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State Records
of South Australia



South Australian Recordkeeping Metadata

Standard

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Executive Summary

One of the roles of [State Records of South Australia](#) (SRSA) is ‘to issue standards, following consultation with the State Records Council, relating to record management and assist in ensuring that agencies observe the best record management practices’¹.

This Standard outlines the basic core set of metadata elements required to manage records in accordance with best practice. Compliance will assist in identifying, authenticating, describing and managing records and in particular electronic records in a systematic and consistent way to meet business, accountability, evidentiary, and archival requirements.

The Standard is a technical standard, which underpins a number of other standards to assist in meeting the requirements of providing adequate records management. Agencies and Local Government authorities implementing new business or record management systems should ensure the recordkeeping metadata they capture in new systems is compliant with the Standard.

This Standard is a basic model. Whilst some elements are mandatory, agencies may consider including additional optional elements as listed. Subject to business needs agencies may expand the element set to include additional business or other requirements.

This Standard needs to be read in conjunction with the:

- *EDRMS Design Standard (2009)*
- *Document and Records Management Systems Standard (2009)*
- *EDRMS Functional Specification Standard (2009)*
- *EDRMS Procurement and Pre-implementation Guideline (2009)*
- *Digitisation of Official Records and Management of Source Documents Guideline (2005)*

This Standard has been issued under sections 7(h) and 14 of the *State Records Act 1997*.

Further Information

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¹ [State Records Act 1997](#) Part 3 Para 7(h)

Introduction

Recordkeeping metadata can be defined as:

"Data describing context, content and structure of records and their management through time" AS/ISO 15489.1-2002

Recordkeeping Metadata includes:

- Registration and Classification metadata, which gives a record its unique identity in the system and classifies it in a classification scheme
- Content, Structure and Context metadata, which gives a record:
 - content e.g. a title;
 - abstract structure (its type, format and context) who created it, where (which agency), when (date/time); and
 - its relationship with other records and why (i.e. what legislation or regulations required the record to be created)
- Recordkeeping process metadata, which provides information or evidence about processes a record may have undergone such as viewing, transmitting, transferring custody, accessing, reviewing, sentencing etc.

Recordkeeping Metadata in a business or records system is required for the following reasons:

- Unique identification of records;
- Authentication of records – i.e. it provides evidence that the record is what it purports to be;
- Persistence of records content, structure and context;
- Accountability - management of records over time in an electronic environment;
- Administration of terms and conditions of access and disposal;
- Tracking and documenting the use history of records, including specific recordkeeping and archival processes;
- Enabling discovery, retrieval and delivery of records to authorised users; and
- Restricting unauthorised use.

This Standard is based primarily on the [New South Wales State Records](#) three-entity model, which was based on the work of the [Records Continuum Research Group](#) and [National Archives of Australia](#). It also draws on the [National Archives of Australia Recordkeeping Metadata Standard for Commonwealth Agencies \(Version 2\)](#) and the Australian Government Locator Service (AGLS) metadata element set for web-based resources.

The layout of elements adopted in this standard is based on the work done by Barbara Reed of [Recordkeeping Systems Pty Ltd](#) in developing a Recordkeeping Metadata Standard for Primary Industries and Resources SA.

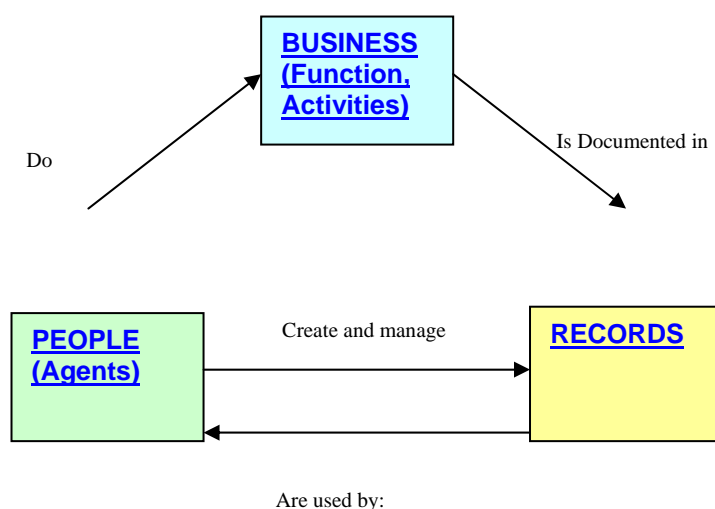
Where appropriate, mapping is made to other metadata standards ([Ref Appendix A](#))

The three entity (record, agent and function) approach is supported for the following reasons:

- It provides a more evidential and accountable recordkeeping framework; and
- It is consistent with [NSW State Records](#) RKMS and consistent with the AGLS three entity framework.

The three-entity framework is consistent with current approaches to the development of business systems and has the capacity to meet other business requirements. In many business environments, it is necessary to electronically identify workgroups, allocate responsibilities and assign permission to work with a particular set of records.

The figure (courtesy of [State Records New South Wales](#)) illustrates the relationships between the three entities:



Record Entity

Elements associated with the record entity describe records (or aggregations of records). Record entity metadata is associated with individual records or items including documents typically produced in office applications including word processed documents, spreadsheet applications, presentation material, e-mails, web pages, images, etc. It can also include aggregations of records such as files (physical or virtual), boxes, consignments, record series and record systems.

Agent Entity (People)

Elements associated with the agent entity provide information that describes agents. It includes individual staff, their position(s), workgroups, agencies, departments, and organisations as well as external authors that create, manage, use or are responsible for records.

Function Entity (Business)

Elements associated with the function entity identify and describe information about the business functions by which records are created, including information about SA Government agency or Local Government Authority business functions, activities,

services and transaction descriptions. It can also identify the mandate that is the legislative or regulatory basis for keeping the records.

Elements and Element Qualifiers

Each entity (Record, Agent or Function) has a number of elements and element qualifiers that describe the specific metadata to be captured for that entity. A number of elements apply to all three entities, with the applicable entity/entities being stated within the 'applicability' box in each element description. Listed on pages 10-15 are the elements, element qualifiers and the entities to which they apply

Sources of Metadata

This Standard is intended to minimise the requirement of users to input metadata. When user input is required, it can be provided from 'drop down' menu lists, usually with a logical default value. A number of sample schemes are available in the appendices.

Recordkeeping metadata can be sourced from a number of environments and systems in use in agencies. A great deal of recordkeeping metadata is already captured in existing agency systems; for example recordkeeping metadata may be captured from the following:

Business systems

There is a wide variety of existing business systems in agencies that already capture large amounts of data that will be able to meet the requirements of this recordkeeping metadata standard (SARKMS). Information within business systems often relates to records, as it is often business processes that create them. Business systems can be used to identify and describe people, business units, workgroups, activities and functions.

Disposal Schedules

General Disposal Schedules and agency specific disposal schedules are a useful source for records disposal related metadata.

E-mail systems

Agency and whole of government e-mail systems can provide significant recordkeeping metadata about the context of a document. E-mail messages are tagged with sender, recipient, date of transmission and can provide the subject or title of the message. E-mails can be structured so that previous and subsequent messages are linked. If e-mail messages contain embedded attachments, it is important that this linkage is maintained over time. The properties of individual attachments also need to be retained.

Keyword AAA and agency specific thesauri

For agencies that have adopted use of the Keyword AAA or their own specific thesaurus, this can be used to identify relevant transactions, business activities and business functions that need to be captured.

Office Automation Systems

Office automation systems such as word processing, spreadsheet and presentation applications can provide useful recordkeeping metadata from the 'properties' function.

Recordkeeping Systems

Corporate recordkeeping systems implemented in several agencies are also a great source of metadata for elements relating to:

- Business functions
- Mandates (legislation, regulations, standards, codes of practice, community expectations)
- Agents (people, workgroups, agencies)
- Locations
- Use of records

Web sites

Agency and whole of government web sites (Internet and Intranets) in many cases already provide basic metadata requirements. In many cases, websites are a record and the metadata required for managing them as records need to be captured. [SRSA](#) is developing standards and policies for managing the records of on-line service delivery. [National Archives of Australia](#) has some useful guidelines on keeping records of web-based activity.

Implementation

[SRSA](#) recognises that implementation of this Standard for existing document/records management systems and business systems would be a resource intensive task particularly for old paper based and legacy systems. There is no requirement to modify current or existing systems for compliance.

The opportunity to implement SARKMS should be taken when implementing new or substantially upgraded document or records management systems and electronic-business systems.

It is also important that metadata requirements are clearly identified in functional specifications for new business and/or document and records management systems.

Recordkeeping Metadata Scheme Table of Elements

Note: Elements or element qualifiers printed in Bold are Mandatory

RECORD ENTITY		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
<u>0 Entity</u>	None	item, file, folder, box, consignment, series, system
<u>1 Category</u>	None	item, file, folder, box, consignment, series, system
<u>2 Identifier</u>	CONTAINER	
	2.1 Domain	item, file, folder
	2.2 Identifier String	item, file, box, consignment, series
	2.3 Identifier Scheme	item, file, box, consignment, series
	2.4 Barcode	item, file, box
	2.8 Version Number	item
	2.9 Version Status	item
	2.10 Reference Identifier	item
<u>3 Name</u>		item, file, folder, series, system
	3.1 Alternative Name	item, file, folder
	3.2 Abbreviated Name	item, file, folder
<u>4 Description</u>	None	item, file, folder, box, consignment, series, system
<u>5 Date</u>	CONTAINER	
	5.1 Creation Date/Time	item, file, folder, box, consignment, series, system
	5.2 Received Date/Time	item, file, box, consignment
	5.3 Registration Date/Time	item
	5.4 Transfer Date	item, file, box, consignment, series
	5.5 Contents Date Range	item, file, box, consignment, series
	5.8 Date Issued	item, file
	5.9 Date Approved	item, folder
	5.10 Published Date	item
	<u>6 Classification Scheme</u>	CONTAINER
6.1 Function Descriptor		item, file, folder
6.2 Activity Descriptor		item, file, folder
6.3 Subject Descriptor 1		item, file, folder
6.4 Subject Descriptor 2		item, file, folder
6.5 Keyword		item, file, folder

RECORD ENTITY continued		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
7 Coverage		item, file, folder, series
	7.1 Jurisdiction	item, file, folder
	7.2 Place Name	item, file, folder
8 Language	None	item, file, series
9 Type		item
	9.1 Vital Record	item, file
	9.2 Vital Record Review Due Date	item, file
10 Format	CONTAINER	
	10.1 Media Format	item
	10.2 Data Format	item
	10.3 Medium	item
	10.4 Extent	item
	10.5 Original Creating Environment	item
	10.6 Review Due Date	item
11 Relation	CONTAINER	
	11.1 Related Entity Identifier	item, file, folder, box consignment, series, system
	11.2 Relationship Type	item, file, folder, box consignment, series, system
	11.3 Relationship Definition	item, file, folder, box consignment, series, system
	11.4 Relationship Date	item, file, folder, box consignment, series, system
12 Access	CONTAINER	
	12.1 Access Rights	item, file, box, consignment, series
	12.2 Rights Type	item, file, folder
	12.3 Rights Status	item, file
	12.4 Security Classification	item, file, folder
	12.5 Caveat	item, file, folder
	12.6 Use Conditions	item, file, folder
	12.7 Access Statement	item, file, folder
	12.8 Determination Date	item, file, box, consignment, series
	12.9 Review Due Date	item, file, box, consignment, series

RECORD ENTITY continued		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
<u>13 Disposal</u>	CONTAINER	
	13.1 Disposal Schedule	item, file, box, consignment, series
	13.2 Disposal Schedule Version	item, file, box, consignment, series
	13.3 Disposal Schedule Item No.	item, file
	13.4 Disposal Action	item, file
	13.5 Date Sentenced	item, file
	13.6 Date Transfer Due	item, file, box, consignment, series
	13.7 Date Destruction Due	item, file, box
	13.8 Date Destruction Approved	item, file, box
	13.9 Disposal Statement	item, file
	13.10 Disposal Authorising Officer	item, file, box
<u>14 Location</u>	CONTAINER	
	14.1 Current Location	item, file, box, consignment
	14.2 Store Location	item, file, box, consignment
	14.3 Store Definition	item, file, box, consignment
	14.4 Location Date	item, file, box, consignment
<u>15 Event History</u>		
	15.1 Event ID	item, file, folder, box, consignment, series, system
	15.2 Event Type	item, file, folder, box, consignment, series, system
	15.3 Prior Value	item, file, folder, box, consignment, series, system
	15.4 Event Date/Time	item, file, folder, box, consignment, series, system
	15.5 Action Officer	item, file, folder, box, consignment, series, system
<u>16 Precedence</u>		item, file
	16.1 Date / Time Action Due By	item, file
	16.2 Date Action Completed	item, file
	16.3 Action Officer	item, file
	16.4 Action Delegator	item, file
	16.5 Action Required	item, file

AGENT ENTITY		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
<u>0 Entity</u>	None	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
<u>1 Category</u>	None	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
<u>2 Identifier</u>	CONTAINER	
	2.1 Domain	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	2.2 Identifier String	external author, individual, agency, LGA
	2.3 Identifier Scheme	external author, individual, agency, LGA
	2.5 Position Identifier	external author, individual
	2.6 Person Identifier	external author, individual
	2.7 Digital Signature	external author, individual, agency, LGA
<u>3 Name</u>		external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	3.1 Alternative Name	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	3.2 Abbreviated Name	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
<u>4 Description</u>	None	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
<u>5 Date</u>	CONTAINER	
	5.1 Creation Date/Time	individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	5.6 Start Date	individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	5.7 End Date	individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
<u>11 Relation</u>	CONTAINER	
	11.1 Related Entity Identifier	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	11.2 Relationship Type	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	11.3 Relationship Definition	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	11.4 Relationship Date	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism

AGENT ENTITY continued		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
12 Access	CONTAINER	
	12.10 Permissions	external author, individual, position, workgroup, section/unit, business group, agency, LGA
15 Event History	CONTAINER	
	15.1 Event ID	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	15.2 Event Type	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	15.3 Prior Value	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	15.4 Event Date/Time	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
	15.5 Action Officer	external author, individual, position, workgroup, section/unit, business group, agency, LGA, mechanism
17 Contact		external author, individual, position, workgroup, section/unit, business group, agency, LGA
	17.1 Contact Location	external author, individual, position, workgroup, section/unit, business group, agency, LGA

FUNCTION ENTITY		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
0 Entity	None	transaction, business activity, business function, government function
1 Category	None	transaction, business activity, business function, government function
2 Identifier	CONTAINER	
	2.1 Domain	transaction, business activity, business function, government function
	2.2 Identifier String	transaction, business activity, business function, government function
	2.3 Identifier Scheme	transaction, business activity, business function, government function
3 Name		transaction, business activity, business function, government function
	3.1 Alternative Name	transaction, business activity, business function, government function
	3.2 Abbreviated Name	transaction, business activity, business function, government function
4 Description	None	transaction, business activity, business function, government function

		function, government function
FUNCTION ENTITY continued		
Element	Element Qualifiers	Applicable Category Type (Refer to Appendix B)
5 Date	CONTAINER	
	5.1 Creation Date/Time	transaction, business activity, business function, government function
	5.6 Start Date	transaction, business activity, business function, government function
	5.7 End Date	transaction, business activity, business function, government function
11 Relation	CONTAINER	
	11.1 Related Entity Identifier	transaction, business activity, business function, government function
	11.2 Relationship Type	transaction, business activity, business function, government function
	11.3 Relationship Definition	transaction, business activity, business function, government function
	11.4 Relationship Date	transaction, business activity, business function, government function
12 Access	CONTAINER	
	12.4 Security Classification	transaction
	12.5 Caveat	transaction
15 Event History	CONTAINER	
	15.1 Event ID	transaction, business activity, business function, government function
	15.2 Event Type	transaction, business activity, business function, government function
	15.3 Prior Value	transaction, business activity, business function, government function
	15.4 Event Date/Time	transaction, business activity, business function, government function
	15.5 Action Officer	transaction, business activity, business function, government function
18 Mandate	CONTAINER	
	18.1 Mandate Type	transaction, business activity, business function, government function
	18.2 Mandate Name	transaction, business activity, business function, government function
	18.3 Mandate Identifier	transaction, business activity, business function, government function
	18.4 Mandate Description	transaction, business activity, business function, government function
	18.5 Mandate Date	transaction, business activity, business function, government function
	18.6 Mandate Jurisdiction	transaction, business activity, business function, government function
	18.7 Mandate Domain	transaction, business activity, business function, government function
	18.8 Mandate Audience	transaction, business activity, business function, government function

The remainder of this document details each element and associated element qualifiers and outlines the circumstances around their usage as recordkeeping metadata.

