:2007 *„Isikukood. Struktuur"* (Personal code. Structure), in Estonian

EVS 882-1:2013 *"Dokumendielemendid ja vorminõuded. Osa 1: Kiri"* (Elements of records and requirements for record's layout. Part 1: Letter), in Estonian

ISO 8601:2011 Data elements and interchange formats – Information interchange – Representation of dates and times

ISO 15489:2001 Information and documentation – Records management – Part 1: General

ISO 23081-1:2006 Information and documentation - Records management processes – Metadata for records – Part 1: Principles

ISO 23081-2:2009 Information and documentation – Records management processes – Metadata for records – Part 2: Conceptual and implementation issues

ISO-TR 26122:2008 Information and documentation – Work process analysis for records

[7] English versions of laws are available under *Tõlked* (Translations)

IEE RFC 1738:1994 Uniform Resource Locators (URL) http://www.ietf.org/rfc/rfc1738.txt

ITU-T E.123:2001 Notation for national and international telephone numbers, e-mail addresses and Web aadresses http://www.itu.int/rec/T-REC-E.123-200102-I/en

The National Archives of Estonia, *"Arhiivikirjelduse elementide loetelu"* (Set of archives description elements) (2012) http://rahvusarhiiv.ra.ee/public/Juhised/Arhkirj_elementide_loend_-_RA_juhis2.0.pdf , in Estonian

The National Archives of Estonia, *"Dokumendi- ja arhiivihaldus"* (Records and archives management) (2009) http://rahvusarhiiv.ra.ee/public/Juhised/arhiivihaldus.pdf , in Estonian

Ministry of Economic Affairs and Communications, *"Juhis dokumendiliigi XML andmekirjelduse koostamiseks. Versioon 2.0 (2013)"* (Guidelines for developing an XML data description of a record type) https://www.ria.ee/public/RIHA/Dokumendiliigi_XML_juhis_vers2.pdf , in Estonian

Model Requirements for the Management of Electronic Records, Update and Extension 2008 [MoReq2]

MoReq2 Specification. Appendix 9: Metadata Model (2008) [MoReq2]

National Archives of Australia, Australian Government Recordkeeping Metadata Standard. Version 2.0 (2008) [AGRKMS] http://www.naa.gov.au/Images/AGRkMS_Final%20Edit_16%2007%2008_Revised_tcm16-47131.pdf

Library and Archives Canada, Government of Canada Records Management Metadata Standard (2006) [GC_RMMS] http://www.collectionscanada.gc.ca/obj/007002/f6/007002-5001-e.rtf

APPENDIX 2. References to other records management metadata standards

The following table includes references to elements of records management metadata standards in other countries, which are similar in meaning to the elements in this set. The references are useful for specifying the meaning and usage of elements and for comparison.

The elements matched to this set are based on three standards originating from Europe, Australia and North America:

MoReq2 – Appendix 9 to the MoReq2 Specification: Metadata Model (2008);

AGRKMS – National Archives of Australia, Australian Government Recordkeeping Metadata Standard. Version 2.0 (2008);

GC_RMMS – Library and Archives Canada, Government of Canada Records Management Metadata Standard (2006).

#	Element name	MoReq2	AGRKMS	GC_RMMS
Classification scheme				
1	Classification scheme GUID	M044: Identity.system_identifier	2.1 Identifier string	
2	Classification scheme name	M045: Description.title	3.1 Name Words	
3	Classification scheme owner			
4	Classification scheme date			
4.1	Classification scheme opening date			
4.2	Classification scheme approval date			
4.3	Classification scheme change date			
4.4	Classification scheme closing date			
5	Classification scheme description	M046: Description.abstract.description		
Classification unit				
6	Classification unit GUID	M020: Identity.system_identifier	2.1 Identifier string	
7	Classification unit type		3.1 Name Words	7.9 Aggregation
8	Classification unit identifier	M011: Description.classification.classification_code M012: Description.classification.fully_qualified_classification_code M108: Description.classification.case_id		7.25 File Code
9	Classification unit title	M003: Description.title	3.1 Name Words	7.26 File Name
10	Classification unit description	M047: Description.abstract.description		
11	Classification unit keyword	M004: Description.abstract.keyword	17.1 Keyword Term	
11.1	Thesaurus		17.3 Keyword Scheme	
12	Classification unit date			
12.1	Classification unit creation date	M048: Event_history.date.created		
12.2	Classification unit opening date	M050: Event_history.date.opened		
12.3	Classification unit closing date	M051: Event_history.date.closed		

