

**Description of State Records NSW's XML schema for retention and disposal authorities
(February 2010)**

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Introduction

This document describes an XML schema for State Records' retention and disposal authorities. This document comprises:

- a general introduction to XML, XSL stylesheets and XML schemas
- an overview of the schema
- a detailed description of the schema.

Introducing XML, XSL stylesheets and XML schemas

XML

Extensible mark-up language (XML) is a very flexible language for describing, structuring, storing and communicating information. An XML document looks like this:

```
<document>
  <element attribute="data value">data value</element>
</document>
```

XML documents label information by storing it between *elements* or within *attributes*. XML documents are structured: relationships between pieces of information can be defined by *nesting* elements within other elements. For example, to convey the phrase 'retain minimum of 7 years...' in XML, you could employ a `<RetentionPeriod>` *element*:

```
<RetentionPeriod>7</RetentionPeriod>
```

To specify that this is a period of years, not months, you could add an *attribute*:

```
<RetentionPeriod unit="years">7</RetentionPeriod>
```

Finally, to associate the `<RetentionPeriod>` element with other related elements, you could *nest* it within a `<Disposal>` element:

```
<Disposal>
  <RetentionPeriod unit="years">7</RetentionPeriod>
  <DisposalTrigger>after last action</DisposalTrigger>
  <DisposalAction>Destroy </DisposalAction>
</Disposal>
```

Which in plain English would read 'Retain minimum of 7 years after last action, then destroy.'

XSL stylesheets

XSL stylesheets transform XML documents into other formats for the purposes of display or data manipulation. An XSL stylesheet can produce a web page, or an MS Word document, or a CSV text file, or a new XML document with the data re-arranged, numbered, or

filtered, etc. State Records will employ XSL stylesheets for editing tasks, such as sorting and numbering terms and disposal classes, and for publishing XML retention and disposal authorities as HTML and MS Word documents.

XML schemas

XML schemas are templates for creating compliant XML documents. They define the attributes and elements that may be used in compliant XML documents, how those documents should be structured and ordered, whether particular attributes or elements are optional or mandatory, and what kinds of data can be used within particular attributes and elements (e.g. a number, text or a date). Schemas are both reference documents that assist authors to draft valid documents (XML authoring tools can pre-load schemas and prompt users with the right elements and attributes. Software vendors can use the schema as a basis for customising software) and tools of compliance (instance documents can be automatically validated against schemas). In addition to these uses, the XML schema provides a specification that will guide the further development of tools and stylesheets to facilitate the production and management of retention and disposal authorities in XML.

Overview of State Records' XML schema for retention and disposal authorities

Rather than simply representing retention and disposal authorities in their final, approved form, State Records' XML schema seeks to encompass each of the major stages in their lifecycle: from drafting and reviewing, through approval, issuing and management, until their eventual expiry. The schema includes processes relevant to these different stages, such as the supply of contextual information (currently provided by agencies as supporting documentation), the exchange of comments, and the recording of significant events affecting the status of retention and disposal authorities (submission, issue, being superseded, etc.) Advantages of this holistic approach are a better linking of related information, simpler and more efficient drafting processes (a single form to fill in), and improved control and management of retention and disposal authorities (including more granular control, i.e. the management of individual terms and classes).

The XML schema has three main areas:

- top-level elements
- contextual elements
- term and class elements.

Top level area

In the top level area of the schema are elements that are currently found in the headers of retention and disposal authorities and in State Records' control records. These elements include the authority's status (draft, approved, etc.), its date range, its title and/or its functional scope.

Context area

In the context area of the schema are elements that contain the contextual information (such as agency history, etc.) provided by agencies in supporting documentation and produced by State Records for internal reporting purposes. Context elements have a heading (e.g. 'About the organisation'), content and, optionally, a list of sources and comments. Context elements have a mandatory type attribute to identify the type of contextual element e.g. supporting documentation, appraisal report, table of commentary, guidelines for use.