The table below describes how this information is displayed




The Number and Name of the Element

<i>Definition</i>	Defines the element.			
<i>Purpose</i>	Details the reason for including the element in an EDRMS.			
<i>Container</i>	Indicates whether the element itself is a metadata field in which a value is to be captured. Here, a 'No' response indicates that the element is a metadata field in which a value can be captured. A 'Yes' response indicates the element is a container for the element qualifiers, which store values, and is used to logically group those element qualifiers.			
<i>Applicability</i>	Indicates if this element is to be applied to all entities (i.e. Record, Agent and Function) or only to specific entities.			
<i>Obligation</i>	Indicates whether the use of the element is Mandatory (must be used), Optional (use determined by agency) or Conditional (to be used in a particular circumstance).			
<i>Repeatable</i>	Indicates either by a 'Yes' or a 'No' if the element can be applied to an instance of an entity more than once. For example, a number of values associated with an element may be repeated to comprehensively describe an entity's history or relationship with other entities.			
<i>Scheme/Values</i>	Advises or suggests values to be used by an agency for this element.			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	The number and name of the element qualifier	The applicable scheme from which values can be selected for the element qualifier	Whether the element qualifier is Mandatory, Optional or Conditional	Whether the element qualifier can be repeated
<i>Conditions of Use</i>	Indicates if there are any special conditions for use of the element or element qualifiers.			
<i>Comments</i>	Details whether there are any other issues/suggestions/advice for agencies.			

0. Entity

<i>Definition</i>	This element indicates the type of entity being described: <ul style="list-style-type: none"> ▶ Record; ▶ Agent; or ▶ Function 			
<i>Purpose</i>	The purpose of this element is to: <ul style="list-style-type: none"> ▶ categorise entities; ▶ allow searches to be restricted to a particular entity. 			
<i>Container</i>	No			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	There are only 3 possible values for this element: 'Record', 'Agent', or 'Function'			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	None			
<i>Conditions of Use</i>	None.			
<i>Comments</i>	None.			

1. Category

<i>Definition</i>	<p>This element identifies the specific category of the entity being described i.e. is the category of the entity described as:</p> <ul style="list-style-type: none"> ▶ An item (eg a document or a file, or record series); ▶ Agency/Local Government Authority, individual or external author ▶ A Business Activity or Business Function 			
<i>Purpose</i>	<p>The purpose of this element is to:</p> <ul style="list-style-type: none"> ▶ Sub-categorise entities; ▶ Allow searches to be conducted for a particular category 			
<i>Container</i>	No			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	SARKMS Category Scheme – see Appendix B (If agent category is ‘external author’, SARKMS External Author Type Sub-Scheme may be used – see Appendix R.) Agency specific Schemes.			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	None			
<i>Conditions of Use</i>	None			
<i>Comments</i>	<p>Record Entity</p> <p>The identification of records at different levels of aggregation can be achieved by several means. Within a Document or Record system, it may be achieved by use of icons. For example:</p> <ul style="list-style-type: none">  May be used to identify a single item - typically a document;  May be used to identify a videotape;  May be used to identify a single file (folder). <p>Business systems typically contain one type of record and in these systems, one Record Category could be applied to the system.</p> <p>Note: Some standards have omitted ‘consignment’ as a record category type, however SRSA has included ‘consignment’ as it is integral to managing aggregations of boxes of records with existing Archival Management systems.</p>			

2. Identifier

<i>Definition</i>	This element provides for a unique identifier to be allocated to an entity usually at the time of registration.			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Uniquely identifies an entity; ▶ Ensures entities are locatable; ▶ Acts as a reference point for the entity; and ▶ Provides a link to other related elements and entities. 			
<i>Container</i>	Yes			
<i>Applicable</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes (Note: Each record must have single unique identifier, however this element is repeatable if the element qualifiers 2.1 and 2.2 are used)			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	2.1 Domain	Agency specific Domain Scheme - see Appendix C	Mandatory (when used)	No
	2.2 Identifier String	Agency specific Identifier String (see below comments)	Mandatory (when used)	No
	2.3 Identifier Scheme	Agency specific Identifier Scheme (see below comments)	Optional (conditional)	No
	2.4 Barcode	Agency system	Optional (when used) (Record entity only)	Yes
	2.5 Position Identifier	see Agent Entity below	Optional (Agent entity only)	No
	2.6 Person Identifier	see Agent Entity below	Optional (Agent entity only)	No
	2.7 Digital Signature	-	Optional (Agent entity only)	No
	2.8 Version Number	-	Optional (Record entity only)	No
	2.9 Version Status	Agency specific Version Status Scheme	Optional (Record entity only)	No
	2.10 Reference Identifier	-	Optional (Record entity only)	No
<i>Conditions of Use</i>	The digital signature is an encrypted tamper proof piece of data that creates a unique and non-forgable identifier of the agent responsible for the transactions the record documents.			

<i>Comments</i>	<p>Agencies are required to allocate a unique identifier to items created or captured within a recordkeeping or document management system. This is in accordance with AS ISO 15489.</p> <p>Record Entity Agency specific Domain Schemes see Appendix C. Identifier String:</p> <ul style="list-style-type: none"> ▶ GRS numbers issued by SRSA. ▶ Consignment / Box Nos issued by Alternative Storage Providers. ▶ System generated control numbers. <p>Agent Entity At a lower level an individual identifier, e.g. from a system logon may be used (Note: employee ID/payroll number should NOT be used) however a position number from CHRIS may be used. At an agency or authority level an agency ID can be a Government Agency (GA) number provided by the SRSA</p> <p>Domain names can be selected from a menu developed by an agency based on the agency's functions (example at Appendix C).</p> <p>Record identifiers are in most cases allocated by a business or recordkeeping system. They may be allocated sequentially or by a date/time sequence. In some systems they may be allocated by another system either manually or electronically.</p> <p>Identifier String can be based on an employee number or R09/01286 for a document registered in an EDRMS.</p> <p>Examples of an Identifier Scheme could include system ID, ABN, ISBN, ISSN, or URL. Must be used when an identifier is assigned to an entity according to a defined scheme. In the case where the EDRM system controls the assignment of numbers, the name of the EDRMS should be listed at this element qualifier.</p> <p>SRSA requires the allocation of a unique GA (Government Agency) identifier and GRS (Government Record Series) identifier before permanent retention records are transferred to the custody of SRSA. Agencies may need to allocate other unique identifiers to records transferred to Alternative Storage Providers. Note: A range of different symbologies may be used for barcodes. It is recommended that agencies use the barcodes used within the electronic document or records management system.</p> <p>If single items are not allocated a unique identity, as is the case with many paper based agency systems, this Standard does not constitute a requirement to do so now. For example if agencies do not register individual folios on a file there is no requirement to do so unless there is a business or other reason to do so.</p> <p>Digital signature may be obtained from a secure signature server.</p> <p>Reference Identifier is taken from the reference quoted by the sender.</p> <p>Version Status could include draft, editing draft, waiting approval, approved, waiting publication, published.</p>
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3. Name

<i>Definition</i>	The name or title of the entity which is free text. It can also be described with an alternative and/or abbreviated name. For an agent this could be the name of an individual or organisational group, or states the name of a function, activity or transaction.			
Purpose	<p>This element:</p> <ul style="list-style-type: none"> ▶ Assists in the identification and differentiation of entities; ▶ Facilitates searching and retrieval of entities; ▶ Describes the contents documented in records. 			
Container	No			
Applicability	All entities			
Obligation	Mandatory			
Repeatable	Yes			
Scheme/Values	<p>Record Entity Free text name. Can also be derived in part from Keyword AAA, Local Government thesaurus or agency specific thesaurus.</p> <p>Agent Entity Network system login, CHRIS HR Information system, SAGEMS, Local Government agency system. (Values will need to cover all agents including 'external' agents such as contractors, consultants and temporary agency staff.)</p> <p>Function Entity Keyword AAA, Local Government or an agency specific thesaurus</p>			
Element Qualifiers	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	3.1 Alternative Name	Free text system see Scheme/Value above	Optional	Yes
	3.2 Abbreviated Name	see Scheme/Value above	Optional	Yes
Conditions of Use	3.1 Alternative Name and 3.2 Abbreviated Name must be used in conjunction with the full name (3 Name), they should not be used in isolation.			
Comments	<p>Effective use of this element may require a significant amount of user education to ensure entities are adequately titled.</p> <p>Record Entity Name metadata is predominantly user defined. It may be derived from 'properties' data in MS Office applications (depending on how it is setup) or from other nominated fields. For example, the subject field in e-mail documents.</p> <p>Agencies are to have strict naming conventions in place.</p> <p>Agent Entity At a personnel level, names should be presented in a standard form i.e. family name followed by given name e.g. Wood, Andrew.</p> <p>Function Entity It is recommended that a broad strategic approach should be used for deriving metadata for this element:</p> <ul style="list-style-type: none"> • Business function should be derived at a high level utilising documents such as Strategic Plans or from Keyword AAA • Business activity can relate to program levels and the systems that support them or from Keyword AAA • Subject can be free text or derived from Keyword AAA or agency specific thesaurus. 			

4. Description

<i>Definition</i>	This element provides a free text description of an entity to provide additional context e.g. the contents/scope and/or purpose of a record or an aggregation of records; the contents/scope and/or purpose of a business function; or the role or type of agent.			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Enhances information included in the Name (element 3); ▶ Facilitates searching and retrieval; ▶ Facilitates user choice. 			
<i>Container</i>	No			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Optional.			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Function Entity Keyword AAA, Local Government and Agency Keyword Thesaurus			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	None			
<i>Conditions of Use</i>	Content of this element should not duplicate information in other elements.			
<i>Comments</i>	<p>Record Entity Description element is predominantly user defined for the Record entity. Metadata could be derived from automatic abstracting tools.</p> <p>Agent Entity A controlled list of terms could be used for this element such as member of the public, State Government Agency, Local Government Authority, private entity, solicitor, doctor, Statutory Authority. Or it can be used to give a description of an agent entity including the history of the agent.</p> <p>Function Entity This element is important as it enables linkages to be drawn between entities.</p> <p>Information contained in other elements should not be duplicated here.</p>			

5. Date

<i>Definition</i>	This element specifies date/time or a range of date/times applicable to an entity.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Provides date/time specificity; ▶ Contributes to the evidential value and accountability; ▶ Facilitates searching and retrieval. 			
<i>Container</i>	Yes			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name(s)</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	5.1 Creation date/time	ISO 8601	Mandatory	No
	5.2 Received date/time	ISO 8601	Mandatory (Record entity only)	No
	5.3 Registration date/time	ISO 8601	Mandatory (Record entity only)	No
	5.4 Transfer Date	ISO 8601	Optional (Record entity only)	Yes
	5.5 Contents Date Range	ISO 8601	Optional (Record entity only)	No
	5.6 Start Date	ISO 8601	Mandatory (Agent & Function entities only)	No
	5.7 End Date	ISO 8601	Optional (Agent & Function entities only)	No
	5.8 Date Issued	ISO 8601	Optional (Record entity only)	No
	5.9 Date Approved	ISO 8601	Optional (Record entity only)	No
	5.10 Published Date	ISO 8601	Optional (Record entity only)	No
<i>Conditions of Use</i>	The Date element should not be used alone, but in conjunction with at least its mandatory element qualifiers.			
<i>Comments</i>	<p>Date time metadata will in most cases be system generated using the system clock.</p> <p>In some cases, Contents Date Range will need to be user generated.</p> <p>Dates recorded in this element and its element qualifiers are those associated with the creation and registration and its initial metadata. Dates captured relating to other events associated with the management of records are captured in element 15 Event History.</p> <p>Some redundancy in information may exist as Date/Time Created and Date/Time Registered may be the same.</p> <p>Agent Entity 5.6 Start Date and 5.7 End Date should be derived from a system such as CHRIS (Human Resources Management Information System).</p>			

6. Classification Scheme

<i>Definition</i>	This element identifies and lists the business documented in the record or in an aggregation of records.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Relates records to the business functions they document; ▶ Enables records to be classified by business function; ▶ Facilitates sentencing; ▶ Facilitates allocation of user and security permissions for access control; ▶ Provides evidence of the transaction of business functions; ▶ Provides a means by which the transaction of a business function can be measured; ▶ Facilitates searching for a retrieval of records documenting a business function. 			
<i>Container</i>	Yes			
<i>Applicability</i>	Record entity only.			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Not application for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	6.1 Function Descriptor	Keyword AAA, Local Government or an agency specific thesaurus	Mandatory	Yes
	6.2 Activity Descriptor	Keyword AAA, Local Government or an agency specific thesaurus	Mandatory	Yes
	6.3 Subject Descriptor 1	Keyword AAA, Local Government or an agency specific thesaurus or free text	Optional	Yes
	6.4 Subject Descriptor 2	Keyword AAA, Local Government or an agency specific thesaurus or free text	Optional	Yes
	6.5 Keyword	Keyword AAA, Local Government or an agency specific thesaurus or free text	Optional	Yes
<i>Conditions of Use</i>	Rules governing the use of standard schemes such as Keyword AAA should be used as appropriate.			
<i>Comments</i>	<p>Function/Activity descriptor metadata can be derived from menu lists linked to agency keyword thesaurus.</p> <p>It is anticipated that 'Function' metadata will become 'mandatory' over time as functionally based thesauri (e.g. Keyword AAA, Local Government thesaurus or an agency specific functionally based thesaurus) are adopted and as agencies' function based disposal schedules are implemented.</p> <p>Agencies may wish to add sub-element qualifiers. For example, scope notes, related terms, non-preferred terms, broader terms, narrower terms, keyword type, source authority.</p>			

7. Coverage

<i>Definition</i>	This element identifies the jurisdiction in which the record is valid (i.e. the place name, region or geographical area).			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Provides context; and ▶ Facilitates retrieval. 			
<i>Container</i>	No			
<i>Applicability</i>	Record entity only			
<i>Obligation</i>	Optional.			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Agency Developed Jurisdiction Scheme - see Appendix D LCSH (<i>Library of Congress Subject Heading</i>) TGN (Getty Thesaurus of Geographical Names)			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	7.1 Jurisdiction	Agency Developed Jurisdiction Scheme - see Appendix D	Optional	Yes
	7.2 Place Name	LCSH (<i>Library of Congress Subject Heading</i>) TGN (Getty Thesaurus of Geographical Names) or agency defined	Optional	Yes
<i>Conditions of Use</i>	None.			
<i>Comments</i>	Jurisdiction can be system generated with a menu list, which can be selected from the agency/authority scheme. (See example at Appendix D .) Some redundancy with other elements may exist as Coverage data may be contained within Name, Description , and Classification Scheme elements.			

8. Language

<i>Definition</i>	This element identifies the language (oral or written) in which the record is documented.			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Facilitates searching and retrieval; ▶ Limits the scope of searching; ▶ Facilitates work of agencies working with material originating in foreign countries. 			
<i>Container</i>	No			
<i>Applicability</i>	Record entity only			
<i>Obligation</i>	Optional.			
<i>Repeatable</i>	Yes (Record content may be documented in more than language)			
<i>Scheme/Values</i>	ISO 639			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	None			
<i>Conditions of Use</i>	None.			
<i>Comments</i>	User provided with a drop down list. Default value of en – (for English).			

