CITS ERMS

E-ARK Content Information Type Specification for Electronic Records Management Systems

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1 Preface

1.1 Aim of the specification

This document is one of several related specifications which aim to provide a common set of usage descriptions of international standards for packaging digital information for archiving purposes. These specifications are based on common, international standards for transmitting, describing and preserving digital data. They also utilise the Reference Model for an Open Archival Information System (OAIS), which has Information Packages as its foundation. Familiarity with the core functional entities of OAIS is a prerequisite for understanding the specifications.

The specifications are designed to help data creators, software developers, and digital archives to tackle the challenge of short-, medium- and long-term data management and reuse in a sustainable, authentic, cost-efficient, manageable and interoperable way. A visualisation of the current specification network can be seen here:

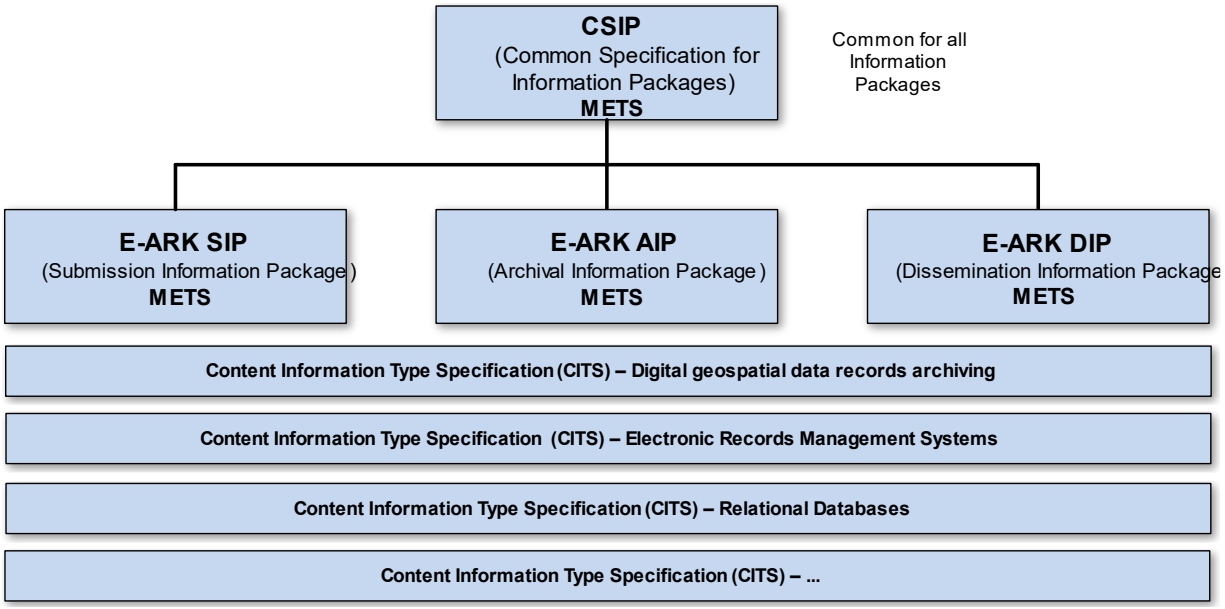

Figure I: Diagram showing E-ARK specification dependency hierarchy. Note that the image only shows a selection of the published CITS and isn't an exhaustive list.

Specification	Aim and Goals
Common Specification for Information Packages	This document introduces the concept of a Common Specification for Information Packages (CSIP). Its three main purposes are to: • Establish a common understanding of the requirements, which need to be met in order to achieve interoperability of Information Packages. • Establish a common base for the development of more specific Information Package definitions and tools within the digital preservation community. • Propose the details of an XML-based implementation of the requirements using, to the largest possible extent, standards which are widely used in international digital preservation.

Specification	Aim and Goals
	Ultimately, the goal of the Common Specification is to reach a level of interoperability between all Information Packages so that tools implementing the Common Specification can be adopted by institutions without the need for further modifications or adaptations.
E-ARK SIP	The main aims of this specification are to: • Define a general structure for a Submission Information Package format suitable for a wide variety of archival scenarios, e.g. document and image collections, databases or geographical data. • Enhance interoperability between Producers and Archives. • Recommend best practices regarding metadata, content and structure of Submission Information Packages.
E-ARK AIP	The main aims of this specification are to: • Define a generic structure of the AIP format suitable for a wide variety of data types, such as document and image collections, archival records, databases or geographical data. • Recommend a set of metadata related to the structural and the preservation aspects of the AIP as implemented by the eArchiving Reference Implementation (earkweb). • Ensure the format is suitable to store large quantities of data.
E-ARK DIP	The main aims of this specification are to: • Define a generic structure of the DIP format suitable for a wide variety of archival records, such as document and image collections, databases or geographical data. • Recommend a set of metadata related to the structural and access aspects of the DIP.
Content Information Type Specifications	The main aim and goal of a Content Information Type Specification is to: • Define, in technical terms, how data and metadata must be formatted and placed within a CSIP Information Package in order to achieve interoperability in exchanging specific Content Information. The number of possible Content Information Type Specifications is unlimited. For a list of existing Content Information Type Specifications see the DILCIS Board webpage (DILCIS Board, http://dilcis.eu/).

1.2 Organisational support

This specification is maintained by the Digital Information LifeCycle Interoperability Standards Board (DILCIS Board, http://dilcis.eu/). The role of the DILCIS Board is to enhance and maintain the draft specifications developed in the European Archival Records and Knowledge Preservation Project (E-ARK project, http://eark-project.com/), which concluded in January 2017. The Board consists of eight members, but no restriction is placed on the number of participants taking part in the work. All Board documents and specifications are stored in GitHub (https://github.com/DILCISBoard/), while published versions are made available on the Board webpage. The DILCIS Board have been responsible for providing the core specifications to the Connecting Europe Facility eArchiving Building Block https://ec.europa.eu/cefdigital/wiki/display/CEFDIGITAL/eArchiving/.

1.3 Authors & Revision History

A full list of contributors to this specification, as well as the revision history, can be found in the Postface material.

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1.1 Purpose and Scope

The purpose of this document is to describe the Content Information Type Specification for ERMS (Electronic Records Management Systems) using a limited number of elements and attributes available in the ERMS XML schema. The specification is designed to be used for the transfer to archives and for records exchange between different ERMS systems. This specification is supported by an XML schema and a Schematron document which further enhances the validation capabilities of the XM schema.

There are two options for extracting information from a producer's system:

1. **Extracting data in a relational database structure**
   The ERMS can be stored in a relational database and thus extracting data from a relational database into a long-term database preservation format (SIARD) that preserves the properties of the relational database so that the data can be further imported into a relational database management system (RDBMS) at the time of access. Access can happen through database queries or via a search field. The main access use cases are:

   a. The producer wishes to retrieve their data for business purposes and/or re-use.
   b. The consumer wishes to consult the data for research purposes.
   c. The archivist wishes to retrieve the data for professional treatment: to check and, if necessary, perform preservation actions, etc.
   d. The original database system software does not need to be licensed and preserved

   The SIARD specification, together with a Content Information Type Specification for SIARD, represents the SIP profile for the relational databases content type. More information about this option is available in the CITS SIARD. The specification and the SIARD standard can be found at https://dilcis.eu/content-types/siard

2. **Extracting data and metadata as aggregations or records**
   Extracting records from the system and normalising them to a standard XML format. This means that the records are semantically marked up using metadata. Being technically valid and complying with this specification makes them directly accessible for validation, data management, indexing and searching. The structured semantic metadata description is explicit rather than hidden inside an RDBS. Aside from the points raised in Section 1 a–d above, the main advantages over the RDBS representation are that it is possible to see aggregations and records as uses cases for an extraction. Additional ones are:

   a. Records from different sources can be merged.

b. Search and access is possible across all records from all sources.
c. Records can be managed and accessed individually and uniformly.
d. The original records system software does not need to be licensed and preserved.

This particular case (i.e. specifying the semantically marked-up metadata profile) will be discussed and described in the remainder of this ERMS specification.

This specification is expected to be implemented in tools that:

- Extract metadata and data from the native producer systems.
- Validate that the metadata and data:
  - conform to the specification
  - are complete, and
  - are internally consistent.
- Receive the metadata and data in another producer system.
- Create a Submission Information Package (SIP) package from the extracted data and metadata.
- Transfer the SIP to the archive.
- Receive the SIP in the archive.
- Create an Archival Information Package (AIP) from the SIP.
- Validate that the AIP:
  - conforms to the specification,
  - is complete, and
  - is internally consistent.
- Ingest the AIP into archival storage.
- Manage AIPs within the archive.

1.2 Scope

The following are out of the scope of this document:

- Proprietary extraction formats, even if they were accompanied by their extraction schema and functional or records system specification. These types of formats have different:
  - use cases resulting in different metadata needs (for original users who want to use the records again in the same form in which they were submitted; for archive management; for future users with new access patterns and content use),
  - amounts of metadata associated with them,
  - degrees of authenticity,
  - dependencies on knowledge about the functionality of the system in which the record can be used.

- The ERMS XML schema is accompanied by a Schematron document with extra rules for conformance. Schematron and how to apply the rules are not described in this document (http://schematron.com).
- Being a tutorial on how to understand the different terms and concepts of records management used to create the specification.

