

IRM Standard 20, Version 1.3.
Title: Minnesota Recordkeeping Metadata Standard

Date Issued: March 2015

Effective Date: March 2015

Supersedes: Version 1.2 (April 2003)

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A. Executive Summary

The Minnesota Recordkeeping Metadata Standard was developed to facilitate records management by government entities at any level of government. It shares many of its elements with other metadata standards, such as the Dublin Core and the Minnesota Geographic Metadata Guidelines set, but goes further to address such issues as access restrictions, data practices, and records retention and disposition, thereby enabling the practical implementation of statutory mandates for records management. As well, use of the standard brings many other benefits such as:

- facilitation of data sharing where authorized,
- enhanced efficiency with respect to location, evaluation, and retrieval of records, and
- guidance for consultants, vendors, and system designers.

The standard is comprised of twenty elements, ten of which are mandatory. State agencies should note that it is state IRM Standard 20, as approved by MN.IT Services, Minnesota's information technology agency.

B. Introduction

B. 1 Minnesota Context for Recordkeeping Metadata

Records management is a statutory obligation of every government entity in Minnesota. As the 2002 *Minnesota Enterprise Technical Architecture* stated, "Accurate and well-kept records, including those in electronic form, are critical to the State's ability to provide its services, present evidence, provide historical documentation, preserve its heritage, and allow its actions to be reviewed and audited. These records must be created, preserved, retained, and disposed of as required by law. . . . Records have a distinct legal and administrative status. This may not be true of all information and documents in an information system. Therefore, records must be managed as important resources with special requirements that may be distinct from other information resources." One tool to aid in the proper management of records is metadata.

Metadata is often defined as "data about data." To elaborate, it is descriptive information that facilitates management of, and access to, other information. A traditional example of metadata would be the bibliographic information found in card catalogs. Recordkeeping metadata facilitates such records management actions as discovery, preservation, and disposition. While optimum metadata for any particular record set may vary, such information often includes items like the name of the record creator, date and time of creation, record identifier, key words, location, and retention information. It can also give reference to applicable policies and laws like the Minnesota Government Data Practices Act and even specific sections within those documents.

Without adequate metadata, a number of records management problems can arise, particularly with respect to electronic records. To list a few examples, it may be difficult to: locate and evaluate records, pinpoint the official record when multiple copies exist, determine whether a record has been modified since its creation, determine who should have access to a record, and

carry out the proper disposition of a record (e.g., archive, destroy) at the end of its retention period. Recordkeeping requirements and associated metadata are best designed into a system as part of its core functionality, not as a tacked-on afterthought.

B.2 Purpose of Standard

Standardized recordkeeping metadata offers several benefits, including facilitating:

- the practical implementation of statutory records management mandates;
- proper access to records with respect to the requirements of the Minnesota Government Data Practices Act, Minnesota Court Rules, and other access restrictions;
- authorized data sharing within and across agencies;
- preservation of records within their retention period;
- efficient and timely disposition of records past their retention period;
- auditing of government activities;
- location and retrieval of records for agency use and public access;
- evaluation and use of records with respect to legal admissibility and evidence;
- cost reduction through elimination of redundancy and unnecessary storage; and
- standardized guidance for system developers, consultants, and vendors.

B.3 Audience

This standard is intended for information resource management executives and staff, records managers, librarians, and data practices compliance officials.

B.4 Applicability

This standard is applicable to electronic recordkeeping systems or hybrid records management systems encompassing records in multiple formats such as paper and electronic. It accommodates both public records and records with restricted access. The standard is designed to be used by any Minnesota government entity at any level of government. State agencies should note that it is referenced by MN.IT Services as IRM standard 20.

B.5 General Introduction to Standard

The Minnesota Recordkeeping Metadata Standard is designed to be flexible, meaning that it can be used in a variety of implementation settings, including hybrid systems where records exist in multiple formats (e.g., electronic and paper) and environments where specialized commercial software is employed for records management, document management, and/or content management purposes.

It does not prescribe rules for the order in which agencies should apply metadata elements to records either from a system or workflow perspective; these are decisions that should be guided by agencies' business rules. It is likely that metadata will accumulate over time for any particular record or record series, with many elements being automatically captured or input at the time of creation and others being added over time as appropriate. Many of the elements and sub-elements defined in the standard can be applied to a record more than once to allow for adequate description.

Extensibility is another feature of the standard. Several of the metadata elements and sub-elements allow agencies to extend the given value lists to accommodate their own unique business needs and environments. Additionally, agencies may add new elements or sub-elements as needed. If agencies anticipate the routine sharing of metadata with others, they may wish to coordinate such extensions with their partners.

Several elements of the Minnesota Recordkeeping Metadata Standard have counterparts in other metadata standards used by Minnesota government entities, particularly the Dublin Core Metadata Element Set (used to describe electronic information resources) and the Minnesota Geographic Metadata Guidelines (used to describe geospatial data sets). The relationship between these standards is summarized in table form in Section K, Appendix K.2 (*Table of Element Mappings to the Dublin Core Metadata Element Set and the Minnesota Geographic Metadata Guidelines*).

It should be noted that in many cases, agencies using other metadata standards will have mechanisms already in place for capturing many of the required recordkeeping metadata elements. For example, six of the ten mandatory elements have counterparts in both the Dublin Core Metadata Element Set and the Minnesota Geographic Metadata Guidelines.

C. Compliance

The Minnesota Recordkeeping Metadata Standard is referenced as IRM Standard 20 by MN.IT Services, Minnesota's information technology agency. State agencies should reference MN.IT Services compliance requirements. There are no compliance requirements for other users of the standard.

D. Acknowledgments

The Minnesota Recordkeeping Metadata Standard is directly based upon the one developed by the National Archives of Australia (NAA), the *Recordkeeping Metadata Standard for Commonwealth Nations*, version 1.0, May 1999 (available through <http://www.naa.gov.au>). The standard development committee is grateful to the NAA for the permission to revise and adopt that publication, and for the valuable advice and comments offered by that organization's staff.

Several Minnesota government entities participated in the development of this standard, which was coordinated by State Archives Department of the Minnesota Historical Society. The initial study committee included representatives from the Minnesota Supreme Court; the Minnesota State Archives; the Department of Administration; the Department of Revenue; the Department of Transportation; the Department of Natural Resources; the Department of Human Services; the Department of Economic Security; the Department of Labor and Industry; and the Department of Children, Families & Learning.

Participating on the standard development committee were representatives of: the Minnesota Supreme Court; the Minnesota State Archives; the Office of the Governor; the Office of

Technology; the Legislative Reference Library; InterTech; the Department of Administration; the Department of Transportation; the Department of Employee Relations; the Department of Public Safety; the Department of Natural Resources; the Department of Economic Security; the Department of Children, Families & Learning; the City of Minneapolis; and the Minneapolis Community Development Agency.

E. References

E.1 Sources for Related Information on Records Management

Minnesota Historical Society, State Archives Department. *Preserving and Disposing of Government Records*. May 2008.

http://www.mnhs.org/preserve/records/docs_pdfs/PandD_may2008.pdf

Minnesota Historical Society, State Archives Department. *Trustworthy Information Systems Handbook*. <http://www.mnhs.org/preserve/records/tis/tis.html>

MN.IT Services. *Policies and Standards*. <http://mn.gov/mnit/programs/policies/>

E.2 Sources for Information on Other Metadata Standards

Minnesota Web Metadata Standard (IRM 21), available through MN.IT Services web site http://mn.gov/bridges/bestprac/mn_dc_standard.pdf. Training materials are available at <http://mn.gov/bridges/bestprac/training.pdf>

Information on the Minnesota Geographic Metadata Guidelines (GIS metadata) and other GIS-related products and services available through Minnesota Geospatial Information Office (MnGeo) web site <http://www.mngeo.state.mn.us> and through the MN.IT Services web site <http://mn.gov/mnit/>.

F. Public Policy: Applicable Minnesota Laws

Minnesota Rules, Chapter 1205 (Department of Administration, Data Practices). <http://www.revisor.leg.state.mn.us/arule/1205/>

Minnesota Statutes, Chapter 13 (Minnesota Government Data Practices Act). <http://www.revisor.leg.state.mn.us/stats/13/>

Minnesota Statutes, Chapter 15.10 (Records Delivered to Department Heads). <http://www.revisor.leg.state.mn.us/stats/15/10.html>

Minnesota Statutes, Chapter 15.17 (Official Records Act). <http://www.revisor.leg.state.mn.us/stats/15/17.html>

Minnesota Statutes, Chapter 138.17 (Government Records Act).
<http://www.revisor.leg.state.mn.us/stats/138/17.html>

Minnesota Statutes, Chapter 138.163 (Preservation and Disposal of Government Records).
<http://www.revisor.leg.state.mn.us/stats/138/163.html>

Minnesota Statutes, Chapter 325K (Minnesota Electronic Authentication Act).
<http://www.revisor.leg.state.mn.us/stats/325K/>

Minnesota Statutes, Chapter 325L (Uniform Electronic Transactions Act).
<http://www.revisor.leg.state.mn.us/stats/325L/>

Rules of Public Access to Records of the Judicial Branch (Minnesota Court Rules).
https://www.revisor.mn.gov/court_rules/.

G. Definitions

Agency: Any government entity at any level of government.

Authentication: The process of verifying the identity of an individual, a record, or other object or body. In a digital setting, this may be done with authentication tools such as digital signatures.

Digital Signature: In terms of Public Key Infrastructure technology, “A transformation of a message using an asymmetric cryptosystem such that a person having the initial message and the signer's public key can accurately determine: (1) whether the transformation was created using the private key that corresponds to the signer's public key; and (2) whether the initial message has been altered since the transformation was made.” (Minnesota Statutes, Chapter 325K.01)

Encryption: The translation of a record into a secret code. The record must be de-encrypted before it can be used.

Electronic Record: “A record created, generated, sent, communicated, received, or stored by electronic means.” (Minnesota Statutes, Chapter 325L.02)

Enterprise Technical Architecture: “A logically consistent set of principles, practices, standards, and guidelines that are derived from business requirements and that guide the engineering of an organization’s information systems and technical infrastructure.” (*Minnesota Enterprise Technical Architecture*, Preface, 2002)

Information: “Data, text, images, sounds, codes, computer programs, software, databases, or the like.” (Minnesota Statutes, Chapter 325L.02)

Metadata: Data about data. Information that is used to facilitate intellectual control of, and structured access to, other information.

Record: “All cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings and other data, information or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an officer or agency of the state and an officer or agency of a county, city, town, school district, municipal subdivision or corporation or other public authority or political entity within the state pursuant to state law or in connection with the transaction of public business by an officer or agency. . . . The term “records” excludes data and information that does not become part of an official transaction, library and museum material made or acquired and kept solely for reference or exhibit purposes, extra copies of documents kept only for convenience of reference and stock of publications and processed documents, and bonds, coupons, or other obligations or evidence of indebtedness, the destruction or other disposition of which is governed by other laws.” (Minnesota Statutes, Chapter 138.17, subd. 1)

“Information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.” (Minnesota Statutes, Chapter 325L.02)

Record Series: Records arranged according to a filing system or kept together because they relate to a particular subject or function or result from the same activity.

Recordkeeping: The act or process of creating, maintaining, and disposing of records. See also “Records Management.”

Records Management: The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance, use, and disposition of records. See also “Recordkeeping.”

Records Retention Schedule: A plan for the management of records listing types of records and how long they should be kept, the purpose of which is to provide continuing authority to dispose of or transfer records to the State Archives.

Registration: The record is formally captured by or created in the recordkeeping system.

System-Assigned: A process in which the system, following business rules, automatically enters a value for a particular element/sub-element.

Transaction: “An action or set of actions occurring between two or more persons relating to the conduct of business, commercial, or governmental affairs.” (Minnesota Statutes, Chapter 325L.02)

URI: Uniform Resource Identifier, the generic name for all types of names and addresses that refer to resources on the World Wide Web, including Uniform Resource Locators (URLs) and Uniform Resource Names (URNs). See <http://www.w3.org/Addressing>

H. Standard Requirements

H.1 Explanation of Metadata Element/Sub-Element Structure

The Minnesota Recordkeeping Metadata Standard consists of twenty elements, ten of which are mandatory and ten optional. In addition, many of these elements contain a number of sub-elements, some mandatory and some optional. There are a total of 55 sub-elements. Many elements and sub-elements are interrelated, and the assignment of a value to any given one may require the simultaneous assignment of a value to another. Section K, Appendix K.1 (*Table of Element Inter-Relationships*) offers a high-level summary of these relationships to help guide decisions on which elements to implement.

The word “shall” in technical descriptions of elements and sub-elements denotes mandatory states, conditions, or objectives. The word “should” denotes desirable, but not mandatory states, conditions, or objectives.

H.2 Elements

Each recordkeeping metadata element is described in Section J using the following structure:

Definition: Describes the information that is captured in the element.

Purpose: Indicates what will be achieved by using the element.

Rationale: Gives reasons for the use of the element.

Obligation: Indicates whether use of the element is mandatory (i.e., essential for Minnesota government recordkeeping purposes), or optional. Agencies are not required to implement optional elements unless they have business reasons for doing so. However, if mandatory sub-elements are included under an optional element, those sub-elements must be used if the element itself is used.

Applicability: Indicates the level(s) of aggregation of record description at which the element is applicable.

Use Conditions: Denotes any conditions which must be in place prior to using the element, including reliance on defined values for other elements or sub-elements, and any effects that use of the element will have on the values of other elements or sub-elements.

Repeatable: Denotes whether or not the element may be used more than once in describing the same record or record series.

Sub-elements: Lists any sub-elements which are applicable to the element and indicates each sub-element's obligations for implementation and any schemes (standards or methods) which may be used to encode that sub-element. In cases where an element has no sub-elements, appropriate schemes are indicated at the element level.

Comments: Provides additional information to aid in the understanding of the purpose and use of the element.

H.3 Sub-Elements

Each recordkeeping metadata sub-element is described in Section J using the following structure:

Definition: Provides a short description of the information that should be captured in the sub-element.

Purpose: Provides short statements of what will be achieved by using the sub-element. Sometimes also includes the rationale for its use.

Obligation: Indicates whether use of the element is mandatory (i.e., essential for Minnesota government recordkeeping purposes), or optional (i.e., use can be decided by individual agencies based on their specific business requirements).

Use Conditions: Denotes any conditions which must be in place prior to using the sub-element, including reliance on defined values for other elements or sub-elements, and any effects that use of the sub-element will have on the values of other elements or sub-elements.

Assigned Values: Lists and defines any values which can be used for the sub-element (some assigned values are undefined because they are self-explanatory). In many cases the lists are extensible, and new values may be added by agencies to meet specific business requirements. Not all sub-elements have assigned values.

Default Value: Provides a pre-selected value for the sub-element. A value will remain as the default unless changed by an individual or the system in response to other requirements. In cases where no default value is listed, agencies may select their own value.

Repeatable: Denotes whether or not a particular sub-element may be used more than once in describing the same record at a single point in time.

Assigned By: Denotes whether the value of the sub-element is assigned automatically (system-assigned), or whether it is assigned by an individual, either by selecting the value from a pick-list or by entering the value manually.

Schemes: Indicates any defined standards or methods which may be used to encode the sub-element.

Comments: Provides additional information to aid in the understanding of the purpose and use of the sub-element.

I. Summary List of Metadata Elements

The following lists each element with all of its sub-elements, and displays the obligation for implementing each one. Full descriptions of each element and its corresponding sub-elements are available in Section J.