9. Type

<i>Definition</i>	This element identifies the type of record or format of a record.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Facilitates searching and retrieval of a particular type of record; ▶ Attributes management strategies; ▶ Facilitates understanding of or interpretation of the records; and ▶ Provides additional information. 			
<i>Container</i>	No			
<i>Applicability</i>	Record entity only			
<i>Obligation</i>	Mandatory for 'Item' category, Optional for other categories			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	Sample SARKMS Type Scheme modified for each agency/or Local Government Authority – see an example at Appendix E			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	9.1 Vital Record	Yes/No	Mandatory for an Item category, Optional for a File category	No
	9.2 Vital Record Review Due Date	ISO 8601	Conditional (use if 9.1 is used)	No
<i>Conditions of Use</i>	9.2 Vital Record Review Due Date is to be used only when 9.1 Vital Record element qualifier is used.			
<i>Comments</i>	<p>The value for Type should be selected from a menu, which will at least be partly specific to each agency or local government authority. A sample is available at Appendix E.</p> <p>Use of templates within office applications can assist with automatic population of this element. Some Types will be generic across agencies and Local Government Authorities. Some of them are included in the AGLS set.</p> <p>Some redundancy will occur with Type information replicated in Name, Classification, and Description elements.</p>			

10. Format

<i>Definition</i>	This element identifies the media, data format, extent and physical form of a record or an aggregation of records.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Facilitates management of the record(s) over time; ▶ Provides information on the format, storage medium, physical size and storage space required for a record or group of records; ▶ Facilitates searching and retrieval; and ▶ Assists with planning technology requirements for managing particular formats of records. 			
<i>Container</i>	Yes			
<i>Applicability</i>	Record entity only ('Item' category only)			
<i>Obligation</i>	Conditional (Must be used if record is digital)			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	10.1 Media Format	SARKMS Media Format Scheme – see Appendix F	Optional	No
	10.2 Data Format	SARKMS Data Format Scheme – see Appendix G	Optional	No
	10.3 Medium	SARKMS Medium Scheme – see Appendix H	Optional	No
	10.4 Extent (size)	-	Optional	No
	10.5 Original Creating Environment	-	Optional	No
	10.6 Review Due Date	ISO 8601	Optional	No
<i>Conditions of Use</i>	Element qualifiers will need to be updated each time a record is migrated from one format to another or moved to another storage medium. Old data will be captured in element 15 Event History .			
<i>Comments</i>	Format details for a record can be detected and assigned by the creating business system. For example a word processing record created in MS Word will automatically be given an extension of '.doc' which will indicate the data format. Data format is usually derived from a record's file extension e.g. .pdf denotes a file in Adobe Portable Document Format.			

11. Relation

<i>Definition</i>	This element identifies and defines a relationship or set of relationships that exist between records, agents and functions.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Establishes contextual relationships between records and/or other records, agents and functions; ▶ Provides evidence of a record's relationship to other records, people (agents) and functions; ▶ Allows a chain of evidence to be created by linking related records; ▶ Links related entities and provides a full picture of an organisation's activities ▶ Facilitates understanding of records; and ▶ Facilitates use of records. 			
<i>Container</i>	Yes			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	11.1 Related Entity Identifier	-	Mandatory	Yes
	11.2 Relationship Type	SARKMS Relationship Type – see Appendix I	Mandatory	Yes
	11.3 Relationship Definition	SARKMS Relationship Definition – see Appendix J	Mandatory	Yes
	11.4 Relationship Date	ISO 8601	Optional	Yes
<i>Conditions of Use</i>	Relationships may be complex and there may be more than one relationship between related records and other entities. Should not be used in isolation, but must be used in conjunction with at least its mandatory element qualifiers			
<i>Comments</i>	<p>Relationship metadata may often be derived from a document management system - for example that one document is a subsequent version of a previous document.</p> <p>Relationships within one entity (i.e. parent/child) relationships will generally be able to be automatically attributed by the system.</p> <p>Relationship Type and Relationship Definition can be derived from menu lists – see samples at Appendix I (Relationship Type Scheme) and Appendix J (Relationship Definition).</p> <p>Relationship Date can be system assigned at the time a relationship is established.</p> <p>This is an important element as it draws the important links between entities.</p> <p>Relationship descriptions between entities (i.e. between agents and other agents, records and/or functions) are mandatory in cases where the implementation does not support incorporating the agent metadata into the records 'template', but leaves the descriptions of agent located outside the records depictions.</p>			

12. Access

<i>Definition</i>	This element identifies information that governs the accessibility and use permissions of entities.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Facilitates or restricts access to records, agents or functions by agency staff or the public; ▶ Enables sensitive records, agents and functions to be appropriately identified and managed; ▶ Alerts users to restrictions on access to records; ▶ Prevents access to records by persons with insufficient access authority (security permissions); and ▶ Meets requirements to document sensitivities in record collections under the FOI Act 1991, Privacy Principles and the State Records Act. 			
<i>Container</i>	Yes			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory for Record entity only, Optional for Agent and Function entities			
<i>Repeatable</i>	Yes, but in many circumstances Access Rights of an item will determine also the Access Rights of a File, Box or System.			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	12.1 Access Rights	SARKMS Access Rights Scheme - see Appendix K	Mandatory (Record entity only)	No
	12.2 Rights Type	SARKMS Rights Type Scheme – see Appendix L	Conditional (use if 12.3 is used) (Record entity only)	No
	12.3 Rights Status	SARKMS Rights Status Scheme – see Appendix M	Conditional (Record entity only)	No
	12.4 Security Classification	SARKMS Security Classification Scheme – see Appendix N	Mandatory for Record entity only & Optional for Function entity	No
	12.5 Caveat	SARKMS Caveat Scheme – see Appendix O	Optional (Record & Function entities only)	No
	12.6 Use Conditions	-	Optional (Record entity only)	Yes
	12.7 Access Statement	-	Optional (Record entity only)	Yes
	12.8 Determination Date	ISO 8601	Mandatory (Record entity only)	Yes
	12.9 Review Due Date	ISO 8601	Optional (Record entity only)	Yes
	12.10 Permissions	SARKMS Permissions Scheme – see Appendix S1 for Agent and see Appendix S2 for Agent & Function entities	Optional (Agent & Function entities only)	Yes

<i>Conditions of Use</i>	<p>The Access element should not be used in isolation, but in conjunction with at least its mandatory element qualifiers.</p> <p>Access Rights determine the accessibility (or restrictions applying to access) on a record or a group of records. An aggregation of Records will ‘inherit’ the highest level of Access Rights contained within it.</p> <p>Rights Status must be used if 12.2 Rights Type is ‘Archival Access’, ‘Authorised Public Access’ or ‘FOI’.</p> <p>Security Classification describes the sensitivity of a record and outlines the consequences of unauthorised release in terms of its impact on the State of South Australia.</p> <p>Caveat limits access to certain records to those authorised to access them. Only to be used in conjunction with 12.4 Security Classification.</p> <p>The Use Condition should describe the conditions under which a record can be available for access.</p> <p>The Access Statement should describe why a particular Access Rights regime (i.e. Security Classification, Caveat or Use Condition) was imposed, or document penalties for unauthorised/inappropriate use.</p> <p>The Determination Date can document the date(s) on which a particular Access Rights regime was imposed.</p> <p>Review Due Date can document the date on which a review of Access Rights should take place. It could also be used to flag automatic security de-classification after a set period.</p> <p>Permissions identify an agent’s ability to undertake certain recordkeeping actions on a record or an aggregation of records or to specify the type of permission assigned to a business function or activity.</p>
<i>Comments</i>	<p>The contents of this element reflect the current status of the entity’s Access i.e. Security Classification, Caveat, Use Conditions etc. Previous history of Security Classification, Caveat, Use Conditions, etc is recorded in element 15 Event History.</p> <p>Record Entity Access element qualifier data can be inherited from the Record Type and in some cases may be inherited from a lower level of aggregation. For example, a file will inherit the highest level of Security Classification from items contained in the file.</p> <p>Agent Entity Security Classification and Caveat may be derived from an external source such as the CHRIS HR System.</p>

13. Disposal

<i>Definition</i>	This element documents the processes undertaken to ensure the appropriate disposal of a record or aggregation of records.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Facilitates records disposal or retention activities; ▶ Provides evidence of disposal activities; ▶ Documents the authority for disposal activities; ▶ Trigger authorised disposal activities; and ▶ Facilitates search / retrieval for records of a particular disposal class or retention period. 			
<i>Container</i>	Yes			
<i>Applicability</i>	Record entity only			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	13.1 Disposal Schedule	GDS/RDS	Mandatory	No
	13.2 Disposal Schedule Version	GDS/RDS	Mandatory	No
	13.3 Disposal Schedule Item No.	GDS/RDS	Mandatory	No
	13.4 Disposal Action	GDS/RDS	Mandatory	No
	13.5 Date Sentenced	ISO 8601	Mandatory	No
	13.6 Date Transfer Due	ISO 8601	Optional	No
	13.7 Date Destruction Due	ISO 8601	Mandatory	No
	13.8 Date Destruction Approved	ISO 8601	Mandatory	No
	13.9 Disposal Statement	Free text	Optional	Yes
	13.10 Disposal Authorising Officer	Agency Officer List	Optional	No
<i>Conditions of Use</i>	Although this element is recommended as mandatory many records and record series do not have available GDS or RDS coverage. Recommend use of 'No Disposal Coverage' as default to identify areas where work is required to develop disposal tools.			
<i>Comments</i>	None.			

14. Location

<i>Definition</i>	This element identifies the physical or virtual location of a record or aggregation of records.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Facilitates searching for and retrieval of records; ▶ Contributes to the useability of records; ▶ Enables agencies to track a record's location; and ▶ Assists agencies to determine that records are stored in appropriate storage. 			
<i>Container</i>	Yes			
<i>Applicability</i>	Record entity only			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes (Note: To enable use of element qualifiers)			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	14.1 Current Location	Agency defined scheme	Mandatory	No
	14.2 Store Location	Custodial Agency defined scheme	Mandatory	No
	14.3 Store Definition	-	Mandatory	No
	14.4 Location Date	ISO 8601	Mandatory	No
<i>Conditions of Use</i>	The Records location should not be used by itself, but in conjunction with its element qualifiers.			
<i>Comment</i>	<p>For physical records – user defined (could be a drop down menu)</p> <p>For electronic records:</p> <ul style="list-style-type: none"> • Online - location path • Offline – as for physical records 			

15. Event History

<i>Definition</i>	This element documents the preservation, retrieval, disposal, control, access or use related activities performed or to be performed on a record; the past current or future management events or actions relating to agents or business functions or business activities.			
<i>Purpose</i>	<p>This element:</p> <ul style="list-style-type: none"> ▶ Provides a history of the management and control activities performed on an entity over time; ▶ Acts as an accountability mechanism for records activities and records staff; ▶ Documents the date/time on which activity relating to agents occurred; ▶ Contributes to the authenticity of records created within a function by detailing changes; and ▶ Provides a visible and auditable trail. 			
<i>Container</i>	Yes			
<i>Applicability</i>	All entities			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	15.1 Event ID	-	Mandatory	Yes
	15.2 Event Type	Event Type Scheme – see Appendix Q	Mandatory	Yes
	15.3 Prior Value	Free text	Mandatory	Yes
	15.4 Event Date/Time	ISO 8601	Mandatory	Yes
	15.5 Action Officer	Agency Action Officer List	Mandatory	Yes
<i>Conditions of Use</i>	<p>Event History element is not to be used alone but should be used in association with its element qualifiers.</p> <p>To be used whenever a recordkeeping event is performed on a record or an aggregation of records.</p> <p>Prior Value element will record the metadata value that was changed, or deleted. The current metadata value will be maintained in its appropriate metadata element, but all previous values will be captured in Prior Value to provide an audit trail of all events taking place on a particular function, business activity or transaction group.</p>			
<i>Comments</i>	<p>Most basic metadata can be captured automatically from system audit logs, including Event ID, Date/Time and Action Officer.</p> <p>Where data values are not system generated, values can be selected from menu lists from related schemes e.g. Appendix Q Event Type Scheme.</p> <p>Event History transactions will be generated by the system in which the record is managed, rather than in the system in which it was created.</p>			

16. Precedence

<i>Definition</i>	This element allows the assignment of current time sensitiveness to a record.			
<i>Purpose</i>	This element enables organisations to highlight and prioritise requests that require urgent attention and action.			
<i>Container</i>	No			
<i>Applicability</i>	Record entity only (active records only).			
<i>Obligation</i>	Optional			
<i>Repeatable</i>	No			
<i>Scheme/Values</i>	SARKMS / Document Precedence Scheme - see Appendix W			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	16.1 Date / Time Action Due By	ISO 8601	Mandatory	No
	16.2 Date Action Completed	ISO 8601	Mandatory	No
	16.3 Action Officer	Agency specific list	Mandatory	Yes
	16.4 Action Delegator	Agency specific list	Mandatory	Yes
	16.5 Action Required	Agency specific list	Mandatory	Yes
<i>Conditions of Use</i>	<p>This element is to be populated when a response/action is required.</p> <p>If used, this element should not be used in isolation, but should be used in conjunction with the element qualifiers.</p>			
<i>Comment</i>	None.			

17. Contact

<i>Definition</i>	This element identifies the physical or virtual location of an agent.			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Facilitates accessibility of agents; ▶ Contextualises agents; ▶ Facilitates provision of agency services; ▶ Facilitates searching and retrieval of agent information at a particular location. 			
<i>Container</i>	No			
<i>Applicability</i>	Agent entity only			
<i>Obligation</i>	Mandatory			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	South Australian Government ICT Standard CTO/S 3.5.2			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	17.1 Contact Location	Agency developed Location scheme	Optional	Yes
<i>Conditions of Use</i>	None.			
<i>Comment</i>	Agent Location details may be derived primarily from agency or authority HR Systems e.g. CHRIS, Network Logon systems and agency developed directory and location systems. Refer to the South Australian Government ICT Standard CTO/S 3.5.2 Data and Information – Transmission of Street and Postal Address Data (for Client Information) for specific contact address formatting requirements.			

18. Mandate

<i>Definition</i>	This element identifies and provides information about: <ul style="list-style-type: none"> ▶ The administrative or legal basis for the function or the business activities or transactions within it; ▶ The recordkeeping mandate requirements; ▶ The date when a particular mandate came into effect; ▶ The authorisation of related actions arising from the mandate. 			
<i>Purpose</i>	This element: <ul style="list-style-type: none"> ▶ Relates an activity to the particular functions it transacts; ▶ Demonstrates compliance with legislation, regulation, standards; ▶ Provides date specificity for accountability or evidential reasons. 			
<i>Container</i>	Yes			
<i>Applicability</i>	Function entity only			
<i>Obligation</i>	Optional			
<i>Repeatable</i>	Yes			
<i>Scheme/Values</i>	Not applicable for a container			
<i>Element Qualifiers</i>	<i>Element Qualifier Name</i>	<i>Scheme</i>	<i>Obligation</i>	<i>Repeatable</i>
	18.1 Mandate Type	SARKMS / Agency Mandate Type Scheme – see Appendix T	Mandatory	Yes
	18.2 Mandate Name	SARKMS Mandate Name Scheme – see Appendix U or Parliament of SA Legislation website	Mandatory	Yes
	18.3 Mandate Identifier	-	Optional	Yes
	18.4 Mandate Description	-	Optional	Yes
	18.5 Mandate Date	ISO 8601	Optional	Yes
	18.6 Mandate Jurisdiction	SARKMS Agency Jurisdiction Scheme – see Appendix D	Optional	Yes
	18.7 Mandate Domain	SARKMS Domain Scheme – see Appendix C	Optional	Yes
	18.8 Mandate Audience	SARKMS Audience Scheme – see Appendix V	Optional	Yes
<i>Conditions of Use</i>	<p>If used, this element should not be used in isolation, but should be used in conjunction with the Mandate Type and Mandate Name element qualifiers.</p> <p>Mandate Type identifies the scope of the mandate and the category or type of mandate – see example in Appendix T.</p> <p>Mandate Name documents the name of the resource or reference that contains the recordkeeping requirements and mandates relating to a Function. For example, Business Names Act 1996.</p> <p>Mandate Identifier provides a unique identifier by which the mandate is known, for example, Premier & cabinet Circular No 12 – Information Privacy Principles.</p> <p>Mandate Description provides an optional free text description of the mandate.</p> <p>Mandate Date specifies the date the mandate came into effect and/or the proposed date(s) of review.</p> <p>Mandate Jurisdiction indicates the area in which a mandate or particular function operates.</p> <p>Mandate Domain indicates the business group that the mandate or particular function operates.</p> <p>Mandate Audience indicates whom the mandate or particular function pertains to.</p>			
<i>Comments</i>	None.			

