# INTERNATIONAL COUNCIL ON ARCHIVES
# CONSEIL INTERNATIONAL DES ARCHIVES
## EXPERT GROUP ON ARCHIVAL DESCRIPTION



# RECORDS IN CONTEXTS
## CONCEPTUAL MODEL

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# 1   Introduction

## 1.1   Overview of Records in Contexts

Records in Contexts (RiC) addresses the activity of describing records in four complementary parts:

1. Records in Contexts-Foundations of Archival Description (RiC-FAD). RiC-FAD is a brief description of the foundational principles and purposes of archival description.

2. Records in Contexts-Conceptual Model (RiC-CM) (this document).

3. Records in Contexts-Ontology (RiC-O). RiC-O is a specific implementation of RiC-CM formally expressed in the World Wide Web Consortium standard Web Ontology Language (OWL).[1] RiC-O provides the archival community with the ability to make archival description available using the techniques of Linked Open Data (LOD) employing a conceptual vocabulary and structure that is specific to archival description. As a specific implementation, it conforms to the high-level RiC-CM, though includes the greater detail required for implementation as an ontology.

4. Records in Contexts-Application Guidelines (RiC-AG). RiC-AG, when completed, will provide practitioners and software developers with concrete guidance and examples to assist them in implementing RiC-CM and RiC-O in records and archival management systems. Work on this fourth part has begun.

## 1.2   Purpose and Scope

RiC-CM is a high-level conceptual model that focuses on intellectually identifying and describing records, the people that created and use(d) them, and the activities pursued by the people that the records both facilitate and document. As a high-level model, RiC-CM is a broad conceptual framework. It does not address the full range of activities needed to manage records, nor does it address the full detail that may be required in any possible context in which it may be applied.

As a point of departure, RiC-CM covers all of the essential content of the four existing International Council on Archives (ICA) description standards: General International Standard Archival Description (ISAD(G))[2]; International Standard Archival Authority Records for Corporate Bodies, Persons, and Families (ISAAR(CPF))[3]; International Standard for Describing Functions

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[1] For further information, see https://www.w3.org/OWL/ <accessed 20160620>.

[2] Available at http://www.ica.org/en/isadg-general-international-standard-archival-description-second-edition <accessed 20160620>.

[3] Available at http://www.ica.org/en/isaar-cpf-international-standard-archival-authority-record-corporate-bodies-persons-and-families-2nd <accessed 20160620>.

(ISDF)[4]; and International Standard for Describing Institutions with Archival Holdings (ISDIAH).[5] RiC-CM replaces these four standards in one overarching standard. It incorporates from them the core descriptive entities, the properties or attributes of these entities, and the essential relations between the entities.

RiC-CM differs from the existing ICA standards in an important way. The existing ICA standards model description, that is, they model a finding aid, whereas RiC-CM models the entities as such, as a basis for describing but without anticipating any particular end product.

RiC-CM emphasizes the intellectual description of records and record contexts. Because analogue and digital records are represented in a wide variety of physical forms, RiC-CM also necessarily addresses description of physical instances of records, but it does not cover all of the attributes and relations that will be required for physically (as opposed to intellectually) managing record instances, for example, the exact physical locations of record instantiations or descriptions of their instantiation containers. To accommodate additional description related to physical management, RiC-CM is designed to be extensible, either through the formal ICA standards development and maintenance process, or through the use of existing standards that address the attributes and relations needed for physical management and preservation of records.

It follows that RiC-CM is not any of the following, though it may inform the development of each:

- A standard or set of rules for composing or forming descriptive content.
- An implementation specification for developing records management and public access systems.
- A model for physically managing records, though it does provide a framework for the intellectual component of such management.
- A data communication or exchange standard.

## 1.3   Audiences

The primary audience for RiC-CM is the archival community, so the model takes as its point of departure established archival description principles and practices. At the same time, the model takes into consideration ongoing scholarly and practical critiques of archival description principles and practices as well as emerging communication and network technologies that provide new opportunities to improve and build upon established descriptive practices. While the current ICA description standards largely emerged in a world of non-digital records, RiC-CM is intended to address the description of traditional analogue records and digital records.

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[4] Available at http://www.ica.org/en/isdf-international-standard-describing-functions <accessed 20160620>.
[5] Available at http://www.ica.org/en/isdiah-international-standard-describing-institutions-archival-holdings <accessed 20160620>.

RiC-CM is also intended to be of interest to the records management community. The work of records managers and archivists overlaps: description and intellectual control are essential components of the management of records in the contexts in which they are created, accumulated, and used, and for archivists who assume responsibility for preserving and providing access to those records subsequently. In the world of analogue records, cooperation and collaboration between records managers and archivists was highly desired and perhaps essential for enabling archival repositories to cope with vast quantities of records transferred into their custody. The explosive growth of digital records make such collaboration and cooperation not merely desirable but an absolute necessity. Archival repositories, quite simply stated, are and will continue to be unable to cope with the huge volumes of digital records if those records are not created, used, and managed in a way that ameliorates subsequent preservation and access challenges. Cooperation between records managers and archivists is an urgent necessity. Such cooperation necessarily includes the activity of description, but it needs to be extended to address many technological challenges. It is hoped that RiC-CM will play a significant role in discussions aimed at the alignment of descriptive practices between the two professional communities.

Furthermore, RiC-CM is intended to facilitate collaboration with allied cultural heritage communities. Integrated access to cultural heritage held by libraries, archives, museums, and curated cultural sites and monuments is increasingly the focus of professional communities, policymakers, funding agencies, and user communities. Different cultural heritage communities have fundamentally different understandings of the nature of the objects for which they have curatorial responsibility. These understandings and practices are well-established and adapted (and adapting) to the particular challenges of each community and the nature of the objects in their care. While many of the efforts to realize the objective of integrated access have focused on developing a shared standard for description, reducing the different descriptive practices to one is intellectually and politically challenging. The integrated access objective, though, does not require such a reduction, as the communities need only cooperate where there are identifiable shared (or largely shared) concepts and practices that can serve to provide common paths into and across cultural heritage resources, each described according to the principles and needs of each community. It is hoped that RiC-CM will serve cross-domain collaboration in providing integrated access.

It is essential that those developing systems to support the work of records managers and archivists are members of the RiC-CM audience. Though high-level, RiC-CM is nevertheless detailed and complex. The developers of systems, however, can ameliorate the intellectual, technological, and economic challenge of data creation and maintenance by designing and implementing systems with user interfaces that mask the complexity.

Finally, RiC-CM is intended to be of interest to those who use archives for research. Description based on RiC-CM will enhance users' experience and understandings of records by enabling a fuller representation of the contexts within which the records were created and used over time. RiC-CM will also benefit researchers interested in using RiC-CM to describe archival records from their own disciplinary perspective. Though RiC-CM primarily focuses on description that is

based on archival principles and responsibilities, it may be used to support scholarly descriptions of individual records or sets of records that are based on other perspectives and requirements.

## 1.4   Conceptual Model

A conceptual model is an abstract representation of selected phenomena created from a disciplinary perspective in order to serve the needs or interest of the discipline. Current methods of modelling emerged from the representation of surrogates of real-world phenomena in computer systems. There are a variety of methods for developing and conventions for representing models. Methods differ based on the kinds of phenomena to be represented, and the intended use or uses of the model. Despite the differences among the different modelling systems, all of the approaches involve a rigorous analysis of the needs and responsibilities of a person or group, identifying the phenomena of interest, the characteristics of each, and relations among the phenomena.

The phenomena represented in a model may be physical or conceptual. Further, the phenomena may be relatively stable things, processes that unfold in time, or relations among the things. A model may simply serve to further understanding, or it may serve as the foundation for developing systems for facilitating complex interrelated objectives such as production, management, and use of the things represented.

One formal modelling system is the Entity-Relationship Model (ERM). The ERM has as a primary focus modelling things and relations among them for representation in information systems. In ERM, the things of interest are called "entities," the characteristics of each "attributes," and the relations among the entities "relations." RiC-CM is represented using ERM, specifically as a high-level conceptual model (see Figure 1 below)
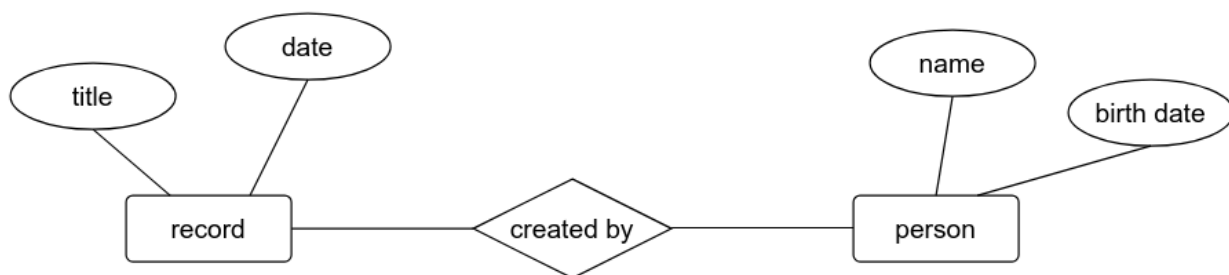


Figure 1: Basic ERM representation showing entity, attribute, and relation.

As a conceptual model, RiC-CM is intended to serve as a foundation for describing records to facilitate their near- and long-term preservation and use. It provides a conceptual framework based on archival principles for designing and implementing standardized systems for the intellectual control and description of analogue and digital resources in records management

and archival programs, including description of the contexts in which the resources originated and were used, as well as the contexts of ongoing subsequent management and use.

## 1.5    Record Description in Transition

### 1.5.1    Current Description

Current archival description is predominantly based on the traditional understanding of the Principle of Provenance. In the traditional understanding, the principle has two major facets: Respect des fonds and Respect for original order. Respect des fonds stipulates that the records created, accumulated, and used by a person or group in the course of life and work are to be kept together and not intermixed with records from other sources. Respect for original order stipulates that the interrelations among the records in a fonds established in the context of accumulation and use is to be preserved.[6]

Traditional description is a largely self-contained, inward-looking hierarchical description of a single fonds. Description begins with a description of the fonds, and proceeds to describe the components of the fonds, and the subcomponents of the components, and so on. The hierarchy may terminate in the description of an individual record, although in practice it commonly does not. It is this model of archival description that is embodied in ISAD(G), and description based on this model is currently created and maintained using a variety of communication technologies (for example, word processors, databases, or Encoded Archival Description (EAD)[7] XML-encoded documents). Most such description anticipates the production of the traditional print finding aid, or an online presentation that is more or less an analogue of it.

### 1.5.2    Description and Communication Technologies

Archival description (and resource description in general) is dependent on available communication technologies. As new methods for representing and communicating information become available, they offer the opportunity to re-envision archival description. This re-envisioning generally emphasizes separating and interrelating key components of description to accommodate the production of familiar and proven modes of access, and at the same time, open new paths into and present new perspectives on described resources. Two interdependent motivations for the separation are commonly cited: improving the economy and accuracy of description; and enhancing access to and understanding of the described resources.

Communication technologies that emerged in the last two decades of the twentieth century have gradually been transforming the methods used by archivists to describe and provide access to them. Both markup (XML and related standards) and relational database (SQL)

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[6] A fuller discussion of the Principle of Provenance will be found in Records in Contexts-Foundations of Archival Description (RiC-FAD).

[7] For further information, see https://www.loc.gov/ead/ <accessed 20160620>.

technologies, in particular, have enabled many archives to successfully transition from paper-based finding aids to computer-based production.

As powerful as the two technologies have been, much and perhaps most real-world information is not represented well in either one or the other. Archival description, particularly in the single fonds-level description, is adequately but not optimally accommodated by database technologies in some parts and by markup technologies in other parts. That neither technology clearly dominates the archival implementation landscape reflects the betwixt and between nature of the traditional single fonds-level description. Many description systems use either one or the other or a carefully crafted combination of the two. Technological developments within and between the two technologies ameliorate if not eliminate the weakness of each and thus help sustain their dominance over the representation landscape. But, given that the real world within which we live and work may be understood as a vast, dynamically interrelated network of people and objects situated in space and time, graph technologies offer new and more expressive forms of representation.

Graph technologies have existed in various forms since the 1960s, though their use did not become widespread until the late 1990s when the W3C released Resource Description Framework (RDF[8]), a standard for the representation of graph data. Graph technologies introduce data representation as nodes (entities) interconnected by arcs (relations), enabling querying the relations and navigating from one node to another. One of the methods for storing these graphs is to use RDF triples, each triple being a subject-predicate-object statement. While XML supports a specific form of graphs, the hierarchy (or "tree"), graph technologies enable unbounded representation of networks of interconnected data objects as well as real world objects (represented by data).