- 1. AGENT (** Mandatory)**
 - 1.1 Agent Type (Mandatory)
 - 1.2 Jurisdiction (Optional)
 - 1.3 Entity Name (Mandatory)
 - 1.4 Entity ID (Optional)
 - 1.5 Person ID (Optional)
 - 1.6 Personal Name (Optional)
 - 1.7 Organization Unit (Optional)
 - 1.8 Position Title (Optional)
 - 1.9 Contact Details (Optional)
 - 1.10 E-mail (Optional)
 - 1.11 Digital Signature (Optional)
- 2. RIGHTS MANAGEMENT (** Mandatory)**
 - 2.1 MGDPA Classification (Mandatory)
 - 2.2 Other Access Condition (Optional)
 - 2.3 Usage Condition (Optional)
 - 2.4 Encryption Details (Optional)
- 3. TITLE (** Mandatory)**
 - 3.1 Official Title (Mandatory)
 - 3.2 Alternative Title (Optional)
- 4. SUBJECT (** Mandatory)**
 - 4.1 First Subject Term (Mandatory)
 - 4.2 Enhanced Subject Term (Optional)
- 5. DESCRIPTION (Optional)**
- 6. LANGUAGE (Optional)**
- 7. RELATION (Optional)**
 - 7.1 Related Item ID (Mandatory)
 - 7.2 Relation Type (Mandatory)
 - 7.3 Relation Description (Optional)
- 8. COVERAGE (Optional)**
 - 8.1 Coverage Type (Mandatory)
 - 8.2 Coverage Name (Optional)
- 9. FUNCTION (Optional)**

10. DATE (Mandatory)**

- 10.1 Date/Time Created (Mandatory)
- 10.2 Other Date/Time (Optional)
- 10.3 Other Date/Time Description (Optional)

11. TYPE (Optional)

12. AGGREGATION LEVEL (Mandatory)**

13. FORMAT (Optional)

- 13.1 Content Medium (Mandatory)
- 13.2 Data Format (Mandatory)
- 13.3 Storage Medium (Mandatory)
- 13.4 Extent (Optional)

14. RECORD IDENTIFIER (Mandatory)**

15. MANAGEMENT HISTORY (Mandatory)

- 15.1 Event Date/Time (Mandatory)
- 15.2 Event Type (Mandatory)
- 15.3 Event Description (Mandatory)

16. USE HISTORY (Optional)

- 16.1 Use Date/Time (Mandatory)
- 16.2 Use Type (Mandatory)
- 16.3 Use Description (Optional)

17. PRESERVATION HISTORY (Optional)

- 17.1 Action Date/Time (Mandatory)
- 17.2 Action Type (Mandatory)
- 17.3 Action Description (Mandatory)
- 17.4 Next Action (Optional)
- 17.5 Next Action Due Date (Optional)

18. LOCATION (Mandatory)**

- 18.1 Current Location (Mandatory)
- 18.2 Home Location Details (Mandatory)
- 18.3 Home Storage Details (Mandatory)
- 18.4 Recordkeeping System (Optional)

19. DISPOSAL (Mandatory)**

- 19.1 Retention Schedule (Mandatory)
- 19.2 Retention Period (Mandatory)
- 19.3 Disposal Action (Mandatory)

19.4 Disposal Due Date (Mandatory)

20. MANDATE (Optional)

20.1 Mandate Type (Mandatory)

20.2 Refers To (Mandatory)

20.3 Mandate Name (Mandatory)

20.4 Mandate Reference (Optional)

20.5 Requirement (Optional)

J. Details of Individual Metadata Elements

1. AGENT

Definition	An agency or organizational unit responsible for some action on or usage of a record. An individual who performs some action on a record, or who uses a record in some way.		
Purpose	To ensure accountability for recordkeeping decisions and actions. In conjunction with elements 10. DATE, 15. MANAGEMENT HISTORY and, when used, 16. USE HISTORY and 17. PRESERVATION HISTORY, to provide context for the creation, management, and use of records. To act as an access point for users. For example, to enable users to search for all recordkeeping actions performed by particular agents on particular records, or to search for all records which have been accessed by a particular agent.		
Rationale	In order to meet regulatory and business requirements and community expectations for recordkeeping, agencies must be able to document corporate and personal responsibilities for actions taken on, and usage made of, records from creation through to disposal.		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Use each time an action is performed on a record or a use is made of a record. Use in conjunction with elements 10. DATE, 15. MANAGEMENT HISTORY and, when used, 16. USE HISTORY and 17. PRESERVATION HISTORY. Use of the optional sub-elements will depend on 1.1 Agent Type and the level of agent description required by the agency. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	1.1 Agent Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-specified extensions
	1.2 Jurisdiction	Optional	Agency-defined schemes
	1.3 Entity Name	Mandatory	Agency-defined schemes
	1.4 Entity ID	Optional	Agency-defined schemes
	1.5 Person ID	Optional	Agency-defined schemes
	1.6 Personal Name	Optional	Agency-defined schemes
	1.7 Organization Unit	Optional	Agency-defined schemes
	1.8 Position Name	Optional	Agency-defined schemes
	1.9 Contact Details	Optional	Agency-defined schemes

	1.10 E-mail	Optional	Agency-defined schemes
	1.11 Digital Signature	Optional	Agency-defined schemes
Comments	-		

1.1 AGENT TYPE

Definition	A category which identifies the role and responsibilities of a particular agent.		
Purpose	To identify the role played by a particular agent. To provide consistency, through the use of assigned values, in the description of recordkeeping roles and responsibilities.		
Obligation	Mandatory		
Use Conditions	All records and record series shall have a Record Owner and a Record Registrar. All records shall have a Record Content Author. Each use of an Assigned Value shall result in the creation of a link between the specific instance of the AGENT element and the relevant date/history element – either 10. DATE, 15. MANAGEMENT HISTORY, 16. USE HISTORY, or 17. PRESERVATION HISTORY. Agencies need to make their own decisions regarding the level of documentation they wish to use when describing an Agent. The Agent Type of an individual who is not performing the actions of document authoring or registration, and who does not have a specific assigned role, shall default to “User”.		
Assigned Values	Value Name	Definition	
	Auditor	An individual, either internal or external to the agency, who conducts a recordkeeping audit or an IT system audit of the recordkeeping system to determine agency compliance with certain standards.	
	Authority	The agency, organizational unit, and/or individual who is responsible for authorizing some action on the record.	
	Data Practices Compliance Official	The designated employee of the government entity to whom persons may direct questions or concerns regarding data practices or problems in obtaining access to data.	
	Publisher	The agency or organizational unit responsible for making a record available.	
	Record Content Author	The agency, organizational unit, and/or individual primarily responsible for the content of the record. Equates to the term “Creator” or “Originator” used in some environments.	
	Record Owner	The agency which makes, receives, and accumulates the records in the course of its business. The agency to which the record belongs.	

	Record Registrar	The individual responsible for assigning the record to the recordkeeping system (i.e., registering the record into the recordkeeping system).
	Records Manager	An individual responsible for administering and controlling records on a day-to-day basis. An individual responsible for ensuring the continuing preservation of, and access to, records for as long as they have value.
	Security Officer	An individual responsible for promulgating and enforcing security policies and for investigating breaches of security.
	System Administrator	An individual responsible for the day-to-day running of the overall computer system of which the recordkeeping system is a part (including system backup and access control).
	Transactor	The individual(s), organizational units, or entities, other than the Record Content Author, involved in the act or transaction documented by the record.
	User	An individual who accesses, or attempts to access, the record. Unlike other Assigned Values for this sub-element, this value does not generally denote any particular role and is meant to be used primarily with element 16. USE HISTORY.
Default Value	User	
Repeatable?	Yes	
Assigned By	Shall be assigned by the system or chosen by the agent according to the action being performed, the specific assigned role of the agent performing it, or a combination of the two.	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-specified extensions	
Comments	The above list of assigned values may be extended by agencies to meet specific business requirements.	

1.2 JURISDICTION

Definition	The jurisdiction within which the agent operates.
Purpose	To identify the jurisdiction within which records are created, managed, and used. To provide contextual information about records.
Obligation	Optional
Use Conditions	-

Assigned Values	City Congressional District County Legislative District School District State Township Unorganized Territory
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned. Changes to the default value should be manually selected from a pick-list by an authorized agent.
Schemes	Agency-defined schemes
Comments	Agencies may expand the Assigned Values list to meet their own needs. Those agencies which deal with different jurisdictions may choose to make each individual jurisdiction an Assigned Value for this sub-element.

1.3 ENTITY NAME

Definition	The name of the agent's agency.
Purpose	To identify the agent's agency which owns the records and/or which is responsible for actions carried out on the records. To provide contextual information about the creation, management, and use of records. To ensure accountability for recordkeeping actions at the entity level.
Obligation	Mandatory
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned. Changes to the default value should be manually selected from a pick-list by an authorized agent.
Schemes	Agency-defined schemes
Comments	Agencies will need to allow for anonymous users and users without an assigned or associated government entity.

1.4 ENTITY ID

Definition	An identifier assigned to the agent's agency.
Purpose	To uniquely identify the agent's agency.
Obligation	Optional
Use Conditions	-
Assigned Values	-

Default Value	-
Repeatable?	No
Assigned By	System-assigned
Schemes	Agency-defined schemes
Comments	Agencies that anticipate sharing records with others may wish to use a unique agency prefix code. Agencies interested in such a code should consider coordinating with others using agency prefixes; for example, both InterTech and the Department of Finance (in the Minnesota Accounting and Procurement System (MAPS)) use such codes routinely.

1.5 PERSON ID

Definition	An identifier assigned to an individual who performs some action.
Purpose	To uniquely identify the person responsible for actions carried out on records. To provide a “key” or link to other details about the individual held by the system. To act as a system security mechanism.
Obligation	Optional
Use Conditions	A person may have more than one assigned identifier, but only one identifier per individual should be used within the agency recordkeeping system.
Assigned Values	-
Default Value	The ID of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	No
Assigned By	System-assigned
Schemes	Agency-defined schemes (e.g., a system logon, employee number)
Comments	It is recommended that this sub-element and/or sub-element 1.6 Personal Name be used to facilitate the linking of agent details to actions on records recorded in element 15. MANAGEMENT HISTORY and, where used, elements 16. USE HISTORY and 17. PRESERVATION HISTORY. Further identifiers may need to be added at a later time to uniquely identify the individual if records are moved outside the agency domain. In many cases, the addition of sub-element 1.4 Entity ID may be enough to uniquely identify an individual outside the agency domain.

1.6 PERSONAL NAME

Definition	The name of an individual who performs some action.
Purpose	To identify the person(s) who carry out actions on records. To enable searches on all actions carried out by a particular person. To provide contextual information about the creation, management, and use of records. To ensure accountability for recordkeeping actions at the operational level.

Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	The name of the person logged into the recordkeeping system and performing the specific action on the record.
Repeatable?	Yes
Assigned By	System-assigned (taken from system logon details)
Schemes	Agency-defined schemes
Comments	It is recommended that this sub-element and/or sub-element 1.5 Person ID be used to facilitate the linking of agent details to actions on records recorded in element 15. MANAGEMENT HISTORY and, where used, elements 16. USE HISTORY and 17. PRESERVATION HISTORY.

1.7 ORGANIZATION UNIT

Definition	The name of the business section(s) responsible for an action carried out on a record. The name of the business section within which a person responsible for a recordkeeping action works.
Purpose	To provide further detail about the agent. To enable searching on recordkeeping actions performed by a particular business section within an agency. To provide further contextual information about the creation, management, and use of records.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned (taken from system logon details or system access profiles). Changes to the default value should be manually entered by an authorized agent.
Schemes	Agency-defined schemes
Comments	The section details will have been entered into the system and linked to the individual's logon and/or access profile.

1.8 POSITION TITLE

Definition	The title of the position(s) responsible for an action carried out on a record. The title of the position filled by a person responsible for a recordkeeping action.
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Purpose	To provide further detail about the agent. To enable searching on recordkeeping actions performed by a particular position within an agency. To provide further contextual information about the creation, management, and use of records.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned (taken from system logon details or system access profiles). Changes to the default value should be manually entered by an authorized agent.
Schemes	Agency-defined schemes.
Comments	The position details will have been entered into the system and linked to the individual's logon and/or access profile. Working job titles (e.g., Records Manager) may provide more useful information than generic ones (e.g., Management Analyst 4).

1.9 CONTACT DETAILS

Definition	Information on how to contact the agent, such as street or postal address, telephone, and fax numbers.
Purpose	To facilitate contact with an agent at either organization or individual level. To enable an interested party to gain access to the records or to ascertain further information about the records. To provide a point-in-time snapshot for historical reference.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned
Schemes	Agency-defined schemes
Comments	The default value could be either global agency-level details or individual-specific details. In the case of individual-specific defaults, the contact details will have been entered into the system and linked to the individual's logon. It should be noted that contact details may not be current, but will provide point-in-time information for historical reference.

1.10 E-MAIL

Definition	The e-mail address of the agent
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Purpose	To enable direct communication with the agent, who is a point of contact for providing access to, or further information about, the records. To provide a point-in-time snapshot for historical reference.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	System-assigned
Schemes	Agency-defined schemes
Comments	The default value could be either a single central agency e-mail address or, when the agent is an individual, that individual's personal e-mail address. In cases where the default e-mail address is that of an individual, the e-mail details will be taken from the individual's system profile. It should be noted that a particular e-mail address may not be current, but will provide point-in-time information for historical reference.

1.11 DIGITAL SIGNATURE

Definition	An encrypted, tamper-proof piece of data which creates a unique and unforgeable identifier of the agent
Purpose	To provide proof of the source and integrity of the record. To provide for non-repudiation. To provide authentication of the identity of the agent
Obligation	Optional
Use Conditions	May be the digital signature of an agency, an organizational unit, or an individual.
Assigned Values	-
Default Value	The digital signature of the agent
Repeatable?	Yes
Assigned By	Agent-assigned or automatically assigned by the system if the digital signature details are linked to an individual's logon.
Schemes	Agency-defined schemes
Comments	Government agencies, particularly those which conduct business with members of the public over the Internet, are moving towards the adoption of digital signatures and related technologies as a means of authenticating transactions carried out over the Internet. The exact data to be covered by the digital signature (e.g., whether it is the record only, or the record plus its metadata) is an implementation-dependent issue and shall be defined by the agency.

AGENT Examples

1.1	Agent Type	Record Content Author
1.2	Jurisdiction	State
1.3	Entity Name	Minnesota Department of Health
1.9	Contact Details	P.O. Box 64975 Saint Paul, MN, 55164-0975 651-215-5800
1.10	E-mail	library@health.state.mn.us

1.1	Agent Type	Publisher
1.2	Jurisdiction	City
1.3	Entity Name	City of Minneapolis
1.9	Contact Details	City Hall 350 S 5th Street, Room 304 Minneapolis, MN, 55415 612-673-2200
1.10	E-mail	info@ci.Minneapolis.mn.us

1.1	Agent Type	Records Manager
1.3	Entity Name	Minnesota Department of Administration
1.5	Person ID	johndoe [system ID]
1.6	Personal Name	John Doe
1.7	Organization Unit	Operations Services
1.8	Position Title	Government Records Analyst
1.10	E-mail	john.doe@state.mn.us

2. RIGHTS MANAGEMENT

Definition	Legislation, policies, and caveats which govern or restrict access to or use of records.		
Purpose	To facilitate the proper and appropriate management of records. To alert users to restrictions on access and use of records.		
Rationale	Access to and use of records must be managed in accordance with state and federal laws, and business and security policies.		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	The values contained in the sub-elements reflect the status of access and usage rights for the records as of the action date. The values shall be able to be changed by an authorized agent (“authorized agent” shall be agency-defined). When values for access and usage rights are changed, the old values shall be stored in element 15. MANAGEMENT HISTORY. This element shall also be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	2.1 MGDPA Classification	Mandatory	Minnesota Government Data Practices Act (MGDPA)
	2.2 Other Access Condition	Optional	
	2.3 Usage Condition	Optional	Free text, agency-defined schemes
	2.4 Encryption Details	Optional	Agency-defined schemes
Comments	Should a record’s classification change due to change in legislation or other action, a new metadata record is written noting the new classification. The original metadata record will refer to the new one, and the change will be documented in element 15. MANAGEMENT HISTORY.		