Appendix A: Mapping to other industry metadata standards

This table provides mapping to other recordkeeping and industry metadata standards including:

- [State Records of New South Wales](#) - New South Wales Recordkeeping Metadata Standard;
- [National Archives of Australia](#) Recordkeeping Metadata Standard;
- [Public Record Office of Victoria](#) - VERS Metadata Standard;
- Australian Standard AS 5044 - AGLS Australian Government Locator Service AGLS Metadata Standard;

Element	Standard	Element Number & Names
0 Entity	NSWRKMS	-
	NAA RKMS	0 Entity
	VERS	-
	AS 5044 - AGLS	-
1 Category	NSWRKMS	1. Category Type
	NAA RKMS	12 RC. Aggregation level
	VERS	M6 Object Type M9 Object Content M59 Aggregation Level M111 Business Procedure Limited M112 Transaction Reference
	AS 5044 - AGLS	DC.Type: Category DC.Type: Aggregation
2 Identifier	NSWRKMS	2 Identifier 2.1 Barcode 2.2 Domain
	NAA RKMS	14 RC.Record Identifier 18.4 RKS ID (Domain)
	VERS	M65 Record Identifier M96 Mandate Name M97 Mandate Reference M98 Requirement M99 VEO Identifier M100 Agency Identifier M102 File Identifier M109 Originator's Copy
	AS 5044 - AGLS	DC.Identifier
3 Name	NSWRKMS	3 Title 3.1 Alternative Title 3.2 Abbreviated Title
	NAA RKMS	3 DC. Title 3.3 Title Words 3.4 Title.Alternative
	VERS	M32 Title (Container) M35 Title Words M114 Document Title
	AS 5044 - AGLS	DC. Title
4 Description	NSWRKMS	9. Description
	NAA RKMS	5 DC.Description
	VERS	M40 Description
	AS 5044 - AGLS	DC.Description
	SA Central	DC.Description

**South Australian Recordkeeping Metadata
Standard**

Element	Standard	Element Number & Names
<u>5 Date</u>	NSWRKMS	<i>4 Date</i> 4.1 Creation Date 4.2 Registration date 4.3 Transfer date 4.4 Contents Date Range
	NAA RKMS	10 DC Date 10.1 Date/time Created 10.3 Date/time Registered
	VERS	M54 Date (Container) M55 Date/Time Created M57 Date/Time Registered
	AS 5044 - AGLS	DC.Date DC.Date Created DC.Date Modified DC.Date Valid DC.Date Issues
<u>6 Classification Scheme</u>	NSWRKMS	<i>7 Function</i> 7.1 Function Descriptor 7.2 Activity Descriptor 7.3 Transaction Descriptor 7.4 Function Identifier
	NAA RKMS	9 AGLS Function 9.1 Function Descriptor 9.2 Activity Descriptor 9.3 Third Level Descriptor
	VERS	M50 Function
	AS 5044 - AGLS	AGLS.Function
<u>7 Coverage</u>	NSWRKMS	-
	NAA RKMS	8 DC.Coverage 8.1 DC.Coverage.Jurisdiction 8.2 DC.Coverage.Place Name 8.3 DC.Coverage.Period.Name
	VERS	M46 Coverage M47 Jurisdiction M48 Place Name M49 Period Name
	AS 5044 - AGLS	DC.Coverage DC.Coverage.Jurisdiction DC.Coverage.Spatial DC.Coverage.Temporal DC.Coverage.Postcode.
<u>8 Language</u>	NSWRKMS	10 Language
	NAA RKMS	6.DC.Language
	VERS	M41 Language
	AS 5044 - AGLS	DC.Language
<u>9 Type</u>	NSWRKMS	13 Documentary Form
	NAA RKMS	11 DC.Type
	VERS	M124 Document Type
	AS 5044 - AGLS	DC.Type.Documentary Type
<u>10 Format</u>	NSWRKMS	-
	NAA RKMS	13 DC.Format 13.1 DC.Format.Media Format 13.2 DC.Format.Data Format 13.3 DC.Format.Medium 13.4 DC.Format.Extent
	VERS	M61 Media Format M62 Data Format M63 Medium M64 Extent

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Standard**

Element	Standard	Element Number & Names
	AS 5044 - AGLS	DC.Format DC.Format.Extent DC.Format.Medium
<u>11 Relation</u>	NSWRKMS	Relation 8.1 Related Entity Identifier 8.2 Relationship Type 8.3 Relationship Date
	NAA RKMS	Relation Related Item ID 7.2 Relation Type
	VERS	M42 Relation (container) M43 Related Item ID M44 Relation Type M45 Relation Description
	AS 5044 - AGLS	DC.Relation
<u>12 Access</u>	NSWRKMS	<i>18 Access</i> 18.1 Access Rights 18.2 Access Restrictions 18.3 Access Conditions 18.4 Security Conditions 18.5 Access Statement 18.6 Access Date 18.7 Access Mandate 18.8 Access Business Rules 19 Use 19.1 Use Rights 19.2 Use Restrictions 19.3 Use Conditions 19.4 Use Statement 19.5 Use Date 19.6 Use Mandate 19.7 Use Business Rules
	NAA RKMS	2 Rights Management 2.1 Rights Management Security 2.2 Rights Management.Classification] 2.3 Rights Management.Caveat 2.4 Rights Maangement.Access Status 2.6 Rights Management.Usage Conditions
	VERS	M24 Rights Management (Container) M25 Security Classification M26 Caveat M27 Codeword M28 Releasability Indicator M29 Access Status M30 Usage Conditions
	AS 5044 - AGLS	DC.Rights
<u>13 Disposal</u>	NSWRKMS	<i>16.0 Disposal</i> 16.1 Disposal Authorisation 16.2 Disposal Sentence 16.3 Disposal Statement 16.4 Disposal Date 16.5 Disposal Mandate
	NAA RKMS	19 Disposal 19.1 Disposal Authorisation 19.2 Sentence 19.3 Disposal Action Date 19.4 Disposal Status
	VERS	M88 Disposal M89 Disposal Authorisation M90 Sentence M91 Disposal Action Due M92 Disposal Status
	AS 5044 - AGLS	-

**South Australian Recordkeeping Metadata
Standard**

Element	Standard	Element Number & Names
<u>14 Location</u>	NSWRKMS	6 <i>Place</i> 6.1 Store Location 6.2 Current Location 6.3 Place (date)
	NAA RKMS	RC Location RC.Location.Current Location RC.Location.Home.Location RC.Location.Home.Storage Details
	VERS	M83 Location M84 Current Location M85 Home Location Details M 86 Home Storage Details
	AS 5044 - AGLS	DC Availability (partial)
<u>15 Event History</u>	NSWRKMS	20 Event History 20.1 Event Type 20.2 Event Description 20.3 Event Identifier 20.4 Event Date 20.5 Event History Mandate 20.6 Event History Business Rules 20.8 Action Officer
	NAA RKMS	15 Management History 15.1 Event Date/Time 15.2 Event Type 15.3 Event Description 16 Use History 17 Preservation History
	VERS	M66 Management History (Container) M70 Use History (Container) M74 Preservation History (Container)
	AS 5044 - AGLS	-
<u>16 Precedence</u>	NSWRKMS	-
	NAA RKMS	25 Precedence
	VERS	-
	AS 5044 – AGLS	-
<u>17 Contact</u>	NSWRKMS	-
	NAA RKMS	13 Contact 13.1 Contact Details 13.2 Contact Type
	VERS	M14 Jurisdiction M21 Contact Details
	AS 5044 – AGLS	-
<u>18 Mandate</u>	NSWRKMS	<i>Mandate</i> Mandate Title Mandate Type Mandate Identifier Mandate Date Mandate Description Mandate Jurisdiction
	NAA RKMS	20.RC Mandate
	VERS	M93 Mandate M94 Mandate Type M96 Mandate Name M97 Mandate Reference
	AS 5044 - AGLS	AGLS.Mandate AGLS.Mandate.Type

Appendix B: SARKMS Category Scheme

The record category type scheme is used as a controlled vocabulary for the [Category](#) element. The values defined reflect the levels of aggregations or groups of records that are managed within South Australian Government systems.

This scheme has been adopted from the [National Archives of Australia](#) Recordkeeping Metadata Standard Aggregation level scheme that can be viewed online at <http://www.naa.gov.au/records-management/publications/agrkms.aspx>.

Note: The NAA Record Category Scheme does not include ‘consignment’ as a record category as a level of aggregation because it relates to a temporary physical grouping of records. SRSA has elected to retain ‘Consignment’ as a Record Category as it remains a means of intellectual control for the management of physical records with the Archives Management System.

Record Category Type	Definition
Item²	A single record item such as a letter, report, minute, photograph, object or e-mail.
File	A group of related records usually documenting the same group of transactions based on business function, activity and subject. The group may or may not be physically co-located.
Folder	A data container within an EDRMS.
Box	A collection of record items or files stored in a box.
Consignment	One transfer of one record series to SRSA that have ongoing archival value. Consignments start at 1 and will continue on until the record series is closed.
Series	A group of records created or maintained by an agency or person that are in the same numerical, alphabetical, chronological, or other identifiable sequence.
System	A system that captures and keeps records of an agency/authority business activities.

² Item is default Value

Agent Category Type	Definition
External Author	The external corporate entity, organisational element or individual responsible for contents of an item. See Appendix R for a controlled vocabulary of External Author Types.
Individual	A staff member of an agency or Local Government Authority.
Position	The established position (e.g. from the HR System) occupied by an individual at a specific time.
Workgroup	A formal or informal collection of positions grouped together for management purposes to achieve a business outcome. May include a project team established for a period to achieve an outcome
Section / Unit	A formal collection of workgroups logically grouped together (such as accounting, production, marketing) representing a specific business function.
Business Group	A formal collection of sections/units logically grouped together dedicated to achieving a number of specific outcomes.
Agency	A collection of business groups grouped together by administrative arrangements determined by Government to conduct the business of government
Local Government Authority	A collection of business groups grouped together by administrative arrangement determined by Council to conduct the business of the Council.
Mechanism	A physical mechanism or electronic system that carries out business transactions.
Function Category Type	Definition
Transaction	A specific group or sequence of transactions, which form a business process, performed within an agency or local government authority. E.g. the processes required to process a claim for payment or the processes required to issue a dog registration
Business Activity	An aggregation of transaction groups that fit together in some logical way to achieve a business outcome (e.g. Recruitment or Transport Policy Development).
Business Function	A logical grouping of business activities aimed at achieving an agency's mission (e.g. Provision of Public Transport, or management of National Parks, etc).
Government Function	A high-level function that provides the broader societal context in which an agency's business functions are performed.

Appendix C: SARKMS Domain Scheme

The Domain Scheme is used as a controlled vocabulary for the Domain element qualifier in the [Identifier](#) element; and **18.7 Mandate Domain** element qualifier.

The values are established from major organisational structures within an agency or local government authority and thus are agency specific. It is up to each agency or local government authority to ensure that the values in this scheme are maintained.

The purpose of the domain scheme is to ensure that record, agent and function identifiers remain unique within a global system.

The Domain Scheme is to be created by the agency, the following scheme is an EXAMPLE only.

Domain	Definition
CE	Office of the Chief Executive DPC
Sustainability & Workforce Management	Sustainability & Workforce Management, DPC
Sustainability & Climate Change	Sustainability & Climate Change Office DPC
PSWR	Public Sector Workforce Relations DPC
Employee Ombudsman	Office of the Employee Ombudsman DPC
Capital City Project	Capital City Project DPC
SafeWork SA	SafeWork SA DPC
WorkCover Ombudsman	Office of the WorkCover Ombudsman DPC
Departmental Affairs	Departmental Affairs DPC
AARD	Aboriginal Affairs and Reconciliation Division DPC
Arts SA	Arts SA DPC
Project Implementation Division	Project Implementation Division DPC
Services Division	Services Division DPC
State Records	State Records of SA DPC
Government Publishing	Government Publishing SA DPC
Strategic Communications	Strategic Communications DPC
Cabinet Office	Cabinet Office DPC
Executive Committee of Cabinet	Office of the Executive Committee of Cabinet DPC
Wellbeing & Communities	Policy Coordination: Wellbeing and Communities DPC
Cabinet Secretariat	Cabinet Secretariat and Implementation DPC
Innovation & Opportunity	Policy Coordination: Innovation and Opportunity DPC
Prosperity & Sustainability	Policy Coordination: Prosperity and Sustainability DPC
Intergovernmental Relations	Office of Intergovernmental Relations DPC

Appendix D: SARKMS Jurisdiction Scheme

This scheme is used to provide the contents of the element qualifier Jurisdiction that occurs in [Coverage](#) and [Mandate](#) elements:

Use of this element qualifier is optional, but where the element is required to extend the specificity of the contents of a record or group of records, abbreviations and terms from the agency approved scheme should be used for consistency in vocabulary use.

The following represents sample schemes that may be adopted. Agencies and local government authorities may develop special schemes based on their area of jurisdiction within the State. For example, a Jurisdiction scheme could be developed on National / Conservation Parks or areas covered by particular Health Services.

Jurisdiction Code	Jurisdiction Definition
Au	Australia.
ACT	Australian Capital Territory.
AAT	Australian Antarctic Territory
IOT	Christmas Island, Cocos Is
NI	Norfolk Island
NSW	New South Wales
QLD	Queensland
SA ³	South Australia (Default Value for SA Government Agencies)
TAS	Tasmania
VIC	Victoria
WA	Western Australia
O	Other

Local Government Areas⁴	From LGA Homepage: http://www.lga.sa.gov.au/public/councils.htm
Adelaide	Adelaide City Council
Adelaide Hills	Adelaide Hills Council
Alexandrina	Alexandrina Council
Barossa	Barossa Council
Barunga West	District Council of Barunga West
Berri and Barmera	Berri Barmera Council
Burnside	Burnside City Council
Campbelltown	Campbelltown City Council
Local Government Areas⁵	From LGA Homepage: http://www.lga.sa.gov.au/public/councils.htm
Ceduna	The District Council of Ceduna
Charles Sturt	Charles Sturt City Council
Clare & Gilbert Valleys	Clare & Gilbert Valleys Council
Cleve	Cleve District Council
Cooper Pedy	Cooper Pedy District Council

³ Default value for SA Government agencies

⁴ Default value for Local Government Authority will be the Council Area

⁵ Default value for Local Government Authority will be the Council Area

Coorong	Coorong District Council
Copper Coast	The District Council of the Copper Coast
Elliston	District Council of Elliston
Flinders Ranges	The Flinders Ranges Council
Franklin Harbour	District Council of Franklin Harbour
Gawler	Gawler Council
Goyder	Goyder Regional Council
Grant	District Council of Grant
Holdfast Bay	City of Holdfast Bay
Kangaroo Island	Kangaroo Island Council
Karoonda East Murray	Karoonda East Murray District Council
Kimba	The District Council of Kimba
Kingston	Kingston District Council
Le Hunte	District Council of Le Hunte
Light	Light Regional Council
Lower Eyre Peninsula	District Council of Lower Eyre Peninsula
Loxton Waikerie	District Council of Loxton Waikerie
Mallala	Mallala District Council
Marion	Marion City Council
Mid Murray	Mid Murray Council
Mitcham	Mitcham City Council
Mt Barker	District Council of Mount Barker
Mt Gambier	City of Mount Gambier
Mt Remarkable	Mount Remarkable District Council
Murray Bridge	The Rural City of Murray Bridge
Naracoorte Lucindale	Naracoorte Lucindale Council
Northern Areas	Northern Areas Council
Norwood, Payneham, St Peters	City of Norwood, Payneham and St Peters
Onkaparinga	Onkaparinga City Council
Orroroo Carrieton	The District Council of Orroroo / Carrieton
Out of Districts	For areas of the State of South Australia that are outside a local government boundary or other coverage. Including Outback Areas Community Development Trust
Peterborough	District Council of Peterborough
Playford	City of Playford
Prospect	City of Prospect
Pt Adelaide/Enfield	Port Adelaide Enfield City Council
Pt Augusta	Port Augusta City Council
Pt Pirie	Port Pirie Regional Council
Pt Lincoln	City of Port Lincoln
Renmark Paringa	Renmark Paringa District Council
Robe	Robe District Council
Roxby Downs	Roxby Downs Municipal Council
Salisbury	City of Salisbury
Southern Mallee	Southern Mallee District Council
Local Government Areas⁶	From LGA Homepage: http://www.lga.sa.gov.au/public/councils.htm
Streaky Bay	District Council of Streaky Bay
Tatiara	Tatiara District Council
Tea Tree Gully	City of Tea Tree Gully
Tumby Bay	District Council of Tumby Bay
Unley	Unley City Council
Victor Harbor	City of Victor Harbor

⁶ Default vale for Local Government Authority will be the Council Area

Wakefield	Wakefield Regional Council
Walkerville	Walkerville Town Council
Wattle Range	Wattle Range Council
West Torrens	West Torrens City Council
Whyalla	Whyalla City Council
Woomera (DOD)	Note: Woomera township and Woomera Prohibited Area is operated by the Commonwealth Department of Defence and falls outside a Local Government area. Several State Government functions (eg police, school and hospital) are provided in and operate in Woomera. For additional information contact Department of Defence.
Yankalilla	District Council of Yankalilla
Yorke Peninsula	Yorke Peninsula District Council
Regional / Coastal Waters Districts	Ref Bureau of Meteorology SA regional and Coastal Waters districts available from http://www.bom.gov.au/other/sadist.shtml
Northwest Pastoral	
Northeast Pastoral	
Western Agricultural	
Northern Agricultural	
Central	
Murray	
South East	
Far West Coast	
West Coast	
South Central Coast	
Gulf Waters	
South East Coast	

Appendix E: SARKMS Type Scheme

The Type Scheme has been developed for use in conjunction with the [Type](#) element.