RiC-CM provides a foundation for producing high quality knowledge graphs describing records and their contexts. RiC-O is a formal implementation of RiC-CM that defines the vocabulary and rules for representing archival description as RDF graphs.
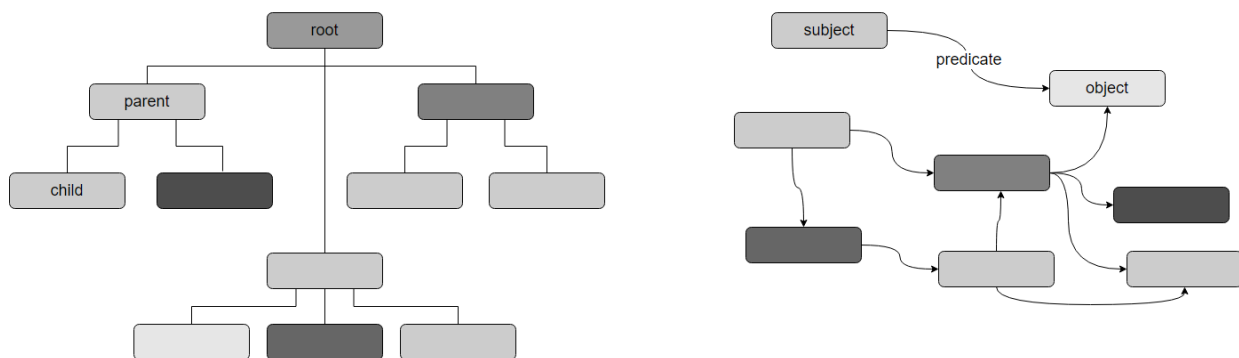


Figure 2: Left: Representation of data in a hierarchical structure like XML or other markup-language. Right: Representation of data in triples that results in a graph-structure.

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[8] For further information, see https://www.w3.org/RDF/ <accessed 20160620>.

### 1.5.3   Expanding the Understanding of Provenance

In recent decades, theorists and practitioners have intellectually and ethically challenged the traditional understanding of the Principle of Provenance. While accepting the traditional understanding of Respect des fonds, the intellectual criticism argues that a fuller understanding must include recognizing that provenance is much more complex, that the origins and history of records include not only the person or group that accumulated a body of records, but also other persons and groups directly related to the records, and the activities that were and are being performed in relation to the records. Ethically, the traditional understanding has been criticized because it privileges the accumulator of a body of records and thereby obscures or elides other persons and groups related to them, either actively participating in their creation or use, or as the subject of them. RiC-CM affirms both the enduring methodological soundness of the traditional understanding of provenance, while embracing at the same time both the intellectual and ethical criticisms. RiC-CM recognizes that provenance is much more complex, that records originate and continue to exist within a complex network of dynamic relations with other records, activities, persons, and groups.

It is within the context of this expanded understanding of provenance and the established and emerging communication technologies that RiC-CM has been developed. RiC-CM is intended to accommodate existing description practices and at the same time to acknowledge new understandings, and to position archives to take advantage of opportunities presented by new and emerging communication technologies. RiC-CM aspires to reflect both facets of the Principle of Provenance, as these have traditionally been understood and practiced, and recognize a more expansive and dynamic understanding of provenance. It is this more expansive understanding that is embodied in the word "contexts." RiC-CM is intended to enable a fuller, if forever incomplete, description of the contexts in which records emerge and exist, in order to enable multiple perspectives and multiple avenues of access.[9]

### 1.6   Relationships between RiC-CM and Other Models and Standards for Describing Records

### 1.6.1   The Existing ICA Description Standards

ISAD(G) was first published in 1994, and of the four existing ICA description standards, it has been the most widely adopted. As stated above, it closely adheres to a traditional understanding of provenance, and it is based on the identification and description of a fonds. The prescribed fonds-down description contains a description of the fonds and dependent aggregations of records, as well as a description of the person, corporate body, or family that created, accumulated and used the records, and the holding repository. Description of the records and the context of the records is combined in a single, standalone description, with little or no relation to the world outside the immediate context.

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[9] A fuller discussion of the more expansive understanding of provenance will be found in Records in Contexts-Foundations of Archival Description (RiC-FAD).

Over the course of the fourteen years following the development of ISAD(G), three other standards were developed: ISAAR-CPF, ISDF, and ISDIAH. They envisioned the separation of primary components of the archival description (creator-accumulator of a fonds; the functions (or activities) that the records document; and the repository that holds the fonds). These additional standards were intended to encourage the development of systems of description in which the components of descriptions were separately maintained and interrelated, and then used, on demand, to produce complete archival description as it has traditionally been understood. At the same time, they were meant to enable the production of new and potentially powerful perspectives that facilitate the use and understanding of records.

However, the four standards were developed independently of each other over an extended period of time and without an overarching and persistent vision for how such separation would work in practice, for how the different components addressed would be related to one another to form a whole description. As a result, the standards do not represent a coherent, consistent model of archival description.

Though ISAD(G) has significantly influenced international archival descriptive practice, ISAAR(CPF) has some use, and both ISDF and ISDIAH very little.

The fonds-down hierarchical description prescribed by ISAD(G) remains and is likely to remain, for a variety of reasons, the prevailing approach to archival description for the near future: it addresses the traditional understanding of the Principle of Provenance; it is well understood by the community; a variety of existing methods and systems exist to facilitate creation, maintenance, and publication; and finally, it is a relatively economic approach to an exceptionally complex, labour-intensive challenge.

## 1.6.2   From ISAD(G) to RiC-CM

Archivists familiar with ISAD(G) may initially find RiC-CM challenging to understand. Both the conceptual perspective represented in and the presentation of RiC-CM differ significantly from ISAD(G). Descriptions based on ISAD(G) are accommodated by RiC-CM, though the latter enables situating ISAD(G)-based description within a broader, open network of contextual relations. As described above, the development and publication of the two editions of ISAD(G) during the 1990s reflected archival practice and consensus that existed at that time. Two factors, in particular, shaped ISAD(G), but which RiC-CM seeks to explicitly transcend.

The first factor was the common assumption and practice that the inputs and outputs of the activity of archival description were the same, that how description was represented in archival systems and how it was presented to users were the same. This assumption was explicitly rejected in section I.6 of ISAD(G), but it nevertheless was implied by the linear ordering of the descriptive elements within the standard.[10] Implementations of ISAD(G) commonly reflected this assumption. Although finding aids were produced increasingly using automated means

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[10] ISAD(G) Second Edition: https://www.ica.org/sites/default/files/CBPS_2000_Guidelines_ISAD%28G%29_Second-edition_EN.pdf <accessed 20210718>. See section I.6, page 7.

over the course of the 1990s, they were still overwhelmingly conceived of as being flat, linear documents (albeit with access points that could enable indexing) that were to be printed, or, when presented online, to have layout and presentation resembling linear printed documents.

Today, printed finding aids are an alternative to computer-based presentation, with the latter having become the predominant method of access. Many archival control and access systems are automated and based on relational database technology. In the world of relational databases, archival description is best carried out through the description of separate, but related entities and relations among them that form the inputs into the descriptive control system. Clever systems and user interface design can then enable the rendering of these descriptive inputs in a variety of outputs depending on the preferences of the archival program, the preferences of user communities, or the imperatives of data sharing arrangements across institutional boundaries.

Given this new world of automated archival description, RiC-CM is only intended to provide a framework for standardizing the inputs into the system and leave the rendering of outputs and user interfaces unconstrained by rules that might unwittingly hamper efforts aimed at innovation and experimentation. As such, unlike ISAD(G), RiC-CM does not resemble a traditional, linear, analogue finding aid. Rather, it presents a range of entities, attributes, and relations that can be used as the basis for creating inputs into an archival descriptive system that can then share and present the data to a variety of users, and in forms suited to the different needs of the users.

Related to the above change in approach is the second factor that shaped ISAD(G), but which is explicitly rejected by RiC-CM. ISAD(G) privileged description of records or aggregations of records and intermixed with this description a brief description of all other entities associated with the records or aggregations, primarily treated as "access points." The "access points" serve as surrogates for entities such as persons, groups, activities, places, and subjects that are otherwise not described. In recognizing "access points" and independent maintenance of the description of the entities represented by them, ISAD(G) implicitly recognized that records could only be understood in the context of their creation and use and as part of a wider network of relations with other entities.

By and large, this situation resulted from the fact that ISAD(G) was developed as a codification of traditional practice rather than as a standard based upon a coherent and agreed-upon conceptual model that understood archival materials within their broader relational and contextual universe. Rather than attempt to serially revise ISAD(G) and its companion standards to address this issue, the ICA instructed the EGAD to develop a single, comprehensive, multi-entity conceptual model. The objective was to enable descriptions that reflect the relational and contextual realities of archival materials by positioning records within a network of various entities and interrelations. This holistic approach to describing records in contexts is intended to enable archival control systems to reflect more accurately the realities of the diverse and dynamic ways in which records are made, kept, and used.

For these reasons RiC-CM looks very different from ISAD(G). It is acknowledged that this difference is likely to be unsettling for a generation of practitioners who are familiar with ISAD(G). There is nothing inherently wrong with archival description that conforms with ISAD(G). But ISAD(G) is limited in terms of what is possible using current and emerging communication technologies that enable describing records and the complex relations records have with one another, and in terms of the expectations of archivists and archival users inspired by what is made possible by those technologies. While RiC-CM is much more complex than ISAD(G), the world in which records are created and used is complex, and it is a fundamental responsibility of archivists to reflect that complex world to the best of their abilities.

In recognition of the complexity of RiC-CM, EGAD is committed to producing implementation guidance for archival practitioners that it hopes will make their job of creating and maintaining archival descriptions as efficient and effective as possible. EGAD also hopes that the release of RiC-CM will stimulate the developers of archival control and description software to implement RiC-CM. When that happens, archival practitioners will benefit from the existence of RiC-CM by virtue of having access to software tools and systems that comply with its comprehensive conceptual framework.

### 1.6.2.1   From Unit of Description to Record and Record Set

A core concept in ISAD(G) is "unit of description." ISAD(G) (and a major portion of the professional literature on description) assumes that individual records and sets of records that archivists call "fonds," "series," "file" and so on, may each be described in the same way, and, implicitly, that they are the same kind of thing. Though individual records and sets of records are both kinds of record resources, each comes into existence from different activities for distinct if perhaps interrelated purposes, and each may have different creators and different times of creation. For example, a fonds may be accumulated by a person or group, but the individual records in the fonds are highly likely to be of mixed provenance. Further, describing a single record differs from sets of records, as they differ with respect to identifying their characteristics and relations with other entities.

Archivists have long recognized that the two are not the same, but there has been no clear guidance on how to describe each, and this has led to inconsistent and ambiguous practice. RiC-CM treats each as a distinct kind of thing; though there are many shared attributes, the manner in which one should be described is not the same as the manner in which the other should be described. Treating each as a distinct kind of thing, created at different times and for different purposes, enables description that is unambiguous.

### 1.6.2.2   From Multilevel Description to Multidimensional Description

An additional core concept of ISAD(G) is "multilevel description." ISAD(G) is based on a "multilevel" model that assumes (though does not prescribe) that the focus of a single description is the set of all the records accumulated by a single person or group (a fonds), and that the description begins with a description of the record set, as a single and complete thing.

The description may then proceed to describe parts of the whole, and parts of the parts, all linked together to form a single, self-contained hierarchy.

RiC-CM models what may be described as "multidimensional description." Rather than a hierarchy, the description may take the form of a graph or network. Modelling description as a graph accommodates the single, fonds-based, multilevel description modelled in ISAD(G), but also enables a more open description of the often-complex and mixed provenance of records found in a fonds. The model makes it possible, using various relations between record resources and agents or activities, to describe sets of records with complex origination, for example, a record series that documents one activity that is performed serially by a succession of different groups, and at the same time, situate the series within the fonds of the different groups that serially had responsibility for the activity.

In a multidimensional approach to description, the records and record set(s), their interrelations with one another, their interrelations with persons, groups, and activities, and each of these with one another, are represented as a network within which an individual fonds may be situated. The immediate context of each fonds is established, though its boundaries are permeable, as it exists within a network of interrelated records and record sets, persons, groups, and activities.

While RiC-CM models describing records and the environments in which they are created, accumulated, used, and managed in a way that more fully captures and expresses the complex contextual realities than can be done using a single hierarchical description, it does not repudiate hierarchical description as such. In fact, the model assumes that sets of records, in addition to the possibility of having individual member records, may also have member sets of records, hierarchically arranged, such as a hierarchy that represents a series that contains subseries that in turn contains files.

In the modelling of sets of records, special care is taken to distinguish between the attributes and relations of the set of records as such, and individual records contained in the set. A record set, for example, has its own provenance. While the provenance of the record set may be related to the provenance of some if not all of the contained records, the provenance of the record set is distinct from the provenance of the contained records. In other words, while the creator (or accumulator) of a record set may be the same as the creator of all or some of the contained records, the act of creating the record is distinct from the act of creating the set of records.

Description of the records contained in a record set is further differentiated into two categories: summary description of the contained records (for example, a date range for the span of time within which the contained records were created); and the shared relations the records have that designate them as members of a record set (for example, all contained records document the same activity, or all share the same documentary form).