Term and class areas

Most retention and disposal authorities have a three tiered structure of functions, activities and disposal classes. This is not always the case, however, and it is sometimes appropriate to have structures of greater or lesser depth, e.g. for dealing with legacy records. For this reason the schema has a recursive structure allowing terms to be nested within other terms to create hierarchies of any depth. When deciding on the structure of a retention and disposal authority, agencies should refer to the best practice requirements and conventions in State Records' *Procedures for disposal authorisation*.

Paragraphs and mark-up elements

Elements of the draft schema that contain long strings of text (e.g. the content of context elements, term or class descriptions, justifications and comments) contain <Paragraph> elements which allow for limited formatting (such as bolding, italics or lists) to be used. <Paragraph> elements have mixed content and may contain three optional elements:

- <Emphasis> elements – which stylesheets will bold
- <Source> elements – which stylesheets will italicise (and which can be hyperlinked for web sources)
- <List> elements – which create bulleted lists.

These mark-up elements are all automatically applied by the prototype web form using simple 'wiki-like' conventions (e.g. '* list item' will create a bullet point list).

Optional and mandatory elements

In the descriptive tables following, elements are marked as 'optional' or 'mandatory'. It is important to understand that:

- The schema is designed to represent retention and disposal authorities at all stages (through drafting, approval, application by agencies, review and expiry) and, because of this, contains very few mandatory elements (since elements that are expected in a final authority, such as the name of the officer responsible for submitting it, might not appear in a first draft).
- Some elements can be automatically generated and need not necessarily be manually applied (e.g. item numbers for terms and classes are optional because it may be more efficient to automatically generate these with stylesheets).

Hierarchy of elements

A key aspect of XML documents is that they are structured. Elements can be nested within other elements to create tree-like structures. In the schema, the 'branches' of these structures inherit values from the higher levels of the document. For example, a date range at the top level of the authority applies to all the terms and classes within that authority. But it is also possible to give individual terms or classes overriding date ranges by repeating the <DateRange> element at the term and class levels of the schema. <Status> elements can be similarly used at any level. This opens up possibilities for more granular control over authorities, e.g. a whole authority could be marked as being 'issued' to organisation X, but with one of its functions (and associated activities and disposal classes) identified as being applied by organisation Y.

Description of the XML schema

Guide to the tables

The following tables describe each element within the draft XML schema. As well as descriptive text and example code, the tables detail whether elements are optional or mandatory, whether multiple elements may be used, whether elements contain attributes or sub-elements, and whether they should be applied by staff of State Records or by an agency.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Element name	Is this element optional?	Can multiple elements of this kind be used?	What attributes does this element have?	What sub-elements (or child elements) does this element contain?	Who should use this element – State Records or an agency?	Description of the element and its attributes	Example XML code

Top level area

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Authority	No	No	Optional 'publish' attribute, which may have values of either 'true' or 'false'. This attribute is applied by SRNSW. It indicates whether or not an approved authority is publicly accessible. Under the schema, all elements must be namespace qualified. This can be achieved for the whole document by giving a default namespace as an attribute within the <Authority> element (xmlns=http://www.records.nsw.gov.au/schemas/RDA).	see table below	Agency/SRNSW	Root element. A container for all other elements.	<Authority xmlns="http://www.records.nsw.gov.au/schemas/RDA" publish="true">

Structure of the <Authority> element

Name	Opt	Mult	Applied by	See...
ID	Yes	Yes	SRNSW	see ID
AuthorityTitle	Yes	No	SRNSW	See Authority title
Scope	Yes	No	SRNSW	see Scope
DateRange	Yes	No	Agency/SRNSW	see DateRange
Status	No	No	Agency/SRNSW	see Status
LinkedTo	Yes	Yes	Agency/SRNSW	see LinkedTo

Name	Opt	Mult	Applied by	See...
Comment	Yes	Yes	Agency/SRNSW	see Comment
Context	Yes	Yes	Agency/SRNSW	see Context
Term OR Class	Yes	Yes	Agency/SRNSW	see Term / see Class