For simplicity, this document does not discuss optimisations concerning packaging and storage. The data model and metadata element definitions only discuss what information is needed, not how it is packaged, stored and optimised for handling; instead, only placement in the package following CSIP is shown.

2 Layered Data Model

This section introduces the structure of the data model, which is based on a layered approach for information package definitions (Figure 1). The Common Specification for Information Packages (CSIP) forms the outermost layer. The general SIP, AIP and DIP specifications add, respectively, submission, archiving and dissemination information to the CSIP specification. These two layers are not part of this document. The third layer of the model represents specific content type specifications, such as this ERMS specification. Additional layers for business-specific specifications and local variant implementations of any specification can be added.

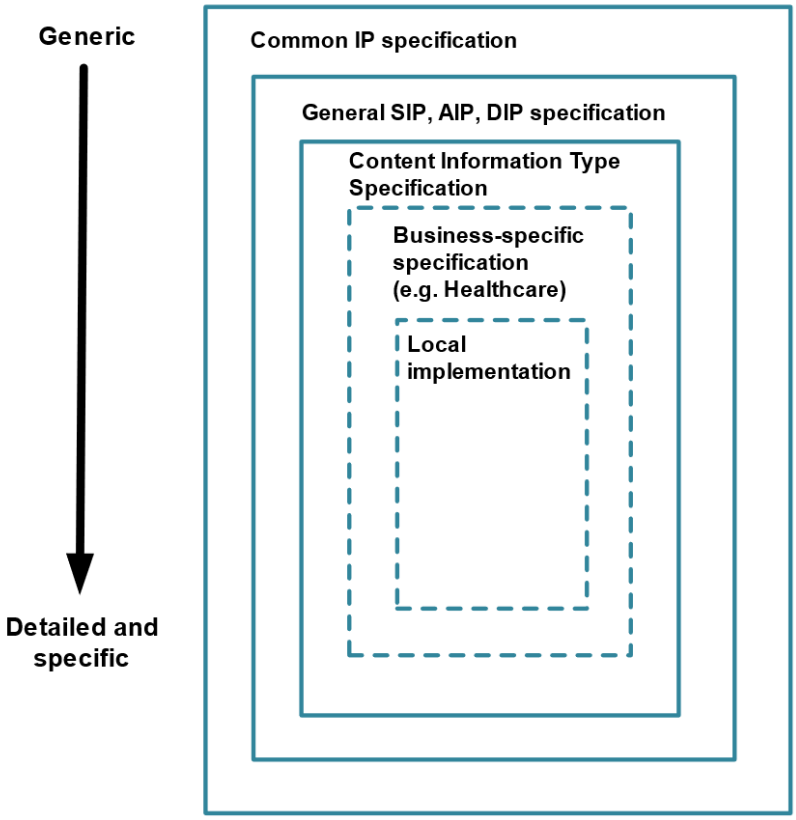

Figure 1: Data Model Structure

The ERMS specification omits all information that is specific to a business area (such as social security) or a specific content type (such as healthcare). However, these specific types of information may be needed by users of the ERMS specification. This need is addressed by providing extension mechanisms in the ERMS specification so that local (e.g. national) extensions to accommodate local requirements can be added by users.

Every level within the ERMS schema inherits metadata entities and elements from the higher levels. To increase adoption, a flexible schema has been developed. This will allow for extension points where the schema in each layer can be extended to accommodate additional information on the next specific layer until, finally, the local implementation can add distinct entities or metadata elements to satisfy particular local needs. Extension points can be implemented via:

- Embedding foreign extension schemas (in the same way as supported by METS [http://www.loc.gov/standards/mets/] and PREMIS [http://www.loc.gov/standards/premis/]). These support both increasing the granularity of existing metadata elements by using more detailed data structures and adding new types of metadata.
- Single extra metadata elements (as supported by using MoReq contextual metadata elements) without defining foreign extension schemas.

The structure allows the addition of more detailed requirements for metadata entities, for example, by:

- Increasing the granularity of metadata elements by using more detailed data structures, or
- Adding local controlled vocabularies.

For consistency, design principles are re-used between layers as much as possible.

3 Using the CITS ERMS in a package

It is possible to place the ERMS export result in the form of one or more XML documents and attachment files into an information package utilised with the Common Specification for Information Packages (CSIP). The package with its principles and requirements is described in the CSIP specification, available at http://earkcsip.dilcis.eu/.

3.1 Specific fields to use in CSIP

When CSIP is used, these high-level metadata elements describing the Content Information Type Specification being used need to be set to the values found in Table 1.

Table 1: Specific fields to use in CSIP

Element name	METS path	Value
General content type	mets/@TYPE	Dataset
Specific content type	mets/@csip:CONTENTINFORMATIONTYPE	citserms_v2_1
Specific content type	fileGrp/@csip:CONTENTINFORMATIONTYPE When the FileGrp describes a Representation	citserms_v2_1

3.2 Placement of data in a CSIP Information Package

The ERMS document is placed as one or more representation data file(s) following the principles and requirements in CSIP and explained in Figure 2. The figure shows that the export from the ERMS is the data transferred and thus placed in the data folder of the package.

If segmentation is needed, please refer to the section in the CSIP specification to gain insight into the splitting of files into several packages. The recommendation is to keep the ERMs XML document in the main package and segment the attachments into different IPs.

If the transfer contains information regarding the archival information and preservation metadata for the content, these XML documents are placed in the folders prescribed by CSIP, and the XML documents themselves follow the instructions in their respective CITS documents.

All the schemas used for creating the ERMS export and the information package in the export is placed in the “schemas” folder.

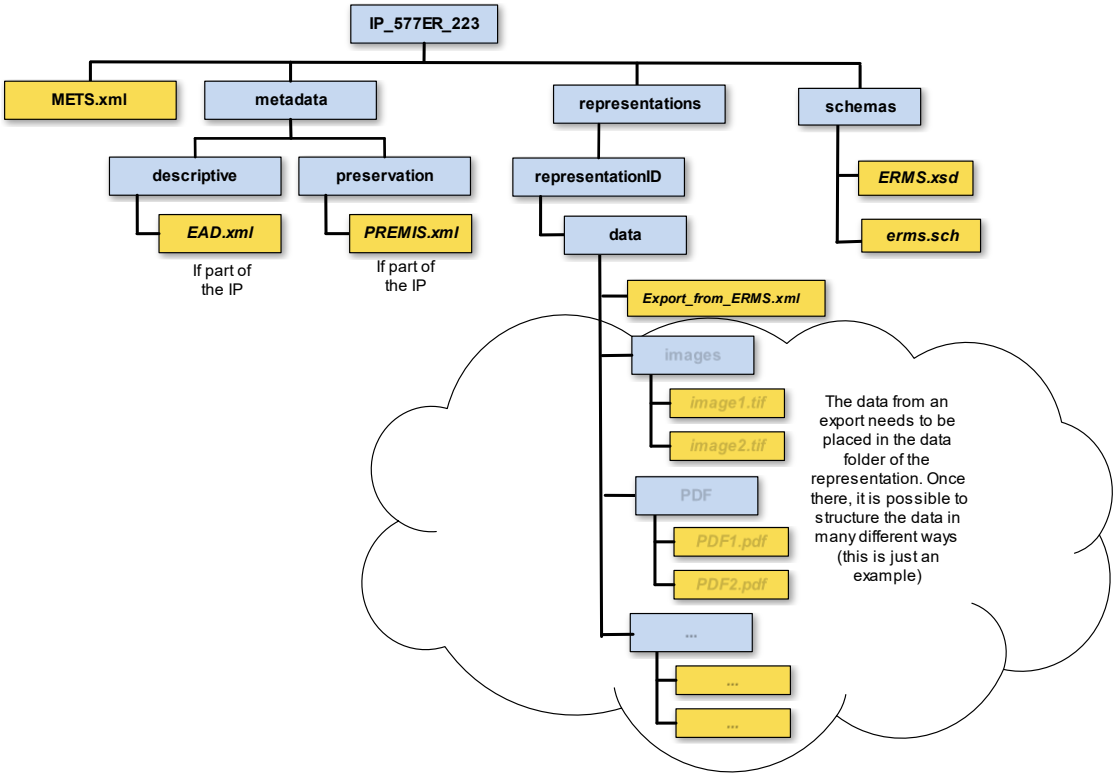

Figure 2: ERMS content and its placement in the information package

4 Metadata

The following subsections in the specification describe the metadata fields that the mapping needs to be performed to from the ERMS system.

4.1 Model picture

The ERMS XML-schema contains the high-level entities seen in Figure 3. As shown, it is possible to export just one record or to export an aggregation.