Distinguishing the kinds and scope of attributes and relations within a record set is intended to bring greater intellectual clarity to the description and to make it possible to make explicit and

machine-actionable "the inheritance of description." Description of the record set as such, and summary description of the contained records is only intellectually inheritable as "context" for the contained records. The summary attributes are not attributes of the contained records as such, but an overview of them, reduced to an abstract. The shared attributes or relations recorded at the level of the record set, however, are legitimately attributes or relations of each of the member records of a record set. For example, if all of the records in a record set reflect a particular activity, then the description of each individual record may also include a relation to the activity.

### 1.6.3   RiC-CM and ISO 23081

An important related suite of standards for describing and managing records is ISO 23081 (Information and documentation - Records management processes - Metadata for records).[11]

Both RiC-CM and ISO 23081 provide internationally agreed-upon metadata frameworks for describing and managing records. The focus of RiC-CM is the metadata used to describe, control, and enable access to records of enduring value that are identified for ongoing preservation by an archival program; the focus of ISO 23081 is the metadata that is needed to protect, understand, and enable the usability of records as evidence from the point of creation by records creators and for as long as the records need to be retained. Clearly, there is a substantial commonality of purpose across the two frameworks - especially as they are both focused on metadata for managing and enabling the use of records. In practice, it is expected that a lot of metadata created and/or captured by records creators will be reused by archival programs in their descriptive systems. As such, it is highly desirable for both metadata frameworks to be as conceptually consistent and interoperable as possible with each other, notwithstanding their somewhat different target audiences and contexts of deployment.

The multi-entity conceptual framework for documenting and understanding the contextual inter-relationships within which records are created and used that is presented in ISO 23081 has greatly influenced and is reflected in the entity model presented in RiC-CM. While there nevertheless remain some differences between the entity models in the two frameworks, it is hoped that ongoing dialogue and collaboration between the professional communities responsible for their ongoing evolution and development will lead to an increasing alignment, convergence, and interoperability between the two frameworks as future iterations of each are developed in the years to come. Ultimately, it is in everyone's interests for the key metadata frameworks used by practitioners who manage records to be as consistent as possible with each other. The EGAD is committed to pursuing this objective.

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[11] Available at https://committee.iso.org/sites/tc46sc11/home/projects/published/iso-23081-metadata-for-records.html <accessed 20231111>.

### 1.6.4   Transition to RiC-CM

Though RiC-CM accommodates the existing description practice that is codified in ISAD(G), it also goes well beyond the current ICA description standards, both conceptually and structurally. It has also been influenced by, and reflects, ISO 23081. RiC-CM then is intended to provide the semantic and structural foundation for developing record description systems or description modules within records management systems. It attempts to identify and accommodate a wide variety of description and access needs and is intended to be sufficiently detailed and precise in the modelling to support graph and semantic technologies.

RiC-CM thus conceptually differs from and is much more complex and detailed than the existing four ICA standards. It is anticipated that mastering the intellectual and technological complexity of RiC-CM by archivists, records managers, and the developers of systems that support their work will take time. Transitioning from the prevailing approach of records description (the single, stand-alone fonds-based hierarchical description) to a more flexible, open, graph- or network-based approach will be gradual.

Archives and libraries, museums, and other cultural heritage institutions with archival holdings vary greatly in size and resources, and they exist in many different social and political contexts. In developing RiC-CM, EGAD recognizes that many institutions will simply not have the resources to immediately embrace RiC-CM. At the same time, there are institutions that have the need and means to begin implementing description based on the RiC-CM model, and these institutions will be able to contribute feedback to benefit the ongoing development of RiC, and also "to pave the way" for others, demonstrating both the value of the RiC-CM model, and the methods required to successfully implement it.

Developers of records management and description access systems will also be essential in the promulgation and ongoing development of RiC. Developers with a good understanding of archival principles and practices, as well as competency in the development of relational and graph technologies will need to design systems that ameliorate the intellectual, technological, and economic challenge of data creation and maintenance.

### 1.7   Background and Process of Development

In 2012, the ICA Programme Commission (PCOM) formed the EGAD as the partial successor to the Committee on Best Practices and Standards. ICA charged the EGAD with developing a standard for the description of records based on archival principles that reconciles, integrates, and builds on the four existing standards: ISAD(G); ISAAR(CPF); ISDF; and ISDIAH.

Developing international consensus on a standard for archival description is a daunting challenge. Cultural differences coupled with differing theories and practices are at the core of this challenge. The members of the EGAD represent many (though certainly not all) of these differences. At the same time, they share a common commitment to developing a shared standard that respects and accommodates the past practices, and that respects and accommodates differences while remaining intellectually coherent and workable. EGAD also

recognizes that developing a consensus will necessarily be an ongoing process, a field of negotiation.

Over the course of development, the EGAD has included thirty-one members from fifteen countries. While the members are broadly representative of the global archival community, many areas with long and distinguished histories of administration and governance, and concomitant traditions of record creation, use, and management are not represented, such as much of Asia and eastern Europe. And while Africa and South America have been represented, the representation should be broader and more inclusive. Given this, the members of the EGAD welcome broader international participation in the ongoing development of an international archival description standard, to strengthen the intellectual foundation of the standard, and to ensure that the standard represents as broad a consensus as possible and addresses the needs of the global archival community.

From 2012 through 2016, the EGAD conducted the development of RiC primarily through a series of teleconferences. The EGAD had four in-person discussions:

- November 2013: Brussels, Belgium
- October 2014: Girona, Spain
- May 2015: Moeciu, Romania
- April 2016: Paris, France

In September 2016, the EGAD released the first draft of RiC-CM for public comment. Sixty-two individuals, groups, and institutions representing nineteen countries and two international organizations submitted comments on many aspects of the draft. When compiled, the comments represented hundreds of pages. In order to address the large volume, the comments were first analysed into various categories and compiled into six tables representing over 260 pages: broad comments by subject; introduction; entities; properties; relations; and appendices. A summary of comments was then compiled into a fifty-five page document that served as the basis for discussions for working on the second draft.

In reviewing the comments, it was clear to the members of the EGAD that the organization and presentation of the model in the first draft made it difficult for readers, in particular those familiar with ISAD(G), to understand how all of the various elements of description were to be interrelated and used together. The second draft was then reorganized to emphasize the entities that are the primary responsibility of records managers and archivists. This reorganization endeavoured to eliminate redundancy in the presentation of the attributes (called "properties" in the first draft) and relations. It was also clear that the first draft did not adequately distinguish describing the intellectual content of a record from the physical representation of the content. Clearly making this distinction is essential for the economic management of preservation of records.

From 2017 to July 2021, the EGAD had four in-person discussions:

- October 2017: Rome, Italy
- May 2018: Paris, France

- December 2018: Seitenstetten, Austria
- October 2019: Windsor, United Kingdom

From August 2021 to the present, because of Covid-19 travel restrictions, the EGAD met online biweekly, though from October 2022 through the second quarter of 2023, the EGAD met weekly.

## 1.8    Brief Overview of Changes in RiC-CM 1.0

While there were several changes, some of which were significant, between the RiC-CM 0.1 and 0.2 draft releases (see appendix 7.2 below), RIC-CM 1.0 exhibits far less change from the latter draft. The changes made were again based on feedback from the professional community as well as new reflections on the part of the EGAD. The EGAD discussed each comment provided in the feedback in detail. A list of the comments with EGAD decisions will be made publicly available soon after publication of RiC-CM 1.0.

The lack of change does not reflect a lack of feedback as there were over 150 responses to the call. There were requests for significant structural change, with the addition of new entities or a greater granularity of modelling for existing entities. However, as there were also calls for less complexity, sometimes for the same entities for which greater complexity had been requested, the EGAD endeavoured to balance the competing requests. RiC-CM 1.0 is designed to be extensible and will be developed by the community over time to reflect use-cases in particular contexts.

The one major change is to the date entity. The date sub-entities single date, date range, and date set have been removed, with date now encompassing the different kinds of dates. To allow for the often-complex description of creation dates of record resources in particular, seven relations (RiC-R80-86) and the date type attribute have been added and the certainty and date standard attributes have been removed.

There were also many responses asking for greater clarity about how to use the model and the EGAD feel that the place for that is in the Records in Contexts-Application Guidelines (RiC-AG) on which work has begun. Otherwise, to ensure clarity and consistency there has been editorial amendment in the definitions of entities, as well as the names, domains and repeatability models for some attributes. To allow for their categorization, type attributes have been added for the rule and mandate entities. Finally, examples have been reviewed and their layout made clearer.

## 1.9    Extending RiC-CM

The RiC-CM is a high-level conceptual model that focuses on archival information. The EGAD concentrated on identifying and describing entities, attributes, and relations essential for describing record resources and their contexts. In describing record resources, the EGAD focused primarily on the description of the information content, and secondarily on the

physical instantiation of the content, because the latter is not specific to the archival domain, but shared across all domains that involve the management and preservation of information.

Given the specific focus, the EGAD designed the RiC-CM to be extensible, that is, additional entities, attributes, and relations may be created, or each of the existing entities, attributes, and relations may be differentiated into more specific kinds. The RiC-CM anticipates that in any given use context, the RiC-CM may and likely will need to be augmented. For example, given the minimal focus on the physical instantiations of records, management and preservation of record instantiations will require additional description and management information. Because record resources can be about anything, to describe what a record resource is about may require describing types or kinds of things outside the scope of the RiC-CM.

The EGAD anticipates that extension of the RiC-CM may occur in different ways.

1. As RiC-CM is implemented, the records management and archival communities may formally request that the EGAD extend or refine the model. The essential criterion for formal extension of the model is that requested extensions be of general utility and thus not only specific to one or a few contexts.
2. Extensions based on conceptual models or ontologies developed by allied or complementary professional communities. For example, using the PREMIS Data Dictionary for Preservation Metadata to augment RiC-CM for preservation, or ISO 23081 (Information and documentation - Records management processes - Metadata for records) for management of record resources.
3. Local contexts or special projects requiring additional or more highly specified entities, attributes, and relations.


## 1.10   Acknowledgements

# 2   Entities

## 2.1   Introduction

The entities identified and defined in the RiC-CM are the main objects of interest for professionals that manage records in the context of origin and use (records managers) or that manage records retained for long-term preservation and access (archivists). From the perspective of both records managers and archivists, the identified entities are those required to provide the intellectual context that serves physical management, preservation, discovery, use, and understanding of the records over the course of their history.

The entities represent a conceptual and extensible hierarchy, as shown in the table below. At the root of the hierarchy is the *thing* entity, as all other entities are kinds of *thing*. In the hierarchy are the *things* that records managers and archivists necessarily focus on to fulfil their responsibility of preserving and providing access to *records*.

| RiC Entities Hierarchy | | | |
|---|---|---|---|
| **First Level** | **Second Level** | **Third Level** | **Fourth Level** |
| RiC-E01 Thing | **RiC-E02 Record Resource** | RiC-E03 Record Set | |
| | | RiC-E04 Record | |
| | | RiC-E05 Record Part | |
| | **RiC-E06 Instantiation** | | |
| | **RiC-E07 Agent** | RiC-E08 Person | |
| | | RiC-E09 Group | RiC-E10 Family |
| | | | RiC-E11 Corporate Body |
| | | RiC-E12 Position | |
| | | RiC-E13 Mechanism | |
| | RiC-E14 Event | **RiC-E15 Activity** | |
| | RiC-E16 Rule | RiC-E17 Mandate | |
| | RiC-E18 Date | | |
| | RiC-E22 Place | | |

Among the entities are four core entities: ***record resource*** and the closely related ***instantiation*** entity, as well as the ***agent*** and ***activity*** entities. These entities are the core archival entities that are considered essential in describing records and the contexts within which the records emerge and are used over time. Together, these entities represent *agents* acting in the world while employing recorded information to facilitate the objectives of their *activities*. The recorded information is evidence of the performance of an *activity*. Identifying and describing the *agents*, the *activities* which they perform, and the *records* generated in the course of that performance is a fundamental responsibility of records managers and archivists. Description of these entities captures the origins of *records* and their ongoing history, as well as intellectually preserving the original and ongoing contexts of the *records*.

