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## EDRMS Design

Standard

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## Introduction

### Legislative Mandate

The legislative mandate for this standard is the *State Records Act, 1997*.

One of the roles of State Records South Australia prescribed by the *State Records Act 1997* is to issue standards, following consultation with the State Records Council, relating to records management that, assist agencies observe best records management practices.

### Intent / Purpose

The intent of this standard is to provide agencies and authorities with a pragmatic approach to EDRMS design. It is acknowledged that agencies and authorities are likely to configure and customise their EDRMS, which may impede electronic communications and the transfer of information without system design criteria. This standard will ensure that despite any changes to the EDRMS interface the records managed by any compliant system (i.e. all documents, including e-mails, files and web assets) are consistently captured and transferable across government.

Recordkeeping metadata includes:

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

Recordkeeping metadata within an EDRMS is required for the following reasons:

- ▶ Unique identification of records
- ▶ Authentication of records
- ▶ Persistence of records content, structure and context
- ▶ Accountability, management of records over time in an electronic environment
- ▶ Administration of terms and conditions of access and disposal
- ▶ Tracking and documenting the use history of records, including specific recordkeeping and archival processes
- ▶ Enabling discovery, retrieval and delivery of records to authorised users and
- ▶ Restricting unauthorised use.

Created metadata profiles are records themselves as they describe the transaction that may have occurred on a particular record and as such are subject to the requirements of the *State Records Act 1997*.

This standard is intended to minimise the requirement of users to input metadata. When user input is required it should be provided from drop-down menu lists, usually with a logical default value. Metadata compliant templates for all major desktop applications should be made available to users to ensure there is no duplication of effort. It would also be advantageous for existing business systems, as they are upgraded, to include functionality that facilitates the capture of metadata according to this standard. These business systems often identify and describe people and organisational business units, workgroups, activities and functions; mandatory metadata elements.

## Audience

This standard is intended for EDRM System Designers, Information System Administrators, Webmasters, and Database Managers as well as Information and Records Managers and Strategists.

## Scope

A need has been identified for an Electronic Document and Records Management System (EDRMS) Design Standard to underpin a number of other records management policies, standards and guidelines that apply to State Government agencies and Local Government authorities; notably to support the Government's EDRMS Panel of products.

This standard aligns with the following National and State issued standards:

- ▶ *Adequate Records Management: Meeting the Standard 2001*
- ▶ *South Australian Recordkeeping Metadata Standard (SARKMS) 2002 (as amended)*
- ▶ *Victorian Electronic Recordkeeping Standard 2003*
- ▶ *Australian Government Locator Service - Metadata Standard (AGLS) 2002.*

This standard outlines the South Australian Government's mandatory set of metadata elements required to manage official records within a compliant Electronic Document and Records Management System (a system procured through the Government's EDRMS Panel of products). Compliance with this standard will ensure the following outcomes:

- ▶ official records are captured identically in all agencies and authorities
- ▶ all records are able to be efficiently transferred between multiple compliant EDRM systems
- ▶ enable effective migration of records between compliant EDRM systems in accordance with Portfolio restructuring requirements
- ▶ facilitate the effective and efficient transfer of permanently sentenced electronically generated records from agencies and authorities to State Records Digital Archive (yet to be established).

## Implementation

State Records of South Australia recognises that implementation of this standard for existing recordkeeping systems and business systems would be a resource intensive exercise, particularly for old paper based and legacy systems. With the exception of compliant EDRM

systems (those systems procured from the Government's EDRMS Panel of products) there is no requirement to modify current or existing systems for compliance.

The opportunity to implement this standard should be taken when implementing a *compliant* EDRMS and new electronic-business systems; agencies and authorities should clearly identify in system functional specifications the metadata requirements detailed in this standard.

Implementation of the standard within state government agencies and local government authorities will require a high level of cooperation between:

- ▶ Records Managers
- ▶ System Administrators
- ▶ Chief Information Officers and IT Managers
- ▶ Business Managers
- ▶ State Records Staff; and
- ▶ System Developers and Implementers.