ID

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
ID	Yes	Yes	Mandatory 'control' attribute. Use: <ul style="list-style-type: none"> 'AgencyRefNo' for agency file or other reference number 'SRFileNo' for SRNSW file number 'FA' for functional retention and disposal authority number 'GA' for general retention and disposal authority number 'AR' for appraisal report number. Other controls (e.g. 'DA', 'GDA' and 'DR') may be used for legacy authority numbers.	None	SRNSW	A unique identifier that may belong to one of a number of control schemes, e.g. agency file number, retention and disposal authority number, appraisal report number, etc.	<pre><ID control="SRFileNo">09/11 02</ID> <ID control="AR">280</ID> <ID control="FA">292</ID></pre>

Authority title

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
AuthorityTitle	Yes	No	None	None	SRNSW	This element represents an authority's formal title. Use of this element is not necessary when the authority's title is its functional scope.	<AuthorityTitle>Records transferred outside of the State for storage</AuthorityTitle>

Scope

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Scope	Yes	No	None	None	SRNSW	This element describes the functional scope of the authority. It consists of a short phrase that encompasses the chief functions covered by the authority, suitable for use in the authority's title.	<Scope>Government recordkeeping and archives management</Scope>

Date range

Indicates the date range of the records to which the functional retention and disposal authority (or a particular term or class within the authority) can be applied. Date ranges are normally given to retention and disposal authorities as a whole, at the top level. If no date range is given at the top level, stylesheets will substitute this field with the word 'Various' and date ranges should be given to the individual terms or classes within the authority.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
DateRange	Yes	No	<Start> and <End> sub-elements have optional 'circa' attribute, which can have a value	Start End	Agency/ SRNSW	Within the date range, permissible elements are: <ul style="list-style-type: none"> just a start date (translates to YYYY+) 	<DateRange> <Start circa="true">1900</Start >

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
			of 'true' or 'false'.			<ul style="list-style-type: none"> just an end date (translates to pre-YYYY) both a start date and an end date (translates to YYYY-YYYY). If an open date range is desired, use an early start date, e.g. 1700+.	<End>1980</End> </DateRange> (translates to 'c.1900-1980')

Status

The <Status> element is a container for sub-elements that describe the current status of the authority as a whole (or of particular terms or classes) and record significant dates in its history: drafting, submission, approval, issuing, being applied, partially or fully superseding another authority, being partially/fully superseded by another authority, date to be reviewed, and expiry or revocation.

Note: The status element must be used. Each of the status sub-elements is optional, each may be used multiple times and in any order, but at least one of these sub-elements must be included.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Draft	Yes	Yes	Mandatory 'version' attribute that identifies the draft version, e.g. 'Version 1'.	Agency Date	Agency/ SRNSW	Contains the name of the agency responsible for the draft, date of completion in the format YYYY-MM-DD and a 'version' attribute.	<Draft version="1"> <Agency agencyno="101">Feral Animal Control Board</Agency> <Date>2008-11- 20</Date> </Draft>
Submitted	Yes	Yes	None	Officer Position Agency Date	SRNSW	Should be included in the final draft. This element records details of the officer (normally an agency's CEO) responsible for formally submitting the draft authority to SRNSW. It	<Submitted> <Officer>Jane Doe</Officer> <Position>Chief Executive</Position> <Agency agencyno="101">Feral