This scheme is in draft form only and is an expansion of the [National Archives of Australia](#) Recordkeeping Metadata Standard V 1.0, Document Type Scheme.

It has also been adopted from [National Archives of Australia](#), AGLS Document Type Controlled Vocabulary.

This scheme can be extended as required by agreement with [SRSA](#).

Record types within the current AGLS set are marked with #

Type	Definition
Act	An act passed by Commonwealth or State Parliament and assented to by the governor (e.g. <i>Freedom of Information Act 1991</i>). Note: see also Regulation – for regulations issued pursuant to an Act.
Agency Registration	A form used to document the registration of an agency in the State Records Archives Management System and to provide details of agency functions, relationships with other agencies, legislation (mandates) etc.
Agenda #	A list of issues or activities as a schedule or program for an event, conference, forum or meeting.
Agreement	A formal, legally binding agreement or memorandum of understanding between two parties. Use: <ul style="list-style-type: none"> ▶ Lease – for lease documents; ▶ Contract – for formal contracts between parties; ▶ Maintenance Agreement – for an agreement on maintenance of equipment and facilities; ▶ Non Disclosure Agreement – for agreement not to disclose information provided by one party to a third party; ▶ Service Level Agreement – for agreements relating to the provision of services either internally or externally.
Application Form	A structured set of information required to initiate a process of obtaining or applying for goods or services. Use: <ul style="list-style-type: none"> ▶ Claim Form - for reimbursement claims; ▶ FOI Applications – For a request for Information under Freedom of Information; ▶ Job Application – For employment application; ▶ Leave application – For permission to proceed or be on leave; ▶ Licence / Permit – for licence or permit applications; ▶ Travel Application – For approval to undertake official travel; ▶ Training Application – For approval to undertake training funded in part or entirely by an agency.
Booking	A booking or reservation request received or sent (e.g. room/facility or vehicle booking).
Briefing	A formal or summary briefing regarding an incident, inquiry or project. Use Report for a detailed report.
Brochure	A small publication or information resource providing information about a service, product, resource or event. See also Marketing document or Newsletter.
Business Contact	A document detailing business, industry and client contacts including names, addresses and other contact details.

Type	Definition
Cabinet Submission	A submission or briefing prepared for Cabinet endorsement, approval and/or information. Use Submission for other types of submissions.
Case File	Information resources documenting the application of established rules and procedures in specific and unique circumstances. Examples include: <ul style="list-style-type: none"> ▶ Personnel files for each employee; ▶ Property Files; ▶ Specific Client files. <p>See also Project File.</p>
Certificate of Attendance	A certificate that documents attendance of an individual at a training or staff development activity conducted by the agency.
Circuit Diagram	A drawing used to illustrate the component parts of and relationships in electrical equipment by illustrating sizes, tolerances, electrical flows, currents, voltages, resistance, and capacitance, etc.
Chart	A map used for navigation at sea and detailing coasts, shorelines, reefs, shoals, hazards to navigation, navigational aids, water depth(s) and tidal movements. See also Map.
Checklist #	Any listing of items or entries provided for reference purposes including an inventory, register, directory or index.
Claim Form	A form submitted for action or reimbursement of expenses incurred. Use: <ul style="list-style-type: none"> ▶ Application Form – for general applications; ▶ FOI Applications – for a request for Information under Freedom of Information; ▶ Job Application – for employment application; ▶ Leave application – for permission to proceed or be on leave; ▶ Licence / Permit – for licence or permit applications; ▶ Travel Application – for approval to undertake official travel; ▶ Training Application – for approval to undertake training funded in part or entirely by an agency.
Complaint	A formal compliant, grievance or appeal about the service, products or some aspect of an agency or authority. Use Ministerial if the complaint is received from or by a Minister.
Consignment list	A form documenting the contents of a consignment of records sent to SRSA for custody.
Contract #	An agreement between two or more parties for the delivery of a product, provision of a service or management of a resource. Use: <ul style="list-style-type: none"> ▶ Agreement – for general agreements or Memoranda of Understanding; ▶ Lease – for lease documents; ▶ Contract – for formal contracts between parties; ▶ Maintenance Agreement – for an agreement on maintenance of equipment and facilities; ▶ Non Disclosure Agreement – for agreement not to disclose information provided by one party to a third party; ▶ Service Level Agreement – for agreements relating to the provision of service either internally or externally.
Correspondence	General correspondence not covered by other record types. Use: <ul style="list-style-type: none"> ▶ Letter; ▶ Faxcover; ▶ Minute; ▶ Memorandum.
Course Material	Any course handouts, presentation notes, training material, study guide.
Crown Solicitor's Opinion	A legal opinion or advice sought from or provided by the Crown Solicitor's Office. Use Legal Advice – for other legal advice sought from or provided by private solicitors or legal practitioners.

Type	Definition
Dataset #	Structured information encoded in lists, tables, databases etc that will normally be in a format available for direct machine processing (e.g. spreadsheets, databases). Data may be numeric or structured text.
Delegation	A formal instrument documenting authority and limits of authority to spend public monies use resources or undertake other activities or transactions. Delegations are usually received from a Minister or Chief Executive.
Diary	A narrative record of daily events or scheduled events and activities undertaken by an individual or workgroup.
Disposal Schedule	A systematic listing of records created by an organisation or agency that plans the life of these records from the time of their creation to their disposal. A Disposal schedule is a continuing authority for implementing decisions on the value of records specified in the schedule. A disposal schedule lists: <ul style="list-style-type: none"> ▶ The records created by the agency; ▶ The retention period for each series or class of records; ▶ The disposal sentence for each series or class of records, specifying whether the records are to be retained as archives or destroyed; ▶ The custody arrangements for each series or class of records, specifying when the records are to be transferred to intermediate storage and/or to archives.
Drawing	A scaled drawing or view of a building (or part of), facility, equipment or system and indicating sizes, dimensions, tolerances and relationship to other buildings, facilities, parts or systems. See also Circuit Diagram.
EEO Application	An application seeking redress or consideration for discriminatory employment decision made pursuant to the Equal Employment Opportunity Act.
Email	An email sent or received regarding a business transaction.
Enhancement / Change request	A formal request for enhancement or change to improve or modify a policy, procedure or system.
Enquiry	A customer enquiry about an agency or authority's products, services, events or resources.
Expenditure Authorisation	A structured form used to authorise the expenditure of agency funds for the provision of goods and services.
Expiation Notice	An expiation or caution notice issued by an agency officer for breach of legislation or regulations.
Expression of Interest (EoI)	An Expression of Interest received usually in response to an Invitation to Register Interest in the provision of goods or services.
Faxcover	A form of correspondence that includes a structured cover sheet, which may have other documents associated with it, which is sent or received by facsimile machine.
File Note	A note added to a file as a comment or reminder to undertake some action.
FOI Appeal	An appeal made for review of an access determination made under the provisions of the <i>Freedom of Information (FOI) Act 1991</i> .
FOI Application	An application made for access to information made to an agency pursuant to the provisions of the <i>Freedom of Information (FOI) Act 1991</i> .
Form #	A structured solicitation of input from a user.
Government Gazette #	A regular formal publication produced by government that may include advice on the formal proclamation of Acts and Regulations as well as advice of vacancies, appointments, bulletins, notices and other legislative directives.
Guidelines #	The primary purpose of a guideline resource is present factual information, advice or guidance about an organisation, event, product or service. Use Instruction for resources that provide directions rather than information. Guidelines allow flexibility as they allow a degree of user interpretation.

Type	Definition
Homepage #	The introductory page or major entry point for an agency/authority website on the Internet.
Image #	<p>The content is primarily a still visual representation other than text. Includes electronic and physical representations such as images, photographs, diagrams, maps and graphics.</p> <p>For digital representations of physical resources, use a more specific document type where possible (e.g. for a scanned media release – use media release).</p>
Index #	Any listing of items or entries provided for reference or website navigation purposes, including an inventory, register or directory.
Instructions #	The primary purpose of instructional resource is to provide clear direction targeted at individuals or organisations.
Intellectual Property	Documents relating to the intellectual property of an agency including patent and copyright material.
Intention to Destroy Records Report	A form used document intention to destroy records and subsequent approval from SRSA for destruction in accordance with an approved disposal schedule.
Invitation	A formal invitation to attend an event or function related to the business of the agency or authority.
Invitation to Register (ITR)	An invitation to Register Interest in the provision of Goods or Services or to apply for a position.
Invoice	A purchase or sales invoice or account submitted as a request for payment or as evidence of payment made.
Job Application	An application for employment made either in response to a position vacancy advertisement or on a casual basis.
Lease	<p>A formal agreement between two parties for the use of building(s), property or equipment. Use also:</p> <ul style="list-style-type: none"> ▶ Agreement – for other general formal agreements; ▶ Contract – for formal contracts between parties; ▶ Maintenance Agreement – for an agreement on maintenance of equipment and facilities; ▶ Non Disclosure Agreement – for agreement not to disclose information provided by one party to a third party; or ▶ Service Level Agreement – for agreements relating to the provision of services either internally or externally.
Leave Application	An application form from an employee to be on or proceed on annual leave, sick leave, long service leave, special leave, etc. A condition of service.
Legal Advice	A legal opinion or advice sought from or provided by a private barrister or solicitor. Use Crown Solicitor's opinion for legal advice sought from or provided by the Crown Solicitor's Office.
Letter	A structured form of correspondence, directed specifically to an individual or organisation or responding to an action. Letters are usually directed outside an agency.
Licence / Permit	An official licence or permit received or issued by an agency with provides authority to undertake some activity.
Log	A record of a sequence of events or transactions which takes place over a period of time. E.g. a ships log.
Materials Safety Data Sheet (MSDS)	A document issued by the manufacturer or supplier of a chemical element or compound which details the characteristics of the material which may be dangerous or otherwise to people or the environment.
Maintenance Agreement	<p>A formal agreement for the provision of or receipt of services for the maintenance of buildings, facilities, property, equipment and systems (including software). Use also:</p> <ul style="list-style-type: none"> ▶ Agreement – for other general formal agreements; ▶ Contract – for formal contracts between parties;

Type	Definition
	<ul style="list-style-type: none"> ▶ Lease – for lease of property or equipment lease; ▶ Non Disclosure Agreement – for agreement not to disclose information provided by one party to a third party; ▶ Service Level Agreement – for agreements relating to the provision of services either internally or externally.
Map	A map depicting a view of property/land or resources on or under the land and indicating a guide to a particular destination, location, event or service. See also Chart for navigation at sea.
Marketing Document	A document promoting organisational products, services or resources.
Media Article	A magazine, newspaper (including Internet equivalents) or similar article or clipping about the agency and/or its programs, products, services or resources.
Media Release #	Information resource specifically designed to provide a brief public statement about an issue or event via the mass media or specialist sector media.
Meeting Minutes #	A summary or record of the proceedings (including any decisions reached) of a meeting.
Memorandum	A structured form of correspondence – formal or informal written briefing summarising an issue and suggesting or reporting on recommended action. Usually used for internal reference only.
Ministerial	A formal request from or response to sent to a Minister’s Office. Includes Parliamentary briefings.
Minute #	A structured form of correspondence acting as an official note, usually recording an action or decision. Used internally within an organisation.
Newsletter	A bulletin or newsletter usually issued on a periodic basis providing information about an organisation, project or other business activity.
Non-Disclosure Agreement	A legal agreement that information provided by one party to another will not be disclosed to a third party. Note use: <ul style="list-style-type: none"> ▶ Agreement – for other general formal agreements; ▶ Contract – for formal contracts between parties; ▶ Lease – for lease of property or equipment lease; ▶ Information provided by one party to a third party; ▶ Service Level Agreement – for agreements relating to the provision of services either internally or externally.
Notebook	A book maintained by a single scientist, surveyor or engineer, which documents the method, approach, tools used and results of an experiment or survey and maintained as evidence of the conduct of experiments.
Ombudsman Enquiry	An enquiry received from or response to an enquiry from the Ombudsman’s Office. Pursuant to the powers of the Ombudsman under the Ombudsman Act.
Organisation Chart	A document that demonstrates the relationships between individuals, positions, or workgroups within an organisation.
Payment Received	A payment received from an internal or external customer for products, services or resources.
Performance Review	A form recording Review of employee Performance Development and Career Planning and actions planned. To enhance the productivity, job satisfaction and employability of individuals and the effectiveness and efficiency of agency.
Photograph	A photographic image (including an image) of a place, person(s) or event etc. Includes negatives, slides.
Photographic Album	A collection of photographs taken by a single photographer or relating to related events, people or places.
Plan	A formal action plan or strategy. Includes <ul style="list-style-type: none"> ▶ Strategic Plans; ▶ Business Plans ▶ Emergency Response Plans; ▶ Disaster Recovery Plans;

Type	Definition
	<ul style="list-style-type: none"> ▶ Risk Management Plans; ▶ OHS&W action Plans; ▶ Training Plans.
Policy (statement)#	A formal statement detailing a course or line of action adopted and pursued by an organisation. Includes public accountability documents such as corporate documents and strategic plans. Use Report – for resources
Presentation	Resources that intended to convey an overview or recommendations on a specific topic or event. Often used to support a verbal delivery. Includes documentation of speeches, conference papers etc.
Procedure	Resources that provide instruction to organisation staff on specific steps to be taken to conduct organisational business. Use Instructions for directions targeted at individuals and/or organisations external to the agency.
Progress Report	A formal report or briefing on the status and/or progress of a program, project or other business activity.
Project File	A set of material documenting the conduct of a discrete and specific activity constituted with set time frame and operating parameters.
Publication	A formal or informal publication/resource.
Purchase Order	An organisational order for goods or services sent to a supplier/vendor.
Quote	A quotation (usually of price and price basis) provided to a customer or received from a vendor for the supply of goods or services.
Record Appraisal	A form used to document the appraisal of the archival value of classes or groups of records by appraisal or analysis of the administrative, legal, evidentiary, research, historical and other values of records.
Refund	A refund received or paid for an overpayment of charges for goods or services.
Register	A formal register of applications received, etc.
Registration of Interest	A formal documentation of interest received in response to an Invitation to Register.
Regulation	Regulations issued pursuant to an Act of State or Commonwealth Parliament. See also Act.
Renewal	A licence or permit renewal.
Report #	The resource provides an account of an organisational activity or a speech or presentations. Includes statements of the organisation's opinion, a decision or the results of an inquiry.
Report book	An organisational record of details relating to science projects including surveys.
Request for Tender RFT	A formal request issued for tenders for the provision of goods or services.
Research Paper	A document relating to formal industry, market, scientific or other research and development.
Response	A formal reply or response to a situation or suggestion.
Retrieval Request	A request issued on SRSA for the retrieval of records from SRSA Custody.
Sales Order	A sales requisition or sales order received from an internal or external customer requesting the supply of goods or services.
Series Registration	A form used to document the registration of a Record Series in the State Records Archives Management System and providing information on Record Series ID, agency recording, date of registration, date ranges relationships and agency information.
Service Level Agreement	A formal agreement between customer and supplier on the level of service required. Use also: <ul style="list-style-type: none"> ▶ Agreement – for other general formal agreements; ▶ Contract – for formal contracts between parties; ▶ Lease – for lease of property or equipment lease; ▶ Maintenance agreement – for maintenance of buildings, facilities, property equipment and systems;

Type	Definition
	▶ Non-Disclosure Agreement – for agreement not to disclose information provided by one party to a third party.
Sound #	The content of this resource is primarily an audio representation, which may be ambient, effects, music, narration or speech.
Standard	An industry or agency code of practice or best practice standard. Includes standards issued by Standards Australia or International Standards Organisation (ISO).
Submission	A formal submission or proposal for funding an action and/or approval.
Subpoena	A subpoena or summons issued by a court (or another legally established enquiry including a Royal Commission or Parliamentary enquiry).
Subscription	A notice to subscribe to or renew an existing subscription to a publication (magazine) or other event.
Survey	A formal survey or questionnaire.
Technical Report	A scientific or other technical report.
Tender Response	A response received as result of the issue of a Request for Tender (RFT).
Training Application	An application to undertake training or staff development course or activity.
Travel Application	An application to undertake business related local, interstate or overseas travel.
Video #	The resource where the content is primarily a visual representation other than text involving moving images, pictures, animation or film.
Web Page	A document published as a web page on an agency or authorities Internet and/or Intranet websites.
Work Request	A request to undertake work, provide a resource or perform a service.