The core entities are similar to those expressed in existing professional descriptive standards for the records management and archival communities. They align relatively closely with the

existing ICA description standards: ISAD(G), ISAAR(CPF), and ISDF as well as the records management standard ISO 23081.[12]

The four core entities with the exception of *activity* are in the second level of the hierarchy. The other second level entities, *event*, *rule*, *date* and *place,* are important in relation to the core entities for fully describing those core entities (see also Figure 3 below).
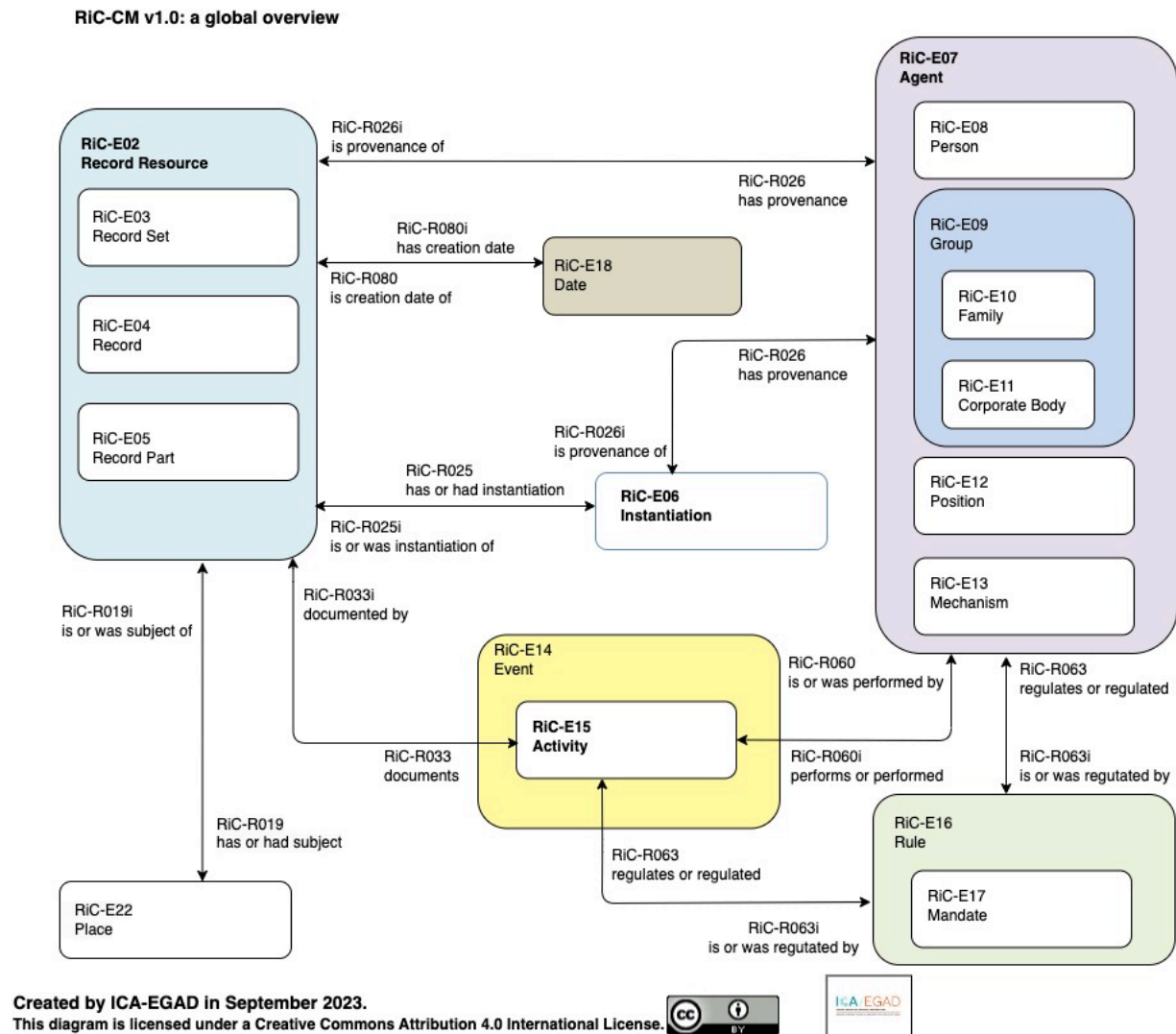


Figure 3: Overview of the RiC Conceptual Model.

### 2.1.1   Presentation of the Entities

The entities are presented as follows. The *thing* entity, as the all-encompassing entity, is set out first. It is followed by *record resource* and *instantiation*, presented together as they are conceptually closely related. Following are the remaining entities immediately below *thing*. Sub-entities of *record resource*, *agent*, *event*, and *rule* are presented following the immediately superior entity. The only entity in the third level of the hierarchy that has sub-entities is *group*.

Description of each entity is based on the following template:

| ID | Identifier of the entity |
|---|---|
| **Name** | Name of the entity |
| **Definition** | Brief definition of the entity |
| **Scope Notes** | Detailed conceptual scope of the entity |
| **Examples** | Examples of the entity |
| **Comments** | Comments comparing the entity to similar concepts in other conceptual models and ontologies |

### 2.2   Description of Entities

### 2.2.1   Thing

RiC-E01  Thing

The *thing* entity includes all possible concepts, material things, or events within the realm of shared human experience and discourse. *Thing* is the root or base entity in RiC and as such includes all of the entities that are of primary interest to records managers and archivists, as well as other entities used in the description of the primary entities. Further, *thing* encompasses all other possible entities that are not explicitly identified in RiC-CM as entities. Any possible *thing* may be the subject of a *record resource* or associated with an *activity*. Describing or referencing (for example, through a name) such entities may be necessary for the description of context. Entities that are not explicitly identified and described in RiC-CM are commonly the responsibility of allied cultural heritage communities, academic and research communities, or specialized or expert communities. RiC-CM is designed to be extensible to allow the incorporation of other such entities.

| ID | **RiC-E01** |
|---|---|
| **Name** | **Thing** |
| **Definition** | Any idea, material thing, or event within the realm of human experience. |
| **Scope Notes** | Includes all RiC-CM entities as well as any concept, material thing, or event that may be the subject of a *record resource* or associated with an *activity*.<br><br>Examples of entities not explicitly addressed in RiC-CM include but are not limited to the following: abstract concepts; cultural movements, named periods and events; named things, objects, and works; legendary, mythical or fictitious figures, characters or beings. |
| **Examples** | Airplane [en] [material thing] |

| | Impressionism [en] [art movement] |
| --- | --- |
| | Puck [en] [character in William Shakespeare's A Midsummer Night's dream] |
| | Renaissance [en] [art period] |
| | Slavery [en] [concept] |
| | Before Christian Era (BCE) [en] [year notations] |
| | French Revolution [en] [*event*] |
| | A copy of an edition of William Shakespeare's Hamlet [en] [specific bibliographic item] |
| | Leonardo da Vinci's Mona Lisa in the Musée du Louvre, Paris [en] [art object] |
| | The vertebrate zoology specimen collection at the American Museum of Natural History [en] [natural history museum collection] |
| | The Flatiron Building located at 175 Fifth Avenue, New York City [en] [buiding] |
| | Quilombo dos Palmares, símbolo da resistência do negro à escravidão no Brasil [pt] [material thing] |
| **Comments** | Compare further with: LRM-Res (Latin for Thing); and OWL-Thing (the root class of all ontologies expressed in OWL). |

## 2.2.2   Record Resource and Instantiation

RiC-E02 Record Resource
      RiC-E03 Record Set
      RiC-E04 Record
      RiC-E05 Record Part

RiC-E06 Instantiation

RiC-CM introduces several conceptual distinctions for identifying and describing *records*. These distinctions are intended both to improve the clarity and precision of the description of *record resources*, and to address common record-keeping phenomena that arise prominently though by no means exclusively with both original and derived digital *records*.

ISAD(G) used the concept "unit of description" for *record resources* of all types: "A document or set of documents in any physical form, treated as an entity, and as such, forming the basis of a single description"[13]. Further, ISAD(G) provides one set of "descriptive elements" or attributes for describing a "unit of description" whether the *thing* being described is an individual *record*, or a *record set*.

The RiC-CM *record resource* entity is conceptually comparable to "unit of description." RiC-CM, though, identifies three kinds of *record resources*: *record set*, *record*, and *record part*. *Record set* and *record* differ from one another in fundamental ways, and the ways in which they differ lead to differences in the way each is described. The origins of *record sets* and individual *records* within the set differ, in particular the *agents* related to the creation of each; and the

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[13] ISAD(G) Second Edition: https://www.ica.org/sites/default/files/CBPS_2000_Guidelines_ISAD%28G%29_Second-edition_EN.pdf <accessed 20210717>. See page 11.

*activities* and purposes associated with each *agent*.[14] Further, the *activities* associated with each may be and commonly are separated from one another in time.

The most prominent difference in the description of *record set* and *record* is that the identity of the *record* is directly derived from the *record* itself, and the identity of the *record set* is dependent on and derived from the members of the set. Though some of the description of the set will describe the set as such, much of the description provides an overview or summary of the *records* contained in it. Similarly, the difference between a *record* and a *record part* is that the identity of the *record* is directly derived from the *record* itself, whereas the identity of the *record part* is dependent on and derived from the *record* of which it is a part.

RiC-CM introduces another important distinction. The information content or message that is communicated in a *record* or *record part* is distinguished from the inscription or representation of that content in a physical form (digital or analogue), in other words an *instantiation*. A *record* or *record part* does not exist until it is represented in at least one *instantiation*.[15] This distinction is introduced for practical reasons and not as an absolute epistemic assertion.[16]

As a practical distinction it recognizes that information content (a *record*) may be inscribed in more than one *instantiation*. For example, a Word document (one *instantiation*) saved as a PDF document (a second *instantiation*), or information content printed on paper (one *instantiation*) and subsequently scanned and saved as a PDF document (second *instantiation*). Though a close comparison of the information content conveyed by the two *instantiations* in each of these examples may reveal differences, depending on the context, the differences may or may not be deemed significant. That the information content (*record*) conveyed in the two *instantiations* is the same is common in digital preservation, though there are analogue examples as well. If the differences are deemed significant in particular use contexts, the information conveyed in each of the *instantiations* can be regarded as two distinct though related *records*.

The relation between a *record* and an *instantiation* thus presents a dilemma; it enables presenting two or more equally conclusive alternatives. Which of the alternatives is viewed as correct depends on perspective and the context of use. When one perspective is that the physical characteristics of a specific *instantiation* contribute inalienable meaning to the intellectual content of the *record*, then it follows that any derived *instantiation* that does not maintain those physical characteristics results in a new *record*. Otherwise, the derived *instantiation* may be considered an *instantiation* of the same *record*.

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[14] Even if the same *agent* is responsible for both a *record set* and *records* that are members of the set, it is the performance of two different *activities* with distinct purposes that brings each into existence.

[15] The distinction between the *record* and *instantiation* is comparable to the "Intellectual Entity" and "Representation" distinction in PREMIS: *PREMIS Data Dictionary for Preservation Metadata* (Version 3): https://www.loc.gov/standards/premis/v3/premis-3-0-final.pdf <accessed 20201216>.

[16] For an in-depth analysis of the interplay of humans and technology in communicating using "new media," see Kirschenbaum, Matthew G. *Mechanisms: New Media and the Forensic Imagination*. Cambridge, MA: The MIT Press, 2012. Print.

The relation of *instantiation* to *record set*, *record* and *record part* differs in important ways. *Record* and *record part* have a *necessary* relation with *instantiation*. Each must be represented in at least one *instantiation* to exist. A *record set*, though, is an intellectual and not a physical aggregation. A *record set* represents *records* grouped together based on one or more shared attributes or relations, and thus it is indirectly dependent on the existence of instantiated *records*. A *record set*, however, may be instantiated if the group of *records* represented in it, subsequent to their creation, are instantiated by being bound together, either as a physical object, such as by a bound volume, or a computer file containing two or more identifiable *records*, for example, a sequence of page-images of analogue correspondence, or a sequence of photographs. Nevertheless, the *instantiation* of the *record set* is not a necessary condition of its existence.

RiC-CM thus introduces distinctions that are intended to improve the clarity and precision of the description of *record resources*, and to address phenomena that are common in record-keeping. While these distinctions introduce additional complexity into the processing and description of *record resources*, for perhaps the most common phenomenon, a *record* existing with one and only one *instantiation*, the description will remain much the same as in current practice.