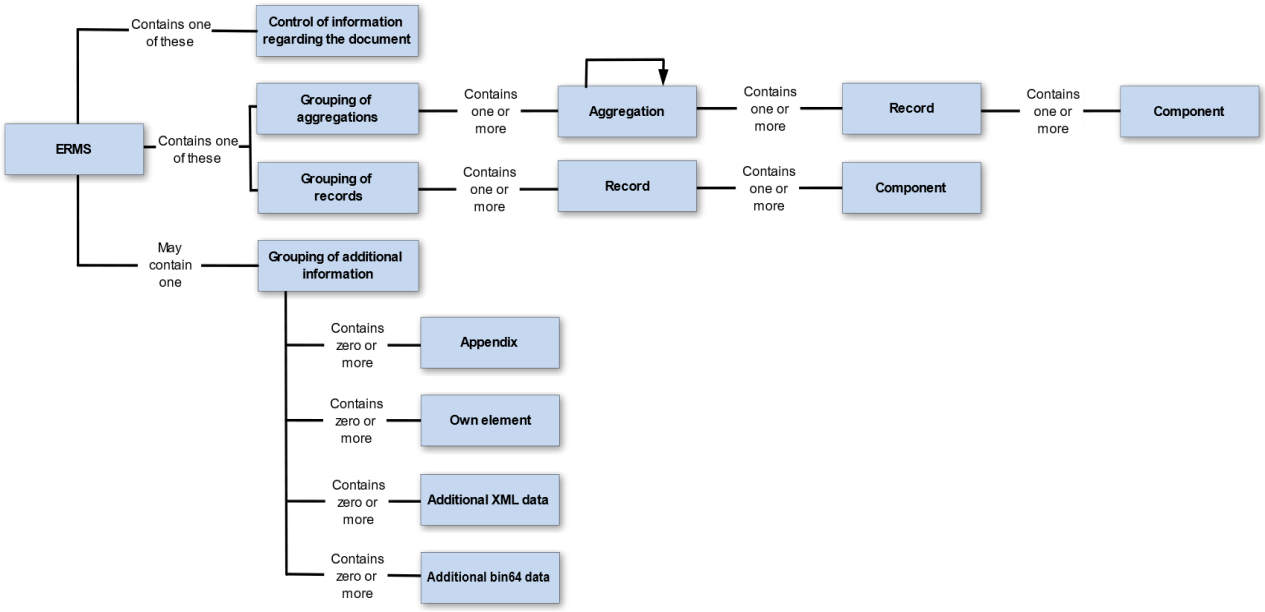

Figure 3: Components of the ERMS XML-format

4.2 Metadata for the Control element

Each XML document containing ERMS information has a mandatory “Control” element to use in an ERMS transfer. The element describes the ERMS file and export of content, making it easier to understand the ERMS file if it should be sent alone or separated from its information package.

Table 2: Control element

ID	Name, Location and Description	Cardinality Level
ERMS1	Identification erms/control/identification Identification of the ERMS document itself.	1..n MUST

ERMS2	Identification erms/control/identification/@identificationType A description of the identifier. Should be present in vocabulary agreed upon by sender and receivers in a submission agreement.	1..1 MUST
ERMS3	Information class for the whole document erms/control/informationClass Information class for the whole document based on information security classification.	0..1 SHOULD
ERMS4	Classification schema erms/control/classificationSchema/ A grouping element for a description of the classification schema used for the records management system. The description itself is carried out through either a link to a classification schema or through a textual description using the sub-elements to this grouping element.	0..1 SHOULD
ERMS5	Classification schema description erms/control/classificationSchema/textualDescriptionOfClassificationSchema/ A textual description of the classification schema used.	0..1 MAY
ERMS6	Classification schema description erms/control/classificationSchema/textualDescriptionOfClassificationSchema/p The textual description is carried out in one or more paragraph elements (abbreviated p-elements).	1..n MUST
ERMS7	Classification schema additional information erms/control/classificationSchema/additionalInformation It is possible to link to a document or webpage describing the classification and to add the information in the document. **See also**: Description of the element “additionalInformation”.	0..1 MAY
ERMS8	Security class for the whole document erms/control/securityClass Security class for the whole document in the case it is needed to easily find this information outside of the classification schema.	0..1 SHOULD
ERMS9	Dates for the whole document erms/control/dates	0..1 MAY

	Grouping element for dates pertaining to the whole document. An evaluation and implementation of the relevant dates need to be considered for each originating system. **See also**: Description of the element “Date”.	
ERMS10	Maintenance information for the whole document erms/control/maintenanceInformation Grouping element for the maintenance information pertaining to the whole document. The information is used for showing the history and creators of the document itself.	1..1 MUST
ERMS11	Maintenance status erms/control/maintenanceInformation/maintenanceStatus/@value The maintenance status of the document following a vocabulary consisting of the terms: “revised”, “deleted”, “new”, “cancelled”, and “derived”.	1..1 MUST
ERMS12	Maintenance agency erms/control/maintenanceInformation/maintenanceAgency Grouping element for describing the agency or responsible body for creating the document.	1..1 MUST
ERMS13	Agency code erms/control/maintenanceInformation/maintenanceAgency/agencyCode The identifying code for the agency or responsible body for creating the document.	0..1 SHOULD
ERMS14	Agency code type erms/control/maintenanceInformation/maintenanceAgency/@type The type of identification code following a vocabulary decided upon in the submission agreement.	1..1 MUST
ERMS15	Other agency code erms/control/maintenanceInformation/maintenanceAgency/otherAgencyCode There might be more than one identification code for the agency or responsible body for the creation of the document.	0..n MAY
ERMS16	Other agency code type erms/control/maintenanceInformation/maintenanceAgency/agencyCode/@type The type of the other identification code.	0..1 SHOULD

ERMS17	Agency name erms/control/maintenanceInformation/maintenanceAgency/agencyName The name of the agency or responsible body for creation the document.	1..n MUST
ERMS18	Maintenance note erms/control/maintenanceInformation/maintenanceAgency/note A note for describing the agency or responsible body. **See also**: Description of element “Note”.	0..1 MAY
ERMS19	Maintenance history erms/control/maintenanceInformation/maintenanceHistory The maintenance history of the document.	1..1 MUST
ERMS20	Maintenance event erms/control/maintenanceInformation/maintenanceHistory/maintenanceEvent The maintenance events pertaining to the document.	1..n MUST
ERMS21	Event type erms/control/erms/control/maintenanceInformation/maintenanceHistory/eventtype/@value The type of maintenance event following a vocabulary consisting of the terms: “created”, “revised”, “deleted”, “cancelled”, “derived”, “updated” and “unknown”.	1..1 MUST
ERMS22	Event date and time erms/control/maintenanceInformation/maintenanceHistory/eventDateTime The date and time the event occurred following the xsd:DateTime specified format.	1..1 MUST
ERMS23	Agent carrying out the event erms/control/maintenanceInformation/maintenanceHistory/agent The agent responsible for the event. **See also**: The description of the element “Agent”.	1..1 MUST
ERMS24	System information erms/control/systemInformation	0..1 MAY

	A grouping element where the exporting system can add extra information pertaining to the whole document.	
ERMS25	Extra metadata from the system erms/control/systemInformation/extraMetadataInformation The exporting system can include system information in its own XML format. This must be agreed upon in the submission agreement.	0..1 MAY
ERMS26	System information agents erms/control/systemInformation/agents The system might add information about system agents.	0..1 MAY
ERMS27	System agent erms/control/systemInformation/agents/agent A description of the agent. **See also**: The description of element “Agent”.	1..n MUST

4.3 Metadata for elements re-used throughout the specification

In this specification, several elements are re-used; these elements are not repeated every time they occur; instead, a reference to the description in this chapter is made.

4.3.1 Metadata for the Additional Information element

It is possible to add additional information in the document using the element additional information acting as a grouping element for further information. The element additional information is present in several places throughout the specification and XML-schema. The addition comes in two flavours; a link to a file or as added own XML elements. The use of this construction needs to be agreed upon and documented in a submission agreement.

For the links, it is expected to find the link ending within the transfer, but there might be cases when the link goes to a file being saved outside of the information package, for example, when the specification is used for a change of records management system.

For the additional XML elements that can be added, it needs to be decided which own elements should be added. These should be as few as possible; an extensive addition of elements is more suitable to express with a local XML schema will be linked as additional information.

Table 3: Additional information element

ID	Name, Location and Description	Cardinality Level

ERMS28	Appendix additionalInformation/appendix Grouping of additional information in the form of a link to a document.	0..n MAY
ERMS29	Disposability of the appendix additionalInformation/appendix/@disposable Boolean indication if the appendix can be disposed of.	0..1 MAY
ERMS30	Name of the appendix additionalInformation/appendix/@name The name of the appendix.	1..1 MUST
ERMS31	Description of the appendix additionalInformation/appendix/@description A description of the appendix. This can be a short abstract.	0..1 MAY
ERMS32	File format of the appendix additionalInformation/appendix/@FileFormat The file format for the appendix.	0..1 SHOULD
ERMS33	Original file format of the appendix additionalInformation/appendix/@originalFileFormat If the appendix has been transformed to the current format and the format the transformation occurred from are registered, this element can contain the original file format information.	0..1 MAY
ERMS34	Path to the appendix additionalInformation/appendix/@Path The path to the appendix. Follow the guidance in CSIP for making the reference.	1..1 MUST
ERMS35	Marker of eSignature additionalInformation/appendix/@eSignatureHasExisted Boolean indicating if an eSignature has been present but disposed of before transfer.	0..1 MAY
ERMS36	eSignature additionalInformation/appendix/eSignature The appendix can have a saved eSignature described in a grouping element.	0..1 MAY

ERMS37	eSignature presence additionalInformation/appendix/eSignature/@present Boolean indicating the presence of an eSignature.	1..1 MUST
ERMS38	Verification date for the eSignature additionalInformation/appendix/eSignature/@dateSignatureIsVerified The date and time the signature was verified following the xsd:DateTime specified format.	0..1 MAY
ERMS39	Signature additionalInformation/appendix/eSignature/signature The signature is inserted following its own XML schema. The use needs to be stated in the submission agreement in combination with which schema is being used.	0..1 SHOULD
ERMS40	Own elements additionalInformation/ownElement Additional information in the form of creation of a small number of extending elements creation a grouping by using elements present for generic construction. This method should only be used for a small number of additions, and documentation of the use needs to be created.	0..n MAY
ERMS41	Description of own element additionalInformation/ownElement/ownElementDescription A description of the own elements purpose.	0..1 SHOULD
ERMS42	Own element additionalInformation/ownElement/ The elements and attributes for the own element are seen in the example. It is important to make an agreement in the submission agreement upon the use of this element and how it is used.	0..n MAY
ERMS43	Additional XML data additionalInformation/additionaXMLData Additional information in the form of extending XML data that is inserted. This XML data follows its own XML schema and uses its own elements.	0..n MAY
ERMS44	Additional binary data additionalInformation/additionalBinData	0..n MAY

	Additional information in the form of inserted binary 64 data. It is important to note that for the binary data it is necessary to have information about the decoding of the information.	