## Definitions

Definitions for the terminology used throughout this standard can be found in the *SARKM Standard 2002*.

## Responsibilities

### State Records

The Director State Records under the auspices of the *State Records Act 1997* is responsible for issuing and maintaining standards for recordkeeping.

State Records has a role in providing advice, assistance and training material on implementing and maintaining recordkeeping standards, monitoring and reviewing the standard and ensuring appropriate compliance with this standard.

### Agencies and Authorities

Agencies and authorities under the auspices of Section 13 of the *State Records Act 1997* are responsible for ensuring that the official records in its custody are maintained in good order and condition.

This requires that agencies and authorities ensure that adequate and appropriate recordkeeping policies, procedures and practices are in place for the business conducted in their organisation, which ensures compliance with the Government's recordkeeping standards.

### Chief Executives of Agencies and Authorities

Agencies' and Authorities' Chief Executives are responsible under the auspices of the *Public Sector Management Act 1995* and the *Local Government Act 1999* for effectively managing records in accordance with legislative requirements.

### Records Managers

Records Managers are responsible for:

- ▶ Ensuring their organisation's EDRMS functionally meets the requirements of this standard
- ▶ Day to day capture and maintenance of recordkeeping metadata
- ▶ Reviewing this standard
- ▶ Providing training and information to staff and contractors of their organisation on their individual responsibilities for attributing recordkeeping metadata
- ▶ Liaising with respective System Administrators with respect to the capture and maintenance of recordkeeping metadata in the systems they manage
- ▶ Liaising with State Records as appropriate.

### System Developers, System Administrators, Webmasters and Database Managers

System developers, Information System Administrators, Webmasters, and Database Managers are responsible for ensuring that EDRM and business systems they develop,

implement, operate and maintain will capture and maintain recordkeeping metadata in accordance with this standard.

## Employee and Contractors

Staff and contractors employed by the respective agency or authority are responsible for attributing metadata relating to individual business transactions where this cannot be captured automatically.

## Standard Details

### Metadata Compliant Profiles

The metadata elements in the table below map directly to the *South Australian Recordkeeping Metadata Standard 2002* and *Australian Government Locator Service Metadata Standard 2002*. Agencies and authorities will need to create a profile for each category of record (document, Folder or Web Assets) according to the profile elements listed below. The following metadata elements should be captured in the following sequence.

SARKMS Element #	Metadata Element	Metadata Function	User or System Generated	Document, Folder and/or Web Assets Profile Element
5	Record Date. Date Created	Date Folder or document created	System default	Document, Folder, Web Assets
5	Record Date. Date Issued	Date Folder or document is modified	System default	Document, Folder, Web Assets
5	Record Date. Date Approved	Date the document is approved	System default	Document, Web Assets
2	Record Identifier. Folder Number	Unique Folder or document #	System default	Document, Folder, Web Assets
2	Record Identifier. Domain	Who owns the document or Folder	Systems default	Document, Folder
12	Record Relation. Relationship	Version #	System default	Document, Web Assets
1	Record Category	Folder or document	System default	Document, Folder, Web Assets
11	Record Format	Application document is created in	System default	Document, Folder, Web Assets
3	Record Title	Folder or document title	User input	Document, Folder, Web Assets

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SARKMS Element #	Metadata Element	Metadata Function	User or System Generated	Document, Folder and/or Web Assets Profile Element
6	Record Classification	Function	User input or centralised intervention	Document, Folder, Web Assets
6	Record Classification	Activity	User input or centralised intervention	Document, Folder, Web Assets
6	Record Classification	Subject	User input or centralised intervention	Document, Folder, Web Assets
13	Record Access. Access Rights	Whether the Folder or document can be distributed (open, embargoed or restricted)	User input – default is open	Document, Folder, Web Assets
13	Record Access. Security Classification	Whether the Folder or document is confidential and its sensitivity	User input – default is not applicable	Document, Folder, Web Assets
13	Record Access. Caveat	Who is able to view the Folder or document (e.g. who can view a working draft document)	User input – default is the user's primary workgroup	Document, Folder
22	Agent Access. Caveat	Whether the document viewers have access rights within the respective workgroup to view the document	System default	Folder (set in EDRMS Directories)
29	Function Date	Date and time individual thesauri elements were last uploaded or modified	System default by Records System Administrator	Document, Folder
30	Function Relation	Parent child relationships (e.g. Folder to document)	System default by Records System Administrator	Document, Folder
34	Function Event History	Log of changes to the thesaurus and/or RDS/GDS for each Folder	System default	Folder
AGLS	Record Content	Content keywords scanned by the EDRMS	System default upon save command	Document, Web Assets
AGLS	Record Synonym	Document like for like keywords	System default upon save command	Document, Folder, Web Assets
AGLS	Record Language	Language of Folder or document	System default	Document, Folder, Web Assets
10	Record Type	Type of document (e.g. Ministerial, etc)	Template default	Document, Folder, Web Assets