2.1 MGDPA CLASSIFICATION

Definition	A means of classifying records according to the Minnesota Government Data Practices Act (MGDPA) based on their content.
Purpose	To provide appropriate access to records and to prevent unauthorized access by people or organizations.
Obligation	Mandatory

Use Conditions	The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value “MGDPA Classification Changed”. When “MGDPA Classification Changed” is selected as the action to be taken on the record, the old value of the sub-element shall be replaced by the new value. Details of the change, including the old classification, shall be placed in element 15. MANAGEMENT HISTORY, sub-element 15.3 Event Description. If the value “Not Applicable” is chosen, sub-element 2.3 Other Access Condition shall be used to describe what access conditions are applicable.
Assigned Values	All values (except “Not Applicable”) are drawn from the Minnesota Government Data Practices Act (Minnesota Statutes, Chapter 13). Refer to the MGDPA for complete definitions. Public Private Confidential Non-Public Protected Non-Public Not Applicable
Default Value	Public
Repeatable?	Yes
Assigned By	System-assigned. Changes to the default value shall be manually selected from a pick-list by an authorized agent such as the Record Content Author or Record Owner.
Schemes	Minnesota Government Data Practices Act (MGDPA)
Comments	This sub-element is repeatable because a record may contain content that falls into more than one classification (i.e., one portion contains public data, another contains confidential data). The record should be managed appropriately according to its most restrictive classification. In the case of a record with multiple classifications (e.g., public and private portions), access to any particular portion must be granted as appropriate.

2.2 OTHER ACCESS CONDITION

Definition	An access condition resulting from, in addition to, or in exception to the Minnesota Government Data Practices Act (accommodated by 2.1 MGDPA Classification).
Purpose	To provide details of conditions resulting from, in addition to, or in exception to the Minnesota Government Data Practices Act that must be met to ensure appropriate access to records and to prevent unauthorized access by people or organizations.
Obligation	Optional

Use Conditions	The value of this sub-element may change over time, so it shall be linked to element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type, Assigned Value “Other Access Condition Changed.” When “Other Access Condition Changed” is selected as the action to be taken on the record, the old value of the sub-element shall be replaced by the new value. Details of the change, including the old condition(s), shall be placed in element 15. MANAGEMENT HISTORY, sub-element 15.3 Event Description.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	Agent-assigned
Schemes	Free text or agency-defined scheme documenting applicable laws, rules, and policies which govern access to the record or record series.
Comments	There are many possible values for Other Access Condition. Examples include federal laws, Minnesota Court Rules, data sharing authorizations, and policies stipulating that particular records can only be released in aggregate form to protect privacy. Specific references and information about the period of applicability should be included whenever possible. Other Access Condition statements may include links to other sources of additional information.

2.3 USAGE CONDITION

Definition	An indication that some kind of limitation or restriction has been placed on how a record may be used by staff within an agency or by the general public.
Purpose	To protect a record against any form of unauthorized use (including unauthorized disclosure). To help an agency ensure that the records for which it is responsible are not used in ways that contravene copyright or privacy restrictions. To record original usage conditions under which the data was gathered (e.g., conditions detailed in the Tennessen Warning (Minnesota Statutes, Chapter 13.04, subd. 2) as it was presented to the individual that provided the data).
Obligation	Optional
Use Conditions	Some Use Conditions may be system-enforceable and will require specific usage types to be included under element 16. USE HISTORY, sub-element 16.2 Use Type to track authorized usage and unauthorized attempts at usage over time.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	Agent-assigned

Schemes	Free text or agency-defined scheme documenting instructions, policies, or procedures which govern how an agency's records can be used (e.g., the agency's Tennessean Warning, copyright notice, or rights management statement).
Comments	There are many possible values for Use Conditions. Examples include Tennessean Warning conditions, copyright statements, rights management statements, and statements that the record content or classification is contested. Usage Condition statements may include links to other sources of additional information.

2.4 ENCRYPTION DETAILS

Definition	Information, or pointers to information, about how a record has been encrypted.
Purpose	To enable decryption (and hence, access) if the record is stored in the recordkeeping system in an encrypted state. To enable re-encryption if the record is stored in the recordkeeping system in a decrypted state, but needs to be moved to another system or location.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	System-assigned
Schemes	Agency-defined schemes
Comments	This sub-element could be used either to record the encryption details themselves (if the recordkeeping system is considered sufficiently secure), or to record the location of the encryption details which are stored outside the recordkeeping system.

RIGHTS MANAGEMENT Examples

2.1	MGDPA Classification	Public
2.4	Encryption Details	Document management system encryption scheme

2.1	MGDPA Classification	Private
2.2	Other Access Condition	Data sharing agreement with Minnesota Department of Human Services
2.3	Usage Condition	To be used only for the purpose of job application.

3. TITLE

Definition	The names given to the record.		
Purpose	To assist in identifying the record. To act as an access point for users. To describe the functions, activities, and/or subjects documented in the record.		
Rationale	For ease and speed of identification, and to facilitate control, a record must have a title which is representative of its contents.		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	The element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	3.1 Official Title	Mandatory	Free text, agency-defined schemes.
	3.2 Alternative Title	Optional	Free text, agency-defined schemes.
Comments	The elements 4. SUBJECT and 9. FUNCTION may provide access at the individual keyword or descriptor level.		

3.1 OFFICIAL TITLE

Definition	The words used to name the record.
Purpose	To identify the record by its official title. To enable searching on a title or title words.
Obligation	Mandatory
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	In the case of records, manually entered by the Record Content Author. In the case of record series, manually entered by an authorized agent such as a Record Registrar or Records Manager.
Schemes	Free text, agency-defined schemes
Comments	-

3.2 ALTERNATIVE TITLE

Definition	A second or different title for the record or record series.
Purpose	To identify the same record to areas or individuals that may refer to it by an alternative name to its official title.
Obligation	Optional

Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	In the case of records, manually entered by the Record Content Author. In the case of record series, manually entered by the Record Registrar or Records Manager.
Schemes	Free text, agency-defined schemes
Comments	Organizations, business areas, and individuals often have shorthand methods of referring to records, particularly if they have long or complex titles. The use of an acronym of the title, or of an informal or colloquial title, are common examples of this.

TITLE Example

3.1	Official Title	Trustworthy Information Systems Handbook
3.2	Alternative Title	TIS Handbook

4. SUBJECT

Definition	The subject matter or topic of a record.		
Purpose	To concisely and accurately describe a record's content. To act as an access point at a finer level of detail than that provided by the elements 3. TITLE or 5. DESCRIPTION.		
Rationale	Some users may require searching capability at individual subject term level in addition to the title.		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	4.1 First Subject Term	Mandatory	Hierarchy, controlled term list, code/classification, free text, agency-defined schemes
	4.2 Enhanced Subject Term	Optional	Hierarchy, controlled term list, code/classification, free text, agency-defined schemes
Comments	Users should be able to search for records both by individual subject terms and, in hierarchical schemes, by combining subject terms from the different levels. Further subject terms – as many as are allowed by the scheme, and as many as are required to adequately describe the topic(s) covered by the content of the record – may be assigned.		

4.1 FIRST SUBJECT TERM

Definition	The first subject or topic of the record.	
Purpose	To provide a search entry point.	
Obligation	Mandatory	
Use Conditions	-	
Assigned Values	-	
Default Value	-	
Repeatable?	Yes	
Assigned By	Assigned manually by the Record Content Author or system-assigned	
Schemes	Scheme Name	Definition

	Hierarchy	A hierarchical listing or thesaurus of subject terms that organizes terms into broader and narrower concepts. Hierarchical thesauri usually include equivalence and associative cross-references (“see” and “see also” references).
	Controlled Term List	A simple, non-hierarchical listing of subject terms that shows preferred terms for specific topics. Controlled term lists usually include equivalence cross-references, to eliminate synonyms or scattering of topics. An agency-defined alphabetical list of common terms is an example of a controlled term list.
	Code/Classification	A taxonomy organized under broad, conceptual categories that can be alpha, numeric, or otherwise coded. Classification lists display only very simple use of hierarchy (usually single level) for conveying term relationships, but generally include equivalence and/or associative cross-references. The Library of Congress Classification scheme (library call numbers) is an example of an alpha-numeric classification system.
	Free Text	Uncontrolled terms or natural language, such as keywords.
	Agency-Defined	-
Comments	Users often conduct broad searches when they are unsure of exactly what they are looking for. It enables them to browse a large number of titles before selecting new search criteria based on the titles brought up by their initial search.	

4.2 ENHANCED SUBJECT TERM

Definition	A subject or topic of the record that adds refinement or enhancement to the first subject term.
Purpose	To indicate that the record is about a particular subject category (or categories) within the subject class specified in sub-element 4.1 First Subject Term. To provide a search entry point.
Obligation	Optional.

Use Conditions	-	
Assigned Values	-	
Default Value	-	
Repeatable?	Yes	
Assigned By	Assigned manually by the Record Content Author or system-assigned	
Schemes	Scheme Name	Definition
	Hierarchy	A hierarchical listing or thesaurus of subject terms that organizes terms into broader and narrower concepts. Hierarchical thesauri usually include equivalence and associative cross-references (“see” and “see also” references).
	Controlled Term List	A simple, non-hierarchical listing of subject terms that shows preferred terms for specific topics. Controlled term lists usually include equivalence cross-references, to eliminate synonyms or scattering of topics.
	Code/Classification	A taxonomy organized under broad, conceptual categories that can be alpha, numeric, or otherwise coded. Classification lists display only very simple use of hierarchy (usually single level) for conveying term relationships, but generally include equivalence and/or associative cross-references. The Library of Congress Classification scheme is an example of an alpha-numeric classification scheme.
	Free Text	Uncontrolled terms or natural language, such as keywords.
	Agency-Defined	-
Comments	Users can use further subject terms to either refine or broaden their search.	

SUBJECT Examples

4.1	First Subject Term	Zoological Research	Free Text
4.2	Enhanced Subject Term	Statistics	Free Text

4.1	First Subject Term	139	Scheme: IRM Standard 15 (Numeric Codes for the Identification of Counties in Minnesota)
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5. DESCRIPTION

Definition	An account, in free text prose, of the content and/or purpose of the record.
Purpose	To provide a concise summarization or abstract. To enable searching based on words and phrases describing the record.
Rationale	Allows for more detail than that provided by the use of a title alone. Provides a means of describing high-level aggregations of records.
Obligation	Optional, but strongly recommended to facilitate searching.
Applicability	Applicable at the record and/or record series level.
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.
Repeatable	Yes
Sub-elements	-
Default Value	None
Assigned By	Agent-assigned, usually by the Record Registrar or the Record Content Author.
Schemes	Free text
Comments	This element may contain an abstract or summary of a textual record or a textual description of a non-textual record (e.g., an image). It may also contain a table of contents.

DESCRIPTION Examples

5.	Description	The Minnesota Electronic Curriculum Repository (MECR) is a quality-controlled database of assessment materials that supports the implementation of standards. The MECR supports reading, listening, and viewing complex information in the English language for primary grades through high school. Learning areas include literal comprehension, interpretation and evaluation, nonfiction and fiction, reading, and listening.
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5.	Description	Image of Department of Administration organizational chart.
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5.	Description	1. Introduction 2. History and Contemporary Contexts 3. Definitions 4. Theory 5. Measurement 6. Methodology 7. Findings
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6. LANGUAGE

Definition	The language of the content of the record.
Purpose	To allow searches to be restricted to records in a specific language.
Rationale	Will be of use to agencies which deal with material originating in foreign countries or which produce records in languages other than English.
Obligation	Optional
Applicability	Applicable at the record and/or record series level.
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.
Repeatable	Yes
Sub-elements	-
Default Value	eng (English)
Assigned By	System-assigned. Changes to the default value should be entered manually by an authorized agent.
Schemes	ISO 639-2 standard for language encoding
Comments	-

7. RELATION

Definition	A link between one record and another, or between various aggregations of records. A link between a record and another information resource.		
Purpose	To provide contextual information about the record by documenting its place in the recordkeeping system and its relationships with other records and information resources documenting the same function, activity, or transaction. To act as an access point for records and information resources which are related to each other.		
Rationale	Documentation of these relationships enables both proper management and informed use of records over time.		
Obligation	Optional		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Not to be used for relationships other than those between records or between records and other information resources (e.g., not to be used to describe relationships between agents). It is possible for a record to have no relationship with any other record or with any resource. This element may be used in conjunction with element 15. MANAGEMENT HISTORY. Use of this element will be triggered when the Assigned Value “Related” under sub-element 15.2 Event Type is selected. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	7.1 Related Item ID	Mandatory	Filenames, URI, agency-defined schemes
	7.2 Relation Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	7.3 Relation Description	Optional	Free text
Comments	The information captured in this element pertains only to the nature of a particular relation between records, or between records and other information resources. Information relating to the agent responsible for implementing the relation, and the date/time the relation was implemented, may be recorded under element 15. MANAGEMENT HISTORY.		

7.1 RELATED ITEM ID

Definition	A unique identifier for the related record or information resource.
Purpose	To act as an access point to the related record or information resource. The identifier is an essential element which uniquely identifies the related record or resource. It also provides the “key” or link to all other (currently accessible) information about the related record or resource.
Obligation	Mandatory
Use Conditions	The identifier shall uniquely identify the related record or resource in the current domain (in the case of a related record managed under the Minnesota Recordkeeping Metadata Standard, agencies should strongly consider using the official record identifier as assigned under element 14. RECORD IDENTIFIER). If the related record or resource resides in another recordkeeping system, or outside the agency itself, enough identifying information shall be provided to uniquely identify the item in the domain of the record to which it is related.
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	Selected from lists of existing records, record series, or related items, and assigned or manually entered by the authorized agent defining the relationship.
Schemes	Filenames, URI, agency-defined schemes
Comments	-

7.2 RELATION TYPE

Definition	A category of relationship between records, at the same or different levels of aggregation, or between records and other information resources.	
Purpose	To document the nature of the relationships between the two or more items. To provide contextual information about records by documenting other items with which they have logical associations or historical relationships.	
Obligation	Mandatory	
Use Conditions	A record may have the same relationship with more than one other record or resource. A record may have more than one relationship with another record or resource.	
Assigned Values	Value Name	Definition
	Contains/ Contained in	Denotes participation in a level of aggregation. Denotes a record or resource which makes up part of a defined whole. For example, records are contained in a record series. It shall not be possible to use this value to relate an item of a particular security classification to a file of a lower security classification.

	Next/Previous	Denotes that the record is the next or previous part of a sequence – e.g., the next or previous part of file 99/131.
	Replaces/ Replaced by	Denotes that the content of the record replaces/is replaced by (supersedes/is superseded by) the content of another record. This value may be used to indicate versioning.
	References/Is Referenced By	Denotes that the record refers (e.g., through textual references, URIs, or bibliographic information) to other resources or that other resources refer to this record.
	Derived From (source)	Denotes another record or resource from which the record is derived.
Default Value	-	
Repeatable?	Yes	
Assigned By	System-assigned. Changes to the default value should be selected by an authorized agent from a pick-list of the assigned values.	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	Other values may be added by agencies to meet their own requirements for defining relationships between records, and records and other information resources. The Dublin Core Metadata Element Set offers several qualifiers for the relation element that may be considered as well.	