Example of own elements

It is possible in this specification to add single extra elements following these examples.

```
<ownElement>
  <ownElementDescription>Own element used for detailing accounting information</ownElementDescription>
  <ownElement name="Responsible unit" dataType="String" format="Used accounting system">
    <value>3456/206/86176</value>
    <property>
      <attribute name="Accounting information">
        <value>Se-1234-3214-444</value>
      </attribute>
    </property>
  </ownElement>
</ownElement>
```

```
<ownElement>
  <ownElementDescription>Own element used for detailing accounting information and value representing the accountant</ownElementDescription>
  <ownElement name="Responsible unit" dataType="String" format="Used accounting system">
    <value>3456/206/86176</value>
    <property>
      <attribute name="Accounting information">
        <value>Se-1234-3214-444</value>
      </attribute>
    </property>
    <ownElement name="Accountant" dataType="String" format="Username">
      <value>MARJAAS</value>
    </ownElement>
  </ownElement>
</ownElement>
```

```
<ownElement>
  <ownElementDescription>Comments regarding the system</ownElementDescription>
  <ownElement name="Comment" dataType="String">
    <value>System comment 1</value>
  </ownElement>
  <ownElement name="Comment" dataType="String">
```

```
    <value>System comment 2</value>
  </ownElement>
</ownElement>
```

4.3.2 Metadata for the Date element

It is possible to specify several dates for both aggregations and records each date is described in the date element which is grouped in a “Dates” element.

Table 4: Date element

ID	Name, Location and Description	Cardinality Level
ERMS45	Dates A grouping element for all different kinds of dates occurring in the document.	0..1 SHOULD
ERMS46	Date dates/date One date element is present for each type of date described. The date and time for the date are given following the xsd:DateTime specified format.	1..n MUST
ERMS47	Type of date dates/date/@dateType Classification of the type of date described. Follows a vocabulary. **See also**: Vocabulary for date type.	1..1 MUST
ERMS48	Other type of date dates/date[@dateType=”other”]/@otherDateType When the date type is set to the value “other” the otherDateType attribute is used to give the type of date being described.	0..1 SHOULD

The type of date can be specified using the values from table 5 accessible in the attribute @dateType.

Table 5: Vocabulary for date type

Term	Explanation
aggregated	Date of aggregation.

appraisal	Date of appraisal.
archived	Date of action archived.
archiving	Date of archiving.
captured	Date of capture.
checked_in	Date of check in.
checked_out	Date of check out.
classification	Date of classification made.
closed	Date of closing.
confidentiality__assessed	Date when confidential assessment was made.
created	Date of creation.
decision	Date of decision.
decision_date	Date of decision.
decision_deadline	Deadline for making a decision.
decrypted	Date of decryption.
deleted	Date of deletion.
destroyed	Date of destruction.
dispatch	Date of dispatch.
encrypted	Date of encryption.
end	End date.
expedited	Date expedited.
expiration	Date of expiration.
finished	Date of finish.
first_used	Date of first use.
last_addition	Date of last addition.
last_addition_timestamp	Date of last addition timestamp.
last_reviewed	Date of last review.
loan	Date of loan.

main_signature	Date when main signature created.
modified	Date of modification.
moved	Date of move.
opened	Date of opening.
opening_date	Date of opening.
originated	Date of origination creation.
other_signature	Date when other signatures added.
ownership_start	Date when ownership starts.
prepared	Date of preparation.
received	Date of receipt.
received_at_location	Date of receipt at the location.
relocated	Date of relocation.
rendered	Date of rendition.
reviewed	Date of review.
sent	Date sent.
start	Date of start.
take_back	Date of take back.
transferred	Date of transfer.
other	Description of other dates not in the list.

4.3.3 Metadata for the Note element

It is possible to add notes in the document using the element note.

Table 6: Note element

ID	Name, Location and Description	Cardinality Level
ERMS49	Note note A note regarding, for example, an aggregation or a record.	0..n MAY
ERMS50	Type of note	0..1

	note/@noteType A description of the identifier. Should be present in vocabulary agreed upon by the sender and receivers in a submission agreement.	MAY
ERMS51	Date of the note note/@noteDate The date the note is recorded.	0..1 SHOULD

4.3.4 Metadata for the Relation element

It is possible to describe relations.

Table 7: Relation element

ID	Name, Location and Description	Cardinality Level
ERMS52	Relation relation Each relation is described with a relation element. As a value the identification of the entity being part of the relation is given.	0..n MAY
ERMS53	Type of relation relation/@relationType Classification of the type of relationship described. Follows a vocabulary. **See also**: Vocabulary for relation type.	1..1 MUST
ERMS54	Other type of relation relation[@relationType=”own_relation_definition”]/@otherRelationType When the relation type is set to the value “Other” the OtherRelationType attribute is used to give the type of relationship being described.	0..1 SHOULD

The type of relationship can be specified using the values from table 8 accessible in the attribute @relationType.

Table 8: Vocabulary for relation type

Term	Explanation

replaces	This entity replaces the entity identification given.
is_replaced_with	This entity is replaced by the entity identification given.
reference	This entity references the entity identification being given.
referenced_by	This entity is referenced by the entity identification being given.
demands	This entity is demanding the entity identification being given.
needed_by	This entity is needed by the entity identification being given.
contains	This entity contains the entity identification being given.
part_of	This entity is a part of the entity identification being given.
other_format_version	This entity has another format version being available in the entity identification being given.
another_format_version_of	This entity is the other format version of an entity identification being given.
has_version	This entity has another version described is in the entity identification being given.
is_version_of	This entity is a version of the entity identification being given.
is_redacted_version_of	This entity is the redacted version of the entity identification being given.
has_redacted_version	This entity has a redacted version available in the entity identification being given.
rendition_version_of	This entity is the redacted version of the entity identification being given.
has_rendition_version	This entity has a rendition being available in the entity identification being given.
is_child_of	This entity is the child entity to the entity identification being given.
is_parent_of	This entity is the parent of the entity identification being given.
moved	The entity described with the entity identification given has been moved.
moved_from	This entity has been moved from the entity identification given.
deleted	The entity described with the entity identification given has been deleted.
own_relation_definition	A description of an own relation type.

4.3.5 Metadata for the Restriction element

It is possible to describe restrictions.

Table 9: Restriction element

ID	Name, Location and Description	Cardinality Level
ERMS55	Restrictions Each restriction is described with a restriction element.	0..n MAY
ERMS56	Type of restriction restriction/@restrictionType Classification of the type of relationship being described. Follows a vocabulary. **See also**: Vocabulary for restriction type.	1..1 MUST
ERMS57	Other type of restriction restriction[@restrictionType=”other”]/@otherRestrictionType When the restriction type is set to the value “Other type” the otherRestrictionType attribute is used to give the type of restriction being described.	1..1 MUST
ERMS58	Explanatory text restriction/explanatoryText An explanatory text regarding the restriction.	0..1 SHOULD
ERMS59	Regulation restriction/regulation A description of the regulation and paragraph used.	1..1 MUST
ERMS60	Information class restriction/informationClass The information class associated with the restriction.	0..1 MAY
ERMS61	Security class restriction/securityClass The security class associated with the restriction.	0..1 MAY
ERMS62	Dates restriction/dates/date	0..1 MAY

	Dates related to the restriction. **See also**: Description of element “Date”.	
ERMS63	Duration restriction/duration There might be durations given for the restriction. It is either given by dates or by a number.	0..n MAY
ERMS64	Duration dates restriction/duration/dates/date The duration can be given with a set of dates. **See also**: Description of element “Date”.	0..n MAY
ERMS65	Calculated duration restriction/duration/calculatedDuration The duration can be calculated.	0..1 MAY

The type of restriction can be specified using the values from table 11 accessible in the attribute @restrictionType.

Table 10: Vocabulary for restriction type

Term	Explanation
confidential	This entity is considered confidential.
gdpr	This entity contains GDPR sensitive information.
integrity	This entity contains integrity information.
other_type	Description of restriction is not on the list.

4.3.6 Metadata for the Intellectual Property Protection element (IPP element)

It is possible to describe IPP restrictions.