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
						contains four sub-elements: <ul style="list-style-type: none"> the name of the officer responsible for submitting the authority their position title their agency's name the date of submission in the format YYYY-MM-DD. 	Animal Control Board</Agency> <Date>2009-06-06</Date> </Submitted>
Approved	Yes	Yes	None	None	SRNSW	Contains the date of approval by State Records' Board in the format YYYY-MM-DD.	<Approved>2009-08-31</Approved>
Issued	Yes	Yes	None	Agency Date	SRNSW	Contains the name of the agency to which the authority is issued and the date of issue by SRNSW in the format YYYY-MM-DD.	<Issued> <Agency agencyno="101">Feral Animal Control Board<Agency/> <Date>2009-01-31</Date> </Issued>
Applying	Yes	Yes	Optional 'extent' attribute, which contains values of either 'whole' or 'part'. 'Whole' means that an authority covers at least 80% of the agency's functional records (i.e. those records not covered by general retention and disposal authorities). Otherwise, 'part' should	Agency StartDate EndDate	SRNSW	Contains the name of the agency applying the authority to its records, the date they commenced applying it and (optionally) the date they ceased applying it. These dates are in the format YYYY-MM-DD.	<Applying extent="whole"> <Agency agencyno="101">Feral Animal Control Board<Agency/> <StartDate>2009-01-31</StartDate> </Applying>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
			be used.				
PartSupersedes	Yes	Yes	None	see table below	SRNSW	see Supersede elements	
Supersedes	Yes	Yes	None	see table below	SRNSW	see Supersede elements	
PartSupersededBy	Yes	Yes	None	see table below	SRNSW	see Supersede elements	
SupersededBy	Yes	Yes	None	see table below	SRNSW	see Supersede elements	
Review	Yes	Yes	None	None	SRNSW	Sets a date for future review of the authority, in the format YYYY-MM-DD. It is currently recommended that retention and disposal authorities are reviewed within 10 years from date of issue.	<Review>2019-01-31</Review>
Expired	Yes	Yes	None	None	SRNSW	Date on which the approval for the use of this authority expired.	<Expired>2019-01-31</Expired>
Revoked	Yes	Yes	None	None	SRNSW	Date on which approval for use of this authority was revoked.	<Revoked>2019-01-31</Revoked>

Agency

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Agency	Yes	Yes	Optional 'agencyno' attribute assigned by SRNSW	None	SRNSW	Legal name of the agency that draft, submitted, was issued or is applying the authority.	<Agency agencyno="101">Feral Animal Control Board</Agency/>

Supersede elements

The following elements are contained by the four status elements: <PartSupersedes>, <Supersedes>, <PartSupersededBy> and <SupersededBy>. These elements may be applied to the authority as a whole or to individual terms or classes. They indicate that the authority, term or class partially or fully supersedes, or is partially or fully superseded by, another authority, term or class.

For example, for a disposal class that partially supersedes a disposal class in a previously issued retention and disposal authority:

```
<PartSupersedes>
  <IDRef control="FA">150</IDRef>
  <AuthorityTitleRef>Land and property management</AuthorityTitleRef>
  <TermTitleRef>Feral Animal Control</TermTitleRef>
  <TermTitleRef>Poisoning</TermTitleRef>
  <ItemNoRef>1.1.1</ItemNoRef>
  <PartText>Records relating to control measures taken to reduce the spread of wild dogs</PartText>
  <Date>2009-01-31</Date>
</PartSupersedes>
```

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
IDRef	No	No	Mandatory 'control' attribute. Use: <ul style="list-style-type: none"> 'FA' for functional retention and disposal authority number 'GA' for general retention and disposal authority number. Other controls (e.g. 'DA', 'GDA' and 'DR') may be used for legacy authority numbers.	None	SRNSW	Authority ID of the superseding or superseded authority.	<IDRef control="FA">150</IDRef>
AuthorityTitleRef	Yes	No	None	None	SRNSW	Title of the superseding or superseded authority.	<AuthorityTitleRef>Land and property management</AuthorityTitleRef>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
TermTitleRef	Yes	Yes	None	None	SRNSW	Use where a particular function or activity is superseding or being superseded.	<TermTitleRef>Feral Animal Control</TermTitleRef>
ItemNoRef	Yes	No	None	None	SRNSW	Use where a particular class is superseding or being superseded. In format '1.1.1'.	<ItemNoRef>1.1.1</ItemNoRef>
PartText	Yes	No	None	None	SRNSW	Where an authority, term or class is partially superseding another or being partially superseded, this element may be used to define the records involved.	<PartText>Records relating to control measures taken to reduce the spread of feral animals</PartText>
Date	Yes	No	None	None	SRNSW	Refers to the date of issue of the superseding authority in format YYYY-MM-DD.	<Date>2009-01-31</Date>