Appendix F: SARKMS Media Format Scheme

The SARKMS Media Format Scheme has been developed for use as a controlled vocabulary in conjunction with the [Format](#) element.

Media format is required to provide information about the format of a record, to enable a number of management processes such as preservation, migration and monitoring to be grouped for records sharing similar formats. For example all videotapes may be physically stored and managed together with appropriate storage facilities.

This scheme has been adopted from the Media format values defined in the [National Archives of Australia](#) Recordkeeping Metadata Standard for Commonwealth agencies V.1.

This scheme may be extended by agreement from [SRSA](#).

Media Type	Definition
Audio	Sound only.
Compound	A resource comprising one or more other resources, which are linked together in some way to form a single object. (e.g. HTML documents with embedded graphics or video clips, or e-mail messages with word-processed documents attached). The Media and Data formats comprising the object may be the same or different.
Image	A static graphical representation of an object (including a textual object).
Message	A message received in electronic format (e.g. e-mail).
Text	A textual document.
Video	Moving pictures or images.

Appendix G: SARKMS Data Format Scheme

The data format Scheme has been developed for use in accordance with the [Format](#) element.

Data format is required to provide specific information about the format of a record to enable appropriate rendering or representation of a record.

This scheme has been adopted from the Data format values defined in the National Archives of Australia Recordkeeping Metadata Standard for Commonwealth agencies V.1

Agencies should note, this list is not comprehensive and can be expanded upon.

Data Format	Definition
ASCII *	ASCII text – plain text, non-proprietary.
AVI	Audiovisual Interleave. Microsoft proprietary audiovisual file format.
BMP	Bitmap – graphics format.
DIF	Data Interchange Format.
DOC, DOCX	Microsoft Word. A Microsoft proprietary word processing document format.
GIF	Graphic Interchange Format – graphics format.
HTML	Hypertext Mark-up Language. A format for making up and linking text.
JPEG	Joint Photographic Experts Group – graphics format.
MIME	Multipurpose Internet Mail Extensions.
MIXED	Mixed Media Format – data received in mixed formats.
MPEG	Video format.
MSG	Microsoft Outlook. Microsoft proprietary email software.
PDF	Portable Document Format. A proprietary Adobe image format often used for imaging text.
POSTSCRIPT	Postscript Format. A proprietary image format.
PPT	Microsoft PowerPoint. Microsoft proprietary presentation software.
RA	Real Audio. An audio format.
RTF	Rich Text Format. A document format.
TXT	Simple Text Format.
TIF	Tagged Image Format – Graphics format often used for fax.
XLS	Microsoft Excel. Microsoft proprietary spreadsheet format.
XML⁷	eXtensible Markup Language. A format for marking up and linking text.

⁷ Preferred long term format for records transferred to State Records

Appendix H: SARKMS Medium Scheme

The SARKMS Medium Scheme has been developed for use in conjunction with the [Format](#) element

Medium has been developed to provide specific information about the container in which the record is stored which enables appropriate storage conditions to be specified and monitored, storage capacity for each medium to be monitored and preservation processes of media refreshing to be undertaken. It also enables retrieval by storage medium, for example, all CD-ROMS etc.

Medium	Definition
Album Photographic	An album for storing photographic prints.
Aperture Card	A card with a micrographic film image fixed within it.
Box <Specify Type>	A physical box or carton for storing files or record items. Note Box type to be specified.
Card <Specify size>	A physical index card for indexing records.
CD-R	Recordable Compact Disk – an optical storage medium, which can be written to once only.
Cinefilm	Photographic film in roll form either (16 or 35mm) used for storing and displaying moving images.
Cylinder<Specify size>	A physical cylinder for storing maps and plans etc.
DAT	Digital Audio Tape – a digital magnetic tape with up to 24gb storage.
Docket	An old format, similar to a file in which the documents are folded once.
DVD <Specify>	Digital Versatile Disc.
Envelope <Specify>	A physical envelope box used for storing company/technical reports, etc.
File Folder	A physical file folder for holding record items.
Film <Specify Size>	Photographic film in roll form either (16 or 35mm) used for storing and displaying still images. See also Cinefilm.
Floppy Disk <Specify Size>	A removable magnetic computer disk, with limited storage capacity (generally 1.44 mb).
Hard Drive <Intranet Server>	A fixed computer disk with several gb of storage capacity, located associated with the machine providing storage for the Intranet.
Hard Drive <LAN Server>	A fixed computer disk with several gb of storage capacity, located associated with the machine providing storage for the local area network.
Hard Drive <Local>⁸	A local fixed computer disk with several gb of storage capacity.

⁸ Default Value

Medium	Definition
JAZ Drive	A removable disk drive with up to 1 gb of storage capacity.
Microfilm	A film in roll form (16mm or 35mm) used for storing reduced images of text and graphics.
Paper <Specify size>	Self-explanatory. Medium for storing primarily text and fixed images/drawings.
Slides 35mm	Photographic film – 35 mm format with one photograph per slide.
Videotape <specify type>	Magnetic tape for recording and storing video moving pictures and audio. VHS, Beta.
Worm	Write Once – Read Many times. An optical disk drive with up to 1 terabyte of storage capacity, which one written becomes read only.
Zip Drive	A removable, portable disk drive with 100 mb of storage capacity.

Appendix I: SARKMS Relationship Type Scheme

The Relationship Type scheme has been developed for use in the Relationship type element qualifier in the [Relation](#) element.

Any of the 6 record categories, 6 agent categories and 3 function categories can be related to each other with the exception of the agent category 'External Author' which can only be related to Individual Position, Item and Transaction Group. Where Agency is used it may be replaced with LG Authority as appropriate.

Note: If Relationship Type is italicised then Relationship Type is Mandatory.

High Level Relationship Type	Grouping of Relationships	Relationship Type
Record Relationship Types		
Record to Record	Item Level	Item to Item
		Item to File
		Item to Folder
		Item to Box
		Item to Consignment
		Item to Series
	File Level	Item to System
		File to Item
		File to File
		File to Folder
		File to Box
		File to Consignment
Folder Level	File to Series	
	File to System	
	Folder to Item	
	Folder to File	
	Folder to Folder	
	Folder to Box	
Box Level	Folder to Consignment	
	Folder to Series	
	Folder to System	
	Box to Item	
	Box to File	
	Box to Folder	
Consignment Level	Box to Box	
	Box to Consignment	
	Box to Series	
	Box to System	
	Consignment to Item	
	Consignment to File	
	Consignment to Folder	
	Consignment to Box	
	Consignment to Consignment	
	Consignment to Series	
	Consignment to System	

High Level Relationship Type	Grouping of Relationships	Relationship Type
	Series Level	Series to Item
		Series to File
		Series to Folder
		Series to Box
		Series to Consignment
		Series to Series
		Series to System
	System Level	System to Item
		System to File
		System to Folder
		System to Box
		System to Consignment
		System to Series
		System to System
Record to Agent	Item Level	Item to External Author
		Item to Individual
		Item to Position
		Item to Workgroup
		Item to Section / Unit
		Item to Business Group
		Item to Agency ⁹
		Item to Mechanism
	File Level	File to Individual
		File to Position
		File to Workgroup
		File to Section / Unit
		File to Business Group
		File to Agency
		File to Mechanism
	Folder Level	Folder to Individual
		Folder to Position
		Folder to Workgroup
		Folder to Section / Unit
		Folder to Business Group
		Folder to Agency
		Folder to Mechanism
	Box Level	Box to Individual
		Box to Position
		Box to Workgroup
		Box to Section / Unit
		Box to Business Group
		Box to Agency
		Box to Mechanism
	Consignment Level	Consignment to Individual
		Consignment to Position
		Consignment to Workgroup
		Consignment to Section / Unit
		Consignment to Business Group
		Consignment to Agency

⁹ Use LG Authority as substitute for Authority in Local Government

High Level Relationship Type	Grouping of Relationships	Relationship Type
		Consignment to Mechanism
	Series Level	Series to Individual
		Series to Position
		Series to Workgroup
		Series to Section / Unit
		Series to Business Group
		Series to Agency
		Series to Mechanism
	System Level	System to Individual
		System to Position
		System to Workgroup
		System to Section / Unit
		System to Business Group
		System to Agency
		System to Mechanism
Record to Function	Item Level	Item to Transaction Group
		Item to Business Activity
		Item to Business Function
		Item to Government Function
	File Level	File to Transaction Group
		File to Business Activity
		File to Business Function
		File to Government Function
	Folder Level	Folder to Transaction Group
		Folder to Business Activity
		Folder to Business Function
		Folder to Government Function
	Box level	Box to Transaction Group
		Box to Business Activity
		Box to Business Function
		Box to Government Function
	Consignment Level	Consignment to Transaction Group
		Consignment to Business Activity
		Consignment to Business Function
		Consignment to Government Function
	Series Level	Series to Transaction Group
		Series to Business Activity
		Series to Business Function
		Series to Government Function
	System Level	System to Transaction Group
		System to Business Activity
		System to Business Function
		System to Government Function
Agent Relationship Types		
Agent to Agent	External Author	External Author to Individual
		External Author to Position
	Individual Level	Individual to External Author
		Individual to Individual
		Individual to Position
		Individual to Workgroup
		Individual to Section / Unit
		Individual to Business Group

High Level Relationship Type	Grouping of Relationships	Relationship Type
		Individual to Agency
	Position Level	Position to External Author
		Position to Position
		Position to Workgroup
		Position to Section / Unit
		Position to Business Group
		Position to Agency
	Workgroup Level	Workgroup to Individual
		Workgroup to Position
		Workgroup to Workgroup
		Workgroup to Section / Unit
		Workgroup to Business Group
		Workgroup to Agency
	Section / Unit Level	Section / Unit to Individual
		Section / Unit to Position
		Section / Unit to Workgroup
		Section / Unit to Section / Unit
		Section / Unit to Business Group
		Section / Unit to Agency
	Business Group Level	Business Group to Individual
		Business Group to Position
		Business Group to Workgroup
		Business Group to Section / Unit
		Business Group to Business Group
		Business Group to Agency
	Agency Level	Agency to Individual
		Agency to Position
		Agency to Workgroup
		Agency to Section / Unit
		Agency to Business Group
		Agency to Agency
Agent to Record	External Author	External Author to item
	Individual Level	Individual to Item
		Individual to File
		Individual to Folder
		Individual to Box
		Individual to Consignment
		Individual to Series
		Individual to System
	Position Level	Position to Item
		Position to File
		Position to Folder
		Position to Box
		Position to Consignment
		Position to Series
		Position to System
	Workgroup Level	Workgroup to Item
		Workgroup to File
		Workgroup to Folder
		Workgroup to Box
		Workgroup to Consignment
		Workgroup to Series

High Level Relationship Type	Grouping of Relationships	Relationship Type
		Workgroup to System
	Section / Unit Level	Section / Unit to Item
		Section / Unit to File
		Section / Unit to Folder
		Section / Unit to Box
		Section / Unit to Consignment
		Section / Unit to Series
		Section / Unit to System
	Business Group Level	Business Group to Item
		Business Group to File
		Business Group to Folder
		Business Group to Box
		Business Group to Consignment
		Business Group to Series
		Business Group to System
	Agency Level	Agency to Item
		Agency to File
		Agency to Folder
		Agency to Box
		Agency to Consignment
		Agency to Series
		Agency to System
Agent to Function	External Author	External Author to Transaction Group
	Individual Level	Individual to Transaction Group
		Individual to Business Activity
		Individual to Business Function
		Individual to Government Function
	Position Level	Position to Transaction Group
		Position to Business Activity
		Position to Business Function
		Position to Government Function
	Workgroup Level	Workgroup to Transaction Group
		Workgroup to Business Activity
		Workgroup to Business Function
		Workgroup to Government Function
	Section / Unit Level	Workgroup to Transaction Group
		Workgroup to Business Activity
		Workgroup to Business Function
		Workgroup to Government Function
	Business Group Level	Business Group to Transaction Group
		Business Group to Business Activity
		Business Group to Business Function
		Business Group to Government Function
	Agency Level	Agency to Transaction Group
		Agency to Business Activity
		Agency to Business Function
		Agency to Government Function
Function Relationship Types		
Function to Function	Transaction Group Level	Transaction Group to Transaction Group
		Transaction Group to Business Activity
		Transaction Group to Business Function
		Transaction Group to Government

High Level Relationship Type	Grouping of Relationships	Relationship Type
		Function
	Business Activity Level	Business Activity to Transaction Group
		Business Activity to Business Activity
		Business Activity to Business Function
		Business Activity to Government Function
	Business Function Level	Business Function to Transaction Sequence
		Business Function to Business Activity
		Business Function to Business Function
		Business Function to Government Function
	Government Function Level	Government Function to Transaction Sequence
		Government Function to Business Activity
		Government Function to Business Function
		Government Function to Government Function
Function to Record	Transaction Group Level	Transaction Group to Item
		Transaction Group to File
		Transaction Group to Folder
		Transaction Group to Box
		Transaction Group to Consignment
		Transaction Group to Series
		Transaction Group to System
	Business Activity Level	Business Activity to Item
		Business Activity to File
		Business Activity to Folder
		Business Activity to Box
		Business Activity to Consignment
		Business Activity to Series
		Business Activity to System
	Business Function Level	Business Function to Item
		Business Function to File
		Business Function to Folder
		Business Function to Box
		Business Function to Consignment
		Business Function to Series
		Business Function to System
	Government Function Level	Government Function to Item
		Government Function to File
		Government Function to Folder
		Government Function to Box
		Government Function to Consignment
		Government Function to Series
		Government Function to System
Function to Agent	Transaction Group Level	Transaction Group to External Author
		Transaction Group to Individual
		Transaction Group to Position
		Transaction Group to Workgroup
		Transaction Group to Section / Unit

High Level Relationship Type	Grouping of Relationships	Relationship Type
		Transaction Group to Business Group
		Transaction Group to Agency
	Business Activity Level	Business Activity to Individual
		Business Activity to Position
		Business Activity to Workgroup
		Business Activity to Section / Unit
		Business Activity to Business Group
		Business Activity to Agency
	Business Function Level	Business Function to Individual
		Business Function to Position
		Business Function to Workgroup
		Business Function to Section / Unit
		Business Function to Business Group
		Business Function to Agency
	Government Function Level	Government Function to Individual
		Government Function to Position
		Government Function to Workgroup
		Government Function to Section / Unit
		Government Function to Business Group
		Government Function to Agency

Appendix J: SARKMS Relationship Definition Scheme

The SARKMS Relationship Definition Scheme is to be used in conjunction with the Relationship Definition element qualifier in the [Relation](#) element.

This scheme provides a definition for every possible relationship type for each entity.

Note: Where possible definitions have been adopted from the National Archives of Australia AGLS Metadata Element Set Usage Guide, January 2002.

Relationship Type	Relationship Definition	Definition
RECORD RELATIONSHIP DEFINITIONS		
Record to Record	Contains	One record contains a physical or logical part or aggregation of another record. For example, a file may contain many items, a series may contain many files, and a consignment may contain many boxes.
	Controls	One record controls and directly determines rules affecting another record. For example, a system for registering record series attributes record series numbers and therefore controls Government Record series.
	Has Format	A record derived from one record by reproduction or reformatting techniques, which is not fundamentally an interpretation but intended to be a representation. For example, an item may have an MS Word 95 format as well as another representation in PDF Format.
	Has Version	A record may have another earlier version in a separate record. For example, a policy document may have an earlier version of the policy stored as a separate item.
	Is Controlled by	One record is directly controlled by another system. For example, a series of files may be controlled by the registration system that allocates their unique identifiers.
	Is Format Of	A record that derives another record by reproduction or reformatting techniques that is not fundamentally an interpretation but intended to be a representation. For example, a record in PDF Format may have been originally derived from a record in MS Word 95 Format.
	Is Part Of	One record is a physical or logical part of another record. For example, many items may be part of a file, many boxes may be part of a consignment.
	Is Referenced By	A record may be referenced by another record. For example, a letter may be referenced by its' letter of reply. A procedure or guideline may reference a policy document.
	Is Required By	A record may be required by another record for its functioning, delivery or content and cannot be used without the related record being present.
	Is Version Of	A record may be an earlier version of another record authored by the same agent. For example, a policy document may be a (previous) version of the current policy document
	Precedes	Indicates a previous sequential relationship between records.