Table 11: IPP element

ID	Name, Location and Description	Cardinality Level
ERMS66	IPP information IPPInformation Each IPP is described with an IPP element.	0..n MAY

ERMS67	Agent IPPInformation/agent All agents associated with the IPP is described in its own agent element. **See also**: The description of element “Agent”.	0..n SHOULD
ERMS68	Conditions IPPInformation/reproductionConditions A description of the conditions for reproduction.	0..n SHOULD
ERMS69	IPP type IPPInformation/ippType The IPP reference to a legislative act.	0..1 MAY
ERMS70	IPP duration IPPInformation/ippuration There might be durations given for the IPP. These are either given by dates or by a number.	0..n MAY
ERMS71	IPP duration dates IPPInformation/ippduration/dates/date The duration can be given with a set of dates. **See also**: Description of element “Date”.	0..n MAY
ERMS72	Calculated duration IPPInformation/ippduration/calculatedDuration The duration can be calculated.	0..1 MAY

4.3.7 Metadata for the Classification element

It is possible to classify each of the records and aggregations entities following the described classification schema provided in the control section of the XML document.

Table 12: Classification element

ID	Name, Location and Description	Cardinality Level
ERMS73	Classification classification	0..1 MAY

	A classification of the entity. Values need to be expressed and considered as documentation and follow the submission as documentation.	
ERMS74	Identification classification/@classificationId Identification of the classification.	0..1 SHOULD
ERMS75	Code classification/@classificationCode The code for the classification.	0..n SHOULD
ERMS76	Hierarchical identifier classification/@fullyQualifiedClassificationCode The hierarchical identifier of the entity, which is unique within the ERMS.	0..1 MAY
ERMS77	New hierarchical identifier classification/@newFullyQualifiedClassificationCode The new hierarchical identifier of the entity, which is unique within the ERMS.	0..1 MAY

4.3.8 Metadata for the Loan element

It is possible to give a description of the loans of the entity.

Table 13: Loan element

ID	Name, Location and Description	Cardinality Level
ERMS78	Loan loan A description of a loan of the entity.	0..n MAY
ERMS79	Agent loan/agent Identification of the agent taking part in the loan. **See also**: Description of element “Agent”.	0..n SHOULD
ERMS80	Loan dates loan/dates	0..1 SHOULD

	All dates associated with the loan grouped in a grouping element named “dates”.	
ERMS81	Each date loan/dates/date Each date associated with the loan. **See also**: Description of element “Date”.	1..n MUST
ERMS82	Term loan/term The description of the terms for a loan of the entity.	0..1 SHOULD

4.3.9 Metadata for the Action element

It is possible to describe different actions like appraisal, transformations and decisions made for the entity.

Table 14: Action element

ID	Name, Location and Description	Cardinality Level
ERMS83	Action action Each action is described with an action element.	1..n MAY
ERMS84	Action performed action/actionText Description of the action performed (such as a transformation event).	1..1 MUST
ERMS85	Action performed due to action/actionDue The action is performed due to the regulation described here.	0..1 SHOULD
ERMS86	Motivation for action action/actionMotivation The motivation for performing the action.	0..1 MAY
ERMS87	Type of action action/actionType The type of action taken. Values need to be expressed and considered as documentation and follow the submission as documentation.	0..1 SHOULD

ERMS88	Dates associated with the action action/dates All dates associated with the action such as: action date, period of action being valid, expiry date. The dates are grouped in a grouping element named “dates”.	0..1 SHOULD
ERMS89	Each individual date connected with the action action/dates/actionDate Each date relating to the action. **See also**: Description of element “Date”.	1..n MUST
ERMS90	Agents associated with the action action/agents All agents associated with the action like agent responsible for the action taken.	0..1 SHOULD
ERMS91	Each individual agent connected with the action action/agents/agent Each agent relating to the action. **See also**: Description of element “Agent”.	1..n MUST

4.3.10 Metadata for the Agent element

It is possible to add different types of agents in the document using the element agent. The agent element is used for both senders of information to an ERMS as well as for the responsible person of the handling of the record in the ERMS system. At the same time, the agent can be either a person or an organisation.

Table 15: Agent element

ID	Name, Location and Description	Cardinality Level
ERMS92	Agent agent An element describing an agent.	1..1 MUST
ERMS93	Agent type agent/@agentType The agent type according to a value list.	1..1 MUST

	See also: Vocabulary for agent type.	
ERMS94	Other description of agent type agent[agentType=”other”]/@otherAgentType When the agent type is set to the value “other” the otherAgentType attribute is used to give the type of agent being described when the value is not in the value list.	0..1 SHOULD
ERMS95	Name of agent name The name of the agent.	1..1 MUST
ERMS96	Other way of describing the agent agent/agentExtendingInformation The agent can be defined with another schema or with a document containing the information.	0..1 MAY
ERMS97	Agent description in a file agent/agentExtendingInformation/agentExtendingAppendix Agent description made in a referenced document. **See also**: The description of the element “additionalInformation/appendix”.	0..1 MAY
ERMS98	Agent description in XML agent/agentExtendingInformation/agentExtendingXMLInformation Agent description is made in another XML-schema and inserted in this element.	0..1 MAY
ERMS99	Organisation agent/organisation Organisation or body that the agent belongs to.	0..1 MAY
ERMS100	Unit name agent/unitName The name of the subunit that the agent belongs to.	0..1 MAY
ERMS101	ID number agent/idNumber The ID number (if given) of the agent.	0..1 MAY
ERMS102	Type of ID number	0..1

	agent/idNumber/@idNumberType The type of the ID number. Values need to be expressed and considered as documentation and follow the submission as documentation.	SHOULD
ERMS103	Agent role agent/role The role of the agent. Values need to be expressed and considered as documentation and follow the submission as documentation.	0..1 MAY
ERMS104	Address and contact information agent/addressContactInformation Address and contact information to the agent are stored in a grouping element.	0..1 SHOULD
ERMS105	Address information agent/addressContactInformation/addressline The address is made up of several address lines.	1..n MUST
ERMS106	Address information type agent/addressContactInformation/addressline/@addrestType The address line is typed using values from a value list. **See also**: Vocabulary for “Address information type”.	1..1 MUST
ERMS107	Other description of address information type agent/addressContactInformation/addressLine[@addressType=”other”]/@otherAddressLineType When the address type is set to the value “Other” the otherAddressLineType attribute is used to give the type of address line being described.	0..1 SHOULD
ERMS108	Contact information agent/addressContactInformation/contacLline The contact information is built up with several contact lines.	1..n MUST
ERMS109	Contact information type agent/addressContactInformation/contactLine/@contactType The contact line is typed with a value from a value list. **See also**: vocabulary “Contact information type”.	1..1 MUST
ERMS110	Other description of contact information type	0..1

	agent/addressContactInformation/contactLine[@contactType=”other”]/@otherContactLineType When the contact type is set to the value “other” the otherContactLineType attribute is used to give the type of contact line being described.	SHOULD
ERMS111	Protected Identity agent/protectedIdentity A Boolean marker of the agent having a protected identity.	0..1 MAY

The type of agent can be specified using the values from table 17 accessible in the attribute @agentType.

Table 16: Vocabulary for Agent type

Term	Explanation
administrator	An administrative agent.
agent	An agent.
archiver	An archivist agent.
authorising_person	An authorising agent.
borrower	A borrowing agent.
counterpart	A counterpart agent.
creator	A creator agent.
custodian	A custodian agent.
deliverer	A delivery agent.
dispatcher	A dispatcher agent.
editor	An editor agent.
ipp_owner	An IPP owner agent.
main_signatory	A main signatory agent.
mover	A mover agent.
opening_person	An opening agent.
other_signatory	Another signatory agent.
owner	An owner agent.

reader	A reader agent.
recipient	A recipient agent.
receiver	A receiver agent.
relocator	A relocator agent.
responsible_person	A responsible agent.
sender	A sender agent.
user	A user agent.
other	The value is not present in the value list.

The type of address information can be specified using the values from table 17 accessible in the attribute @addressType.

Table 17: Vocabulary for Address information type

Term	Explanation
postal_address	The address line is typed as a postal address.
postal_code	The address line is typed as a postal code.
postal_city	The address line is typed as a postal city.
post_box	The address line is typed as a postal box.
municipality_code	The address line is typed as a municipality code.
municipality	The address line is typed as the name of a municipality.
parish	The address name is typed as the name of a parish.
parish_code	The address line is typed as a parish code.
province	The address line is typed as the name of a province.
county	The address line is typed as the name of a county.
country	The address line is typed as the country code or name of a country.
other	The value is not present in the value list.

The type of contact information can be specified using the values from table 18 accessible in the attribute @contactType.

Table 18: Vocabulary for Contact information type

Term	Explanation
phonenumber	The contact information contains a phone number.
mobilenumber	The contact information contains a mobile phone number.
fax	The contact information contains a fax number.
email	The contact information contains an e-mail.
homepage	The contact information contains a webpage address.
other	The value is not present in the value list.

4.3.11 Metadata for the Disposal element

It is possible to describe the disposal actions and dates.