7.3 RELATION DESCRIPTION

Definition	Information about the relationship not explicit or obvious in sub-element 7.2 Relation Type. Further explanatory notes or details about the relationship.
Purpose	To provide additional contextual information about the relationship. It might be necessary to explain the reasoning behind why a particular relationship between particular records/resources was defined. Specific details about the actual instance of the relationship (other than date/time and agent information, which may be recorded under element 15. MANAGEMENT HISTORY) might need to be recorded here.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	Manually entered by the authorized agent defining the relationship
Schemes	Free Text

Comments	Agencies must take care to ensure that the description of the relation does not violate the restrictions laid out in the Minnesota Government Data Practices Act (MGDPA). One way to avoid the situation of differences in MGDPA classification between related records would be to only note record identifiers and not to use sub-element 7.3 at all. It is strongly recommended that this information be structured in some way, rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent.
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RELATION Examples

7.1	Related Item ID	89-7346
7.2	Relation Type	Contained In
7.3	Relation Description	This record is part of the personnel file record series

7.1	Related Item ID	www.revisor.leg.state.mn.us/stats/13/072.html
7.2	Relation Type	References
7.3	Relation Description	Statute reference within record

8. COVERAGE

Definition	The jurisdictional, spatial, and/or temporal characteristics of the content of the record.		
Purpose	To allow a search to be restricted to records about a certain jurisdiction, place, or time.		
Rationale	Useful for agencies which collect and work with raw data on a large scale.		
Obligation	Optional		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	The information required in this element will often be adequately reflected in elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION, or 9. FUNCTION. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	8.1 Coverage Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	8.2 Coverage Name	Optional	IRM Standard 15 (Numeric Codes for the Identification of Counties in Minnesota), IRM Standard XX (Numeric Codes for the Identification of Cities, Townships, and Unorganized Territories in Minnesota), ISO 8601 standard for date/time encoding, agency-defined schemes
Comments	This element, for recordkeeping purposes, is likely to be used by those agencies which deal with statistical or geospatial data on a large scale.		

8.1 COVERAGE TYPE

Definition	The type of place or period, including jurisdiction, covered by and/or discussed in the content of the record.
Purpose	To enable a search to be conducted on records covering types of places, periods, or jurisdictions. To facilitate management of records dealing with the same coverage type. May provide valuable information about the content of the record which is additional to that provided by elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION, and 9. FUNCTION.
Obligation	Mandatory
Use Conditions	This sub-element should be used in conjunction with sub-element 8.2 Coverage Name.

Assigned Values	Calendar Year City Congressional District County Fiscal Year Legislative District School District School Year Spatial State Township Tribe Unorganized Territory
Default Value	-
Repeatable?	Yes
Assigned By	Assigned by authorized agent from a pick-list of assigned values
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
Comments	It is expected that agencies will generate their own list of assigned values to meet their own needs. For example, state patrol district, economic development district, and soil and water conservation district are only of value to particular agencies.

8.2 COVERAGE NAME

Definition	Locations, regions, geographical areas and/or time period covered by and/or discussed in the content of the record.
Purpose	To enable searches to be conducted on records covering designated locations, regions, geographical areas, time periods, or date ranges. To facilitate management of records dealing with the same locations, regions, geographical areas, time periods, or date ranges. May provide valuable information about the content of the record which is additional to that provided by elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION, and 9. FUNCTION.
Obligation	Optional
Use Conditions	Will often be indicated by the standard place name of the location being referred to. Some agencies use other labeling conventions/mechanisms to refer to regions and locations, and these indicators are also acceptable. Both standard period names and standard dates/date ranges may be used. This sub-element should be used in conjunction with sub-element 8.1 Coverage Type.
Assigned Values	-
Default Value	-
Repeatable?	Yes

Assigned By	Authorized agent
Schemes	IRM Standard 15 (Numeric Codes for the Identification of Counties in Minnesota), IRM Standard XX (Numeric Codes for the Identification of Cities, Townships, and Unorganized Territories in Minnesota), ISO 8601 standard for date/time encoding, agency-defined schemes
Comments	-

COVERAGE Examples

8.1	Coverage Type	Calendar Year	
8.2	Coverage Name	2002	Scheme: ISO 8601

8.1	Coverage Type	School District	
8.2	Coverage Name	School District 318	

8.1	Coverage Type	County	
8.2	Coverage Name	139	Scheme: IRM Standard 15 (Numeric Codes for the Identification of Counties in Minnesota)

9. FUNCTION

Definition	The general or agency-specific business function(s) and activities which are documented by the record.
Purpose	To document the relationship between records and the functions/activities they represent.
Rationale	Documentation, through recordkeeping, of activities and transactions pertaining to the agency's core business functions will help to maintain agency accountability for its actions.
Obligation	Optional
Applicability	Applicable at the record and/or record series level.
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.
Repeatable	Yes
Sub-elements	-
Default Value	-
Assigned By	Agent-assigned, usually by the Record Content Author or Record Owner
Schemes	Agency-defined schemes. Use of a controlled vocabulary or thesaurus is recommended.
Comments	Agencies may choose to link the functions and activities documented under element 9. FUNCTION to their specific mandates as recorded in element 20. MANDATE.

10. DATE

Definition	The dates and times at which such fundamental recordkeeping actions as the record's or records series' creation and transaction occur. The dates and times at which other significant events occur that are not recorded under other elements.		
Purpose	To provide system validation of such acts as creation and transaction. In combination with other metadata elements to provide evidence of the record's authenticity. To restrict or facilitate access to records based on their date of creation or other significant dates that do not fall under elements 15. MANAGEMENT HISTORY, 16. USE HISTORY, or 17. PRESERVATION HISTORY. These dates are "defining" dates in the life of records and are essential for the proper and accountable management of records.		
Rationale	-		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Values shall be assigned to the sub-elements at the actual dates and times the events themselves take place. This element shall be linked to element 1. AGENT, sub-element 1.1 Agent Type "Record Content Author" to enable the agency, organizational unit, or individual responsible for the actions to be recorded. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	10.1 Date/Time Created	Mandatory	ISO 8601 standard for date/time encoding
	10.2 Other Date/Time	Optional	ISO 8601 standard for date/time encoding
	10.3 Other Date/Time Description	Optional	Free Text
Assigned Values	-		
Default Value	The system date/time at the time of creation		
Assigned By	System-assigned or assigned by authorized agent		
Schemes	ISO 8601 standard for date/time encoding		
Comments	The dates included in this element are fundamental to the description of a record. All other dates which pertain to the management, use, and preservation of records are covered under elements 15. MANAGEMENT HISTORY, 16. USE HISTORY and 17. PRESERVATION HISTORY.		

10.1 DATE/TIME CREATED

Definition	The date and time at which a record or a record series is created by an agency or organizational unit in the course of its business.
Purpose	To provide information on when the physical or logical entity which is/will be a record comes into being. To enable a search to be restricted to before, after, or between particular dates of creation. Creation is a fundamental date in the life of a record. Creation date/time is a natural search point for users.
Obligation	Mandatory
Use Conditions	Shall be used in conjunction with element 1. AGENT, sub-element 1.1 Agent Type, Assigned Value “Record Content Author” or “Record Owner”. For a single record, this sub-element shall contain a single date. For aggregations of records, this sub-element shall contain a date range.
Assigned Values	-
Default Value	The system date/time at the time of creation.
Repeatable?	No
Assigned By	System-assigned or assigned by authorized agent
Schemes	ISO 8601 standard for date/time encoding
Comments	The act of creation applies not only to a record, but also to records series. In the case of record series, the value for this sub-element will be expressed as a date range. In many cases the date and time of creation may be identical to the date and time of transaction (see sub-element 10.2) or registration (see element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type).

10.2 OTHER DATE/TIME

Definition	The date and time at which other significant events not recorded under sub-element 10.1 Date/Time of Creation or elements 15. MANAGEMENT HISTORY, 16. USE HISTORY, or 17. PRESERVATION HISTORY take place.
Purpose	To provide information about the date and time of an event, as distinct from information about the date and time of record creation, that is not included in elements 15. MANAGEMENT HISTORY, 16. USE HISTORY, or 17. PRESERVATION HISTORY.
Obligation	Optional
Use Conditions	Shall be used in conjunction with element 1. AGENT and sub-element 10.3 Other Date/Time Description
Assigned Values	-
Default Value	The system date/time at which the event takes place
Repeatable?	Yes
Assigned By	System-assigned or assigned by an authorized agent
Schemes	ISO 8601 standard for date/time encoding

Comments	An additional date/time may be desirable to capture (e.g., when a transaction is documented by a record after the transaction has occurred, such as when minutes of a meeting (a transaction) form a record of that meeting, but the record itself is not created until some time (hours or days) afterwards). Descriptive information about the event is captured under sub-element 10.3 Other Date/Time Description.
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10.3 OTHER DATE/TIME DESCRIPTION

Definition	Descriptive information about the event whose date/time of occurrence is recorded under sub-element 10.2 Other Date/Time.
Purpose	To provide additional contextual information about the event whose date/time of occurrence is recorded under sub-element 10.2 Other Date/Time.
Obligation	Optional
Use Conditions	Shall be used in conjunction with element 1. AGENT and with sub-element 10.2 Other Date/Time
Assigned Values	-
Default Value	-
Repeatable?	Yes
Assigned By	Manually entered by the authorized agent completing sub-element 10.2 Other Date/Time
Schemes	Free Text
Comments	-

DATE Example

10.1	Date/Time Created	2000-10-01T12:01-6:00	Scheme: ISO 8601
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11. TYPE

Definition	The recognized form or genre a record takes, which governs its internal structure.	
Purpose	To provide additional information about the purpose and context of the record. To assist users in interpreting information contained in the record by identifying its internal structure.	
Rationale	May provide valuable extra information about the nature of the original action or transaction which is not evident from elements 3. TITLE, 4. SUBJECT, 5. DESCRIPTION, and/or 9. FUNCTION	
Obligation	Optional	
Applicability	Applicable at the record and/or record series level	
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.	
Repeatable	No	
Sub-elements	-	
Assigned Values	Value Name	Definition
	Agenda	
	Contract	
	Guideline	
	Home Page	
	Instruction	
	Letter	
	License	Includes permit
	Manual	
	Map	
	Message	
	Minutes	
	Memorandum	
	Plan	
	Presentation	
	Press Release	
	Procedure	
	Proposal	
	Report	
	Request for Information (RFI)	
	Request for Proposal (RFP)	
	Specification	
	Standard	
Default Value	-	
Assigned By	System-assigned or assigned by authorized agent (see note under Comments).	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	

Comments	Agencies may add other Assigned Values to meet their particular business requirements. This list is representative of major groups of record types, but is not comprehensive. Record types may be represented by templates in use within an agency. Such templates could be linked to the system and, when called up by an agent, used as triggers which enable the element to be system-assigned. To describe the physical or digital manifestation of the record, use element 13. FORMAT.
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12. AGGREGATION LEVEL

Definition	The level at which the record(s) is/are being described and controlled. The level of aggregation of the unit of description.	
Purpose	To control the management actions which may be taken on the record(s). To allow searches to be restricted to records at a particular level of aggregation.	
Rationale	This element acts as a “switch.” Appropriate management and control of records is enabled according to their level of aggregation. The aggregation level also dictates the types of metadata to be assigned to the record(s). The Applicability field included under each metadata element description indicates the level(s) of aggregation to which that element may be applied.	
Obligation	Mandatory	
Applicability	Applicable to all records.	
Use Conditions	This element shall be linked to element 14. RECORD IDENTIFIER.	
Repeatable	No	
Sub-elements		
Assigned Values	Value Name	Definition
	Record	"All cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings and other data, information or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an officer or agency of the state and an officer or agency of a county, city, town, school district, municipal subdivision or corporation or other public authority or political entity within the state pursuant to state law or in connection with the transaction of public business by an officer or agency. . . . The term "records" excludes data and information that does not become part of an official transaction, library and museum material made or acquired and kept solely for reference or exhibit purposes, extra copies of documents kept only for convenience of reference and stock of publications and processed documents, and bonds, coupons, or other obligations or evidence of indebtedness, the destruction or other disposition of which is governed by other laws." (Minnesota Statutes, section 138.17, subd. 1).
	Record Series	Records arranged according to a filing system or kept together because they relate to a particular subject or function or result from the same activity.
Default Value	-	
Assigned By	System-assigned. Changes to the default should be selected by an authorized agent from a pick-list of the assigned values.	
Schemes	Minnesota Recordkeeping Metadata Standard	
Comments	-	

13. FORMAT

Definition	The logical form (content medium and data format) and physical form (storage medium and extent) of the record.		
Purpose	To serve as a management tool for the control, storage, and preservation of records over time. To provide information, or pointers to information, on the technology required for access to the various kinds of electronic records held by an agency. To act as an access point for recordkeeping professionals and other users.		
Rationale	It is essential that information about data formats and storage media be kept so that appropriate preservation and storage strategies are put in place for records of long-term value.		
Obligation	Optional, but strongly recommended when there are preservation management issues.		
Applicability	Generally applicable at the record level only. Could be applicable at the record series level if all records associated with the series are of the same format.		
Use Conditions	This element is intended to provide information on which preservation strategies will be based. Therefore, only minimal details about format and medium need to be kept for records of short-term temporary value. Such records are unlikely to ever require any kind of preservation action. If used, information in this element needs to be updated whenever a record is migrated from one format to another or moved to a new medium. It is recommended that this element be used in conjunction with element 17. PRESERVATION HISTORY. Selection of many of the Assigned Values under sub-element 17.2 Action Type should result in new details being written to this element (see Use Conditions under each FORMAT sub-element for specific information). The old details should be moved to element 17. PRESERVATION HISTORY, sub-element 17.3 Action Description. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	13.1 Content Medium	Mandatory	Minnesota Recordkeeping Metadata Standard, IMT (Internet Media Types), generic file format listings, agency-defined schemes
	13.2 Data Format	Mandatory	Minnesota Recordkeeping Metadata Standard, IMT (Internet Media Types), ISO standards, agency-defined schemes
	13.3 Storage Medium	Mandatory	Minnesota Recordkeeping Metadata Standard, ISO standards, agency-defined schemes

	13.4 Extent	Optional	Agency-defined schemes
Comments	The sub-elements shall always reflect the record's current status with regard to format and medium.		

13.1 CONTENT MEDIUM

Definition	The generic format of the information comprising the record.	
Purpose	To provide general information about the format of the content of the record. To enable searching on all records of a particular generic content format. To facilitate preservation and storage management. For preservation management purposes, to provide a general indication of the kind of preservation action the record will require. To enable movement of records from one medium or location to another based on their generic content format so records of like content format can be stored together.	
Obligation	Mandatory	
Use Conditions	Shall be used in conjunction with sub-element 13.2 Data Format to determine precise requirements for rendering the record or to determine specific preservation strategies.	
Assigned Values	Value Name	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 Content Medium and Data Formats of the individual resources comprising the object may be the same or different. If the Data Formats of the resources comprising the object are the same, then the Assigned Value can also include the generic Media Format (e.g., if the object comprises several linked SGML documents, the Assigned Value could be "Compound (Text)").
	Image	A graphical representation of an object (including a textual object).
	Text	A textual document.
	Video	Moving images or pictures.
Default Value	Text	
Repeatable?	No	
Assigned By	System-assigned or manually entered by an authorized agent	
Schemes	Minnesota Recordkeeping Metadata Standard, IMT (Internet Media Types), generic file format listings, agency-defined schemes	

Comments	Further assigned values for Content Medium may be added over time as formats evolve.
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13.2 DATA FORMAT

Definition	The logical format of the data that comprises the record. The (often proprietary) file format of the record, usually denoted by the record's file extension.	
Purpose	To provide specific information on which decisions about the storage, preservation, and rendering of records can be made. To enable searching on records of a particular data format for management or resource discovery purposes. To facilitate preservation and storage management. To enable movement of records from one medium or location to another based on their particular data format, so that records of the same data format can be managed together, migrated at the same time, etc.	
Obligation	Mandatory	
Use Conditions	This element may be used in conjunction with sub-element 13.4 Extent to provide full information on the format and size of the record. It is recommended that this sub-element be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type, Assigned Values “Compressed”, “Imaged”, “Microfilmed” and “Converted”. The use of any of the above listed Action Types should result in the old Data Format details being moved to sub-element 17.3 Action Description and the new details being written to this sub-element.	
Assigned Values	Value Name	Definition
	ASCII text (TXT, ASC)	Plain text (non-proprietary).
	Audio Visual Interleave (AVI)	Microsoft proprietary audiovisual file format.
	Bitmapped Graphics Format (BMP)	A graphics format.
	Braille	A system of writing for the blind that uses characters made up of raised dots.
	Graphics Image File Format (GIF)	A proprietary graphics format.
	Hypertext Markup Language (HTML)	A format for marking up and linking text.
	Joint Photographic Experts Group (JPG, JPEG)	A graphics format.
	Moving Picture Experts Group (MPEG)	A video format.