12.4	Classification unit archival transfer date	M133: Event_history.date.transferred		
12.5	Classification unit storage transfer date	M133: Event_history.date.transferred		
12.6	Classification unit destruction date	M141: Event_history.date.destroyed		
13	Classification unit status	M019: Use.status.active		
14	Agent responsible for the classification unit	M123: Relation.agent.custodian M002: Relation.agent.owner		7.40 Trustee Individual Name 7.41 Trustee Institution Name 7.42 Trustee Institutional Entity
15	Classification unit location	M086: Description.place.current_location M122: Description.place.home_location		
16	Retention period		18. Disposal	7.34 Retention Period
16.1	Retention period start date		18.4 Disposal Trigger Date	7.36 Retention Trigger Date
16.2	Retention period trigger	M052: Event_plan.event_trigger.kind M183: Event_plan.event_trigger.external_event	18.3Disposal Action	7.35 RetentionTrigger
16.3	Retention period duration			7.34 Retention Period
16.4	Retention period end date		18.5 Disposal Action Due	
17	Appraisal decision		18.1 Records Authority	7.18 Disposition Authority
17.1	Appraisal decision reference			
17.2	Appraisal decision date			
17.3	Archival value code	M031: Event_plan.status.permanent	18.2 Disposal Class	
18	Disposal schedule	M025: Relation.r&d_schedule	18. Disposal	
18.1	Disposal schedule action description	M014: Event_plan.event_type.disposition_action M053: Event_plan.abstract.review_action	18.3 Disposal Action	7.17 Disposition Action
18.2	Disposal schedule action due date	M152: Event_plan.date M055: Event_history.date.reviewed M138: Event_plan.abstract.review_date	18.5 Disposal Action Due	7.36 Retention Trigger Date
18.3	Disposal schedule action trigger	M013: Event_plan.period M052: Event_plan.event_trigger.kind M183: Event_plan.event_trigger.external_event		7.35 RetentionTrigger
18.4	Notification	M043: Description.abstract.description		
19	Mandate			

19.1	Mandate type		3.1 Name Words	
19.2	Mandate name		3.1 Name Words	
19.3	Mandate reference			
19.4	Mandate description			
Record				
20	Record GUID	M020: Identity.system_identifier	2.1 Identifier string	
21	Record type	M026: Relation.record_type	24. Document Form	
22	Record original identifier	M011: Description.classification.classification_code M012: Description.classification.fully_qualified_classification_code	2.1 Identifier string	
23	Record parent classification unit			
24	Record processing stage			
25	Record status in processing stage			
26	Record title	M003: Description.title	3.1 Name Words	
27	Record abstract			
28	Record keyword	M004: Description.abstract.keyword	17.1 Keyword Term	
28.1	Thesaurus		17.3 Keyword Scheme	
29	Record language	M145: Use.language	15. Language	
30	Record date	M065: Description.date		7.31 Record Date
30.1	Record creation date			
30.2	Record registration date	M071: Event_history.date.captured		
30.3	Record disposal date			
30.4	Record receiving date	M088: Event_history.date.received		
30.5	Record sending date	M074: Event_history.date.sent		
30.6	Record compliance due date		25. Precedence	
30.7	Record delivery date			
31	Record location	M086: Description.place.current_location M122: Description.place.home_location	23. Location	7.29 Location