### 2.2.2.1   Record Resource

| ID | RiC-E02 |
|---|---|
| Name | Record Resource |
| Definition | Information produced or acquired and retained by an *agent* in the course of life or work *activity*. |
| Scope Notes | *Record resource* is a kind of **Thing (RiC-E01)**. |
| | Producing a *record resource* may imply either its initial creation or a reuse of previous existing information by combination, rearrangement, selecting, reformatting, etc. |
| | *Record set*, *record*, and *record part* are kinds of *record resource*. |
| | A *record resource* is evidence of the *activity* of an *agent*. More than one *agent* may be involved in the creation of a *record resource*. The role of the *agent* in creating the *record resource* may take different forms, for example, authoring of an individual *record*, accumulating a *record set*, or arranging a *record set*. |
| | Though a *record*, *record set*, and *record part*, under most circumstances, may be easily distinguished from one another, identifying the boundary of each may frequently present particular challenges. |
| | Documentary forms provide the rules governing the structure of many types of *records*, providing criteria for identifying a *record's* boundary, and identifying its essential parts. Many *records*, though, do not have well-established documentary forms, particularly in the case of digital *records*, where it may be difficult to determine whether individual elements represented in separate bitstreams are *record parts*, *records*, or *record sets*. |
| | For example, is photographic information represented independently in a bitstream embedded in a text document a *record* or a *record part*? Or is the same photographic |

| | information attached to an email that maintains its independent representation, a *record* or a *record part*? |
| | Information grouped for some purpose, for example, ZIP or TAR "file compression" for saving storage space, presents a further challenge. One file comprises multiple bitstreams subjected to techniques that remove bits that can be losslessly recovered when decompressed. Under what circumstances is such a compressed bitstream a *record* or a *record set*? |
| | Determining when an information object is a *record*, *record set*, or *record part* is based on perspective and judgement exercised in a particular context. In one context, the *agent* describing an information object may designate it a *record*, while another *agent* in a different context may designate it a *record part*. |
| | Both designations are supported by RiC-CM, and the significance of the difference for users of the records is ameliorated by the fact that all of the attributes and relations employed in describing *record* and *record part* are shared, as are many of the attributes and relations employed in describing a *record set*. |
| **Examples** | Cotton Manuscripts Collection [en] [*record set*] |
| | Sketch Map of the Qatar Peninsula [en] [*record*] |
| | 3rd Great Seal of King Charles I [en] [*record part*] |
| | Livro de registro de entrada de imigrantes na Hospedaria de Imigrantes da Ilha das Flores [pt] [*record set*] |
| **Comments** | |


| **ID** | **RiC-E03** |
|---|---|
| **Name** | **Record Set** |
| **Definition** | One or more *records* that are grouped together by an *agent* based on the *records* sharing one or more attributes or relations. |
| **Scope Notes** | *Record set* is a kind of **Record Resource (RiC-E02)**. |
| | The member *record*s in a *record set* may physically reside together, though physical proximity is not essential. |
| | In a particular context, an *agent* (for example, administrator, records manager, archivist, end-user, etc.) may select the member *records* of a *record set* based on any shared attribute or attributes, or any shared relation or relations. The grouping of the *records* serves a purpose or purposes specific to the context of the *agent*. |
| | For example, all member *records* of a *record set* have been accumulated by the same *agent*; have the same *documentary form type*; or are related to and document the same *activity*. |
| | A *record set* may represent the act of classifying the *records* in accordance with a formal classification scheme that may be based on *activity*, subject, organizational structure, or other criteria; an act of archival arrangement (for example, based on common provenance); or some other selection and grouping that fulfils a particular purpose or purposes (for example, a classification that reflects or supports the purposes of a researcher). |

| | By exception, some *records* are brought together based on their not belonging in the context of selection to other designated groups: a 'Miscellaneous' series, for example. |
|---|---|
| | A *record set* accumulated by an *agent* in the course of life or work *activity* should be described in a manner that preserves context and evidential value. |
| | *Record sets* may also contain other *record sets*. A *record set* or *record* may simultaneously be a member of more than one *record set*, and over the course of its existence, a *record set* or *record* may be a member of an indeterminate number of *record sets* in an indeterminate number of contexts. |
| | *Record sets* and *records* contained within a *record set* may be ordered into a sequence based on a common property or relation, or common properties or relations (for example, alphabetical by *agent* or related *place*); chronological order by creation *date*; or some other criterion (for example, an imposed order by relevance). |
| **Examples** | Cotton Manuscripts Collection [en] |
| | Miscellaneous papers and fragments [en] |
| | Papers of the Earls of Liverpool [en] |
| | Official correspondence of the 1st Earl of Liverpool [en] |
| | Registros de Hospedaria de Imigrantes da Ilha das Flores [pt] |
| | Livro de registro de entrada de imigrantes na Hospedaria de Imigrantes da Ilha das Flores [pt] |
| **Comments** | |

| ID | **RiC-E04** |
|---|---|
| **Name** | **Record** |
| **Definition** | Discrete information content formed and inscribed, at least once, by any method on any carrier in any persistent, recoverable form by an *agent* in the course of life or work *activity*. |
| **Scope Notes** | *Record* is a kind of **Record Resource (RiC-E02)**. |
| | A *record* may itself contain one or more *records*, or may consist of one or more *record parts*. |
| | A *record* must have or have had at least one *instantiation*. A *record* may have more than one *instantiation*. |
| | An *instantiation* derived from another *instantiation* of a *record* may be considered the *instantiation* of the same *record* or an *instantiation* of a new *record*, depending on the context. |
| | A *record* may serve a variety of purposes, though it always documents or is evidence of *activity*. |
| **Examples** | Deed appointing John Bambridge, Sheriff of Leicestershire, with 3rd Great Seal of Charles I appended [en] |
| | Sketch Map of the Qatar Peninsula [en] |
| | Email message concerning an agreement to participate in the ICA Seoul Congress (2016) containing two attachments and digitally signed [en] |

| | Registro de entrada de Jacob Schwarz, trabalhador alemão, procedente de Antuérpia pelo navio Graf Bismark, na Hospedaria de Imigrantes da Ilha das Flores, e de sua saída para Porto Alegre [pt] |
|---|---|
| **Comments** | |


| **ID** | **RiC-E05** |
|---|---|
| **Name** | **Record Part** |
| **Definition** | Component of a *record* with independent information content that contributes to the intellectual completeness of the *record*. |
| **Scope Notes** | *Record part* is a kind of **Record Resource (RiC-E02)**.<br><br>A *record part* may itself have *record parts*. |
| **Examples** | 3rd Great Seal of King Charles I [en]<br><br>Attachment to email message concerning an agreement to participate in the ICA Seoul Congress (2016) [en] |
| **Comments** | |

### 2.2.2.2  Instantiation

| **ID** | **RiC-E06** |
|---|---|
| **Name** | **Instantiation** |
| **Definition** | The inscription of information made by an *agent* on a carrier in any persistent, recoverable form as a means of communicating information through time and space. |
| **Scope Notes** | *Instantiation* is a kind of **Thing (RiC-E01)**.<br><br>A *record* or *record part* must have been instantiated at least once, though this *instantiation* may no longer exist at the time of description, when, for example, evidence of its existence is present in an extant *record*. An *instantiation* might also exist at the time of description but be destroyed at a later time when, for example, a derived *instantiation* might become the only remaining *instantiation*.<br><br>A *record set* may have an *instantiation*, which is to say that it is not a necessary condition.<br><br>An *instantiation* may be derived from another *instantiation*.<br><br>A *record resource* may have multiple *instantiations* simultaneously or over time. For example, a *record* printed and saved at the same time as both DOCX and PDF/A would have three concurrent *instantiations*, or an original *record* may be copied following its initial *instantiation*.<br><br>Depending on the context, a new *instantiation* may represent a new *record resource* or the same *record resource*. Relative to the technique employed in deriving an *instantiation* from an existing *instantiation*, characteristics of the source *instantiation* may be lost or altered. Whether the derived *instantiation* is an *instantiation* of the same *record resource* or, because of loss or changes in characteristics, is an *instantiation* of a new *record resource* must be determined within the context by the *agent* that produces or uses that *instantiation*. For instance, a postcard representing a town map from 1874 (*instantiation* 1) is digitized and kept as a JPEG file (*instantiation* 2). The digital copy may be considered as instantiating the same *record* by an *agent* considering the information transmitted by the *record* (for example, the |

| | |
|---|---|
| | urban landscape displayed), but as a new *record* by an antiquarian more focused on the materiality of the carrier. |
| | Successive *instantiations* may change the perceivable boundaries of a *record resource*. For instance, a case file comprising many *records* may be digitized and saved as one single PDF file, which, from a management perspective, may be treated as one *record*. Similarly, a large *record set* (for example, a fonds or a series) may be maintained as one database. On the other hand, one *record* (main document and its annexes) may be digitized in separate files and each one may be managed as a discrete "physical" item. |
| | *Instantiations* may require mediation to communicate the information in the *record resource*. While a traditional *record* on paper can simply be read by an *agent* in order to understand the information, a vinyl recording, a video cassette or a digital file needs a device (mediator) to codify or decodify the information conveyed. This mediator may imply simple physical components (a turntable, for example), or a complex constellation of software and hardware elements. |
| | *Instantiations* are more than the mere informational content of *record resource* and may be the focus of preservation and physical management of records. The use of particular document types for *records*, such as a medieval charter, may have implications for the authenticity of the *records*. Hence, the way a *record resource* is instantiated contributes to the contextualizing of the content. |
| | Distinguishing the message conveyed (*record resource*) and its representations (*instantiations*) allows for the efficient management of their descriptions, and preservation of information about a *record resource* even when no *instantiation* of it exists or is known to exist. The relations between distinct *instantiations* can then be expressed wherever they coexist, and they can be related to the *record resource* they instantiate. |
| **Examples** | Cópia digital de livro de registro de entrada de imigrantes na Hospedaria da Ilha das Flores em formato pdf [pt] [digital *instantiation* of a *record*]<br><br>*Record*: 1521, June 29 — The merchant Neacsu writes to Johannes Benkner, mayor of Brasov, about the movement of Ottoman army in South Danube [en]<br><br>*Instantiation 1*: 1950 — b/w photocopy of the letter [en]<br><br>*Instantiation 2*: 2016 — colour digital copy of the letter [en]<br><br>Wax seal carrying an impression of the 3rd Great Seal of King Charles I [en] [analogue *instantiation* of *record part*] |
| **Comments** | |

## 2.2.3    Agent

RiC-E07  Agent
      RiC-E08 Person
      RiC-E09 Group
            RiC-E10 Family
            RiC-E11 Corporate Body
      RiC-E12 Position
      RiC-E13 Mechanism

*Agents* are entities that perform *activities* in the world. In the course of performing the *activities* the *agents* may generate or use *record resources*.

The kinds of *agents* presented in RiC-CM include the entities represented in ISAAR(CPF): *corporate bodies*, *persons*, and *families*. In RiC-CM, *corporate bodies* and *families* are kinds of *groups* or collective agents. While *corporate bodies* and *families* are traditionally recognized kinds of *groups* it may be useful, within some contexts, to define additional kinds of *groups*. For example, within many political contexts, individual voters collectively elect individuals to hold *positions* in a government or an organization, and the election constitutes a *mandate* authorizing the *person* elected to hold and perform the duties assigned to the *position*. In yet other contexts, identifiable collective movements emerge that are not formally *corporate bodies*, but that do perform *activities* governed by shared values or commitments.

RiC-CM also introduces two additional kinds of *agents*: *position* and *mechanism*.

While traditional description has treated some high-level or government executive *positions* as *corporate bodies*, RiC-CM recognizes that a *position* or role that individual *persons* play in a *group* is a specific kind of *agent*. *Position* represents the intersection of *person* and *group*, and that the *records* generated by the performance of *activities* assigned to the *position* are both evidence of the *activities* of the *group*, but also evidence of the *activities* of the *person* that holds or held the *position*.

*Mechanism* as a kind of *agent* recognizes that software or machines based on mechanical and software components perform *activities* based on *rules* determined by the *agent* or *agents* that designed, created, and employ them. Such *mechanisms* may create or modify *records*.

| ID | RiC-E07 |
|---|---|
| **Name** | **Agent** |
| **Definition** | A *thing* that performs *activities* in the world. |
| **Scope Notes** | *Agent* is a kind of **Thing (RiC-E01)**. |
| | An *agent* may have one or more identities; an identity is a constellation of properties or relations that together "identify" the *agent*. A *person* or *group* commonly has one identity, though each also may have one or more alternative identities. Such alternative identities may be shared by more than one *person* or *group*. Alternative identities include but are not limited to pseudonyms, heteronyms, DBA (Doing Business As), and trade identities. |
| | *Agent* also includes entities created by a *person* or *group* that act on behalf of the creating *agent* in an autonomous or semi-autonomous manner. Examples of a *mechanism* include software agents, robots, and space and underwater probes that generate data (*records*) in the course of *activity* assigned to and in conformance with the instructions (*rules*) given to them by the creating *person* or *group*. |
| **Examples** | Nelson Mandela [*person*] |
| | Jean Harlow [*person*] |
| | Família Schwarz [pt] [*family*] |
| | Señores de los Cameros [es] [*group*] |

| | Hospedaria de Imigrantes da Ilha das Flores [pt] [*corporate body*] |
|---|---|
| | The Who [en] [musical group] |
| | Chancellor of the University of California [en] [*position*] |
| | Perseverance (Mars rover) [en] [*mechanism*] |
| **Comments** | |


| ID | RiC-E08 |
|---|---|
| **Name** | **Person** |
| **Definition** | An individual human being. |
| **Scope Notes** | *Person* is a kind of **Agent (RiC-E07)**. |
| | Most commonly, a human being (biological person) has a single socially constructed identity or persona. |
| | Less common though not rare, one or more personae in addition to the original persona which emerges at or near birth may be associated with the human being over the course of that human being's lifetime. Such "alternative personae" are most often created by the original *person* for specific purposes. The original persona may, in everyday discourse, be regarded as "the real person." |
| | Under some circumstances, an alternative persona might eclipse or replace the original *person* (Mark Twain eclipsing Samuel Clemens; John Wayne eclipsing Marion Mitchell Morrison), that is, the alternative identity becomes the predominant identity. |
| | Less common is when two or more *persons* collaborate to create a shared persona. A persona shared by two or more persons constitutes a kind of *group*. |
| | Within the archival context, the description of a *person* commonly will focus on the original associated persona, with alternative personae noted. Exceptionally, an alternative persona may displace the original persona as the focus of the description. |
| | Under some circumstances, for example, when *record resources* are associated with two or more different personae of one *person*, describing the different personae as separate though related *persons* may be desirable. |
| | Alternatively, a *person* may change their identity over the course of their lifetime. |
| **Examples** | Nelson Mandela [activist, politician] |
| | Jean Harlow [actress] |
| **Comments** | |