	Multipurpose Internet Mail Extensions (MIME)	A compound format which enables the embedding of documents of various data formats into an email message.
	Portable Document Format (PDF)	Adobe proprietary image format, often used for imaging text.
	Real Audio (RA)	An audio format.
	Rich Text Format (RTF)	ASCII text with formatting commands.
	Tagged Image File Format (TIF, TIFF)	A graphics format.
	Word	Microsoft proprietary word processing file format.
	Not Applicable	Use for paper, audiotape, videotape.
Default Value	-	
Repeatable?	Yes, in the case of a compound record	
Assigned By	System-assigned	
Schemes	Minnesota Recordkeeping Metadata Standard, IMT (Internet Media Types), ISO standards, agency-defined schemes	
Comments	This sub-element has many possible values and may be extended as needed by agencies. The above assigned values are only meant to provide representative samples. Agencies may choose to include version information as part of their Assigned Values for this sub-element. Agencies will need to work with vendors to ensure that the values they require, based on the particular data formats with which they work on a day-to-day basis, are included in their recordkeeping systems. This sub-element is not intended to include detailed technical specifications of the data format. Such information is often available elsewhere and, in situations where the information will be needed (e.g., to make a decision about migration strategies), it is suggested that links be provided from the values in this sub-element to relevant technical descriptions. Technical descriptions should include information about the software required to read the data format and the hardware platform required to run the software. Such descriptions should also specify the types of linking or embedding used in particular kinds of compound or multimedia documents, such as e-mail messages with attachments or web pages containing text, video, sound, and links to other pages.	

13.3 STORAGE MEDIUM

Definition	The device on which a record is physically stored.	
Purpose	To keep track of how and where a record is stored. To provide information about the capacity or physical size limitations of a storage medium. To enable forward planning for preservation actions such as the refreshing of records from one medium to another. To facilitate the development of effective strategies for the continued storage and preservation of records. To enable the informed selection of a storage medium for large or small numbers of records, records with large file sizes, or records which are frequently accessed.	
Obligation	Mandatory	
Use Conditions	While a record should only be stored as the “official” record in one place, it may be copied to another medium for preservation purposes. It is recommended that this sub-element be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type, Assigned Values “Backed Up”, “Medium Refreshed”, “Microfilmed”, “Migrated” or “Moved Offline”. The use of any of the above listed Action Types should result in the old Medium details being moved to sub-element 17.3 Action Description and the new details being written to this sub-element.	
Assigned Values	Value Name	Definition
	Audiotape	Magnetic tape for storing sound.
	CD-R	Recordable Compact Disc – an optical storage medium which can be written to only once.
	DAT	Digital Audio Tape – a digital magnetic tape medium.
	Diskette	A removable magnetic computer disk with limited storage capacity.
	DVD	Digital Versatile Disk – a CD-ROM format intended to have full read/write capabilities.
	Hard disk	A fixed computer disk.
	JAZ drive	A removable disk drive.
	Magnetic tape	A magnetic medium.
	Microfilm	A film in roll form (16 or 35mm in width) which is used for storing reduced-size images of text and graphics.
	Paper	
	USB Drive	A removable, portable storage device.
	Videotape	Magnetic tape for storing moving pictures and sound.

	WORM	Write Once Read Many – an optical disk drive which, once written to, becomes read-only.
	ZIP drive	A removable, portable disk drive.
Default Value	-	
Repeatable?	Yes, in the case of a compound record	
Assigned By	System-assigned. Changes to the default value should be selected by an authorized agent from a pick-list of assigned values.	
Schemes	Minnesota Recordkeeping Metadata Standard, ISO standards, agency-defined schemes	
Comments	Well-managed storage and preservation operations facilitate the efficient location and retrieval of records and ensure continued access to valuable records over time. This sub-element has many possible values; the above assigned ones are only meant to provide representative samples. Further assigned values for Storage Medium may be added to meet agency requirements, both now and over time as new storage media and new storage media formats emerge.	

13.4 EXTENT

Definition	The physical size of the record.
Purpose	To provide information about the size of the record and the amount of storage space (either physical or electronic) that it requires. To enable the informed selection of a storage medium for large or small numbers of records, records with large file sizes, or records which are frequently accessed.
Obligation	Optional
Use Conditions	If used, this sub-element should be linked to sub-element 13.2 Data Format and updated as necessary whenever records are converted to new formats (element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type, Assigned Value “Converted”). The old values for this sub-element should be moved, along with the old Data Format values, to element 17. PRESERVATION HISTORY, sub-element 17.3 Action Description.
Assigned Values	-
Default Value	-
Repeatable?	Yes, if the record is in the Content Medium “Compound”.
Assigned By	For electronic records, the value should be system-assigned. The value for hard copy records (on paper, microfilm, etc.) will need to be manually entered or selected from a pick-list of defined values by an authorized agent.
Schemes	Agency-defined schemes.
Comments	-

FORMAT Examples

13.1	Content Medium	Compound
13.2	Data Format	HTML
13.2	Data Format	JPEG
13.3	Storage Medium	Hard disk

13.1	Content Medium	Text
13.2	Data Format	Microsoft Word 2000
13.3	Storage Medium	CD-R
13.4	Extent	1.26 Mb

14. RECORD IDENTIFIER

Definition	A unique code for the record.
Purpose	To uniquely distinguish one record or record series from others in the current domain, regardless of the level of aggregation. To act as an access point to more information about the record.
Rationale	The identifier is an essential element which not only uniquely identifies the record, but also provides the “key” to all other (currently accessible) information about the record.
Obligation	Mandatory
Applicability	Applicable at the record and/or record series level.
Use Conditions	The type and form of the identifier will be determined by the aggregation level of the record, which is documented under element 12. AGGREGATION LEVEL. An identifier at a particular aggregation level, such as record or record series, may have to be combined with identifiers at other levels, or identifiers of other entities such as element 1. AGENT, sub-element 1.1 Agent Type and/or element 18. LOCATION, sub-element 18.4 Recordkeeping System, to ensure that a record continues to be uniquely identified if moved outside the original agency domain.
Repeatable	Yes
Sub-elements	-
Default Value	-
Assigned By	System-assigned or manually assigned by an authorized agent
Schemes	Agency-defined schemes
Comments	This element allows for a layered approach to identifying the record or record series. A record or record series will have an identifier which uniquely identifies it from all other records or record series in the system. A record may “inherit” the record series ID as part of its unique identifier. Different unique identifiers may be assigned to the same record or record series, with each one serving a very different purpose. For example, a record may have a unique control symbol which reflects the sequence in which it was created, but it may also have a barcode number which is used to manage certain actions such as transfers to different storage locations. It is recommended that an authorized agent such as the Records Manager oversee and coordinate the assignment of identifiers to ensure consistency and uniqueness. Agencies that anticipate sharing records with others should consider assigning identifiers that are unique both within the agency and outside of it, most likely through the use of a unique agency prefix code. Agencies interested in such a code should consider coordinating with others using agency prefixes; for example, both InterTech and the Department of Finance (in the Minnesota Accounting and Procurement System (MAPS)) use such codes routinely.

15. MANAGEMENT HISTORY

Definition	The dates and descriptions of all records management actions performed on a record from its registration into a recordkeeping system until its disposal.		
Purpose	To act as a cumulative control record of all movements and management actions which are carried out on a single record or record series over time. Provides a historical log of the records management and control actions performed on a record or record series.		
Rationale	Agencies are required under Minnesota Statute 15.17 to “carefully protect and preserve government records from deterioration, mutilation, loss, or destruction.”		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Use each time a records management action is performed on a record or record series. Only recordkeeping, auditing, and information technology staff should have full access to this element. This element shall be used in conjunction with element 1. AGENT to document the agent responsible for performing or authorizing the action (see Comments under 15.3 Event Description for information on linking to/capturing agent details). Certain sub-elements shall be used in conjunction with elements 2. RIGHTS MANAGEMENT, 7. RELATION, 14. RECORD IDENTIFIER, 18. LOCATION, and 19. DISPOSAL. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	15.1 Event Date/Time	Mandatory	ISO 8601 standard for date/time encoding
	15.2 Event Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	15.3 Event Description	Mandatory	Free text, agency-defined schemes
Comments	The element 15. MANAGEMENT HISTORY forms a record in its own right and may require permanent retention if it is used officially for destruction reporting and retention scheduling. Records management staff will need to work with information technology staff to ensure that the element 15. MANAGEMENT HISTORY record is properly migrated and converted as appropriate so that continued access is possible.		

15.1 EVENT DATE/TIME

Definition	The date and time at which a defined management event occurs.
Purpose	To provide system validation of management actions carried out on records. To restrict or facilitate access to records based on dates pertaining to particular management actions.
Obligation	Mandatory
Use Conditions	The system shall assign the date/time of the event when the corresponding Event Type (sub-element 15.2) is selected by the agent from a pick-list of the assigned values – i.e., the selection of the event by the agent is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time
Repeatable?	Yes
Assigned By	System-assigned
Schemes	ISO 8601 standard for date/time encoding
Comments	-

15.2 EVENT TYPE

Definition	An event which relates to the management or control of a record.	
Purpose	To provide a finite (but extensible) set of defined management events which can be used to describe the management of the record or record series over time.	
Obligation	Mandatory	
Use Conditions	The following events are not to be used as Assigned Values in this element: “Record Creation” (covered by element 10. DATE, sub-element 10.1 Date/Time Created), and “Transacted” (covered by element 10. DATE, sub-element 10.2 Other Date/Time).	
Assigned Values	Value Name	Definition
	Access Reviewed	Record examined, both initially and at later times, to identify any not-public material it may contain under the Minnesota Government Data Practices Act (MGDPA) and other applicable access conditions.
	Audited	Record scrutinized by an authorized internal or external auditor to check agency compliance with various recordkeeping mandates such as legislation and standards.
	Closed	All activities and transactions documented by a particular record series have ceased, and no further records are to be associated with that record series.
	Custody Transferred	Record is placed under management of another organization. If transferred to a new storage location, use of this value shall result in the sub-elements under element 18. LOCATION being updated.

	Disposal Action Changed	The disposal action for a record is changed. Use of this value shall result in element 19. DISPOSAL, sub-element 19.3 Disposal Action being updated.
	Disposal Hold Placed	Record disposal actions are suspended indefinitely. Use of this value shall result in element 19. DISPOSAL, sub-element 19.4 Disposal Due Date being set to “Null”.
	Disposal Hold Removed	Record disposal actions are no longer suspended. Use of this value shall result in element 19. DISPOSAL, sub-element 19.4 Disposal Due Date being set to its former value prior to the hold or to another value as set by an authorized agent.
	Disposed	Application of the relevant disposal action to a record identified as belonging to a particular record series.
	Identifier Changed	The primary identifier of a record is changed and a new one assigned – for example, in order to incorporate an older record into a current recordkeeping system. Use of this value shall result in another identifier being assigned to the record under element 14. RECORD IDENTIFIER.
	Location Changed	Record is moved to another location/office (either local or remote). Different from “Custody Transferred”, in that the agency retains management control of the record. Use of this value shall result in the sub-elements under element 18. LOCATION being updated.
	MGDPA Classification Changed	Classification of a record is changed with respect to the Minnesota Government Data Practices Act (MGDPA). Use of this value shall result in element 2. RIGHTS MANAGEMENT, sub-element 2.1 MGDPA Classification being updated.
	Other Access Condition Changed	An access condition (resulting from, in addition to, or in exception to the requirements of the Minnesota Government Data Practices Act (MGDPA)) is added, removed, or changed. Use of this value shall result in element 2. RIGHTS MANAGEMENT, sub-element 2.2 Other Access Condition being updated.
	Published	Record is formally published – for example, on the agency's website.
	Received	Record is received from an external source.
	Redacted	Only limited parts or sections of the record are released.
	Registered	Record is captured into the recordkeeping system, coming under its management and control. The date and time a record comes under formal records management control can be crucial in proving the authenticity and integrity of that record.

	Related	Record is related in some way to another record or to an information resource (this event is used in conjunction with element 7. RELATION).
	Released	Record is released to an individual or party as the result of a request under the Minnesota Government Data Practices Act (MGDPA) or other access condition.
	Released with Limitations	Record is released to a limited (agency-defined) audience only.
	Retention Period Changed	The retention period assigned to the record is changed.
	Scheduled	Record examined to assess value, and to determine where and for how long it should be kept.
	Usage Condition Changed	A usage condition is added, removed, or changed. Use of this value must result in element 2. RIGHTS MANAGEMENT, sub-element 2.4 Usage Condition being updated.
Default Value	-	
Repeatable?	Yes	
Assigned By	Agent-assigned	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	Each time a particular event occurs, it will change the current values displayed in one or more other sub-elements (the specific details of this are listed as part of the description for each event and cross-referenced to the relevant elements/sub-elements). Details of the old values and other information shall be entered under sub-element 15.3 Event Description.	

15.3 EVENT DESCRIPTION

Definition	The specific details of the event, including information about the original status, the changes made to it, the reasons for the changes, and authorization for the changes.
Purpose	To ensure the visibility and auditability of agency records management decisions and actions. To ensure accountability for agency recordkeeping.
Obligation	Mandatory
Use Conditions	The old value of the particular record status being changed by the event shall be recorded in this sub-element.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	Agent-assigned
Schemes	Free text, agency-defined schemes

Comments	It is strongly recommended that this information be structured in some way, rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent – e.g., required information about the agent could be automatically assigned to the template. Information about the agent performing the action shall be associated with the event itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether agent information is automatically captured through the use of templates and stored as part of the Event Description. This element is meant to be implemented as a history “log.” As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which particular information about agents and record IDs/titles, etc. is incorporated into this log is a system design decision that must be made by the agency.
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MANAGEMENT HISTORY Examples

15.1	Event Date/Time	1999-01-01T11:00-6:00	Scheme: ISO 8601
15.2	Event Type	Disposed	
15.3	Event Description	Shredded per annual records destruction	

15.1	Event Date/Time	2001-09-23T13:23-6:00	Scheme: ISO 8601
15.2	Event Type	MGDPA Classification Changed	
15.3	Event Description	Changed from private to public	

16. USE HISTORY

Definition	The dates and descriptions of both legal and illegal attempts to access and use a record, from the time of its registration into a recordkeeping system until its disposal.		
Purpose	To act as a cumulative audit trail of all significant (agency-defined) accesses to and uses made of the record over time. To provide contextual information about the ways in which the record is or was used. To provide a mechanism by which recordkeeping system security can be monitored.		
Rationale	All agencies have a responsibility to ensure that their records are adequately protected from unauthorized or illegal access and use. This element provides, in conjunction with other physical, personnel, and system access controls, a means of ensuring ongoing record and recordkeeping system security.		
Obligation	Optional		
Applicability	Applicable at the record level only.		
Use Conditions	Use each time the record is used or accessed in a way an agency has defined (and documented) as “significant.” If used, only recordkeeping, systems administration, and auditing staff should have full access to this element. Other staff should be given limited (viewing and searching) access to this element. This element should be used in conjunction with element 1. AGENT to document the agent responsible for making use of the record (see Comments under 16.3 Use Description for information on linking to/capturing agent details). This element may be linked to element 2. RIGHTS MANAGEMENT. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	16.1 Use Date/Time	Mandatory	ISO 8601 standard for date/time encoding
	16.2 Use Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	16.3 Use Description	Optional	Free text, agency-defined schemes
Comments	This element is meant to be implemented as a history “log.” As such, it will need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which particular information about agents, record IDs/titles, etc. is incorporated into this log is a system design decision that must be made by the agency.		