32	Record media format	M084: Use.status.physical	21. Medium	7.28 Format Medium
33	Record external context			
33.1	Record external party	M075: Description.sender.name		
33.2	Record external party role			
33.3	Record original identifier at external party			
33.4	Record ID at external party	M070: Description.external_identifier.internal_reference	2.1 Identifier string	
33.5	Record date at external party			
33.6	Record exchange method			
33.7	Message			
34	Record enclosures			7.12 Compound Record Links
Component				
35	Component GUID	M125: Identity.system_identifier_rendition	2.1 Identifier string	
36	Component name		3.1 Name Words	
37	File format	M128:Use.technical_environment.file_format M196:Use.technical_environment.file_format_original		
37.1	File format name		19.1 Format Name	7.16 Data Format
37.2	File format version	M129:Use.technical_environment.file_format_version M142: Use.technical_environment.file_format_version_original	19.2 Format Version	
38	Component size		20.2 Logical Size	7.27 Format Extent
39	Fixity		22. Integrity Check	
39.1	Value		22.1 Message Digest	
39.2	Algorithm		22.2 Hash Function Name	
39.3	Creation date			
40	Software			
40.1	Software name		19.3 Creating Application Name	

40.2	Software version		19.4 Creating Application Version	
41	Encoding			
42	Creation purpose	M126: Description.abstract.reason_for_rendition		
Access				
43	Access conditions GUID		2.1 Identifier string	
44	Access conditions code		12.1 Rights Statement	7.1 Access Rights
45	Access restriction		11.1 Permission Text	7.33 Releasable To
45.1	Restriction GUID		2.1 Identifier string	
45.2	Restriction start date			
45.3	Restriction end due date			
45.4	Restriction length			
45.5	Restriction authorisation			
45.6	Restriction end event			
45.7	Restriction invalid since			
45.8	Information owner			
46	Intellectual property			
46.1	Intellectual property rights restriction code		12.1 Rights Statement	7.43 Usage Conditions
46.2	Intellectual property rights restriction end date			
46.3	Intellectual property owner			
47	No copying allowed		12.1 Rights Statement	
Legal or natural person				
48	Person GUID		2.1 Identifier string	7.3 Agent Individual Identifier
49	Person name	M167: Description.title	3.1 Name Words	7.4 Agent Individual Name 7.5 Agent Institution Name 7.6 Agent Institutional Entity
50	Person type			
51	Organisation registry code			

52	Personal identification code			
53	Legal status			
54	Position title		14. Position	7.7 Agent Position Title
Address and contact data				
55	Country		13.1 Contact Details	
56	County		13.1 Contact Details	
57	Local government		13.1 Contact Details	
58	Settlement or city district		13.1 Contact Details	
59	Small place		13.1 Contact Details	
60	Land unit		13.1 Contact Details	
61	Traffic area		13.1 Contact Details	
62	House number		13.1 Contact Details	
63	Part of building number		13.1 Contact Details	
64	Postal code		13.1 Contact Details	
65	Phone number		13.1 Contact Details	
66	Fax number		13.1 Contact Details	
67	E-mail address	M189: Description.email_address	13.1 Contact Details	
68	Web page		13.1 Contact Details	
69	Messaging address		13.1 Contact Details	
Process				
70	Process GUID	M163: Identity.system_identifier	2.1 Identifier string	
71	Process type			7.24 Event Type
72	Actor	M172: Relation.entity_agent	6.1 Assigned Entity ID	
72.1	Actor name		3.1 Name Words	
72.2	Actor role	M167: Description.title M166: Relation.has_role		7.8 Agent Role
73	Event object			
74	Process date			7.22 Event Date/Time

75	Process result			7.23 Event Description
Relationships				
76	Relationship GUID		2.1 Identifier string	
77	Relationship source object ID		6.1 Assigned Entity ID	
78	Relationship target object ID		6.1 Assigned Entity ID	
79	Relationship type		6.3 Relationship Role	
80	Relationship description		5. Description	
81	Relationship start date		4.1 Start Date	
82	Relationship end date		4.2 End Date	