| ID | RiC-E09 |
|---|---|
| **Name** | **Group** |
| **Definition** | Two or more *agents* that act together as an *agent*. |
| **Scope Notes** | *Group* is a kind of **Agent (RiC-E07)**. |
| | A *group* has a socially recognized identity. Each member of the *group* plays a particular role or roles (that is, has a particular *position*) in the coordinated *activity* of the *group*. |
| | *Corporate bodies* and *families* are kinds of *groups*, though other kinds of *groups* are possible. For example, the "electorate" — all of the voters in a given election. |
| | Complex, large *groups* may be subdivided into other *groups*. |

| Examples | Manchester United F.C. [en] [football club] |
|---|---|
| | San Francisco Opera [en] [opera company] |
| | Parliament of the United Kingdom [en] [legislative body] |
| | Corning Inc. [en] [technology company] |
| | Green Party of Canada [en] [political party] |
| | Diné/Navajo Nation [en] [indigenous American tribe] |
| Comments | |

| ID | RiC-E10 |
|---|---|
| Name | Family |
| Definition | Two or more *persons* related by birth, or through marriage, adoption, civil union, or other social conventions that bind them together as a socially recognized familial *group*. |
| Scope Notes | *Family* is a kind of **Group (RiC-E09)**. |
| | "Family" is used here as a general term that encompasses a wide variety of familial groups. Amongst other types, familial groups include dynasty, clan, house, and tribe. |
| | Though *family* may be a recognized legal group in specific contexts, the term may also be used for *groups* that are socially recognized as *families*. A *family* may be a *group* of *persons* related either by consanguinity or affinity or cohabitation or other social conventions. |
| | In some context, a *family* may also be legally recognized as a *corporate body*. For example, certain North American peoples (Tribes) retain self-government rights and have jurisdiction over defined Tribal lands. |
| Examples | Noel Family [en] |
| | Casa de Borbón [es] |
| | Fugger Family [en] |
| | Señores de los Cameros [es] |
| | House of York [en] |
| | Dukes of Northumberland [en] |
| | Família Schwarz [pt] |
| Comments | |

| ID | RiC-E11 |
|---|---|
| Name | Corporate Body |
| Definition | An organized *group* of *persons* that act together as an *agent*, and that has a recognized legal or social status. |
| Scope Notes | *Corporate body* is a kind of **Group (RiC-E09)**. |
| | By exception, within some legal contexts, a sole trader or sole proprietor may be recognized as a *corporate body*, even when the economic enterprise does not have additional members. |
| | *Corporate bodies* often have a *mandate* giving them the authority to act within their area(s) of competence. They will also usually act within a particular jurisdiction being governed by legal and other rule-based frameworks. A *corporate body* though may be |

| | constituted in a more informal manner and exist as an entity by virtue of its recognition as such by its members. |
|---|---|
| **Examples** | Australian Hearing Services [en] [statutory body] |
| | Gilbert and George [en] [collaborative art duo] |
| | Library and Archives Canada [en] [federal agency] |
| | The Who [en] [musical group] |
| | Faculty of Science, University of Strathclyde [en] |
| | Ministère de la Culture et de la Communication: Direction générale des patrimoines [fr] [federal agency] |
| | Parroquia de San Antonio Abad de Bilbao [es] [Catholic church] |
| | Ministerio de Ciencia y Tecnología [es] [federal agency] |
| | Organización de Estados Americanos [es] [international organisation] |
| | XV Brigada Internacional del Ejército Popular de la República [es] [military unit] |
| | Altos Hornos de Vizcaya, S.A. [es] [metallurgy manufacturing company] |
| | Concilio de Trento (1545-1563) [it] [council of the Catholic church] |
| | Hospedaria de Imigrantes da Ilha das Flores [pt][public agency] |
| **Comments** | See CIDOC-CRM E40 (Legal Body). |
| | See PROV-O Organization class ("An organization is a social or legal institution such as a company, society, etc.")[17] |
| | See the Organization Ontology, Organization class ("Represents a collection of people organized together into a community or other social, commercial, or political structure. The group has some common purpose or reason for existence which goes beyond the set of people belonging to it and can act as an Agent. Organizations are often decomposable into hierarchical structures.")[18] |

| ID | **RiC-E12** |
|---|---|
| **Name** | **Position** |
| **Definition** | The functional role of a *person* within a *group*. |
| **Scope Notes** | *Position* is a kind of **Agent (RiC-07)**. |
| | *Position* is the functional role of a *person* within a *group*. |
| | *Position* exists independently of the *person* or *persons* that hold the *position* within a *group*. |
| | More than one *person* may hold a *position*. |
| | *Position* is commonly defined in a *mandate*, often called a position description or job description. The *mandate* may specify the work to be performed (*activity*) as well as the competencies for performing the *activity*. |
| | A *position* is often given a name. |
| | A *position* may be tied to a project or to a set of tasks and thus have a defined duration. |

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[17] Available at https://www.w3.org/TR/prov-o/#Organization <accessed 20190912>.

[18] Available at https://www.w3.org/TR/vocab-org/#class-organization <accessed 20190912>.

| | A *position* may change over time, as the *group* that establishes it changes over time. |
|---|---|
| | Within the *records* created by a *corporate body*, a *position* may be used to identify the *record sets* resulting from *activities* performed by one or more *persons* holding the *position* over time, without necessarily identifying or describing the *person* or *persons*, or identifying which *records* were created by each *person*. |
| **Examples** | Pope, Roman Catholic Church [en]<br>President of France [en]<br>Prime Minister of Great Britain [en]<br>Chancellor of the University of California [en]<br>President of Toyota Motor Corporation [en]<br>State Archivist and Executive Director of the Louisiana State Archives [en]<br>Maestre Racional de la Casa y Corte del Rey de Aragón [es]<br>Presidente del Gobierno de España [es]<br>Pai de familia [pt] |
| **Comments** | |

| ID | **RiC-E13** |
|---|---|
| **Name** | **Mechanism** |
| **Definition** | A process or system created by a *person* or *group* that performs an *activity*. |
| **Scope Notes** | *Mechanism* is a kind of **Agent (RiC-E07)**.<br><br>A *mechanism* may have both mechanical and software components or may be exclusively software. A *mechanism* acts in the world producing physical or social effects and may generate or modify *records*.<br><br>A *mechanism* performs *activities* based on *rules* determined by the *agent* that designed and created it. A *mechanism* has an essential, derivative relation with the designing and creating *agent*. |
| **Examples** | Cassini–Huygens [space probe, robotic spacecraft]<br>Googlebot [webcrawler]<br>soccer.bot [chatbot]<br>ImageMagick [digital image conversion software]<br>Xena [Xml Electronic Normalising for Archives]<br>Dawn [space probe, robotic spacecraft]<br>Argo [ocean probe]<br>Perseverance [Mars rover] |
| **Comments** | |

## 2.2.4 Event

RiC-E14  Event

   RiC-E15 Activity

An *event* is something that happens in time and space. A particular *event* may occur at a specific moment in time, or it may occur over a long period of time. *Events* may be natural, such as earthquakes, storms, floods, or pandemics; or be caused by an *agent*, such as elections, wars, protests, building a home, monitoring water quality, converting a Word document into a PDF document, or managing *records*; or be a combination of natural and *agent* when an *agent* responds to a natural *event*, such as rescuing *records* damaged by a flood, or developing a vaccine in response to a pandemic.

An *activity* is a kind of *event*. It is an *agent* designed and performed *event* that has an intended purpose or purposes. The scope of *activity* within the context of a *corporate body* is the same as the traditional understanding of function. The name *activity* is used for this entity because, while it is appropriate to describe *corporate bodies*, *positions,* and *mechanisms* functionally, this is not the case for all of the *activities* of *persons* and *families*.

| ID | **RiC-E14** |
|---|---|
| **Name** | **Event** |
| **Definition** | Something that happens or occurs in time and space. |
| **Scope Notes** | *Event* is a kind of **Thing (RiC-E01)**.<br><br>An *event* may be caused by nature, an *agent*, or a combination of nature and *agent*.<br><br>*Events* have temporal and spatial boundaries. An *event* may actively involve some *agent(s)* and affect any entity.<br><br>An *event* may be discrete, happening at a specific moment in time, or may occur over an extended period of time. *Events* may have *events* as parts, and *events* may precede or follow one another. Multiple *agents* may participate in the same *event*, and in different roles. |
| **Examples** | Eruption of Mount Vesuvius (79 CE) [en]<br><br>San Francisco Earthquake (1906) [en]<br><br>Women's March (2017) [en]<br><br>Indian Ocean Earthquake and Tsunami (2004) [en]<br><br>Second World War (1939-1945) [en]<br><br>Registering births (Albemarle County, Virginia) [en]<br><br>Arno River Flood (1966) [en]<br><br>Restoration of records damaged in the Arno River Flood (1966- ) [en]<br><br>T.S. Eliot and Groucho Marx corresponding (1961-1964) [en] |
| **Comments** | Compare to:<br><br>LODE Event class (2010) with some important details in the definition[19]: |

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[19] Available at http://linkedevents.org/ontology/#term-Event <accessed 20190912>.

| | |
|---|---|
| | "An event consists of some temporal and spatial boundaries subjectively imposed on the flux of reality or imagination, that we wish to treat as an entity for the purposes of making statements about it. In particular, we may wish to make statements that relate people, places, or things to an event. Note that, unlike some definitions of 'event,' this definition does not specify that an event involves a change of state, nor does it attempt to distinguish events from processes or states." |
| | Event in the Event ontology (2007).[20] |

| | |
|---|---|
| **ID** | **RiC-E15** |
| **Name** | **Activity** |
| **Definition** | The doing of something for an *agent* designed purpose. |
| **Scope Notes** | *Activity* is a kind of **Event (RiC-E14)**. |
| | *Activity* is specifically used to designate the purposeful activity of an *agent.* |
| | *Activity* may be understood from two perspectives. First, it can be understood as leading to an end. The end is the purpose of the *activity*, or why the *activity* is performed. Second, it can be understood in terms of the processes that lead to achieving the end, how the end is realized through coordinated actions. |
| | Purpose and process are complementary understandings of *activity*. Together the two perspectives address why the *activity* is performed, the expected ends or outcomes; and how the *activity* fulfils the purpose. |
| | While *activity* has an intended end, it may also have unintended consequences and results, or side-effects (for example, a scientific experiment that has unexpected results). While, such unintended consequences may not be the focus of the description, they are context. |
| | In a corporate or government context an *activity* may also be called a "function." |
| | An *activity* exists in a specific social and cultural context, and within that context is subject to change over time. |
| | An *activity* may be composed of other *activities*. |
| **Examples** | Marketing [en] [process of exploring, creating, and delivering value to meet the needs of a target market in terms of goods and services] |
| | Research and development [en] [set of innovative activities undertaken by corporations or governments in developing new services or products] |
| | Writing poetry [en] [creative process] |
| | Describing archives [en] |
| **Comments** | |

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[20] Available at http://motools.sf.net/event/event.html <accessed 20190912>.

## 2.2.5 Rule

RiC-E16  Rule
        RiC-E17 Mandate

*Rules* that govern *agent activity* are ubiquitous. The very existence of *corporate bodies* and *positions* in particular, are governed by *rules*. The *activities* of all *agents* are governed, in one manner or another, by *rules*. The *things* created through human *activity* are often affected by *rule*s governing the *activities* that produce the *things*, and in some instances, *rules* specify the essential characteristics of *things* produced. Managing the *things* produced over time, as an *activity*, will be governed by *rules*.

An essential governing condition is that an *agent* has the responsibility to perform a specific *activity*. Such authority may be explicit or implicit. In some contexts, for example within governments, armed forces, corporations, and other organizations, authority devolves from the top down. In such contexts, an explicit *mandate* conferring the authority is often required. In other contexts, the delegation of authority may be implicit, for example, it may be derived from prevailing socio-cultural norms or community expectations, or it may be implied when a *person* in a superior *position* requests a *person* in a subordinate *position* to perform a task. The RiC-CM *mandate* entity is a kind of *rule* wherein one *agent* explicitly gives another *agent* the authority to perform a specific *activity*.

In addition to explicitly or implicitly authorizing an *agent* to perform an *activity*, *rules* (and thus including explicit *mandates*) may also provide specifications for how the *activity* is to be performed or determine the nature of the *thing* or *things* produced by the *activity*.