	As an audit trail, this element forms a record in its own right. The level of auditing and retention periods for the resulting logs are left up to individual agencies. Agencies should make decisions regarding these matters according to their business requirements and based on an assessment of the risks, costs, and benefits involved in keeping or not keeping detailed logs for long periods of time.
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16.1 USE DATE/TIME

Definition	The date and time at which a defined use of or access to a record occurs.
Purpose	To indicate when records are accessed and used. The dates and times at which a record was accessed or used may be essential information in a case of illegal access or record tampering.
Obligation	Mandatory
Use Conditions	The system shall assign the date/time of the event when the corresponding event described under sub-element 16.2 Use Type takes place – i.e., the event itself is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time
Repeatable?	Yes
Assigned By	System-assigned
Schemes	ISO 8601 standard for date/time encoding
Comments	-

16.2 USE TYPE

Definition	An event which relates to access to or use made of a record.	
Purpose	To provide a finite (but extensible) set of defined access and use events which can be used to describe and audit the use of the record over time.	
Obligation	Mandatory	
Use Conditions		
Assigned Values	Value Name	Definition
	Accessed	The record is accessed in some way (e.g., viewed, copied, downloaded, printed).
	Checked Out	The record is in the possession of an individual.
	Unauthorized Access Attempted	An unsuccessful attempt to move, modify, or delete a record without assigned system authority or other form of authorization.
Default Value	-	
Repeatable?	Yes	
Assigned By	System-assigned	

Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
Comments	The extent to which an agency implements the auditing of these and other events is a risk-based business decision – e.g., an agency may choose to implement limited or no auditing of the action “Accessed” because it is such a frequent event, or because the agency's records are not classified or sensitive in any way.

16.3 USE DESCRIPTION

Definition	Details of the event, such as information about where the record was downloaded to, the name and location of the document record contents were copied to, and the specific nature of any illegal action or security breach.
Purpose	To enable auditing of accesses to and uses made of agency records. To ensure accountability for agency recordkeeping.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	Agent-assigned
Schemes	Free text, agency-defined schemes
Comments	Some events, such as “Accessed”, may not require any extra level of description. Information about the agent making use of the record shall be associated with the use itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether the agent information is automatically captured into the Use Description.

USE HISTORY Examples

16.1	Use Date/Time	2000-05-20T13:00-6:00	Scheme: ISO 8601
16.2	Use Type	Accessed	

16.1	Use Date/Time	2001-09-23T16:30-6:00	Scheme: ISO 8601
16.2	Use Type	Checked Out	
16.3	Use Description	To be returned in 2 weeks	

17. PRESERVATION HISTORY

Definition	The dates and descriptions of all actions performed on a record after its registration into a recordkeeping system which ensure that the record remains readable (renderable) and accessible for as long as it has value to the agency and to the community at large.		
Purpose	To act as a tool for preservation management. To provide a history of all preservation actions carried out on a single record over time. To provide evidence that an agency took all due care to keep its records of value both readable and accessible.		
Rationale	Agencies are required under Minnesota Statute 15.17 to “carefully protect and preserve government records from deterioration, mutilation, loss, or destruction.”		
Obligation	Optional		
Applicability	Migration from one data format to another is generally applicable at the record level only (unless a series is comprised of records that are all in the same format). Movement of records from one hardware platform/software environment to another, or one medium to another, is applicable at both the record and record series levels.		
Use Conditions	Use each time a preservation action is performed on a record – e.g., add information to this element whenever a record is migrated from one format to another or moved to a new medium. If used, this element should be used in conjunction with element 13. FORMAT, which provides information on which preservation strategies should be based. It may also be used in conjunction with element 18. LOCATION. The current details about the format and medium of the record shall always be recorded in element 13. FORMAT, sub-elements 13.2 Data Format, 13.3 Storage Medium, and 13.4 Extent. Some preservation actions which involve moving or copying from one medium to another may result in changes to details held in element 18. LOCATION. This element should also be used in conjunction with element 1. AGENT to document the agent responsible for performing or authorizing the preservation action (see Comments under 17.3 Action Description for information on linking to/capturing agent details). This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes

	17.1 Action Date/Time	Mandatory	ISO 8601 standard for date/time encoding
	17.2 Action Type	Mandatory	Minnesota Recordkeeping Metadata Standard
	17.3 Action Description	Mandatory	Free text, agency-defined schemes
	17.4 Next Action	Optional	Minnesota Recordkeeping Metadata Standard
	17.5 Next Action Due Date	Optional	ISO 8601 standard for date/time encoding
Comments	This element could be implemented as a history “log.” As such, it would need to incorporate linked information about agents and (depending on the implementation) the records themselves. Which particular information about agents and record IDs/titles, etc. is incorporated into this log is a system design decision that must be made by the agency.		

17.1 ACTION DATE/TIME

Definition	The date and time at which a defined preservation action on a record takes place.
Purpose	To provide system validation of preservation actions carried out on records. To restrict or facilitate access to records based on dates pertaining to particular preservation actions.
Obligation	Mandatory
Use Conditions	The system shall assign the date/time of the event when the corresponding Action Type (sub-element 17.2) is selected by the agent from a pick-list of the assigned values – i.e., the selection of the event by the agent is the trigger for the date/time to be generated by the system.
Assigned Values	-
Default Value	Current system date/time
Repeatable?	Yes
Assigned By	System-assigned
Schemes	ISO 8601 standard for date/time encoding
Comments	-

17.2 ACTION TYPE

Definition	A preservation action carried out on a record.
Purpose	To provide a finite (but extensible) set of defined preservation actions which can be used to describe how the record was maintained in a readable and accessible state over time.
Obligation	Mandatory

Use Conditions	-	
Assigned Values	Value Name	Definition
	Action Reviewed	The next action on the record is reviewed in light of changing agency policies, procedures, hardware, software, etc.
	Backed Up	A regular maintenance procedure that copies all records, or a subset of records, in the recordkeeping system to a backup storage medium such as a tape drive or optical disk drive. Often seen purely as a data administration function, but it has applicability to ensuring continued accessibility to the record over time. Metadata will need to be stored with backups of records. Use of this value may result in element 13. FORMAT, sub-element 13.3 Storage Medium being updated. It may also result in element 18. LOCATION, sub-element 18.3 Home Storage Details being updated.
	Condition Checked	The physical storage medium and/or storage conditions are checked to determine level of physical deterioration to ensure continued readability of records.
	Compressed (Zipped)	Records are converted by a file compression utility to a special format that minimizes the amount of storage space required. Use of this value should result in further information being added to element 13. FORMAT, sub-elements 13.2 Data Format and 13.4 Extent. It is included here because it is important to know whether records which have been refreshed or migrated have also been compressed in order to save space. It also affects the accessibility and speed of access to a record. Metadata should be stored with the records.
	Converted	The data format of a record is updated to be compatible with (and readable by) a newer version of the same software, or is changed to be compatible with a different vendor's software – e.g., Word 97 documents converted to Word 2000 or WordPerfect 5.1 documents converted to Word 2000. Use of this value should result in element 13. FORMAT, sub-element 13.2 Data Format being updated (and possibly 13.4 Extent). This action may be required because the agency has moved to a new hardware and software environment, or because the current format of the records is becoming obsolete and is no longer supported by current technology. Metadata should be moved with the records.

	Imaged	Records are converted from their native text/document format to a particular graphics format, resulting in the information being stored as a picture or image rather than as text. Use of this value should result in element 13. FORMAT, sub-elements 13.1 Content Medium, 13.2 Data Format, and 13.4 Extent being updated. Metadata should be stored with the images.
	Integrity Checked	The integrity of the records and metadata is checked to ensure continued readability and trustworthiness (i.e., the record is authentic and reliable).
	Medium Refreshed	Records are periodically copied from one storage medium to another to ensure that deterioration of the medium itself does not affect or prevent access to the records. Use of this value should result in element 13. FORMAT, sub-element 13.3 Storage Medium being updated. It may also result in element 18. LOCATION, sub-element 18.3 Home Storage Details being updated. Metadata should be copied with the records.
	Microfilmed	Photographic processes are used to produce reduced-size images of records on a high-resolution, fine-grain film stock. Can be utilized with both hard copy and electronic records. Use of this value should result in element 13. FORMAT, sub-elements 13.1 Content Medium, 13.3 Storage Medium, and 13.4 Extent being updated. Metadata should be stored with the images.
	Migrated	Records are moved from one hardware/operating system platform to another. Use of this value may result in element 13. FORMAT, sub-elements 13.2 Data Format, 13.3 Storage Medium, and most sub-elements under element 18. LOCATION being updated. Metadata should be migrated with the records.
	Moved Offline	The record is moved to some form of offline storage, such as a CD-R or microfilm. Metadata about the record will also need to be stored with the record. Use of this value should result in element 13. FORMAT, sub-element 13.3 Storage Medium, and element 18. LOCATION, sub-elements 18.1 Current Location and 18.3 Home Storage Details being updated. Metadata should be stored with the records.
Default Value	-	
Repeatable?	Yes	
Assigned By	Assigned by authorized agent from a pick-list of the assigned values	
Schemes	Minnesota Recordkeeping Metadata Standard	

Comments	Each time a particular action is carried out, it will change the current values displayed in one or more other sub-elements (refer to each event for specific details). Details of the old values shall be entered under sub-element 17.3 Action Description.
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17.3 ACTION DESCRIPTION

Definition	The specific details of the action.
Purpose	To ensure the visibility and auditability of agency preservation management decisions and actions. To ensure accountability for records readability and accessibility.
Obligation	Mandatory
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	Agent-assigned
Schemes	Free text, agency-defined schemes
Comments	The previous value of the particular record status being changed by the event may be recorded in this sub-element. This may be the information relating to the old format, medium, and extent, which shall be taken from element 13 FORMAT, sub-elements 13.2 Data Format, 13.3 Storage Medium, and (if used) 13.4 Extent, or it may be information relating to the location of the record, stored under element 18. LOCATION, sub-elements 18.1 Current Location or 18.3 Home Storage Details. It is strongly recommended that this information be structured in some way rather than being entered as free text. Use of templates will enable the information to be entered in a structured way, as well as allowing certain pieces of information to be automatically generated by the system rather than manually entered by the agent – e.g., required information about the agent could be automatically assigned to the template. Information about the agent performing the action shall be associated with the action itself. A decision will need to be made by individual agencies as to whether this association is implemented through links to separately held agent information, or whether agent information is automatically captured through the use of templates and stored as part of the Action Description.

17.4 NEXT ACTION

Definition	The next preservation review, check, or action that the record needs to undergo.	
Purpose	To act as a tool for preservation planning and coordination. To enable searches on all records which next require a particular action.	
Obligation	Optional	
Use Conditions	May be used in conjunction with sub-element 17.5 Next Action Due.	
Assigned Values	Value Name	Definition
	Back Up	Copy all records or a sub-set of records in a recordkeeping systems to a backup storage medium such as a tape drive or an optical disk drive. Metadata should be linked to or stored with the backups of records.
	Check Condition	Physical check of a particular storage medium and/or storage conditions.
	Check Integrity	Check the integrity of the records and metadata to ensure continued readability and trustworthiness (i.e., the record is authentic and reliable).
	Compress	Convert records using a file compression utility to a special format that minimizes the amount of storage space required. Metadata should remain linked to or stored with the records. This action should be accompanied by “Check Integrity.”
	Convert	Record format is updated to be compatible with (and readable by) a newer version of the same software or is changed to be compatible with a different software. Metadata should remain linked to or moved with the records. This action should be accompanied by “Check Integrity.”
	Image	Convert records from their native format to a particular graphics format, resulting in the information being stored as a picture or image rather than as text. Metadata should be linked to or stored with the images. This action should be accompanied by “Check Integrity.”
	Microfilm	Use photographic process to produce reduced-size images of record information on microfilm stock. Metadata should remain linked to or stored with the images. This action should be accompanied by “Check Integrity.”
	Migrate	Move records from one hardware/operating system platform to another. Metadata should remain linked to or migrated with the records. This action should be accompanied by “Check Integrity.”

	Move Offline	Move records to some form of offline storage such as CD-R or microfilm. Metadata should remain linked to or stored with the records.
	Refresh Medium	Copy records from one storage medium to another to ensure that deterioration of the medium itself does not prevent access to the records. Metadata should remain linked to or copied with the records.
	Review Action	Next action on the record may need to be reviewed in the case of a change in agency policy or procedures, or in the event that the agency is changing to a new hardware and/or software environment.
	Take No Further Action	No more action is required – e.g., because the record is due for disposal in the near term.
Default Value	-	
Repeatable?	No	
Assigned By	Authorized agent	
Schemes	Minnesota Recordkeeping Metadata Standard	
Comments	-	

17.5 NEXT ACTION DUE DATE

Definition	The date that the next preservation action is due.
Purpose	To act as a tool for preservation planning and coordination. To enable searches on all actions due within a particular time period.
Obligation	Optional
Use Conditions	Use in conjunction with sub-element 17.4 Next Action.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	Assigned by the system and calculated on the current date after an authorized agent selects from a pick-list of set time periods (e.g., “3 months”, “6 months”, “1 year”, “2 years”, “5 years”, etc.), or manually entered by the agent.
Schemes	ISO 8601 standard for date/time encoding.
Comments	This sub-element could be used to generate reminders at set (agency-defined) times before the action due date arrives.

PRESERVATION HISTORY Examples

17.1	Action Date/Time	1998-06-14	Scheme: ISO 8601
17.2	Action Type	Microfilmed	
17.3	Action Description	Microfilmed at Dakota Microfilm per schedule	

17.1	Action Date/Time	2002-06-11T20:00-6:00	Scheme: ISO 8601
17.2	Action Type	Integrity Checked	
17.3	Action Description	Integrity checked per schedule	
17.4	Next Action	Check Integrity	
17.5	Next Action Due Date	2003-06-11T20:00-6:00	Scheme: ISO 8601

18. LOCATION

Definition	The current (physical or system) location of the record. Details about the location where the record usually resides.		
Purpose	To keep track of records for which the agency is responsible. To act as a storage management tool. To enable ease of identification of the record's current location and quick retrieval when required.		
Rationale	Agencies are required under Minnesota Statute 15.17 to “carefully protect and preserve government records from deterioration, mutilation, loss, or destruction.”		
Obligation	Mandatory		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Use in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2, Event Type and element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	18.1 Current Location	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	18.2 Home Location Details	Mandatory	Agency-defined schemes
	18.3 Home Storage Details	Mandatory	Agency-defined schemes
	18.4 Recordkeeping System	Optional	Agency-defined schemes
Comments	-		

18.1 CURRENT LOCATION

Definition	The current physical or system location of the record.
Purpose	To keep track of the current locations of both hard copy and electronic records. To enable searches for records by location. To enable quick location and retrieval of records when required. To ensure the accountability and auditability of an agency's records.
Obligation	Mandatory

Use Conditions	This sub-element shall be used in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type. The details of the previous location shall be captured in the sub-element 15.3 Event Description. This sub-element can also be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. The details of the previous location should be captured in the sub-element 17.3 Action Description.	
Assigned Values	Value Name	Definition
	Home	The home location of the record, as described in sub-element 18.2 Home Location Details.
Default Value	Home	
Repeatable?	No	
Assigned By	System-assigned. Details of an external entity, a physical location, or a server/electronic store to which a record is temporarily moved will be either selected from a pick-list of agency-defined values or manually entered by an authorized agent.	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	In the case of hard copy records, current location may be the external entity with which the record currently resides or the internal organizational unit or individual with which or with whom the record currently resides. In the case of electronic records, current location may be a temporary location (e.g., records stored on a medium which requires refreshing being moved from their usual storage location to a preservation action area). An agency may assign further values for use with this sub-element to reflect its specific situation (e.g., other entities to which it regularly moves records, or details of physical and/or electronic storage areas within the agency).	