Relationship Type	Relationship Definition	Definition
	References	A record may reference another record. An application to register a record series may reference the system used to allocate the register which controls GRS system
	Requires	A record may require another record for its content and cannot be used without the related record being present.
	Succeeds	Indicates a succeeding sequential relationship between records. For example, an item may succeed another, a file part may succeed a previous file part.
Record to Agent	Is Controlled By	The rules affecting a record are directly determined by the rules affecting the agent who uses the records. For example, access to a report may be controlled by the security classification or caveat applied to a record.
	Is Owned By	A record may be 'owned' by an agent. For example, a business submission may be owned by the workgroup or business group that created the submission.
	Is Approved By	A record may be approved or authorised by an agent. For example, a draft briefing may be approved as the final version by a manager.
	In Custody Of	A record may be transferred to an agent, thereby being in the agent's custody. For example, a record can be transferred to State Record's custody.
Record to Function	Documents	A record may document functions. A group of items may document a transaction group (approving the publication of a publicity brochure for the SA Tourism Commission).
	Is Referenced By	A record may be referenced by a function. For example, Licence Applications may be referenced to perform a transaction group (i.e. the group of transactions required to issue a licence to undertake work as a gas fitter).
	Is Required By	A record may be required by a function for its delivery and cannot be undertaken without the record being present. For example, case files are required to perform processing of cases in a medical centre.
AGENT RELATIONSHIP DEFINITIONS		
Agent to Agent	Contains	Indicates a level of aggregation between agents. An agent can contain a physical or logical part of another agent. For example: An agency can contain business groups; A business group can contain workgroups; A workgroup can contain individuals.
	Controls	One agent controls and directly determines the rules affecting other agents. For example: SRSA controls the Records Policy workgroup A supervisor controls a subordinate
	Is Controlled By	One agent is controlled by an agent, which directly determines the rules affecting it. For example: Records Policy Workgroup is controlled by SRSA; A subordinate is controlled by a supervisor.
	Is part of	Indicates a level of aggregation between agents. An agent can be a physical or logical part of another agent. For example: A business group is part of an agency A workgroup is part of a business group An individual is part of a workgroup.

Relationship Type	Relationship Definition	Definition
	Precedes	Indicates a previous sequential relationship between agents. For example: An individual may precede another individual A workgroup may no longer exist in the way it did previously and can be related together with the new business group in this way.
	Succeeds	Indicates a succeeding sequential relationship between agents. For example: An individual may succeed another individual An agency may succeed another agency and can be related in this way.
Agent to Record	Controls	An agent may directly determine the rules affecting a record. For example, the security classification (clearance level) of an individual may control the access restrictions on a record.
	Owns	An agent may be the 'owner' of and have ultimate responsibility for a record or a group of records. A business group may 'own' a group of files.
	Approves	An agent may approve a record, indicating that it is the final version of a document.
	Custodian	An agent may be in custody of a record, the agent being known as the 'custodian'.
Agent to Function	Controls	An agent may control, but not necessarily own particular functions. For example, the control of an outsourced function may reside with a particular business group responsible for setting the parameters on particular actions are done, without exerting a direct ownership of actions
	Owns	An agent may own particular functions eg a workgroup or business group may 'own' a function. For example: HR Branch may own a particular business function of Recruitment Finance Branch may own the business activity of accounts receivable or transaction group (processing claims for payment) Water Quality Branch performs the business function of monitoring water quality
	Performs	An agent may undertake particular functions For example, an individual or workgroup performs a particular business function or transaction group.
FUNCTION RELATIONSHIP DEFINITIONS		
Function to Function	Contains	Indicates a level of aggregation between functions. A function may contain a physical or logical part of another function. A function (e.g. Human Resources Management) may contain many business activities (e.g. Recruitment, Pay and Conditions, Training and Development, Compensation and Rehabilitation, etc).
	Controls	One function directly determines the business rules affecting the way another function is performed. For example, the finance function may directly control the way purchasing transactions are carried out without directly owning the group that undertakes purchasing.
	Is Controlled By	One function is directly controlled by another function by determining the business rules (systems) affecting the way a function is performed. For example, Purchasing transactions are controlled by the finance function.

Relationship Type	Relationship Definition	Definition
	Is Part of	Indicates a level of aggregation between functions. A function may be a physical or logical part of another function. For example, the business activities of Recruitment, Pay and Conditions, Training and Development etc may be part of the broader function of Human Resource Management)
	Precedes	Indicates a preceding sequential relationship between functions. For example, the Telephone Communications function may have preceded the Technology and Telecommunications function)
	Succeeds	Indicates a succeeding sequential relationship between functions. For example, the Telephone and Telecommunications function succeeded the Computing function.
Function to Record	Is Documented By	A function is defined, explained or expressed in related records. For example, a Transaction Group (paying claims for payment), Business Activity (Finance Operations) may be documented by a group of items such as invoices or files such as vendor files.
	References	A function may reference records. For example, to perform a purchasing business activities, orders, requisitions and specifications may need to be referenced.
	Requires	A function may require records for its delivery or content and cannot function without the related records being present. For example, particular case files may be required to perform certain transactions or business activities.
Function to agent	Is Controlled By	A function may be controlled by not necessarily owned by an agent. For example, an outsourced function may be controlled by a particular business group which has no direct ownership of the actions or how they are performed
	Is Owned By	A function may be 'owned' by or be the responsibility of a particular agent. For example, a function of Financial Management may be 'owned' by a particular agency
	Is Performed By	A function may be performed or undertaken by a particular agent. For example, a business activity – agency training in disposal may be performed by a particular workgroup – Consultancy and Training of SRSA.

Appendix K: SARKMS Access Rights Scheme

The SARKMS Access Rights Scheme has been developed for use with the **Access Rights** element qualifier in the [Access](#) element.

This scheme identifies the public access status of records, including any mandate or their release Access rights should be made in accordance with the *Public Access Determinations Guideline*.

Access Rights	Definition
Open	Records open for public access.
Closed	Closed to public and agency pending an access determination by the responsible agency.
Open after 20 years¹⁰	Records open for public access after 20 years.
Open after 30 years	Records open for public access after 30 years.
Open after 60 years	Records open for public access after 60 years.
Open after 100 years	Records open for public access after 100 years
Embargoed	Identifies records that may not be released until a specific event – e.g. until after public announcement by a Minister, proclamation of legislation, or a particular action by the controlling government agency, etc.

¹⁰ Default Value

Appendix L: SARKMS Rights Type Scheme

The SARKMS Access Rights Scheme has been developed for use with the **Rights Type** element qualifier in the [Access](#) element.

This scheme has been adopted from the Rights Type Scheme published in the NAA Australian Government Recordkeeping Metadata Standard (Version 2.0).

Type Name	Definition
Archival Access	A determination made under the relevant archival legislation as to whether a record is (fully or partially) available for public access.
Authorised Public Access	A determination made by an agency that a record is open to public access, either from the time of its creation or from any time after that.
Copyright	Restrictions, under the <i>Copyright Act 1968</i> , on the copying of further promulgation of a record.
Disclaimer	A caution regarding the accuracy or completeness of information contained in a record.
FOI	A determination made under the <i>Freedom of Information Act 1991</i> as to whether a record is available for public release.
Intellectual Property	Restrictions on the use of the intellectual content of the record.
Privacy	Restrictions, under the <i>Privacy Act 1988</i> , on the use that may be made of personal information collected for business purposes and contained in records.
Use Permission	A permission assigned to records that allows or restricts access by particular agents or groups of agents.

Appendix M: SARKMS Rights Status Scheme

The SARKMS Access Rights Scheme has been developed for use with the **Rights Status** element qualifier in the [Access](#) element.

This scheme has been adopted from the Rights Status Scheme published in the NAA *Australian Government Recordkeeping Metadata Standard (Version 2.0)*.

Status Name	Definition	Applicability
Open	The record is open for public access under the relevant archival or other legislation, or by agency authorisation.	Archival Access Authorised Public Access
Open with Exemptions	Only part of the record is open for public access under the relevant archival or other legislation.	Archival Access
Closed	The record has been withheld from public access under the relevant archival or other legislation.	Archival Access
May be released under FOI	The record contains no information that might preclude it from being released to a person or party under an FOI request.	FOI
Not for Release	The record is not to be released or published.	FOI
May be Published	The record may be published.	FOI
Limited Release	Due to particular sensitivities of a security, privacy or business nature: <ul style="list-style-type: none"> • the record may be released to a limited, defined audience only; or • limited parts or sections only of a record may be released. 	FOI
Published	The record has been made publicly available, either through formal publishing or some other means.	FOI

Appendix N: SARKMS Security Classification Scheme

This security classification scheme has been developed for use in conjunction with the element qualifier **Security Classification** in the [Access](#) element.

The scheme is based on guidelines from the Commonwealth Government *Protective Security Manual* issued by Attorney General's Department.

Note: Use of the National Security Classifications of Top Secret, Secret, Confidential and Restricted relates only to the Defence and Foreign Affairs interests of Australia which are the responsibility of the Commonwealth Government. They are not to be used by South Australian agencies except those that may receive such information and handle it in accordance with the requirements of the *Protective Security Manual*.

Security Classifications	Definition
Highly Protected	Records containing sensitive information the unauthorised disclosure of which would cause exceptionally grave damage to the State of South Australia or its relationships with other States or the Commonwealth. Examples of Highly Protected records are outlined below.
Protected	Records containing sensitive information the unauthorised disclosure of which would cause serious damage to the State of South Australia or its relationships with other States or the Commonwealth. Examples of Protected records are outlined below.
In-Confidence	Records containing sensitive information the unauthorised disclosure of which would be harmful to the State of South Australia or its relationships with other States or the Commonwealth. Examples of In-Confidence records are outlined below: Records identified as 'In Confidence' may be further qualified by the use of Caveats outlined in the Caveat Sub Scheme in Appendix M .
Unclassified ¹¹	Records containing information the unauthorised disclosure of which could possibly be harmful to the interests of South Australia. Records are available to South Australian Government employees and contractors.
Public Domain	Records containing information for unlimited public access and circulation, such as agency publications or web sites. Records given a security classification 'Public Domain' will also have an Access Rights determination of 'Open'.

¹¹ Default value for South Australian Government Records

Highly Protected

Examples of Highly Protected records include:

- Records containing highly sensitive communications between South Australia and Commonwealth and other State and Territory governments;
- Records containing highly sensitive Executive Council and Cabinet information;
- Records containing law enforcement information, the loss or compromise of which could seriously jeopardise significant inquiries or investigations or be harmful to the welfare of individuals, groups or the general community;
- Records containing highly sensitive financial or economic information, the premature release of which could give a significant unfair advantage to any entity;
- Records containing critical business, strategic or marketing information;
- Records containing information about highly sensitive leading edge scientific or technology developments that confer a very significant competitive advantage for South Australia or an agency.

Note: Use of the classification 'Highly Protected' should be extremely rare and only used in exceptional circumstances.

Protected

Examples of Protected records include:

- Records containing sensitive communications between South Australia and Commonwealth and other State and Territory governments;
- Records containing sensitive Executive Council and Cabinet information;
- Records containing law enforcement information, the loss or compromise of which could jeopardise significant inquiries or investigations or possibly be harmful to the welfare of individuals, groups or the general community;
- Records containing financial or economic information, the premature release of which could give an unfair advantage to any entity;
- Records containing important, but not critical business, strategic or marketing information;
- Records containing sensitive and/or significant contractual tender information;
- Records containing sensitive legislative proposals.

Use of the classification 'Protected' should be rare and only used in special circumstances.

In-Confidence

Examples of In-Confidence records include:

- Records containing sensitive information concerning the private affairs of individuals (eg personnel records, medical records, customer/client records);

- Records containing information provided to agencies under an assurance or expectation of privacy (for example provided under the provisions of a non-disclosure agreement);
- Records containing tender and contract information;
- Records containing sensitive industrial relations information;
- Records containing compilations or aggregations of information that individually may be classified as South Australian Restricted but in aggregation should be classified 'In-Confidence'.

Use of the In-Confidence classification may be further refined with the application of a **Caveat** from the Caveat Sub-Scheme outlined in [Appendix O](#).

Unclassified

Unclassified records may not be particularly sensitive but as Government Business Records they are not in the public domain. They are for restricted use within the South Australian Government.

Examples of records, which may be classified as 'SA Government Restricted' include:

- Records containing agenda, papers and minutes of business meetings;
- Records containing financial and accounting information;
- Records containing business and administrative information;
- Records of Internal Policy information.

Appendix O: CAVEAT Scheme

This scheme provides a controlled vocabulary for the **Caveat** element qualifier of the [Access](#) Element. It can be applied with the **Security Classification** element qualifier to limit access to records with special sensitivities. It should not be applied on its own or to records in the Public Domain.

Caveat	Definition
Aboriginal in Confidence	Available only to agents authorised to access records of traditional aboriginal value in accordance with the State Records Act 1997 .
Audit in Confidence	Available only to agents authorised to access South Australian audit related records and functions.
Budget in Confidence	Available only to budget personnel, finance personnel and nominated staff.
Cabinet in Confidence	Available only to agents authorised to access South Australian Cabinet related records and functions.
Commercial in Confidence	Available only to agents authorised to access commercial related records and functions.
Committee in Confidence	Available only to agents authorised to access records and functions related to a specific committee.
Council in Confidence ¹²	Available only to agents authorised to access records and functions related to a specific Local Government Authority.
Finance in Confidence	Available only to finance personnel and nominated authorised staff.
Grievance in Confidence	Available only to agents authorised to access records associated with a particular grievance issue including OCPE and the Ombudsman.
Management in Confidence	Available only to agents authorised to access records and functions of specific management activities.
Medical in Confidence	Available only to agents authorised to access medical related records and functions.
Personnel in Confidence	Available only to agents authorised to access human resource related records and functions.
Security in Confidence	This classification denotes sensitive material with security implications. Available to only those agents who 'need to know'.

¹² 'Council in Confidence' only to be used by Local Government Authorities.

Appendix P: SARKMS Disposal Status Scheme

The SARKMS Disposal Status Scheme may be used as a menu list in conjunction with the element qualifier **Disposal Status** for the [Disposal](#) element.

Disposal Status provides management information about the number of records within a specific disposal status that may be used for storage, planning etc.

This scheme has been adopted from the National Archives of Australia Recordkeeping Metadata Standard for Commonwealth agencies Version 1.0.

Disposal Status	Definition
Destroyed	The record has been destroyed in accordance with an approved Disposal schedule or other approved action. Details about the disposal action will be available in the Event History element.
Permanent	The record is of enduring value and has been sentenced for permanent retention.
Long Term - Temporary	The record is sentenced to be destroyed sometime after it reaches 15 years of age and will be available for general public access for some period of time.
Short Term - Temporary	The record is sentenced to be destroyed before it reaches the age of 15 years of age.
Unknown¹³	The record has no disposal coverage, or is unsentenced, or not enough is known about the record to determine its status.

¹³ Default Value for records with no Disposal Coverage

Appendix Q: SARKMS Event Type Scheme

The Event Type Scheme has been developed for use in conjunction with the element qualifier **Event Type** in the [Event History](#) element.

This scheme has been kept as simple as possible. Most events recorded will be changes to metadata and recorded in the ‘Changed (specify element name)’ description. The other events are recordkeeping processes undertaken on the record itself.

Event Type	Definition
Add <specify element name>	Additional metadata added to the description of the entity, followed by the name of the metadata element which has had specific values added to ensure a history of all metadata changes to specific values.
Archived	The process of archiving records for temporary or permanent archives in accordance with approved disposal schedules issued under the <i>State Records Act 1997</i> .
Backed Up	The process of backing up records to secondary media. For example, tape, CD-R, DVD, etc.
Booked	The process of booking out a record for reuse and/or editing and booking that record back into storage.
Changed <specify element name>	Any changes to any metadata element should be recorded using this value followed by the name of the name of the metadata element changed to ensure a history of all metadata changes to specific values.
Closed	The process of closing a file part of the whole file.
Compressed	The process of compressing a record or group of records.
Converted	The process of transferring records from one medium to another or one format to another. See also ‘Imaged’ or ‘Microfilmed’ for those specific forms of conversion.
Created	The process of making a record category type, agent category type or function category type.
Deleted <specify element name>	Indicates an action that deleted (not changed) the values from a metadata element, followed by the name of the metadata element that had the value deleted to ensure a history of all metadata changes to specific values.
Destroyed	The process of physically destroying the contents of the record while maintaining some (or all) of the metadata about the record in accordance with approved records disposal schedules issued under the <i>State Records Act 1997</i> .
Digitised	The process of converting a record into digital format for alternative use (e.g. imaging a document or photograph or using OCR technology for online access). See also ‘Microfilmed’ or ‘Converted’ for other forms of conversion.