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<b>SARKMS Element #</b>	<b>Metadata Element</b>	<b>Metadata Function</b>	<b>User or System Generated</b>	<b>Document, Folder and/or Web Assets Profile Element</b>
13	Record Access. Determination Date	Date Folder or document is valid from	Template default	Document, Web Assets
13	Record Access. Review due date	Date document is valid to	Template default	Document, Web Assets
14	Record Disposal. Scheduled	Date Folder or document is scheduled to be disposed	Template default	Document, Folder, Web Assets
14	Record Disposal. Destroyed	Date Folder or document was disposed	Template Default	Document, Folder, Web Assets
16	Record Event History	System audit logs	System default	Document, Folder, Web Assets
15	Record Location. Current Location	Where the Folder or document is currently located	System default for electronic records, user or centralised intervention for files	Document, Folder, Web Assets
19	Agent Title. Creator	Name of Folder or document creator	System default	Document, Folder, Web Assets
17	Agent Category Type	Folder or document creator's logon and system profile (e.g. role)	System default	Folder (set in EDRMS Directories)
18	Agent Identifier	Folder or document creator's payroll number	System default	Document, Folder, Web Assets
19	Agent Title. Contributor	Who has edited the Folder or document during its lifecycle	System default	Document, Folder, Web Assets
19	Agent Title. Approver	Who approved the Folder or document after the draft cycle	System defaults to creator for a Folder and a document approving officer as designated in the respective workflow	Document, Folder, Web Assets
19	Agent Title. Recipient	Who is to receive the document	System default	Document
23	Agent Location	The workgroup and geographic location of the officer that created or edited the Folder or document	System default	Document, Folder, Web Assets

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<b>SARKMS Element #</b>	<b>Metadata Element</b>	<b>Metadata Function</b>	<b>User or System Generated</b>	<b>Document, Folder and/or Web Assets Profile Element</b>
AGLS	Record Audience	For whom the document was created (e.g. Aboriginal and Torres Strait Islanders, Minister, school children, etc)	Template default user over-ride (e.g. the approver of the document to be published)	Document, Folder, Web Assets
AGLS	Record Rights	Intellectual Property rights for a Folder or document (e.g. Copyright)	System default by Records System Administrator	Document, Folder, Web Assets
19	Agent Title. Signatory	The name and role of the officer whose signature appears on the approved document	System default	Document, Web Assets
19	Agent Title. Creator's Address	Contact e-mail, telephone of Folder or document creator	System default	Document, Web Assets
5	Record Access Date. Publish Date	Date the Folder or document was published it (e.g. to the agency's web-site)	System default	Document, Folder, Web Assets
19	Agent Title Approver. Address	Contact e-mail, telephone of Folder or document approver	System default	Document, Web Assets
19	Agent Title. Publisher	Who performed a publication event (e.g. printed hardcopy record at printer, published to the agency's Web-site, etc)	Centralised intervention (Records Manager or CEO authorised Business Manager)	Document, Folder, Web Assets
24	Agent Event History	What changes the Administrator has undertaken to the officer's profile who has created a Folder or document in the EDRMS	System default	Folder (set in EDRMS Directories)
AGLS	Record Coverage. Jurisdiction	State and sphere of government the Folder or document was created	System default	Document, Folder, Web Assets