18.2 HOME LOCATION DETAILS

Definition	The name (and perhaps address) of the external entity, agency, organizational unit, or individual with which or with whom a record normally resides or is stored.
Purpose	To provide physical, personal, or system details about where a record is usually kept. To facilitate the checking or surveying of records against their usual home locations. To act as a storage management tool.
Obligation	Mandatory

Use Conditions	Agencies may choose to use this sub-element to record information about the system location of electronic records (e.g., details such as a server name and the physical location of the server itself, particularly if system resources are geographically dispersed). This sub-element shall be used in conjunction with element 15. MANAGEMENT HISTORY, sub-element 15.2 Event Type. The details of the previous home location shall be captured in the sub-element 15.3 Event Description.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	System-assigned
Schemes	Agency-defined schemes
Comments	The default value may be the name and address of the agency or individual responsible for the record, or the name and address of the agency's records storage provider. The entity where a record is located is not necessarily the same entity which controls the record (e.g., some records are housed by an external storage provider). When codes are used, actual names (and addresses if applicable) should be made available through a pointer system.

18.3 HOME STORAGE DETAILS

Definition	Information about a record's specific storage location and any special conditions under which it is stored.
Purpose	To enable quick identification of any missing records or of any records not stored in the correct location. To ensure that the appropriate home storage conditions are provided for records of particular values and for records on specific types of physical media. To facilitate appropriate storage and efficient retrieval of records.
Obligation	Mandatory

Use Conditions	Use this sub-element to provide information about the room in which a record is stored (such as floor and room number), its shelf position within that room, the name/number of the server or electronic medium on which it is stored, and any special conditions required for its proper storage. This sub-element should be used in conjunction with both element 13. FORMAT and element 17. PRESERVATION HISTORY to ensure that records are stored under appropriate conditions in their home locations. This sub-element may be used in conjunction with element 17. PRESERVATION HISTORY, sub-element 17.2 Action Type. Each time the Action Types “Backed Up”, “Medium Refreshed”, “Migrated”, or “Moved Offline” are used, agencies may choose to update this sub-element with new home storage details. The previous home storage details should be captured in the sub-element 17.3 Action Description.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	Authorized agent
Schemes	Agency-defined schemes
Comments	Values are assigned by an agency to meet its own specific requirements.

18.4 RECORDKEEPING SYSTEM

Definition	Identification of the agency recordkeeping system of which a record is a part or in which a record resides.
Purpose	To link a record to the specific agency recordkeeping system to which it belongs. To act as a search point for external agents looking for records of particular activities held by specific agencies. To act as a “key” or link to all information about a particular agency recordkeeping system. An agency which operates more than one formal recordkeeping system will be able to determine under which system a particular record is managed. Could also be used to provide a means of uniquely identifying individual agency recordkeeping systems within groups of related agencies.
Obligation	Optional
Use Conditions	If used, this sub-element shall be equally applicable to paper-based, electronic, and hybrid recordkeeping systems.
Assigned Values	-
Default Value	-
Repeatable?	No
Assigned By	System-assigned
Schemes	Agency-defined schemes

Comments	A whole-of-government scheme to uniquely identify agency recordkeeping systems is recommended. This sub-element could be linked to element 14. RECORD IDENTIFIER to provide unique identification of a record which moves outside its original agency domain.
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LOCATION Examples

18.1	Current Location	Central Office, Minnesota Department of Agriculture
18.2	Home Location Details	State Records Center
18.3	Home Storage Details	Aisle 56, Bay 2

18.1	Current Location	Home
18.2	Home Location Details	Minnesota Department of Public Safety
18.3	Home Storage Details	Network drive IP 156.98.23.124

If “Checked Out,” see 16. USE HISTORY, 16.2 Use Type

18.1	Current Location	Jane Doe, Metro Office, Minnesota Pollution Control Agency
18.2	Home Location Details	Minnesota Pollution Control Agency
18.3	Home Storage Details	Network server ID Camelot

19. DISPOSAL

Definition	Information about policies and conditions which pertain to or control the authorized disposal of records. Information about the current retention schedule and disposal actions to which the record is subject.		
Purpose	To advise users of laws, policies, and/or retention schedule that govern the retention or disposal of the record. To alert recordkeeping staff when disposal actions for records are due.		
Rationale	Disposal policies enable agencies to meet their recordkeeping requirements with regard to the retention of records of value (and the disposal of records that no longer have value). This element will assist in disposal management, as well as provide disposal process visibility and accountability through documentation.		
Obligation	Mandatory (if there is no current retention schedule for the record, the default values for the sub-elements shall be used).		
Applicability	Applicable at the record and/or record series level.		
Use Conditions	Only recordkeeping and auditing staff should have full access to this element. This element shall be used in conjunction with element 15. MANAGEMENT HISTORY. Due to the nature of many sentences (e.g., “Destroy 10 years after closed”), sub-elements 19.2 Retention Period and 19.4 Disposal Due Date shall be dynamic fields, linked to the relevant sub-elements under element 15. MANAGEMENT HISTORY. Some event/use dates and types which are recorded under sub-elements 15.1 and 15.2 (Event Date/Time and Event Type) shall cause the information in sub-elements 19.2 Retention Period and/or 19.4 Disposal Due Date to be updated. Such event and use types include: “Closed”, “Disposal Action Changed”, “Disposition Hold Placed”, “Disposal Hold Removed”, “Retention Period Changed”, and “Scheduled”. The date in sub-element 19.4 Disposal Due Date shall be calculated (or recalculated) according to the current sentencing details under sub-element 19.2 Retention Period, and using the date the event was performed or the record used as the starting point for the calculation. This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	No		
Sub-Elements	Name	Obligation	Schemes
	19.1 Retention Schedule	Mandatory	Minnesota Recordkeeping Metadata Standard, general records retention schedules, agency-specific retention schedules
	19.2 Retention Period	Mandatory	Minnesota Recordkeeping metadata Standard, free text, agency-defined schemes

	19.3 Disposal Action	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	19.4 Disposal Due Date	Mandatory	Mandatory, Minnesota Recordkeeping Metadata Standard, ISO 8601 standard for date/time encoding
Comments	All records within a recordkeeping system require the use of this element at some time in their existence. However, it may not be possible to provide the information required by this element at the creation of a record for a variety of reasons, including the unavailability of a relevant retention schedule and an organizational policy which precludes assigning retention period on creation. As this element is considered mandatory, the default values for the sub-elements will need to be used until such time as an agency is able to assign the specific values applicable to its own disposal situation. In cases where there is an automated file plan in place (i.e., through a records management system), sub-element values may be system assigned.		

19.1 RETENTION SCHEDULE

Definition	Legal documentation issued which authorizes the disposal records.	
Purpose	To provide a visible link between agency records and the disposal action(s) taken on them. To help ensure that the correct disposal actions are taken on records.	
Obligation	Mandatory	
Use Conditions	If there is currently no authorization for the disposal of a record, or if the retention schedule is under development, the default value “Not Scheduled” shall be applied to this sub-element. Records that are not scheduled or are not covered by an approved PR-1 Form (Application for Authority to Dispose of Records) are not authorized for disposal. If more than one retention requirement applies to a record, the more restrictive one takes precedence.	
Assigned Values	Value Name	Definition
	Not Scheduled	There is currently no retention schedule in place which covers this record.
Default Value	Not Scheduled	
Repeatable	No	
Assigned By	System-assigned. Otherwise, it should be possible for an authorized agent, such as the agency Records Manager, to select the correct retention schedule from a pick-list of the retention schedules which apply to that agency.	
Schemes	Minnesota Recordkeeping Metadata Standard, general records retention schedules, agency-specific retention schedules	
Comments	The value should include the unique identification number that all general	

	and agency-specific retention schedules carry. Disposal of records can only take place under a retention schedule or with an approved PR-1 Form (Application for Authority to Dispose of Records).
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19.2 RETENTION PERIOD

Definition	The retention period assigned to a record (e.g., the length of time of the record needs to be kept). This is based on a determination of the record's value and the resulting identification of the specific record series to which it belongs.	
Purpose	To act as a trigger for the authorized disposal of agency records. To provide a means of determining all records with a particular retention period. To provide a mechanism for assigning retention period on record creation and for automating the records disposal process.	
Obligation	Mandatory	
Use Conditions	If there is currently no authorization for the disposal of a record, or if the retention schedule is under development, the default value “Permanent” shall be applied to this sub-element. Records that are not scheduled carry no retention period and so cannot be disposed of, which in essence, means permanent retention until a retention period is assigned or a related PR-1 Form (Application for Authority to Dispose of Records) is approved. If more than one retention period applies to a record, the more restrictive (e.g., longer) one takes precedence. The value in this sub-element determines the date for disposal action under sub-element 19.3 Disposal Due Date. This sub-element reflects the retention period which currently applies to the record. If the retention period is changed, the new retention period will be reflected in this sub-element. The old retention period, and details of reasons for the change, will be recorded under element 15. MANAGEMENT HISTORY, using sub-element 15.2 Event Type, Assigned Value “Retention Period Changed”, and sub-element 15.3 Event Description.	
Assigned Values	Value Name	Definition
	Permanent	The record is of enduring value and will be retained, or there is no assigned retention period nor approved PR-1 Form (Application for Authority to Dispose of Records).
Default Value	Permanent	
Repeatable	No	
Assigned By	System-assigned. Otherwise, it should be possible for an authorized agent, such as the agency Records Manager, to enter the correct retention period.	
Schemes	Minnesota Recordkeeping Metadata Standard, free text, agency-defined schemes	
Comments	Disposal of records can only take place under a retention schedule or with an approved PR-1 Form (Application for Authority to Dispose of Records).	

19.3 DISPOSAL ACTION

Definition	The action that is taken on the record once the end of its retention period is reached.	
Purpose	To describe the final disposition of records. To act as a tool for disposal management. To enable searches for records with similar disposition.	
Obligation	Mandatory	
Use Conditions	If there is currently no authorization for the disposal of a record, or if the retention schedule is under development, the default value “To Be Determined” shall be applied to this sub-element. Records that are not scheduled or are not covered by an approved PR-1 Form (Application for Authority to Dispose of Records) must be retained. The value of this sub-element is changed when sub-element 15.2 Event Type “Disposal Action Changed” is selected; the reason for the change and the old value shall be recorded under sub-element 15.3 Event Description.	
Assigned Values	Value Name	Definition
	Permanent	The record is of enduring value and will be retained.
	Destroy	The record will be destroyed at the end of the retention period.
	Transfer to State Archives	The record has archival value and custody will be transferred to the State Archives Department of the Minnesota Historical Society.
	To Be Determined	The record is not covered by either a retention schedule nor an approved PR-1 Form (Application for Authority to Dispose of Records), and so no disposal action can be assigned nor taken.
Default Value	To Be Determined	
Repeatable	No	
Assigned By	System-assigned. Otherwise, it should be possible for an authorized agent, such as the agency Records Manager, to select the correct disposal action from a pick-list or enter another value.	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	Other values may include such disposal actions as “Return to Client”. In some agencies, no disposal action can be taken until notification has been given to the Records Manager or another authorized agent, and the action has been approved.	

19.4 DISPOSAL DUE DATE

Definition	The date that a record is due for some kind of disposal action, such as transfer or destruction, as specified under sub-element 19.2 Retention Period.	
Purpose	To act as a tool for disposal management. To enable searches on all records due for some form of disposal action by a given date. To act as a trigger for the authorized disposal of records.	
Obligation	Mandatory	
Use Conditions	If the record is not currently covered by a retention schedule, or has a retention period of “Permanent”, this sub-element shall contain a null value. This sub-element shall be used in conjunction with sub-element 19.2 Retention Period. This sub-element is a dynamic field, linked to defined Event Types or Use Types under element 15. MANAGEMENT HISTORY. The date value in this sub-element will need to be recalculated each time one of these defined events or uses takes place. For example, in some cases (depending on the retention period) the event “Closed” under sub-element 15.2 Event Type will cause the date value in this sub-element to be calculated from the date of closure (as recorded in sub-element 15.1 Event Date/Time). Each time 15.2 Event Type “Disposition Hold Placed” is selected, the current value of this sub-element is replaced with “Null” either automatically or by agent action. Such records cannot have another disposal due date assigned until the disposition hold is lifted (event “Disposition Hold Removed”).	
Assigned Values	Value Name	Definition
	Null	The record is permanent, no value (date) has yet been specified, or a disposition hold has been placed on the record.
Default Value	Null	
Repeatable	No	
Assigned By	System-assigned based on the retention period applied under sub-element 19.2 and calculated from the date of a specific (agency-defined) event (e.g., the date the record was created or the record series is closed).	
Schemes	Minnesota Recordkeeping Metadata Standard, ISO 8601 standard for date/time encoding	
Comments	It may be possible to provide a system alarm or reminder which alerts authorized agents to impending disposal actions at some (agency defined) time period before those actions are to take place. Once a disposition hold is removed, the value for this sub-element just prior to the hold should be reinstated or another value chosen by an authorized agent.	

DISPOSAL Examples

19.1	Retention Schedule	79-402, item 2	
19.2	Retention Period	10 years	
19.3	Disposal Action	Destroy	
19.4	Disposal Due Date	2012-06-10	Scheme: ISO 8601

19.1	Retention Schedule	Not Scheduled
19.2	Retention Period	Permanent
19.3	Disposal Action	To Be Determined
19.4	Disposal Due Date	Null

20. MANDATE

Definition	A source of recordkeeping requirements. For example, a piece of legislation, formal directive, policy, standard, guideline, set of procedures, or community expectation which (explicitly or implicitly) imposes a requirement to create, keep, dispose of, or control access to and use of a record.		
Purpose	To document the sources of recordkeeping requirements. To provide a visible link between recordkeeping requirements and the strategies implemented to meet those requirements.		
Rationale	The use of this element will assist agencies to keep track of their recordkeeping requirements and to more easily ensure that they continue to meet those requirements over time.		
Obligation	Optional		
Applicability	Applicable at the record and/or record series level		
Use Conditions	This element shall be linked to elements 12. AGGREGATION LEVEL and 14. RECORD IDENTIFIER.		
Repeatable?	Yes		
Sub-Elements	Name	Obligation	Schemes
	20.1 Mandate Type	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	20.2 Refers To	Mandatory	Minnesota Recordkeeping Metadata Standard, agency-defined schemes
	20.3 Mandate Name	Mandatory	Agency-defined schemes, URIs
	20.4 Mandate Reference	Optional	Free text, URIs, agency-defined schemes
	20.5 Requirement	Optional	Free text, URIs, agency-defined schemes
Comments	Much of the information required for this element should normally be collected during the development of agency business classification schemes, records retention schedules, and specific recordkeeping systems and strategies. There could be direct links from the information contained in this element to the agency functions, activities, and transactions to which they apply (i.e., links could be provided from this element to element 9. FUNCTION). Information about mandates could be kept in a separate agency recordkeeping requirements database, or documented, through this element, as part of the agency's overall set of metadata for recordkeeping.		