The conditions that govern or influence the performance of an *activity* may derive from multiple sources. In representative democracies, for example, constitutions define the various components of the government, the authority of each, and elections populate the various *groups* and *positions*. Such *rules* and conditions may also be derived from applicable international and national standards, industry and professional codes of practice, by-laws, approved procedures manuals, etc. The authority of an *agent* may be and commonly is derived from more than one source. For example, within the context of an archival institution, a *person* occupying the *position* of processing archivist will have a particular work assignment. Authority for performing the work will be set down in a formally approved description of the responsibilities of the *position*. The *person* will also have been formally trained as an archivist making them qualified for the *position*; that is, they will have professional training and skills. Professional principles and standards will also provide conditions for the performance of the *activities* assigned to the *position*.

*Rules* and *mandates* play important roles in all aspects of record-keeping. Records managers and archivists have authority and responsibility for managing, preserving, and providing access to *records*. Each of these activities and the detailed sub-activities are governed by *rules*. Access to *records*, for example, may be controlled based on security or privacy *rules*, and use of *records* may be controlled by intellectual property *rules*. The description of *record resources* and related

contextual entities will be based on *rules*, such as RiC-CM. *Records* that have an identifiable *documentary form type*, for example, a deed of sale or a birth certificate, are created based on *rules* that specify the characteristics of the type. Thus *rule*, in addition to *activity*, may also be directly related to *record resources*.

| ID | RiC-E16 |
|---|---|
| **Name** | **Rule** |
| **Definition** | Conditions that govern the existence, responsibility, or authority of an *agent*; or the performance of an *activity* by an *agent*; or that contribute to the distinct characteristics of *things* created or managed by an *agent*. |
| **Scope Notes** | *Rule* is a kind of **Thing (RiC-E01)**.<br><br>*Rule* can be related directly to *agent*, *activity*, or anything created or managed by *agents*, such as a *record resource* or *instantiation*.<br><br>A *rule* may be unwritten or written or otherwise documented. Unwritten *rules* may include though are not limited to the following: social mores, customs, or community expectations. Written *rules* may include though are not limited to the following: constitutions, legislation, acts (legal), statutes, legal codes, ordinances, charters, mission statements, regulations, policies, procedures, instructions, codes of conduct or ethics, professional standards, work assignments, or work plans.<br><br>The source or sources of some *rules* governing the existence or *activity* of an *agent* may be external (for example, expressed in elections, social mores, customs, community expectations, laws, regulations, standards, and best practice codes), while others may be expressed within the immediate context of an *agent* (for example, policies, or written or verbal instructions).<br><br>The evidence for identifying *rules* may be found in their entirety in one documentary source (for example, a law or regulation) or may be found in two or more sources.<br><br>*Rule* should not be confused with the one or more documentary sources that serve as evidence of its identity. A documentary source is a *record*. |
| **Examples** | Records in Contexts-Conceptual Model [en] [standard for archival description]<br><br>Constitución Española del 27 de diciembre de 1978 [es] [Constitution of Spain]<br><br>Fuero de Guadalajara de 1219 [es] [Spanish legal term and concept]<br><br>Manual de Procedimientos de Administrativos de la Universidad Pública de Navarra [es] [Manual of Administrative Procedures of the Public University of Navarra]<br><br>Decreto n. 8816/1882 sobre as declarações exigidas ao sestrangeiros no ato de visita da Polícia [pt] [Decree on the declarations required of foreigners in the act of visiting the Police]<br><br>The Manorial Documents Rules 1959 (legislation.gov.uk/uksi/1959/1399/) [en] [legislation allowing the provisions of an Act of Parliament to be brought into force] |
| **Comments** | |

| ID | RiC-E17 |
|---|---|
| **Name** | **Mandate** |
| **Definition** | Delegation of responsibility or authority by an *agent* to another *agent* to perform an *activity*. |

| Scope Notes | *Mandate* is a kind of **Rule (RiC-E16)**. |
| --- | --- |
| | A *mandate* confers the responsibility or authority of an *agent* to perform a specified *activity*. In addition to assigning an *activity* and delegating responsibility or authority to perform the *activity* to an *agent*, a *mandate* commonly limits the *place* (jurisdiction) and *date* (time period) within which an *agent* may perform the *activity* (where and when). |
| | *Mandates* exist in a specific social and cultural context, and within that context are subject to change over time. |
| | While a *mandate* may be tacit, in whole or part, it may be explicitly expressed in a variety of documentary sources (for example, constitutions, legislation, (legal) acts, statutes, legal codes, ordinances, charges, charters, or mission statements). |
| | The evidence for identifying a *mandate* may be found in its entirety in one documentary source (for example, a law or regulation), or may be found in two or more sources. |
| | A *mandate* should not be confused with the one or more documentary sources that serve as evidence of its identity. A documentary source is a *record*. |
| Examples | Authority granted by electors to a person to represent them in Parliament [en] |
| | Authority of a Mayor of New York City to grant building authorisations [en] |
| | The mandate of the Australian Hearing Services, as set out by the Australian Hearing Services Act 1991 (s 7), is to provide hearing services, carry out research and development in relation to hearing services and acoustic development, and conduct education about hearing services. [en] |
| | O decreto n. 603/1890 dá como competências da Inspetoria Geral de Terras e Colonização a extremação das terras de domínio público e particular, a demarcação, divisão e registro das terras devolutas, a legitimação de posses, concessões e sesmarias, além da fiscalização e direção de todos os serviços atinentes à imigração e colonização e promoção da imigração espontânea [pt] |
| | Authority of The National Archives (UK) to maintain and make public a register of manorial documents in England and Wales. [en] |
| Comments | |

## 2.2.6   Date

RiC-E18 Date

All *things* exist in time with the exception of time itself. Situating entities in time is critical in establishing context for understanding.

The RiC-CM entity for describing the chronological dimension of entities is the *date* entity. For all entities, *dates* are important in conveying when the entity began and ended, and important *events* in the course of its existence that contribute to or effect changes in its identity. A significant *date* or *dates* related to each entity will vary according to the nature of the entity being described. With respect to a *record resource*, *dates* associated with creation, or cessation, and *events* that affect its quality are all important contextual information. In addition to beginning and ending *dates* for an *agent*, its authority to perform an *activity* may be limited to a specific period of time. The *date* of an *event* in relation to another entity, for example, to a *record resource*, *instantiation*, or *agent*, can be used to describe the history of the entity.

*Date* is treated as an entity rather than as an attribute because chronological description is inherently complex. *Dates* may be expressed in natural language or in a standard-based machine-readable form. If the latter, the standard on which the *date* is based needs to be explicit. Evidence for relating a *date* to an entity may be ambiguous or unclear, and thus more or less certain. A *date* may be expressed in varying degrees of precision, and the degree of precision needs to be provided to inform interpretation.

| ID | RiC-E18 |
|---|---|
| **Name** | **Date** |
| **Definition** | Chronological information associated with an entity that contributes to its identification and contextualization. |
| **Scope Notes** | *Date* is a kind of **Thing (RiC-E01)**. <br><br> A *date* may be represented in natural language, based on a digital standard, or both. Digital standard *dates* will typically be based on ISO 8601, or Extended Date-Time Format (EDTF). |
| **Examples** | 4 March 1842 [en] [day in Gregorian calendar] <br><br> 3 Henry VIII [en] [year in regnal years of Henry VIII] <br><br> 1925-1957[date range in Gregorian calendar] <br><br> 20th Century [en] [100 years in Gregorian calendar] |
| **Comments** | |

## 2.2.7   Place

RiC-E22  Place

There are a variety of ways in which relating entities to *place* is essential in establishing the contexts of the entities. *Record resources* are created in a particular *place*, and after they are created, they continue to exist in a particular *place* or *places*. *Agents* come into existence in a particular *place*, and subsequently, in the course of life or work *activities* may be associated with one or more *places*. Further, the authority of an *agent* to perform an *activity* may be constrained by *place*, a mandated jurisdiction. *Events* occur in a particular *place* or *places*. Finally, a *rule* comes into existence in a particular *place*, and may also constrain an *activity* by defining the *place* where the *activity* may be performed.

| ID | RiC-E22 |
|---|---|
| **Name** | **Place** |
| **Definition** | Bounded, named geographic area or region. |
| **Scope Notes** | *Place* is a kind of **Thing (RiC-E01)**. <br><br> A *place* may be a jurisdiction, a man-made structure, or a natural feature. A man-made structure or natural feature may also be a jurisdiction. <br><br> A jurisdiction is the bounded geographic area within which an *agent* has the authority to perform specified *activities* constrained by *rules.* <br><br> Jurisdictions, man-made structures, and natural features are historical entities. A *place* thus may have a beginning *date* and ending *date* and changing boundaries that result from human or natural *events.* |

| | |
|---|---|
| | A *place* may be systematically referenced to a location on the earth (geographic coordinates). |
| **Examples** | Nova Scotia [en] [province of Canada] |
| | North Lanarkshire District [en] [council area of Scotland] |
| | Manchester Diocese [en] [ecclesiastical district] |
| | Reino de Granada [es] [Emirate of Granada] |
| | El Bierzo [es] [county in Spain] |
| | Cabo de Corrubedo [es] [peninsula in Spain] |
| | Ilha das Flores (São Gonçalo, RJ, Brasil) [pt] [island in the state of Rio de Janeiro] |
| | Amazon River [en] |
| | Río Guadalquivir [es] [river] |
| | Paris [fr] [city in France] |
| | Vía de la Plata [es] [ancient commercial and pilgrimage path] |
| | Avenida de Mayo (Buenos Aires, Argentina) [pt] [street, avenue] |
| | The Flatiron Building (New York City) [en] [building] |
| **Comments** | |

# 3 Attributes

## 3.1 Introduction

Attributes are the characteristics of the entities. The attributes of an entity, together with the relations that the entity has with other entities, constitute its identity. Describing an entity necessarily involves observation and analysis of evidence in order to identify the salient characteristics. While many of the attributes are based on characteristics inherent to the entity, for example, the *languages* used by a *person*, or the *language* used in a *record*, others are specified by the *person* describing the entity, such as associating a specific *identifier* with the entity to uniquely identify it within the context of its description.

## 3.2 Attribute Definition Template

In this section, the attributes are listed in alphabetical order. In section 4 below, the attributes are listed for each entity in turn.

Each attribute is described based on the following template:

| ID | Identifier of the attribute |
|---|---|
| **Name** | Natural language label of the attribute |
| **Definition** | Brief definition of the attribute |
| **Domain** | Entity or entities which may have the attribute: see section 4 below for lists of attributes for each entity |
| **Specifications** | Possible specifications, precisions, annotations, or qualifiers of the meaning of the value of an attribute in a description |
| **Extensibility** | Whether the attribute may have extensions or specializations by the addition of sub-attributes |
| **Repeatability** | Whether the attribute can be repeated or not in the description of a particular entity or relation |
| **Value Schema** | Rules for selecting or formulating the value of the attribute: see section 3.5 below |
| **Scope** | Additional information to aid the understanding and use of the attribute |
| **Examples** | Examples of values of each attribute |

## 3.3 Entities versus Attributes

In conceptual modelling, it is often difficult to decide whether a particular phenomenon should be treated as an entity or an attribute. This is particularly true for attributes with Value Schema type "Controlled value" (see section 3.5 below). In many implementation scenarios such concepts are defined as entities (or classes). Controlled value lists or thesauri typically have the scope of a particular conceptual category or categories (for example, subjects, occupations, or *activity* types), and each conceptual entity may have preferred as well as alternative terms, broader and related terms, and more.

EGAD chose to treat these types of conceptual phenomena as attributes in order to keep the entities presented focused on the phenomena deemed central to the purpose of records managers and archivists. However, in any implementation of RiC-CM, these attributes might be treated as entities for a number of reasons. For example, it enables creating shared vocabularies that are important for the management of *records*, such as *record set type*, *activity type,* or *occupation type*. It also enables the use of existing shared vocabularies, such as subject or topic concepts, available for the description of *records* as well as artifacts curated by allied cultural heritage communities. Finally, it enables, in a Linked Open Data environment, interrelating dispersed description and access services. For these reasons, RiC-O treats such as entities (classes).

## 3.4    Record Resource, Record Set, Record, and Record Part Attributes

RiC-CM introduces a distinction between a *record set* and an individual *record* as well as its *record parts*. The difference between a *record* and a *record part* is that the identity of the *record* is directly derived from the *record* itself, whereas the identity of the *record part* is dependent on and derived from the *record* of which it is a part. ISAD(G) uses the concept "unit of description" that treats both a *record set* and a *record* as essentially the same kind of *thing*, that is, the same attributes may be used for describing a *record set*, an individual *record*, or, by inference, individual *record parts* (such as, for example, an illumination in a manuscript or the seal of a charter).

The RiC-CM distinction between *record set* and *record* is based on the broad observation that treating *record sets* and individual *records* as essentially the same leads to ambiguity and imprecision in the description. For example, an attribute, such as *language* or *documentary form type*, when associated with a *record set*, is not an attribute of the *record set*, as such, but rather a description of all or some of the individual *records* that are members of the set. A *record set*, as such, does not have a *language* or a *documentary form type*.