Linked To

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
LinkedTo	Yes	Yes	Optional 'type' attribute used to describe the resource to which the <LinkedTo> element belongs (e.g. an agency's BCS, legislation, index etc).	None	Agency/ SRNSW	May be applied to retention and disposal authorities as a whole or to individual terms or classes within authorities to enable the linking of classes, terms or whole authorities to other resources, e.g. classification schemes, controlled vocabularies, indexes, mandates (e.g. legislation), appraisal objectives etc.	<LinkedTo type="Agency BCS">Policy Development</LinkedTo>

Comment

Comments may be applied to retention and disposal authorities as a whole or to individual terms or classes within authorities.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Comment	Yes	Yes	Mandatory 'author' attribute identifies the author of a particular Comment. This may be 'Agency' or 'SRNSW', or any other kind of name or identifier, e.g. 'Richard L'.	Paragraph	Agency/ SRNSW	This element is used for communication between State Records and agencies during the drafting process.	<Comment author="SRNSW"> <Paragraph>Please revise the justification for this disposal class.</Paragraph> </Comment>

Paragraph

Paragraph elements enable the use of marked-up text for comment, context content, term description, class description and justification elements.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Paragraph	No	Yes	None	see table below	Agency/ SRNSW	Paragraphs are <i>mixed content</i> elements that contain plain text as well as the three optional mark-up elements (see table below).	<Paragraph>Records relating to complaints by land holders that <Emphasis>do not</Emphasis> result in litigation and are not referred to the Minister responsible for the <Source url="http://www.legislation.nsw.gov.au">Feral Animal Control Act 2009</Source>.</Paragraph>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
							<Paragraph>Records include: <List><Item>correspondence</Item><Item>file notes</Item><Item>memoranda</Item></List></Paragraph>

Mark-up elements

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Emphasis	Yes	Yes	None	None	Agency/SRNSW	This element identifies text to be emphasised. Stylesheets translate this element to bold text.	Records that are <Emphasis>not</Emphasis> precedent-setting. (translates to 'Records that are not precedent-setting.')
Source	Yes	Yes	If the optional 'url' attribute is used, stylesheets create hyperlinks.	None	Agency/SRNSW	This element identifies titles of sources, e.g. publications, legislation, regulations, etc. Stylesheets translate this element to italicised text.	See the <Source url="http://www.legislation.nsw.gov.au">State Records Act 1998</Source> for further information. (translates to 'See the <i>State Records Act 1998</i> for further information.')
List	Yes	Yes	None	Item	Agency/SRNSW	List elements are containers for <Item> sub-elements. Text within <Item> elements may contain <Emphasis> or <Source> elements. Stylesheets translate <List> and	Records include: <List><Item>invoices</Item><Item>receipts</Item><Item>vouchers</Item></List> (translates to 'Records include:

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
						<Item> elements to bulleted lists.	-invoices -receipts -vouchers.')

Context area

Context elements are elements that contain the contextual information (such as agency history, etc.) provided by agencies in supporting documentation and produced by State Records for internal reporting purposes.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Context	Yes	Yes	Mandatory 'type' attribute, which represents the type of contextual element, e.g. 'supporting documentation', 'appraisal report' or 'implementation plan'.	ContextTitle ContextContent Comment	Agency/ SRNSW	Context elements supply additional information about disposal authorities. This additional information may comprise supporting documentation, reports to State Records' Board, reports on external consultations, guidance for implementation, implementation plans, etc.	<Context type="supporting documentation"> <ContextTitle>Public Office</ContextTitle> <ContextContent> <Paragraph>The Feral Animal Control Board aims to protect the agricultural industry from the harm caused by feral animals.</Paragraph> <Source>Annual reports of the Feral Animal Control Board, 1992 and 1999</Source> </ContextContent> </Context>
ContextTitle	No	No	None	None	Agency/ SRNSW	Provides a heading for the context.	<ContextTitle>About the organisation</ContextTitle>
ContextContent	No	No	None	Paragraph Source	Agency/ SRNSW	Contains <Paragraph> elements and <Source>	<ContextContent> <Paragraph>The Feral

