

**RECORDKEEPING METADATA SPECIFICATIONS: AT THE INDIVIDUAL
RECORD LEVEL**

ALL METADATA INCLUDED IN THIS LIST IS MANDATORY

DRAFT - July 6, 2001

****IDENTIFICATION METADATA**

--Record Identifier

Definition: A unique identifier for the record

Purpose: To uniquely identify the record and to act as an access point to other data about the record.

--Record Date

Definition: The date when the record was entered into the recordkeeping system.

Purpose: To provide system validation of the act of officially "registering" the record, and to provide evidence of the record's authenticity.

****CONTEXT METADATA**

--Agent - Originator

Definition: A corporate entity, organizational unit, or an individual responsible for performing some action on a record.

Purpose: To ensure accountability and facilitate access to the record.

--Date - Transmission of Record

Definition: If the record is transmitted, the dates and times when the originator sent the record.

Purpose: To provide evidence of the act of transmitting the record.

--Agent - Receiver

Definition: If the record is transmitted, the individual(s), unit(s), or system(s) to whom the record is addressed and/or who receives the record.

Purpose: To ensure accountability and facilitate access to the record.

--Date - Receipt of Record

Definition: If the record is transmitted, the dates and times when the fundamental recordkeeping action of receiving the record occurs.

Purpose: To provide evidence of the act of receiving the record.

--Record Category

Definition: The business transaction that directly generated this record.

Purpose: To document the specific business context that produced the record, and to provide an access point for other records documenting this business process.

--Record Relationships - Related Record(s)

Definition: Identifies other records created by the same business process.

Purpose: To provide contextual information for a record by documenting its relationship with other related records documenting a business process.

--Record Relationships - Functions and Sub-Functions

Definition: Identifies the business functions and sub-functions documented by the record.

Purpose: To provide contextual information for a record by documenting its relationship with the function and sub-function it documents.

****CONTENT METADATA**

--Title

Definition: The name given to the record that is representative of its contents or function.

Purpose: To describe the functions and subjects documented in the record, and to assist in identifying the record.

--Date of Record Creation

Definition: The date when the record was created.

Purpose: To provide evidence for the act of creation.

****TERMS AND CONDITIONS METADATA**

--Access and Use Terms and Conditions

Definition: Citations or references to laws, policies, and best practices that govern or restrict access or use of the record, and define the terms under which the record may be accessed and used.

Purpose: To advise users of record restrictions, to protect the privacy of individuals and the business interests of corporate entities, and to facilitate effective access and use of the record, and comply with any legal or policy restrictions.

--Access and Use History

Definition: Identifies who accessed and used the record, and when this action occurred.

Purpose: To track use and provide for a more accountable system.

****DISPOSAL METADATA**

--Record Location

Definition: The current (physical or system) location of the record.

Purpose: To track and to facilitate access to the record.

--Disposal Authorization

Definition: Citations or references to laws, policies, and best practices that govern the disposition of the record.

Purpose: To ensure that recordkeeping requirements with regard to retention are not violated.

--Disposal Date

Definition: Identifies how long the record must be retained and the date when the record should be destroyed.

Purpose: To ensure the efficient management of the record, and to comply with laws and regulations relating to recordkeeping.

--Disposal Action History

Definition: Identifies when the record was destroyed and by whom.

Purpose: To ensure that recordkeeping disposition requirements are met and provide for a more accountable system.

**RECORDKEEPING DOCUMENTATION AT THE RECORD SERIES OR
SYSTEM LEVEL**

**(Metadata not usually part of or directly linked to a record, but rather embedded in
software or system configurations or in system documentation)**

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****STRUCTURAL DOCUMENTATION:**

--File Encoding Metadata - Data Format

Definition: Identifies the data encoding standards used to represent the record (e.g., ASCII, UNICODE)

Purpose: To enable retrieval and use of the record and facilitate preservation management.

--File Encoding Metadata - Media Format

Definition: Identifies the type of data representation (e.g., text, image, audio, video) and file types.

Purpose: To enable retrieval and use of the record and facilitate preservation management.

--File Encoding Metadata - Compression/Encryption

Definition: Identifies the method of compression and the algorithms used to encrypt the record.

Purpose: To enable retrieval and use of the record and facilitate preservation management.

--File Rendering Metadata - Hardware/Software Dependencies

Definition: Identifies any hardware and software the record is dependent upon that will affect how the record can be rendered.

Purpose: To enable retrieval and use of the record and facilitate preservation management.

--File Rendering Metadata - Standards

Definition: Identifies standards applied to the record that affect how it can be rendered (e.g., SGML, TIFF).

Purpose: To enable retrieval and use of the record and facilitate preservation management.

****PRESERVATION HISTORY DOCUMENTATION**

--Responsibility

Definition: Identifies who (person, system, organization) is responsible for performing or authorizing preservation activities for the record.

Purpose: To provide evidence of activities for preserving the record.

--Activity Date

Definition: Identifies when a preservation action was completed.

Purpose: To provide evidence of activities for preserving the record.

--Activity Type

Definition: Identifies what specific preservation activity was initiated (e.g., backed-up, imaged, medium refreshed, microfilmed, migrated).

Purpose: To provide evidence of activities for preserving the record.

--Medium

Definition: Identifies the physical medium on which the record is stored (e.g., CD-R, hard disk, microfilm, videotape)

Purpose: To track how a record is stored.