Table 19: Disposal element

ID	Name, Location and Description	Cardinality Level
ERMS112	Disposal disposal An element for documenting decisions and actions related to assessing the archival value and disposition of the materials being described.	1..1 MUST
ERMS113	Disposal marker disposal/@disposable An indicator that disposal is possible mandated through law and or regulations.	1..1 MUST
ERMS114	Default disposal schedule identification disposal/defaultDisposalScheduleId Identification for the default disposal schedule used.	0..1 MAY
ERMS115	Used disposal schedule identification disposal/disposal Scheduled Identification for the disposal schedule used.	0..1 MAY
ERMS116	Action taken	0..1

	disposal/disposalAction Code describing the action to be taken on disposal of the record.	MAY
ERMS117	Disposal period disposal/disposalPeriod Value describing when disposal can be made.	0..1 MAY
ERMS118	Mandate for disposal disposal/disposalMandate Textual description of the mandates used for the disposal action.	0..1 MAY
ERMS119	Description of disposal disposal/disposalDescription Textual description of the disposal.	0..1 MAY
ERMS120	Comments to the disposal disposal/disposalComments There might be comments saved regarding the disposal. Each comment is saved in a “disposalComment”.	0..1 MAY
ERMS121	Comment for disposal disposal/disposalComments/disposalComment Each line for disposal comment.	1..n MUST
ERMS122	Last review comment for the disposal disposal/lastReviewedDisposalComment Comment made by the user who last reviewed the record explaining the disposal decision made by that review.	0..1 MAY
ERMS123	Name of person responsible for the disposal disposal/disposingPerson A string describing the person responsible for the disposal.	0..n MAY
ERMS124	Name of person supervising the disposal disposal/supervisingPerson A string describing the person supervising the disposal.	0..n MAY
ERMS125	Dates relating to the disposal disposal/dates A collection of all dates relating to the disposal. The dates are collected in a grouping element named “dates”.	1..1 MUST

ERMS126	A single date relating to the disposal disposal/dates/disposalDate Each date significant to the disposal is described in a disposalDate element. The date is given as a xsd:DateTime.	1..n MUST
ERMS127	Disposal date type disposal/dates/disposalDate/@dateType Each date is described according to a value list. **See also**: Vocabulary "Disposal date type".	1..1 MUST
ERMS128	Other type of date disposal/dates/disposalDate[@dateType="other_date"]/@otherDateType When the date type is set to the value "other_date" the otherdateType attribute is used to give the type of date being described.	0..1 SHOULD

The type of disposal date can be specified using the values from table 21 accessible in the attribute @dateType.

Table 20: Vocabulary for Disposal dates type

Term	Explanation
action_due	The due date for an action.
applied	The date that a disposal was applied.
confirmation_due	Date for conformation due for the disposal.
disposal_date	The date for disposal.
lifted	The date disposal was lifted.
overdue_alert	The date for an alert of overdue of the disposal.
retention_period_start	The start date for a retention period.
retention_period_end	The end date for a retention period.
other_date	The value is not present in the value list.

4.4 Metadata for ERMS Records

The following tables contain elements used in an ERMS transfer of a record.

Table 21: ERMS use of metadata for Records

ID	Name, Location and Description	Cardinality
ERMS129	One record records/record An ERMS document can consist of either records or records in an aggregation.	1..n MUST
ERMS130	Identifier record/@systemIdentifier An identifier for the record with the type UUID created at the latest at the export of the information.	1..1 MUST
ERMS131	Definition of type of record record/@recordType Type of the record. Values need to be expressed and considered as documentation and follow the submission as documentation.	0..1 MAY
ERMS132	Definition of state of record record/@recordPhysicalOrDigital A statement whether the record is physical, digital, both or if the statement does not apply following the value list: “physical”, “digital”, “physical_and_dDigital” and “does_not_apply”.	0..1 MAY
ERMS133	Information classification record/informationClass The information class for the record.	0..1 SHOULD
ERMS134	Security class record/securityClass The security class for the record.	0..1 SHOULD
ERMS135	Creation date of the record record/dates/date[@dateType=”created”] Date and time the entity was created, set by the system. Saved in a grouping element named “dates”.	1..1 MUST
ERMS136	Originated date of the record	0..1

	record/dates/date[@dateType=”originated”] Date and time of origin of a record or other entity which may vary from the creation date of the entity in the system. Saved in a grouping element named “dates”.	MAY
ERMS137	Title of the record record/title The identifying name or title of the entity. Can be created manually or by the system.	0..1 SHOULD
ERMS138	Other titles for the record record/otherTitle There might be other titles present for the record.	0..n MAY
ERMS139	Description record/description A description of the entity. Mandatory if the title is missing.	0..1 MAY Or 1..1 MUST
ERMS140	Parent aggregation identifier record/parentAggregationId Parent aggregation for a child aggregation or record.	0..1 MAY
ERMS141	Disposal of the record record/disposal Description of the disposal of the record. **See also**: Description of the element “disposal”.	0..1 MAY
ERMS142	Date for last review record/dates/date/@dateType=”last_reviewed” System set date and time indicating when the last review was completed. Saved in a grouping element named “dates”.	0..1 MAY
ERMS143	Date for transfer of the record record/dates/date/@dateType=”transferred” System set date and time indicating when the transfer of the record was confirmed. Saved in a grouping element named “dates”.	0..1 MAY
ERMS144	Duplicate of the record	0..1

	record/Relation/@relationType=”has_version” Reference to another entity that has been created by duplicating the record, component or event, and is an exact copy up to the event of duplication, with an identical provenance.	MAY
ERMS145	An action record/action An element for recording an event like a transformation of the record. **See also:** Description of element “Action”.	0..n MAY
ERMS146	Entity identification record/objectId Universally unique identifier for an entity that is generated automatically by the system and stays with the entity forever.	1..1 MUST
ERMS147	Extra entity identification record/extraId Any external identifier that is used by an ERMS system or is required in a country.	0..n MAY
ERMS148	Extra ID type record/extraid/@extraIdType The type of ID number. Values need to be expressed and considered as documentation and follow the submission as documentation.	1..1 MUST
ERMS149	Notes record/notes A grouping element for notes regarding the record.	0..1 MAY
ERMS150	Note record/notes/note Each individual note is placed in a Note element. **See also**: Description of element “Note”.	0..n SHOULD
ERMS151	Subject of the record record/subject Subject of the record as free text described by creator or ontology subject related by the archivist.	0..n MAY
ERMS152	Keywords record/keywords	0..1 MAY

	A grouping element for keywords describing the content.	
ERMS153	Each individual keyword record/keywords/keyword Each individual keyword is placed in a “Keyword” element.	1..n MUST
ERMS154	Geographical locations record/notes/note List of geographical locations related to the content other than relations as addresses for agents can be placed as a note. **See also**: Description of element “Note”.	0..n MAY
ERMS155	Finding aid reference for the record record/identification Information about any finding aids and the reference code relating to the specific record being described in this XML instance that the repository or records creator may have that provide information relating to the context and contents of the unit of description.	0..n MAY
ERMS156	Classification of identification record/identification/@identificationType Indicate that the identification given supplies a finding aid reference. How the values are expressed is to be considered as documentation and needs to follow the submission as documentation.	1..1 MUST
ERMS157	Description Source record/notes/note References to publications and other materials used for description can be made in a note. **See also**: Description of element “Note”.	0..n MAY
ERMS158	Creator record/agents/agent/@agentType=”creator” An entity primarily responsible for making the content of the resource; an entity primarily responsible for making the resource (examples of a Creator include a person, an organisation, or a service). Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS159	Owner record/agents/agent/@agentType=”owner”	0..n MAY

	Owner of the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	
ERMS160	Administrator record/agents/agent/@agentType=”administrator” Administrator of the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS161	Reader record/agents/agent/@agentType=”reader” Everyone who should be able to read the contents of the record (in the source ERMS system). Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS162	Sender record/agents/agent/@agentType=”sender” Sender of the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS163	Editor record/agents/agent/@agentType=”editor” Person(s) who could edit the record (including adding) in the source ERMS system. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS164	Recipient record/agents/agent/@agentType=”recipient” Recipient of the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS165	Other record/agents/agent/@agentType=”other” Other persons/organisations related to the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS166	Classification of agent type other record/agents/agent[@agenttype=”other”]/@otherAgentType	1..1 MUST

	Classification of the type of other related person/organisation to the record.	
ERMS167	Record level name record/levelName Name of level in the record hierarchy. It might be a name given in the context of an archival description.	0..1 MAY
ERMS168	Related record record/relation Related record and type of relation. **See also**: Description of element “Relation”.	0..n MAY
ERMS169	Additional information record/additionalInformation Any additional metadata. The information is grouped in an element named “additionalInformation” **See also**: Description of element “Additional information”.	0..1 MAY
ERMS170	Archival history record/archivalHistory An element for grouping information on the history of the unit of description that is significant for its authenticity, integrity and interpretation.	0..1 MAY
ERMS171	Each paragraph of archival history record/archivalhistory/historyLine Each paragraph of text giving the archival history.	1..n MUST
ERMS172	Main signature date record/dates/date/@dateType=”main_signature” Date of main signature. Saved in a grouping element named “dates”.	0..1 MAY
ERMS173	MainSigner record/agents/agent/@agentType=”main_signatory” Name of the responsible person who signed the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..1 MAY
ERMS174	Main signatory role record/agents/agent[@agentType=”main_signatory]/role	0..1 MAY