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
						elements (same as the mark-up <Source> elements, but not mixed with text in this context). <Source> elements are optional and may be used to create a bibliography: stylesheets will list these and add the heading 'Sources used:'.	Animal Control Board aims to protect the agricultural industry from the harm caused by feral animals.</Paragraph> <Source>Annual reports of the Feral Animal Control Board, 1992 and 1999</Source> </ContextContent>
Comment	Yes	Yes	Mandatory 'author' attribute identifies the author of a particular Comment. This may be 'Agency' or 'SRNSW', or any other kind of name of identifier, e.g. 'Richard L'.	Paragraph	Agency/ SRNSW	see Comment	

Term area

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Term	Yes	Yes	<ul style="list-style-type: none"> Mandatory 'type' attribute, which identifies a term's type. Normally 'function' or activity' will be used. Other (deprecated) choices are 'subfunction', 'subactivity', 'subject' and 'series'. Optional 'itemno' 	see table below	Agency/ SRNSW	<Term> elements are used to create a classification structure within which disposal classes can be nested. In most authorities, <Term> elements are used to represent functions and activities.	<Term type="function" itemno="1.0.0" update="2008-05-25" publish="true" >

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
			<p>attribute, which represents an item number and is in the format '1.1.1'. If not provided, item numbers will be automatically generated using stylesheets.</p> <ul style="list-style-type: none"> Optional 'update' attribute records on what date an element was modified, allowing the tracking of changes (e.g. between draft versions). Optional 'publish' attribute, which may have values of either 'true' or 'false'. This attribute is applied by State Records. It indicates whether or not a particular term within an authority should be made publicly accessible. 				

Structure of the <Term> element

Element name	Opt	Mult	Applied by	See...
ID	Yes	No	SRNSW	see ID
TermTitle	No	No	Agency/SRNSW	see TermTitle
TermDescription	Yes	No	Agency/SRNSW	see TermDescription
DateRange	Yes	No	Agency/SRNSW	see DateRange
Status	Yes	No	SRNSW	see Status
LinkedTo	Yes	Yes	Agency/SRNSW	see LinkedTo
Comment	Yes	Yes	Agency/SRNSW	see Comment
Term OR Class	Yes	Yes	Agency/SRNSW	see Term/see Class

Term title

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
TermTitle	No	No	None	None	Agency/SRNSW	A term's title. Should be a clear concise name, e.g. 'Construction'.	<TermTitle>Construction</TermTitle>

Term description

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
TermDescription	Yes	No	None	Paragraph See Reference	Agency/SRNSW	A short, clear definition which provides a plain-English explanation of the term and clearly indicates its scope. Comprised of <Paragraph> and <SeeReference> elements.	<TermDescription> <Paragraph>The function of making, erecting or repairing the feral animal proof fence. Includes major maintenance work involving extensive changes.</Paragraph> <SeeReference> <IDRef control="GA">28</IDRef>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
							<pre><AuthorityTitleRef>Administrative Records</AuthorityTitleRef> <TermTitleRef>CONTRACTING-OUT</TermTitleRef> <SeeText>for records relating to the contracting-out or outsourcing of construction work including contracts.</SeeText> </SeeReference> </TermDescription></pre>

See reference

See references aim to make retention and disposal authorities more useable. They give users of the retention and disposal authority options to help them make the best decision about how to sentence a particular class of records. They may be used to point users to other locations within the current retention and disposal authority or to locations in other retention and disposal authorities.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
SeeReference	Yes	Yes	None	IDRef AuthorityTitleRef TermTitleRef ItemNoRef SeeText	Agency/SRNSW	Used to create references to other terms within the authority and to other authorities. If no <IDRef> or <AuthorityTitleRef> is given, it is assumed to be an internal reference. Of its sub-elements, all are optional and only <TermTitle> elements can be used multiple times.	<pre><SeeReference> <IDRef control="GA">28</IDRef> <AuthorityTitleRef>Administrative Records</AuthorityTitleRef> <TermTitleRef>CONTRACTING-OUT</TermTitleRef> <SeeText>for records relating to the contracting-out or outsourcing of</pre>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
							construction work including contracts.</SeeText></SeeReference>