Event Type	Definition
Distributed	The process of distributing /sending copies of a single item to multiple recipients using a distribution list.
Downloaded	The process of copying data from its storage location to a local drive (either within or external to the organisation).
Illegally accessed	Unsuccessful attempts by an action officer or external persons to retrieve records to which they are not entitled access.
Microfilmed	The process of microfilming a record for access and preservation purposes. See also 'Imaged' and 'Converted' for other forms of conversion.
Migrated	The process of transferring records from one records system to another while maintaining authenticity and without major conversion or inputting of data.
Refreshed	The process of reading data and rewriting data to a new medium to compensate for the gradual loss of data quality over time.
Rendered	Processes required to enable a record to be read by specific equipment or software (e.g. rendered in PDF rather than in the original storage format MS Word) – rendered for presentation on a Palm Pilot rather than A4 page etc.
Reviewed	The process of examining and evaluating action to be taken. Specifically used in reviewing access and disposal provisions.
Security Breached	Incidents where an action officer or external person was successful in accessing a record to which they were not entitled.
Transferred	The process of moving a record from one storage location to another – includes transfer to off – line storage as well as to storage warehouses, which may be provided by a third party.
Uploaded	The process of copying data from a local PC Hard Disk (either within the organisation or external to it) to the records system.
Viewed	The process of retrieving information onto a screen (i.e. no copying or downloading).

Appendix R: SARKMS External Author Type Sub-Scheme

The External Author Type sub-scheme is used as a controlled vocabulary for the [Category](#) element for the Agent Type = External Author only.

External Author Type	Definition
Auditor	An external auditor (e.g. SA Auditor General or a private auditor)
Board Member	A member of an external board or Committee (e.g. a nominated member of the State Records Council)
Business	A private sector business or company. A business will hold an ABN or ACN.
Commonwealth Department	A Commonwealth Government Department or Agency (e.g. Department of Defence, Department of Finance, CSIRO, National Archives of Australia. Australian Transport Safety Bureau etc)
Community Group	A Community Group. (For example, Neighbourhood Watch, Friends of the State Opera, Lions, Rotary, Residents Associations, etc.)
Consultant	An external consultant.
Contractor	An external contractor.
Councillor	An elected member of a Local Government Authority (see also Mayor).
Court	A court of law in an Australian jurisdiction (eg High Court of Australia, Family Court, Magistrates Court, etc).
Crown Solicitor	A State or Commonwealth Crown solicitor.
Educational Institution	An educational institution (e.g. private or public schools, TAFE Institutes, Registered Training Organisations, Universities, etc).
Financial Institution	A financial institution – a bank or credit union.
Industry Group	An industry association or group. E.g. Housing Industry Association, Australian Gas Association.
Interstate Department	An interstate (but not Commonwealth) government department or agency.
Legal Practitioner	A barrister, lawyer or other legal practitioner.
Local Government Body	A local government body or authority. E.g. Local Government Association, Corporation of the City of Adelaide, City of Onkaparinga, District Council of Le Hunte.
Mayor	The elected mayor of a Local Government Authority (see also Councillor).
Media Organisation	Print or broadcast media e.g. The Advertiser, Messenger Press, Channel Seven, ABC Regional Radio, etc.

External Author Type	Definition
Medical Practitioner	A doctor, dentist or other medical specialist.
Member of House of Assembly	A member of the South Australian House of Assembly.
Member of Legislative Council	A member of the South Australian Legislative Council.
Member of Parliament	An elected member of the Commonwealth or a State Parliament. See also Member of House of Assembly and Member of Legislative Council. Note: For records authored by the Premier of South Australia use Premier. For records authored by State or Commonwealth ministers use Minister.
Minister	A State or Commonwealth Minister.
Ombudsman	A State or Commonwealth ombudsman.
Other	Other external author not listed in this scheme.
Overseas Government	An overseas government agency or department (e.g. US Food and Drug Administration, US Federal Aviation Agency, MODUK, etc).
Political Party	An Australian Political Party – registered with Aust Electoral Commission as a political party. (E.g. Australian Labour Party, Australian Democrats, The Greens, etc.)
Premier	The Premier of South Australia.
Professional Organisation	A professional association group or society (e.g. Australian Society of Archivists, Institution of Electrical Engineers, Records Management Association of Australasia .)
SA Department	A South Australian Government Department or Agency.
Tenderer	An organisation or person lodging a tender. (See also contractor.)
Vendor	An organisation or business that supplies goods or services to organisations. (See also contractor.)
Volunteer	An individual who provides a service for no fee. Note if representing a community group use community group.

Appendix S1: SARKMS Permissions Scheme

The Permissions Scheme is used as a control for the element qualifier **Permissions** in the [Access](#) element.

Entity	Recordkeeping Permissions	Definitions
All	None ¹⁴	No recordkeeping permissions are allowed. This value is the default for External Authors.
Record	Add a Record	Add a record
	Delete a Record	Delete a record (using a system administrator role)
	Move a Record	Move a record
	Update a Record	Update a record
	View a Record ¹⁵	View a record
Agent	Add an Agent	Add an agent
	Delete an Agent	Delete an agent (using system administrator role)
	Update an Agent	Update an agent
	View an Agent ¹⁶	View an agent
	Assign Privileges	Assign privileges to an agent
Function	Add a Function	Add a function
	Delete a Function	Delete a function (Using system administrator role)
	Update a Function	Update a function
	View a Function ¹⁷	View a function

¹⁴ Is default value for 'External Author' agent Category Type

¹⁵ Default value applied to an Agent for the Record entity

¹⁶ Default value applied to an Agent for the Agent entity

¹⁷ Default value applied to an Agent for the Function entity

Appendix S2: SARKMS Permissions Scheme

The Permissions Scheme is used as a control for the element qualifier **Permissions** in the [Access](#) element.

Type Name	Definitions
Security	A specific security clearance, held by an agent or assigned to a particular business function or activity that restricts or facilitates access to and/or use of security classified information.
Recordkeeping	A permission governing recordkeeping actions that can be performed in a system by an agent or an area of business.
Business	A permission governing business actions that can be performed in a system by an agent or area of business.

Appendix T: SARKMS Mandate Type Scheme

The SARKMS Mandate Type Scheme has been developed for use as a controlled vocabulary for the element qualifier **Mandate Type** to be used in conjunction with the [Mandate](#) element

This scheme had been adopted in part from the National Archives of Australia Recordkeeping Metadata Scheme Mandate Type.

Element qualifiers in the NAA scheme are marked *

Mandate Type	Definition
Administrative Instructions	Administrative Instructions issued by the SA Government or an agency (e.g. Premier and Cabinet Circular 12 – Information Privacy Principles).
Best Practice Standards*	Standards which advocate the adoption of best practice principles and procedures e.g. <ul style="list-style-type: none"> ▶ ISO 9000 2001 Quality Management ▶ AS – ISO 15489 Records Management ▶ AS/NZS 4360.1999 Risk Management
Business Rule*	Internal business requirements arising from agency or government policies, procedures or practices.
Cabinet Directive	Cabinet Directives issued by Dept of Premier and cabinet as a result of Cabinet decisions.
Code of Conduct*	A formal statement of how an individual, or a defined group of individuals, should conduct themselves.
Community Expectation*	Community expectations that particular records will be created and kept for accountability, open government, probity reasons e.g. there is a community expectation that minutes would be kept of government meetings.
Court Order	An official order issued by a judge of a court, requiring or forbidding somebody to do something.
Guidelines	Guidelines issued by the SA Government or an agency (e.g. SRSA Contracting and Official Records Guideline, Email as Official Records Guideline).
Industry regulations	Self-explanatory.
Legislation*	Legislation either State or Federal: <ul style="list-style-type: none"> LOCAL GOVERNMENT ACT 1999 ▶ LAND AND BUSINESS (SALE AND CONVEYANCING) ACT 1994 ▶ STATE RECORDS ACT 1997
Ministerial Directives	Directives issued by a Minister e.g. Procedures for processing Ministerial queries, representations etc.

Mandate Type	Definition
Policy	Policy issued by Government. For example: <ul style="list-style-type: none"> ▶ 9 Ethical Conduct – Access by Members of Parliament to Public Servants; ▶ Freedom of Information Standards; ▶ Community Service Obligations.
Premier & Cabinet Circulars	Circulars issued by Premier & Cabinet e.g.: <ul style="list-style-type: none"> ▶ PC010 Management Requirements for Public Records (under review) ▶ Consulting with Culturally and Linguistically Diverse Communities
Procedures	Procedures (e.g. DPC’s Procedure for the Management of OHS&W Records and Documentation, and Overseas Travel Procedure)
Regulation*	Regulations issued pursuant to an act. For example: <ul style="list-style-type: none"> ▶ <i>BUSINESS NAMES REGULATIONS 1996</i> Regulations issued under <i>THE BUSINESS NAMES ACT 1996</i> ▶ <i>STATE RECORDS REGULATIONS 1998</i> Regulations issued under <i>THE STATE RECORDS ACT 1997</i>
Standards	Standards that relate to particular industries or types of work e.g. building industry standards relating to the fixing of roof structures in wind prone areas.

Appendix U: SARKMS Mandate Name Scheme

The SARKMS Mandate Name Scheme is a sample of controlled vocabulary for **the Mandate Name** element qualifier in the **Mandate** element. It has been developed from the index of legislation available at: <http://www.legislation.sa.gov.au/index.aspx>

Agencies should develop their own Mandate Name Scheme. Agency lists can be expanded to include for example Commonwealth or other state legislation they may be required to administer.

Agencies will need to monitor their scheme to add or modify mandates as appropriate.

Extract from: Acts Committed to Ministers 2008.

ACT	MINISTER
Authorised Betting Operations Act 2000	Minister for Gambling
Boxing and Martial Arts Act 2000	Minister for Recreation, Sport and Racing
Carrick Hill Trust 1985	Minister for Families and Communities
City of Adelaide Act 1998	Minister for State/Local Government Relations
Coast Protection Act 1972	Minister for Environment and Conservation
Dangerous Substances Act 1979	Minister for Industrial Relations
Development Act 1993	Minister for Urban Development and Planning
Freedom of Information Act 1991	Minister Assisting the Premier in Cabinet Business and Public Sector Management
Geographical Names Act 1991	Minister for Infrastructure
Health Care Act 2008	Minister for Health
Legal Practitioners Act 1981	Attorney-General
Liquor Licensing Act 1997	Minister for Consumer Affairs
National Soldiers Memorial Act 1949	Minister for Infrastructure
Native Title (South Australia) Act 1994	Attorney-General
Office for the Ageing Act 1995	Minister for Ageing
Police Act 1998	Minister for Police
Public Intoxication Act 1984	Minister for Mental Health and Substance Abuse
Remuneration Act 1990	Premier
River Murray Act 2003	Minister for the River Murray
Shop Trading Hours Act 1977	Minister for Industrial Relations
State Records Act 1997	Minister Assisting the Premier in Cabinet Business and Public Sector Management
South Australian Multicultural and Ethnic Affairs Commission Act 1980	Minister for Multicultural Affairs
Taxation Administration Act 1996	Treasurer
University of Adelaide Act 1971	Minister for Employment, Training and Further Education
Vetinary Practice Act 2003	Minister for Agriculture, Food and Fisheries

Appendix V: SARKMS Audience Scheme

The SARKMS Audience Scheme has been developed for use for the **Mandate Audience** element qualifier in conjunction with the [Mandate](#) element.

This scheme has been adopted from the AGLS Audience Scheme published in the National Archives of Australia AGLS Metadata Element set Usage Guide.

Categories adopted from the AGLS scheme are marked *

This scheme may be extended by agreement from [SRSA](#).

Audience Categories	Definition
Adults	Persons over the age of 18 years. Use 'Youth' for resources aimed at audience in the range 10-18 years.
All*	Default value – Resources aimed at the whole population.
Business*	Persons or corporations engaged in commerce, trade or industry.
Carers*	Persons or organisations engaged in the care of others (i.e. patients, children, elderly, disabled).
Children	Persons under the age of 18 years. 'Youth' can also be used for resources aimed at audience in the range 10-18 years.
Community Groups*	Groups who provide service to, or represent the views of, specific community sectors.
Employees*	Persons working for another person or business for pay. Use 'Jobseekers' for resources aimed at assisting people seeking employment.
Employers*	Persons or business that employ others.
Families	Persons who have or a re part of a family.
Gay and Lesbian*	Persons who identify themselves as part of the homosexual community.
Government*	Public Sector organisations including local government, state government or Commonwealth government.
Indigenous	Resources aimed at persons who are either from Aboriginal or Torres Strait Islander community.
Industry	Resources aimed at people involved in a Specific Industry. May be further qualified as: <ul style="list-style-type: none"> ▶ Agricultural ▶ Automotive ▶ Building ▶ Defence ▶ Fisheries ▶ Manufacturing ▶ Mining ▶ Petroleum ▶ Transport ▶ Viticulture
Jobseekers*	Resources aimed at persons seeking employment, whether currently employed or unemployed.

Audience Categories	Definition
Low Income Earners*	Persons whose annual income is currently less than \$14, 927 (current at 2002-1-01) – as determined by the Australian Taxation Office.
Men*	Adult male persons.
Migrants*	Persons moving permanently from one country to another, either from Australia overseas, or from other countries to Australia. Includes resources for people from non-English speaking backgrounds or who have English as a second language.
Parent*	Persons filling a mother, father or guardian role in the care of children, whether by birth, adoption or other legal arrangement.
People with Disabilities*	Persons with a disability.
Ratepayers	Persons who pay rates to a Local Government Authority.
Rural*	Persons living and/or working in regional, rural or isolated areas or Australia.
Seniors*	Persons over the age of 65.
South Australian Public Sector	Agencies and organisations associated with public administration within South Australia.
Students*	Persons engaged in a course of study or instruction at pre-primary, primary, secondary, vocational or tertiary level.
Teachers*	Members of the teaching profession, persons instructing students at pre-primary, primary, secondary, vocational or tertiary level.
Tourists*	Persons visiting an area for pleasure/recreation either from overseas or interstate (or another area within the state).
Women*	Adult female persons.
Youth	Persons aged 10-18 years.

Appendix W: SARKMS Precedence Scheme

The SARKMS Precedence Scheme has been developed for use as an option for the [Precedence](#) element.

This scheme has been adopted from the Document Precedence Scheme published in the NAA Australian Government Recordkeeping Metadata Standard (Version 2.0).

Please note: Agencies may choose to use either the precedence code or the precedence name and times are merely suggestions.

Precedence Code	Precedence Name	Timeframe
I	Immediate	Answer required within 1-3 hours
P	Priority	Answer required within 1 working day
R	Routine	Answer required within 2 weeks

Glossary

SRSA has developed a comprehensive glossary based upon a number of sources. Where a definition exists within current legislation, such as the *State Records Act 1997*, it will take primacy. If no definition is available within legislation, the primary source is Australian Standard AS ISO 15489 Records Management.

This glossary is available on the SRSA website, www.archives.sa.gov.au.

Acknowledgments

In developing this Recordkeeping Metadata Standard, reference has been made to a number of sources to ensure consistency with other standards. The following in particular have been of particular value:

- Work done by Barbara Reed of [Recordkeeping Systems Pty Ltd](http://www.recordkeeping.com.au) and Primary Industries and Resources SA (PIRSA) - Records and Document Services Branch in the development of the PIRSA Recordkeeping Metadata Standard – September 2002 which was adopted as a preferred recordkeeping metadata standard model.
- [State Records of New South Wales](http://www.records.nsw.gov.au/): *Recordkeeping Metadata Standard – Technical Specification* June 2001. Available online at: <http://www.records.nsw.gov.au/>
- [National Archives of Australia](http://www.naa.gov.au): *Australian Government Recordkeeping Metadata Standard*, Version 2.0 July 2008. Available online at: <http://www.naa.gov.au>
- [National Archives of Australia](http://www.naa.gov.au): Commonwealth Implementation Manual: Australian Government Locator Service (AGLS) May 2006. Available online at: <http://www.naa.gov.au>
- [Public Records Office of Victoria](http://www.prov.vic.gov.au/recmgmt.htm): VERS Metadata Scheme PROS 99/007 Specification 2 Version 2.1 July 2008. Available online at: <http://www.prov.vic.gov.au/recmgmt.htm>
- Monash University: Records Continuum Research Group: Australian Recordkeeping Metadata Schema. Release Version 1.0. Available online at: <http://rcrg.dstc.edu.au/research/spirt/deliver/index.html>