20.1 MANDATE TYPE

Definition	The nature of the resource which, explicitly or implicitly, contains the recordkeeping requirement or mandate.
Purpose	To provide a general indication of the rationale behind the creation, retention, access control, and/or disposal of a record.
Obligation	Mandatory

Use Conditions	-	
Assigned Values	Value Name	Definition
	Legislation	The mandate exists in a piece of legislation.
	Regulation	The mandate exists in a piece of subsidiary legislation.
	Formal Directive	The mandate exists in government or agency policy, or in a formal directive.
	Industry Regulation	The mandate exists in a mandatory regulation or standard pertaining to a particular industry or type of work.
	Best Practice Standard	The mandate exists in a discretionary standard (e.g., the ISO 9000 series of Quality Management standards), which recommends best practice in particular areas.
	Internal Business Requirement	The mandate exists in an internal agency policy or procedure put in place to meet specific business requirements.
	Community Expectation	The mandate exists in an expectation by the larger community that particular records will be created and kept.
Default Value	-	
Repeatable	Yes	
Assigned By	Authorized agent	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	-	

20.2 REFERS TO

Definition	The kind of recordkeeping activity to which the mandate, either explicitly or implicitly, refers.	
Purpose	To provide easily accessible justification for how an agency's records are managed, controlled, and used.	
Obligation	Mandatory	
Use Conditions	-	
Assigned Values	Value Name	Definition
	Creation	The mandate states that a record shall be created.
	Retention	The mandate states that a record shall be kept (it may or may not state for how long).
	Access/Usage	The mandate states that certain access/usage rights to or access/usage restrictions on a record shall be allowed or enforced.
	Accessibility	The mandate states that a record shall be maintained and stored in such a way that it retains its original functionality, and remains both accessible and readable.

	Record Quality	The mandate states that a record shall be maintained and stored in such a way that it retains its original functionality, and remains both accessible and readable.
Default Value	-	
Repeatable	Yes	
Assigned By	Agent-assigned	
Schemes	Minnesota Recordkeeping Metadata Standard, agency-defined schemes	
Comments	These values provide the basis for agency-specific business rules which stipulate how particular records should be managed, and how they can be used and accessed from creation through to disposal.	

20.3 MANDATE NAME

Definition	The name of the resource which contains explicit or implicit recordkeeping requirements or mandates relating to a record. A link to an online resource containing recordkeeping requirements or mandates.
Purpose	To enable the reasons for decisions on managing, controlling and using records to be linked back to the source(s) of the original recordkeeping requirements.
Obligation	Mandatory
Use Conditions	If there is an applicable section of the mandate, that is indicated by using sub-element 20.4 Mandate Reference. If the mandate has no discrete sections or if the entire mandate is applicable, only sub-element 20.3 Mandate Name is used.
Assigned Values	-
Default Value	-
Repeatable	Yes
Assigned By	Assigned from a pick-list of the agency's most common sources of recordkeeping mandates or manually entered/linked by an authorized agent such as the agency Records Manager.
Schemes	Agency-defined schemes, URIs
Comments	An agency may assign its most common sources of mandates for recordkeeping, such as the pieces of legislation under which it operates, as values for this sub-element. The following state laws are applicable to all agencies. Minnesota Rules, Chapter 1205 (Department of Administration, Data Practices); Minnesota Statutes, Chapter 13 (Minnesota Government Data Practices Act); Minnesota Statutes, Chapter 15.10 (Records Delivered to Department Heads); Minnesota Statutes, Chapter 15.17 (Official Records Act); Minnesota Statutes, Chapter 138.17 (Government Records Act); Minnesota Statutes, Chapter 138.163 (Preservation and Disposal of Government Records); Minnesota Statutes, Chapter 325L (Uniform Electronic Transactions Act).

20.4 MANDATE REFERENCE

Definition	The actual reference (numeric, paragraph, etc.) within the resource or a link to an online reference which details the explicit or implicit recordkeeping requirement or mandate.
Purpose	To enable direct access to the recordkeeping requirements which govern the management, control, and use of a record. To provide a completely visible link between a record and the recordkeeping requirements which govern its management and use.
Obligation	Optional
Use Conditions	The format of the reference will be dependent on the format of the source document from which the mandate reference is taken.
Assigned Values	-
Default Value	-
Repeatable	Yes
Assigned By	Agent-assigned, usually by the agency Records Manager
Schemes	Free text, URIs, agency-defined schemes
Comments	-

20.5 REQUIREMENT

Definition	Either a direct quote (or link to a direct quote) of any explicit or implicit recordkeeping requirement or mandate contained in the source, or a description of the requirement itself.
Purpose	To provide the specific details of any recordkeeping requirements relating to a record.
Obligation	Optional
Use Conditions	-
Assigned Values	-
Default Value	-
Repeatable	Yes
Assigned By	Agent-assigned, usually by the agency Records Manager
Schemes	Free text, URIs, agency-defined schemes
Comments	This sub-element may also be used to provide details of the agency's own interpretation of an implicit recordkeeping requirement and its reasons for interpreting the requirement in a particular way. In some instances, agencies may want to make this sub-element mandatory.

MANDATE Examples

20.1	Mandate Type	Legislation
20.2	Refers To	Access/Usage
20.3	Mandate Name	Minnesota Statutes Chapter 13 (Minnesota Government Data Practices Act)

20.1	Mandate Type	Legislation
20.2	Refers To	Creation
20.3	Mandate Name	Minnesota Statutes Chapter 15.17 (Official Records Act)
20.4	Mandate Reference	Subdivision 1
20.5	Requirement	Must be kept. All officers and agencies of the state, counties, cities, towns, school districts, municipal subdivisions or corporations, or other public authorities or political entities within the state, hereinafter “public officer,” shall make and preserve all records necessary to a full and accurate knowledge of their official activities....

K. Appendices

K.1 Table of Element Inter-Relationships

Element	Relates To	References
1. AGENT*	10. Date 12. Aggregation Level 14. Record Identifier 15. Management History 16. Use History 17. Preservation History	
2. RIGHTS MANAGEMENT*	12. Aggregation Level 14. Record Identifier 15. Management History	16. Use History
3. TITLE*	12. Aggregation Level 14. Record Identifier	4. Subject 9. Function
4. SUBJECT*	12. Aggregation Level 14. Record Identifier	3. Title 5. Description
5. DESCRIPTION	12. Aggregation Level 14. Record Identifier	
6. LANGUAGE	12. Aggregation Level 14. Record Identifier	
7. RELATION	12. Aggregation Level 14. Record Identifier	15. Management History
8. COVERAGE	12. Aggregation Level 14. Record Identifier	3. Title 4. Subject 5. Description 9. Function
9. FUNCTION	12. Aggregation Level 14. Record Identifier	20. Mandate
10. DATE*	1. Agent 12. Aggregation Level 14. Record Identifier	15. Management History 16. Use History 17. Preservation History
11. TYPE	12. Aggregation Level 14. Record Identifier	3. Title 4. Subject 5. Description 9. Function 13. Format
12. AGGREGATION LEVEL*	All other elements	
13. FORMAT	12. Aggregation Level 14. Record Identifier 17. Preservation History	
14. RECORD IDENTIFIER*	All other elements	

Element	Relates To	References
15. MANAGEMENT HISTORY*	1. Agent 2. Rights Management 7. Relation 12. Aggregation Level 14. Record Identifier 18. Location 19. Disposal	10. Date
16. USE HISTORY	1. Agent 12. Aggregation Level 14. Record Identifier	2. Rights Management
17. PRESERVATION HISTORY	1. Agent 12. Aggregation Level 13. Format 14. Record Identifier 18. Location	
18. LOCATION*	12. Aggregation Level 14. Record Identifier 15. Management History 17. Preservation History	13. Format
19. DISPOSAL*	12. Aggregation Level 14. Record Identifier 15. Management History	
20. MANDATE	12. Aggregation Level 14. Record Identifier	

* Mandatory

K.2 Element Mappings to DCMES and MGMG

Table of Element Mappings to the Dublin Core Metadata Element Set (DCMES) and the Minnesota Geographic Metadata Guidelines (MGMG)

Element	Maps to DCMES	Maps to MGMG
1. AGENT*	Creator, Publisher, Contributor	Originator, Contact Person, Contact Organization, Contact Person Position, Contact Address, Contact City, Contact State or Province, Contact Postal Code, Contact Voice Phone, Contact Fax Phone, Contact E-mail Address, Publisher, Distributor, Distributor Contact Person, Distributor Organization, Distributor Position, Distributor Address, Distributor City, Distributor State or Province, Distributor Postal Code, Distributor Voice Phone, Distributor Fax Phone, Distributor E-mail Address
2. RIGHTS MANAGEMENT*	Rights	Access Constraints, Use Constraints, Distribution Liability
3. TITLE*	Title	Title
4. SUBJECT*	Subject	Place Keywords, Theme Keywords
5. DESCRIPTION	Description	Abstract, Purpose
6. LANGUAGE	-	-
7. RELATION	Source, Relation	Associated Data Sets, Lineage
8. COVERAGE	Coverage	Time Period of Content Data, Currentness Reference, Spatial Extent of Data
9. FUNCTION	-	-
10. DATE*	Date	Publication Date
11. TYPE	Types	-
12. AGGREGATION LEVEL*	-	-
13. FORMAT	Format	Native Data Set Environment, Transfer Format Name, Transfer Format Version Number
14. RECORD IDENTIFIER*	Record Identifier	Minnesota Clearinghouse ID
15. MANAGEMENT HISTORY*	-	-
16. USE HISTORY	-	-
17. PRESERVATION HISTORY	-	-
18. LOCATION*	-	-
19. DISPOSAL*	-	-
20. MANDATE	-	-

* Mandatory

K.3 Full Record Example

* Indicates mandatory elements

1. AGENT *

1.1	Agent Type	Records Manager
1.3	Entity Name	Minnesota Department of Administration
1.5	Person ID	johndoe [system ID]
1.6	Personal Name	John Doe
1.7	Organization Unit	Operations Services
1.8	Position Title	Government Records Analyst
1.10	E-mail	john.doe@state.mn.us

2. RIGHTS MANAGEMENT *

2.1	MGDPA Classification	Private
2.2	Other Access Condition	Data sharing agreement with Minnesota Department of Human Services
2.3	Usage Condition	To be used only for the purpose of job application

3. TITLE *

3.1	Official Title	Standard Application Form
3.2	Alternative Title	SAF

4. SUBJECT *

4.1	First Subject Term	Occupations	Free Text
4.2	Enhanced Subject Term	Salaries	Free Text

5. DESCRIPTION

5	Description	The Standard Application Form (SAF) is to be utilized in all State of Minnesota employment applications, including the online job application site.
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6. LANGUAGE

6.	Language	eng	Scheme: ISO 639-2
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7. RELATION

7.1	Related Item ID	www.revisor.leg.state.mn.us/stats/13/072.html
7.2	Relation Type	References
7.3	Relation Description	Statute reference within record

8. COVERAGE

8.1	Coverage Type	State
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9. FUNCTION

9.	Function	Human Resources
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10. DATE *

10.1	Date/Time Created	1997-09-01T10:06-6:00	Scheme: ISO 8601
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11. TYPE

11.	Type	Procedure
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12. AGGREGATION LEVEL *

12.	Aggregation Level	Record
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13. FORMAT

13.1	Content Medium	Text
13.2	Data Format	Microsoft Word 2000
13.3	Storage Medium	CD-R
13.4	Extent	1.26 Mb

14. RECORD IDENTIFIER *

14.	Record Identifier	97-a36975
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15. MANAGEMENT HISTORY *

15.1	Event Date/Time	1997-09-01T10:07-6:00	Scheme: ISO 8601
15.2	Event Type	Registered	
15.3	Event Description	Registered into Minnesota Department of Administration recordkeeping system (Admin_1)	

16. USE HISTORY

16.1	Use Date/Time	2001-09-23T13:23-6:00	Scheme: ISO 8601
16.2	Use Type	Accessed	

17. PRESERVATION HISTORY

17.1	Action Date/Time	2002-06-11T20:01-6:00	Scheme: ISO 8601
17.2	Action Type	Integrity Checked	
17.3	Action Description	Integrity checked per schedule	
17.4	Next Action	Check Integrity	
17.5	Next Action Due Date	2003-06-11	Scheme: ISO 8601

18. LOCATION *

18.1	Current Location	Jane Doe, Metro Office, Minnesota Pollution Control Office
18.2	Home Location Details	Minnesota Department of Administration
18.3	Home Storage Details	Network server ID Schnoozel
18.4	Recordkeeping System	Admin_1

19. DISPOSAL *

19.1	Retention Schedule	79-402, item 2
19.2	Retention Period	10 years
19.3	Disposal Action	Destroy
19.4	Disposal Due Date	2007-09-01

20. MANDATE

20.1	Mandate Type	Legislation
20.2	Refers To	Access/Usage
20.3	Mandate Name	Minnesota Statutes Chapter 13 (Minnesota Government Data Practices Act)

K.4 Draft Implementation Models

As of its first publication in May 2002, this standard has not been implemented in any Minnesota government setting. However, draft models for implementation do exist and are freely available. Those wishing more information should contact the individuals listed below.

Name of Model	Description	Contact Person
Minnesota Recordkeeping Metadata Standard Data Model	Standard presented in data model format (database perspective) along with SQL script used to create table. Not reviewed or approved by CFL.	Developed by Lorraine Swick Department of Children, Families & Learning (CFL) MODEL NO LONGER AVAILABLE.
Metadata and Data Interchange System (MDIS)	Theoretical model intended for the record series level. XML-based system centered around a metadata hub that would allow resource discovery in a non-proprietary, free software environment. Not reviewed or approved by Mn/DOT.	Jim Harris Department of Transportation MODEL NO LONGER AVAILABLE.

K.5 Revisions to Standard

Please direct all questions, corrections, and suggestions for revisions to:

Shawn Rounds
State Archives Department, Minnesota Historical Society
651-296-7953
shawn.rounds@mnhs.org

All substantive revisions will be coordinated with MN.IT Services. Non-substantive revisions (e.g., URL updates) will be carried out as necessary to maintain the currency of the standard.

K.5.1 Version History

Version 1.3 (March 2015):

- References to *Minnesota Enterprise Technical Architecture* and Minnesota Office of Enterprise Technology updated to reflect establishment of MN.IT Services.
- Section E.2. updated to reflect establishment of the Minnesota Geospatial Information Office (MnGeo).
- Section E.2. updated to reflect the new Minnesota Web Metadata Standard.
- Reference to LIV-MN were removed, including Subject Examples in sections 4 and K.3
- URLs and other external references verified and updated.
- Definitions updated.

Version 1.2 (April 2003):

- Element 6. LANGUAGE: Correction to the coding for “English” in ISO 639-2 from “en” to “eng”.
- Element 10. DATE: Sub-element 10.3 Other Date/Time Description added. Also added to Section I. Summary List of Metadata Elements.
- Element 13. FORMAT, sub-element 13.2: “Not Applicable” added to Assigned Values list.
- Element 13. FORMAT, sub-element 13.3: “Audiotape” and “USB Drive” added to Assigned Values list.

Version 1.1 (July 2002):

- Examples added after all elements except 6. LANGUAGE, 9. FUNCTION, 11. TYPE, 12. AGGREGATION LEVEL, and 14. RECORD IDENTIFIER.
- Full record metadata example added to Section K.3.
- Element 4. SUBJECT, sub-elements 4.1 and 4.2: Assigned Value lists moved to Schemes; No assigned values suggested.

- Element 8. COVERAGE, sub-elements 8.1 and 8.2: Assigned By definitions changed from “system assigned” to manual entry.
- Element 13. FORMAT, sub-element 13.3: Changed from “Not Repeatable” to repeatable in the case of compound records.
- Element 16. USE HISTORY, sub-element 16.3: Assigned by definition changed from “system-assigned” to “agent-assigned.”