Disposal class area

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Class	Yes	Yes	<ul style="list-style-type: none"> Optional 'itemno' attribute, which represents an item number and is in the format '1.1.1'. If not provided, item numbers will be automatically generated using stylesheets. Optional 'update' attribute records on what date an element was modified, allowing the tracking of changes (e.g. between draft versions). Optional 'publish' attribute, which may have values of either 'true' or 'false'. This attribute is applied by State Records. It indicates whether or 	see table below	Agency/SRNSW	Disposal classes are the fundamental units of retention and disposal authorities, encompassing a disposal class description, approved disposal decision and justification for that decision.	<pre><Class> <ClassDescription> <Paragraph>Records relating to operational measures for the control of weeds along the border fence, including measures taken in conjunction with other authorities such as the National Parks and Wildlife Service. Records include documentation of method of control, dates control undertaken, records of effectiveness of control and neighbour notification notices.</Paragraph> </ClassDescription> <Disposal> <RetentionPeriod unit="years">6</Retention Period> <DisposalTrigger>after last action</Disposal Trigger></pre>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
			not a particular disposal class within an authority should be made publicly accessible.				<pre> <DisposalAction>Destroy< /DisposalAction> </Disposal> <Justification> <Paragraph>These records must be kept for at least three years to comply with the <Source>Pesticides Act</Source>. A longer retention period is recommended for consistency with compliance classes in <Source>General retention and disposal authority: administrative records</Source>. </Paragraph> </Justification> </Class> </pre>

Structure of the <Class> element

Element name	Opt	Mult	Applied by	See...
ID	Yes	No	SRNSW	see ID
ClassTitle	Yes	No	Agency/SRNSW	see ClassTitle
ClassDescription	Yes	No	Agency/SRNSW	see ClassDescription
Disposal	Yes	Yes	Agency/SRNSW	see Disposal
Justification	Yes	No	Agency/SRNSW	see Justification
DateRange	Yes	No	Agency/SRNSW	see DateRange
Status	Yes	No	SRNSW	see Status
LinkedTo	Yes	Yes	Agency/SRNSW	see LinkedTo

Element name	Opt	Mult	Applied by	See...
Comment	Yes	Yes	Agency/SRNSW	see Comment

Class title

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
ClassTitle	Yes	No	None	None	Agency/SRNSW	Titles for disposal classes are not generally necessary or recommended. This element is included to account for the rare exceptions to this rule.	<code><ClassTitle>Feral animal poisons registers</ClassTitle></code>

Class description

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
ClassDescription	Yes	No	None	Paragraph See Reference	Agency/SRNSW	A clear description of the transactional processes and types of records that are covered by the class. Comprised of <Paragraph> elements. Use of see references within class descriptions is not recommended. The schema includes see references at this level to account for rare exceptions to this rule.	<code><ClassDescription> <Paragraph>Records relating to consultation and communication with landholders, including notifications of maintenance works along the feral animal proof fence.</Paragraph> </ClassDescription></code>

Disposal

Disposal elements describe the disposal actions and custody requirements applicable to disposal classes.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Disposal	Yes	Yes	None	see table below	Agency/SRNSW	Usually a single element containing a <RetentionPeriod> element, a <DisposalTrigger> element and a <DisposalAction> element. <CustomAction> and <CustomCustody> elements may be used to describe more complex disposal actions. May have multiple elements if separate <DisposalCondition> elements are given.	<Disposal> <RetentionPeriod unit="years">6</RetentionPeriod> <DisposalTrigger>after last action</DisposalTrigger> <DisposalAction>Destroy</DisposalAction> </Disposal>

Structure of the <Disposal> element

Element name	Opt	Mult	Applied by	See...
DisposalCondition	Yes	No	Agency/SRNSW	see DisposalCondition
RetentionPeriod	Yes	No	Agency/SRNSW	see RetentionPeriod
DisposalTrigger	Yes	No	Agency/SRNSW	see DisposalTrigger
DisposalAction	Yes	No	Agency/SRNSW	see DisposalAction
TransferTo	Yes	No	Agency/SRNSW	see TransferTo
CustomAction	Yes	No	Agency/SRNSW	see CustomAction
CustomCustody	Yes	No	Agency/SRNSW	see CustomCustody