	Main signatory role.	
ERMS175	Other signature date record/dates/date/@dateType=”other_signature” Date of other signature. Saved in a grouping element named “dates”.	0..n MAY
ERMS176	Other signer record/agents/agent/@agenTtype=”other_signatory” Other person signing the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS177	Other signer role record/agents/agent[@agentType=”other_signatory”]/role Other signatory role.	0..1 MAY
ERMS178	Dispatch date record/dates/date/@dateType=”dispatch” Date of dispatch of the record. Saved in a grouping element named “dates”.	0..1 MAY
ERMS179	Dispatcher record/agents/agent/@agentType=”dispatcher” Person responsible for dispatching the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..1 MAY
ERMS180	Addressee record/agents/agent/@agentType=”counterpart” Original addressee of the record. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS181	Dispatch mode record/dispatchMode Mode of dispatching of the record.	0.. MAY
ERMS182	eSignatures connected with the record record/eSignatures All e-signatures with the record can be present in this grouping element.	0..1 MAY

ERMS183	Each individual eSignature record/eSignatures/eSignature Each eSignature is described in its own eSignature element. **See also**: Description of elements regarding eSignature in element "Additional information".	1..n MUST
ERMS184	Access to the record record/access A textual description of the access to the record.	0..1 MAY
ERMS185	Physical location of the record record/physicalLocations A grouping element to be abler to give all the physical or logical placement of the record if possible.	0..1 MAY
ERMS186	Physical location of the record record/physicalLocations/physicalLocation The physical or logical placement of the record.	1..n MUST
ERMS187	Current location of the record record/physicalLocation/currentLocation The records current location.	0..1 SHOULD
ERMS188	Home location for the record record/physicalLocation/homeLocation The place considered to be home for the record.	0..n MAY
ERMS189	Direction record/direction A record is sometimes given a direction of either being outgoing or incoming as well as other values depending on your system.	0..1 MAY
ERMS190	Type of direction record/direction/@directionDefinition Classification of the type of direction being described. Follows this vocabulary: "incoming", "outgoing", "internal_memo for_follow-up", "internal_memo_without_follow-up", "case_draft" and "other".	1..1 MUST
ERMS191	Other type of direction record/direction[@directionDefinitiontype="other"]/@otherRecordDefinitionType	0..1 SHOULD

	When the direction definition is set to the value “Other” the otherDirectionDefinitiontype attribute is used to give the type of direction being described.	
ERMS192	Status of the record record/status/@value The record can have a status following this vocabulary: “ad_acta”, “closed”, “expedited”, “initiated”, “in_progress”, “obliterated”, “on_hold”, “open”, “prepared” and “received”.	0..1 MAY
ERMS193	Running number for the record record/IrunningNumber The record can have a running number in the form of an integer.	0..1 MAY
ERMS194	Restrictions associated with the record record/restriction There can be restrictions associated with the record. One description per restriction is used. **See also**: Description of “Restriction element”.	0..n MAY
ERMS195	IPP description record/IPPInformation There can be IPP restrictions associated with the record. **See also**: the description of the “IPP information element”.	0..1 MAY
ERMS196	Classification record/classification It is possible to give different classifications to a record. **See also**: Description of element “Classification”.	0..1 MAY
ERMS197	Loan record/loan A loan of the record can be described. Each loan is described in a loan element. **See also**: Description of element “Loan”.	0..n MAY

4.5 Metadata for ERMS Aggregation

The following tables contain elements to be used in an ERMS transfer. The aggregation itself can contain aggregations or records.

Note: The following table contains guidelines for most common cases.

Table 22: ERMS use of metadata for Aggregations

ID	Name, Location and Description	Cardinality
ERMS 198	One aggregation aggregations/aggregation An ERMS document can consist of either records or aggregations which can contain either aggregations or records.	1..n MUST
ERMS 199	Identifier aggregation/@systemIdentifier An identifier for the aggregation with the type UUID created at the latest at the export of the information.	1..1 MUST
ERMS 200	Definition of type of Aggregation aggregation/@aggregationType Type of the aggregation. Follows the value list: “Casefile”, “Class”, “Component”, “File”, “Subfile”, “Volume” and “Own aggregation definition”.	1..1 MUST
ERMS 201	Other type of aggregation aggregation[@aggregationType=”own_aggregation_definition”]/@other AggregationType When the aggregation type is set to the value “Own aggregation type” the attribute otherAggregationType is used to give the type of aggregation being described.	0..1 SHOULD
ERMS 202	Information classification aggregation/informationClass The information class for the aggregation.	0..1 SHOULD
ERMS 203	Security class aggregation/securityClass The security class for the aggregation.	0..1 SHOULD
ERMS 204	Date of creation aggregation/dates/date[@dateType=”created”] System set date and time showing when the entity was created. Saved in a grouping element named “dates”.	1..1 MUST
ERMS 205	Date of Origination aggregation/dates/date[@dateType=”originated”]	0..1 MAY

	Date and time of origin of a record or other entity which may vary from the creation date of the entity in the system. Saved in a grouping element named “dates”.	
ERMS 206	Date for first used aggregation/dates/date[@dateType=”first_used”] System generated date and time indicating when an entity was first used; generally taken as the last time it can be modified or deleted without formally destroying it. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 207	Date for last addition aggregation/dates/date[@dateType=”last_addition”] System set date and time indicating when the most recent record or child aggregation was added to the parent aggregation. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 208	Class identification aggregation/classification An ID of the file plan as well as a description of the classification. **See also**: Description of element “Classification”.	0..n MAY
ERMS 209	Title of the aggregation aggregation/title The identifying name or title of the entity. Can be created manually or by the system.	0..1 SHOULD
ERMS 210	Other titles for the aggregation aggregation/otherTitle There might be other titles present for the aggregation.	0..n MAY
ERMS 211	Description aggregation/description A description of the entity. Mandatory if the title is missing.	0..1 MAY Or 1..1 MUST
ERMS 212	Scope notes aggregation/notes/note A grouping element named “notes” for providing information about the nature of and activities reflected in the described materials.	0..1 MAY

	See also: Description of element “Note”.	
ERMS 213	Date for closing aggregation/dates/date[@dateType=”closed”] System set date and time indicating when the aggregation was closed. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 214	Date of destruction aggregation/dates/date[@dateType=”destroyed”] System set date and time indicating when the entity was destroyed. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 215	Maximum levels of aggregations aggregation/maxLevelsOfAggregation The maximum number in the form of an integer of levels of aggregation allowed below a root aggregation.	0..1 MAY
ERMS 216	Parent aggregation identification aggregation/parentAggregationId Parent aggregation for a child aggregation.	0..1 MAY
ERMS 217	Hierarchical parent aggregation identification aggregation/hierarchicalParentClassId The parent class for a hierarchical class.	0..1 MAY
ERMS 218	Entity identification aggregation/objectId Universally unique identifier for an entity generated automatically by the system and stays with the entity forever.	1..1 MUST
ERMS 219	Extra entity identification aggregation/extraId Any external identifier that is used by an ERMS system or is required in a country.	0..n MAY
ERMS 220	Extra id type aggregation/extraId/@extraIdType The type of the ID number. Values need to be expressed and considered as documentation and follow the submission as documentation.	1..1 MUST
ERMS 221	Notes aggregation/notes/note	0..n MAY

	A grouping element “notes” stores all the notes pertaining to the aggregation. **See also**: Description of element “Note”.	
ERMS 222	Subject of the aggregation aggregation/subject Subject of the aggregation as free text described by the creator or ontology subject related by the archivist.	0..n MAY
ERMS 223	Keywords aggregation/keywords A grouping element for the keywords describing the content.	0..1 MAY
ERMS 224	Each individual keyword aggregation/keywords/keyword Each individual keyword is placed in a “Keyword” element.	1..n MUST
ERMS 225	Geographical locations aggregation/notes/note List of geographical locations related to the content other than relations as addresses for agents can be placed as a note. Grouped in a “notes” element. **See also**: Description of element “Note”.	0..n MAY
ERMS 226	Finding aid reference for the record aggregation/identification Information about any finding aids and the reference code relating to the specific aggregation being described in this XML instance that the repository or records creator may have that provides information pertaining to the context and contents of the unit of description.	0..n MAY
ERMS 227	Classification of identification aggregation/identification/@identificationType Indicate that the identification given supplies a finding aid reference. How the values are expressed is considered documentation and needs to follow the submission as documentation.	1..1 MUST
ERMS 228	Publication aggregation/notes/note Publications that are about or are based on the use, study, or analysis of the unit of description. Grouped in a grouping element named “notes”.	0..n MAY

	See also: Description of element “Note”.	
ERMS 229	Description Source aggregation/notes/note References to publications and other materials used for description can be made in a note. Grouped in a grouping element named “notes”. **See also**: Description of element “Note”.	0..n MAY
ERMS 230	Creator aggregation/agents/agent/@agentType=”creator” An entity primarily responsible for making the content of the resource; an entity primarily responsible for making the resource (examples of a Creator include a person, an organisation, or a service). An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n MAY
ERMS 231	Owner aggregation/agents/agent/@agentType=”owner” Person responsible or role. An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS 232	Editor aggregation/agents/agent/@agentType=”editor” Person(s) who can edit the aggregation (including adding). An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS 233	Administrator aggregation/agents/agent/@agentType=”administrator” Administrator of the aggregation. An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS 234	Reader aggregation/agents/agent/@agentType=”reader” Everyone who should be able to read the contents of the aggregation. An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n

ERMS 235	Other aggregation/agents/agent/@agentType=”other” Other persons/organisations related to the aggregation. An agent grouped in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..n
ERMS 236	Classification of agent type other aggregation/agents/agent[@agentType=”other”]/@otherAgentType Classification of the type of other related persons/organisations to the aggregation.	1..1 MUST
ERMS 237	Moved records aggregation/relations/relation[@relationType=”moved”] Information about records that have been moved to other aggregations. Described in a grouping element named “relations”. **See also**: Description of element “Relation”.	0..n MAY
ERMS 238	Deleted records aggregation/relations/relation[@relationType=”deleted”] Explanation that the record has been deleted by the administrator or has been destroyed due to technical errors. Described in a grouping element named “relations”.	0..n MAY
ERMS 239	Status of the aggregation aggregation/status/@value The aggregation can have a status following this vocabulary: “ad_acta”, “closed”, “expedited”, “initiated”, “in_progress”, “obliterated”, “on_hold”, “open”, “prepared” and “received”.	0..1 MAY
ERMS 240	Decisions regarding the aggregation aggregation/action Decisions about the aggregation is saved as actions. **See also**: Description of element “Action”.	0..n MAY
ERMS 241	An action aggregation/action An element for recording an event like a transformation of the aggregation. **See also:** Description of element “Action”.	0..n MAY

ERMS 242	Archival history aggregation/archivalHistory A grouping element for information on the history of the unit of description that is significant for its authenticity, integrity and interpretation.	0..1 MAY
ERMS 243	Each paragraph of archival history aggregation/archvialHistory/historyLine Each paragraph of text giving the archival history.	1..n MUST
ERMS 244	Date received aggregation/dates/date[@dateType=”received”] Date and time when the aggregation was received. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 245	Date for classification aggregation/dates/date[@dateType=”classification”] Date of classification. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 246	Start date for ownership aggregation/dates/date[@dateType=”ownership_start”] Date when ownership started. Saved in a grouping element named “dates”.	0..1 MAY
ERMS 247	Physical location of the aggregation aggregation/physicalLocations A grouping element for all the physical or logical placement of the aggregation if these are possible to record.	0..1 MAY
ERMS 248	Physical location of the aggregation aggregation/physicalLocations/physicalLocation The physical or logical placement of the aggregation.	1..n MUST
ERMS 249	Current location of the aggregation aggregation/physicalLocation/currentLocation The aggregation's current location.	0..1 SHOULD
ERMS 250	Home location for the aggregation aggregation/physicalLocation/homeLocation The place considered to be home for the aggregation.	0..n MAY

ERMS 251	Related aggregations aggregation/relation Related aggregations or records and type of relation. **See also**: Description of element “Relation”.	0..n MAY
ERMS 252	Additional information aggregation/additionalInformation Any additional metadata grouped in a grouping element named “additionalInformation”. **See also**: Description of element “Additional information”.	0..1 MAY
ERMS 253	Restrictions associated with the Aggregation aggregation/restriction There can be restrictions associated with the aggregation. One description per restriction is used. **See also**: Description of “Restriction element”.	0..n MAY
ERMS 254	IPP description aggregation/IPPInformation There can be IPP restrictions associated with the aggregation. See also: the description of the “IPP information element”.	0..1 MAY
ERMS 255	An action aggregation/action An element for recording an event like the appraisal of the aggregation. **See also:** Description of element “Action”.	0..n MAY
ERMS 256	Loan aggregation/loan All information regarding loan of the aggregation. **See also**: Description of element “Loan”.	0..n MAY
ERMS 257	Responsible in-house archivist aggregation/agents/agent[@agentType=”archiver”] Person responsible for in-house archiving. Saved in a grouping element named “agents”.	0..n MAY
ERMS 258	Date for archiving of the aggregation aggregation/dates/date[@dateType=”archiving”]	0..n MAY

	Date of in-house archiving. Saved in a grouping element named “dates”.	
ERMS 259	Disposal of the aggregation aggregation/disposal Description of the disposal of the aggregation. **See also**: Description of element “Disposal”.	0..1 MAY
ERMS 260	Transfer date aggregation/dates/date[@dateType=”transferred”] Date of transfer to the archive. Saved in a grouping element named “dates”.	0..n MAY
ERMS 261	Deliverer aggregation/Agents/Agent[@agentType=”deliverer”] Person responsible for the delivery to the archive. Saved in a grouping element named “agents”.	0..n MAY
ERMS 262	Recipient aggregation/Agents/Agent[@agentType=”recipient”] Person responsible for receipt in the archive. Saved in a grouping element named “agents”.	0..n MAY
ERMS 263	eSignatures connected with the aggregation aggregation/eSignatures All eSignatures with the aggregation can be present in this grouping element.	0..1 MAY
ERMS 264	Each individual eSignature aggregation/eSignatures/eSignature Each eSignature is described in its own eSignature element. **See also**: Description of elements regarding eSignature in element “Additional information”.	1..n MUST
ERMS 265	Dispatch mode aggregation/dispatchMode Mode of dispatching of the aggregation.	0..1 MAY
ERMS 266	Dispatch date aggregation/dates/date/@dateType=”dispatch” Date of dispatch of the aggregation. Saved in a grouping element named “dates”.	0..1 MAY

ERMS 267	Dispatcher aggregation/agents/agent/@agentType=”dispatcher” Person responsible for dispatching the aggregation. Saved in a grouping element named “agents”. **See also**: Description of element “Agent”.	0..1 MAY
ERMS 268	Access to the aggregation aggregation/access A textual description of the access to the aggregation.	0..1 MAY
ERMS 269	Aggregation level name aggregation/levelName Name of level in the aggregation hierarchy. It might be a name given in the context of an archival description.	0..1 MAY

4.6 Value other in value lists

In the value lists for the attributes, there is always a value “other” or “own…” present to accommodate the possibility to use values used in one’s own system. When the value is selected, the use of an attribute with the same name and the prefix “other” is validated with the Schematron rules. The use of the value “other” or “own…” needs to be stated in a transmission and or submission agreement, as well as which values that can be used.

5 Postface

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P	**Public**	X
C	**Confidential, only for members of the Consortium and the Commission Services**	

REVISION HISTORY AND STATEMENT OF ORIGINALITY

Submitted Revisions History

Revision No.	Date	Authors(s)	Organisation	Description
0.1	22 April 2015	Angela Dappert	DLM	Draft outline.
0.2	28 April 2015	Angela Dappert	DLM	Draft outline slightly updated.
0.3	14 August 2015	Angela Dappert	DLM	Incorporate issues from ERMS meetings.
0.35	16 October 2015	Tarvo Kärberg	NAE	Reorganising, incorporating feedback.
0.4	10 November 2015	Tarvo Kärberg	NAE	Updating the content, incorporating feedback.
0.5	12 November 2015	Andrew Wilson	UPHEC	Updating the content. Adding new information about SIP to AIP transformation.
0.6	16 November 2015	João Cardoso	IST	Updating the content.
0.7	17 November 2015	Levente Szilágyi	NAH	Updating the content. Adding information about metadata tables.
0.71	19 November 2015	Tarvo Kärberg	NAE	Incorporating feedback, cleaning the text, merging the content.
0.8	30 November 2015	Tarvo Kärberg	NAE	Merging the content.
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0.91	15 January 2016	Levente Szilágyi	NAH	Updating the content. Adding information about metadata tables.
0.92	19 January 2016	Jože Škofljanec	SNA	Updating the content related to SFSB records.
0.93	21 January 2016	Gregor Zavrsnik	SNA	Updating the content related to geodata.
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1.1	20 July 2016	Tarvo Kärberg	NAE	Incorporating additional feedback from Andrew Wilson and Advisory Board.
1.2	30 September 2016	Tarvo Kärberg	NAE	Incorporating agreements made in the Common Specification work group.
1.3	18 November 2016	Tarvo Kärberg	NAE	The ERMS specification was split in two. This specification contains information about ERMS only from this point forward.
1.4	23 November 2016	Tarvo Kärberg	NAE	Updating appendices II and III.
1.5	05 January 2017	Levente Szilágyi	NAH	Adding MoReq2010 based EAD XML.
1.6	09 January 2017	Levente Szilágyi	NAH	Updating aggregation elements.
1.7	12 January 2017	Tarvo Kärberg	NAE	Finalising the document.
1.8	23 November 2018	Jaime Kaminski	DLM	Quality assurance and proof reading.
1.9	25 November 2018	Karin Bredenberg	NAS	Update according to the new schema for ERMS. Tables not ready. Draft for review, E-ARK4ALL project.
2.0	31 May 2019	Karin Bredenberg	NAS	Update after review.
2.0	31 May 2019	Janet Anderson	DNA	Final proof reading.
2.0	31 May 2019	DILCIS Board	DILCIS Board	Release of version 2.0.
2.0	20 January 2020	Jaime Kaminski	Highbury	Quality assurance and proof reading.
2.0	20 October 2020	Karin Bredenberg	Kommunalförbundet Sydarkivera	Version updated and sent on open review
2.1	31 August 2021	Karin Bredenberg	Kommunalförbundet Sydarkivera	Document published in new version 2.1.0

Statement of originality:
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