Disposal Condition

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
DisposalCondition	Yes	No	None	None	Agency/SRNSW	Where multiple disposal elements are used in a single class, this element distinguishes the subset of records within that class to which the disposal element applies. Disposal conditions should only be given where a class has multiple disposal elements.	<pre> <Disposal> <DisposalCondition>Records of clients under twenty-five years of age</DisposalCondition> <RetentionPeriod unit="years">7</RetentionPeriod> <DisposalTrigger>after client's twenty-fifth birthday</DisposalTrigger> <DisposalAction>Destroy</DisposalAction> </Disposal> <Disposal> <DisposalCondition>All other clients</DisposalCondition> <RetentionPeriod unit="years">7</RetentionPeriod> <DisposalTrigger>after last action</DisposalTrigger> <DisposalAction>Destroy</DisposalAction> </Disposal> </pre>

Retention period

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
RetentionPeriod	Yes	No	Mandatory 'unit' attribute. Choose either 'years' or 'months'.	None	Agency/SRNSW	A period of years or months for which records are kept before a disposal action is carried out.	<RetentionPeriod unit="months">6</RetentionPeriod>

Disposal trigger

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
DisposalTrigger	Yes	No	None	None	Agency/SRNSW	Used to define an event which triggers either a disposal action or the commencement of a retention period.	<DisposalTrigger>after last action</DisposalTrigger> Or <DisposalTrigger>until superseded</DisposalTrigger> Or <DisposalTrigger>until administrative and reference use ceases</DisposalTrigger>

Disposal action

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
DisposalAction	Yes	No	None	None	Agency/SRNSW	Must contain either 'Destroy', 'Required as State archives', 'Retain in agency' or 'Transfer'.	<DisposalAction>Destroy</DisposalAction>

Transfer to

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
TransferTo	Yes	No	None	None	Agency/ SRNSW	Where the disposal action is 'Transfer', this element should be used to identify the person to whom or the organisation to which the records should be transferred.	<TransferTo>new owner of building</TransferTo>

Custom elements

<CustomAction> and <CustomCustody> elements are included in order to cope with custody recommendations and disposal actions that can't be simply represented because they are in some way unusual. These elements are included because of the great diversity of disposal actions already existing in approved authorities and the difficulty of precisely mapping these to XML schema elements. The three standard disposal elements - <RetentionPeriod>, <DisposalTrigger> and <DisposalAction> – fit most uses and should be used in preference to the two custom elements.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
CustomAction	Yes	No	None	Paragraph	Agency/ SRNSW	Used to represent complex disposal actions which cannot be represented using the standard disposal elements.	<CustomAction>Retain last 3-6 review sessions for each track length, then destroy all EXCEPT one session per month for each track length which is to be retained for 12 months, then destroy all EXCEPT one session per year for each track length which is to be retained in agency.</CustomAction>

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
CustomCustody	Yes	No	None	Paragraph	Agency/SRNSW	Used to describe complex retention or custodial storage arrangements which cannot be represented using the standard disposal elements.	<code><CustomCustody>Transfer to storage service provider 6 weeks after action completed.</CustomCustody></code>

Justification

Justifications explain how or why the minimum retention periods and disposal actions have been determined. It is a requirement of the *Standard on the appraisal and disposal of State records* to be able to justify and account for decisions relating to the retention and disposal of records.

Name	Opt	Mult	Attribute	Sub-el	Applied	Description	Example
Justification	Yes	No	None	Paragraph	Agency/SRNSW	Justifications explain how or why the retention periods and disposal actions have been determined. Comprised of <code><Paragraph></code> elements.	<code><Justification> <Paragraph>These records must be kept for at least three years to comply with the <Source>Pesticides Act</Source>. This retention period is consistent with similar classes of records in other disposal authorities approved by State Records, such as <Source>General retention and disposal authority: administrative records</Source>, entry 16.5.1.</Paragraph> </Justification></code>