Understanding this distinction can be a challenge because in everyday discourse we commonly ascribe a shared characteristic of members of a set to the set as such. For example, if all members of a *record set* are "access restricted," then we commonly say "the *record set* is access restricted" rather than the more precise "all *records* in the set are access restricted." The ambiguity is often compounded further in that attributes such as *language* and *documentary form type* are often associated with a *record set* when they only characterize some but not all members of the *record set*.

Distinguishing between *record set* and *record* presents challenges in identifying and specifying the attributes of each. The central technical issue presented is that the relation between an entity and an attribute may be formulated as follows: "entity has attribute." But, as stated above, for many of the attributes of *record* when associated with *record set*, such a statement is false. In order to make this statement true, the precise way to associate the attributes of *record* with *record set* would involve differentiating the nature of the relation:

*record set* **has all members** with attribute
*record set* **has some members** with attribute

But this violates the implied semantics of an Entity-relationship Model.
The only formal option possible would be to specify two additional attributes:

*record set* **has** language of all members
*record set* **has** language of some members

And so on for each attribute at issue. EGAD, in order to keep RiC-CM as concise as possible, has chosen not to differentiate these attributes. Instead, attributes for which this distinction is relevant are identified in the "Scope" statements in section 3.6 below and with an '*' in the list of attributes for the *record set* entity in section 4.2.1 below. Attributes that may be used to describe both the *record set and* some or all of its *record* members are identified with '+' in section 4.2.1 below.

## 3.5   Value Schema

The association of an attribute to an entity is implicitly an assertion: entity *has* attribute *with value*. For example, *record* "A" has *language* "B," where "B" is the value of the *language*.

All attributes will have at least one specified "Value Schema." Some attributes that may be differentiated into sub-attributes upon implementation have more than one Value Schema specified. The Value Schema should be seen as indicative and neither prescriptive nor proscriptive.

There are four possible Value Schema:

**Free text**: Words and sentences based on alpha-numeric code that are not bound or constrained by rules or models other than those of natural language expression. Free text is useful for situations where prose is necessary to make clear some aspect or aspects of the entity that may or may not be shared with other entities.

**Model-based text**: Words and sentences based on alpha-numeric code that are bound or constrained by a linguistic or content model. The aim of the model is to create consistency of expression and content across instances of the attribute. For example, a model may specify a certain set or form of words be used to either frame specific content or consistently capture a particular value. One aim of the Model-based text is to enable the retrieval of all instances containing the text specified in the model.

**Controlled value**: Words and phrases (terms) based on alpha-numeric code that are selected from a controlled list of authorized (or authoritative) terms. Such lists may also allow for the emergence of new terms based on day-to-day operations and changing circumstances. Conceptual Controlled value lists are commonly maintained as thesauri that accommodate, in

addition to authorized terms, synonyms and related, broader, or narrower terms. Controlled value lists commonly establish the identity of real-world entities, such as *agents* or *places* (jurisdictions, manmade structures, or natural features), relate authorized *names* (and alternative *names*) to the real-world entity, and may additionally interrelate the entities with one another. Note that Controlled value attributes are commonly treated as entities in implementations as noted in section 3.3 above.

**Rule-based value**: Data objects based on alpha-numeric code that are designed to be computationally processable (machine readable and processable) and based on a set of prescriptive or proscriptive rules governing form, scope, and purpose. Typically, these rules are embodied in standards that enable interoperability of data across systems and operational environments. For example, there are international standards for the expression of *dates* and the expression of geographic *coordinates*.

## 3.6   Description of Attributes

| ID | RiC-A01 |
|---|---|
| Name | Accruals |
| Definition | Information on the anticipated accession(s) to the *record set*. |
| Domain | Record Set |
| Specifications | Such accessions may be *record sets*, *records*, or *record parts*.<br><br>Note the *accruals* status of a *record set* as a text statement or single words such as "Non-accruing" to indicate that no additional *record sets* or *records* will (or are anticipated to) be added to the *record set*; "Accruing" to indicate that additional *records* or *record sets* will (or are expected to) be added to the *record set*; or "Unknown" to indicate that this information is not available. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Model-based text; free text |
| Scope |  |
| Examples | Accruing - there is an agreement with the creator that additional snapshots of their email directory will be accessioned at yearly intervals [en]<br><br>Non-accruing [en]<br><br>Unknown [en] |


| ID | RiC-A02 |
|---|---|
| Name | Activity Type |
| Definition | Categorization of an *activity*. |
| Domain | Activity |
| Specifications |  |
| Extensibility | May be extended with any number of specific attributes, for example "function/action" and "activity domain." Making the attribute extensible allows for a faceted approach that enables *activity type* to be divided into more distinct components, both general and specific. For example, "monitoring" can be used in combination with "election polls" or "water resources." |

| | |
|---|---|
| **Repeatability** | Not repeatable |
| **Value schema** | Controlled value |
| **Scope** | |
| **Examples** | business process [en] |
| | action [en] |
| | task [en] |
| | transaction [en] |

| ID | RiC-A03 |
|---|---|
| **Name** | **Authenticity Note** |
| **Definition** | Description of the evidence that a *record resource* or an *instantiation* is what it purports to be, was created or sent by the said *agent* at the said time, and has not been tampered with, corrupted, or forged. |
| **Domain** | Record Resource; Instantiation |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>For digital *records*, it may include results from automated means of checking the validity of signatures and timestamp.<br><br>In particular cases it may be contextually related to the s*tate* attribute, for example, a document can be an original or a copy, either of which can be authentic or a forgery. |
| **Examples** | The letter is unsigned. [en] |
| | The deed is digitally signed by the Notary. The electronic signature validity cannot be assessed, but the content was not modified from the moment of signing. [en] |
| | The timestamp exists but cannot be verified. [en] |
| | The record bears signatures. [en] |

| ID | RiC-A04 |
|---|---|
| **Name** | **Carrier Extent** |
| **Definition** | Number of physical units and/or physical dimensions of the carrier of an *instantiation*. |
| **Domain** | Instantiation |
| **Specifications** | In order to manage an *instantiation* of a *record resource* it is necessary to note the extent of the carrier as well as that of the *instantiation* itself. Whether it is necessary to note dimensions, the number of relevant units or both depends on the nature of the carrier and particular business needs. |
| **Extensibility** | May be extended with any number of specific attributes in order to enable use of controlled values or rule-based values. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |

| Scope | For digital resources, it may be used to indicate the size of storage capacity (disk, tape, film, etc.). |
|---|---|
| | *Carrier extent* should not be confused with *instantiation extent* or *record resource extent*. For a given *record resource*, the *instantiation extent* may vary, based on format, density of information on the carrier, etc. For example, a CD with a storage capacity of 700 MB (*carrier extent*) might hold a *record* of 1500 words (r*ecord resource extent*) represented in two versions, one a Word document with an *instantiation extent* of 3 KB and the other a PDF file with an *instantiation extent* of 5 KB. |
| Examples | 1 page [en] |
| | 32.5 x 49 cm [piece of parchment] [en] |
| | 3 GB [1 USB key] [en] |

| ID | RiC-A05 |
|---|---|
| Name | **Carrier Type** |
| Definition | Categorization of physical material on which information is represented. |
| Domain | Instantiation |
| Specifications | In order to manage an *instantiation* of a *record resource*, it is necessary to note the type of carrier on which the *record resource* is instantiated as its nature will determine the environmental storage conditions and the prerequisites for and possible ways of accessing and using the *record resource*. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Repeatable |
| Value schema | Controlled value |
| Scope | *Carrier type* should not be confused with *representation type* of the *instantiation* or the *content type* of a *record resource* as the form of communication can be independent of the representation or the carrier, for example a map (*content type* "cartographic image") may be represented as a sketch (*representation type* "visual") recorded as a physical document (*carrier type* "paper"). |
| Examples | clay tablets [en] |
| | papyrus [en] |
| | magnetic disk [en] |
| | optical disk [en] |
| | paper [en] |
| | parchment [en] |
| | film [en] |
| | vinyl disk [en] |
| | magnetic tape [en] |

| ID | RiC-A07 |
|---|---|
| **Name** | **Classification** |
| **Definition** | A term, number or alphanumeric string that is usually taken from an external classification vocabulary or scheme that qualifies a *record resource.* |
| **Domain** | Record Resource |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Controlled value; Model-based text |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>The attribute is not to be confused with the *identifier* attribute although, in some cases, the information may be the same. |
| **Examples** | BUD-01-F002 [en] [classification number from a corporate file plan]<br><br>human resource management [en]<br><br>student registration [en]<br><br>financial affairs [en]<br><br>digitized items [en] |

| ID | RiC-A08 |
|---|---|
| **Name** | **Conditions of Access** |
| **Definition** | Terms and circumstances affecting the availability of a *record resource* or an *instantiation* for consultation. |
| **Domain** | Record Resource; Instantiation |
| **Specifications** | Such conditions may originate in laws, regulations and policies, including those pertaining to privacy and security concerns or restrictions; they may concern a specific *instantiation* of a *record resource*, for example, conditions that require preservation treatment; or they may specify the software or hardware necessary to access the *instantiation*. |
| **Extensibility** | May be extended with any number of specific attributes in order to enable use of controlled values. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>The attribute provides information about the accessibility of a *record*, as well as the physical, technical or legal limitations that exist for providing access to it. |
| **Example** | Open [en]<br><br>Closed under data protection legislation [en]<br><br>Closed as awaiting conservation treatment [en]<br><br>Acceso libre a través de los terminales de consulta [es]<br><br>The Archives cannot provide VHS reader to access the content of the tape [en]<br><br>Recognita software, min. version 3.0, is needed in order to open the file [en]<br><br>Closed for 30 years [en] |

| ID | RiC-A09 |
|---|---|
| **Name** | **Conditions of Use** |
| **Definition** | Terms and circumstances affecting the use of a *record resource* or an *instantiation* after access has been provided. |
| **Domain** | Record Resource; Instantiation |
| **Specifications** | Includes conditions governing reproduction of the *record* or *record part* under applicable copyright (intellectual property) and/or property legislation or due to conservation status. |
| **Extensibility** | May be extended with any number of specific attributes in order to enable use of controlled values. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*. |
| **Example** | Permission of the copyright owner must be obtained before use [en]<br><br>Cannot be copied using warm light copying machines or photographed using flashlight [en] |

| ID | RiC-A10 |
|---|---|
| **Name** | **Content Type** |
| **Definition** | The fundamental form of communication in which a *record resource* is expressed. |
| **Domain** | Record Resource |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Controlled value |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>The attribute should not be confused with the *representation type* or *carrier type* attributes of a related *instantiation* since the form of communication can be independent of the representation or carrier, for example a map (*content type* "cartographic image") may be represented as a sketch (*representation type* "visual") recorded as a physical document (*carrier type* "paper"). It also should not be confused with the *documentary form type* attribute of a *record set, record*, or *record part*, which describes a specific document form (for example a deed of sale). |
| **Examples** | cartographic image [en]<br><br>notated music [en]<br><br>recorded spoken word [en]<br><br>still image [en]<br><br>text [en] |

| ID | RiC-A11 |
|---|---|
| Name | **Coordinates** |
| Definition | Longitudinal and latitudinal information about a *place*. |
| Domain | Place |
| Specifications | |
| Extensibility | May be extended with any number of specific attributes, for example to accommodate both longitudinal and latitudinal information according to a reference system. |
| Repeatability | Repeatable to accommodate information deriving from different coordinate systems. |
| Value schema | Rule-based value |
| Scope | May be based on ISO 6709 Standard representation of geographic point location by coordinates. |
| Examples | Latitude 50°40'46,461"N, Longitude 95°48'26,533"W, Height 123,45m [en] [ISO 6709/D]<br><br>Latitude 35.89421911, Longitude 139.94637467 [en] [ISO 6709/F] |

| ID | RiC-A12 |
|---|---|
| Name | **Corporate Body Type** |
| Definition | Categorization of a *corporate body*. |
| Domain | Corporate Body |
| Specifications | Note the type or types of *corporate body*. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Repeatable |
| Value schema | Controlled value |
| Scope | |
| Examples | private [en]<br><br>public [en]<br><br>non-governmental organization [en]<br><br>political party [en]<br><br>musical group [en] |

| ID | RiC-A13 |
|---|---|
| Name | **Date Qualifier** |
| Definition | A human readable qualification of a *date* to indicate the level of precision or certainty. |
| Domain | Date |
| Specifications | |
| Extensibility | May be extended with any number of specific attributes in order to differentiate between different types of qualifiers. |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | Most often, this human readable expression of the accuracy of the *date* is used along with an ISO 8601 representation of the *date*. The qualifier can also be expressed as a machine-readable value, using the EDTF standard (thus, a specialization of the *normalized date* attribute). |

| | |
|---|---|
| | An uncertain *date* (e.g. when you state that a *person* was possibly born at some *date*) should be specified using a relation (the RiC-CM relation should have a c*ertainty of relation* attribute with the appropriate value, e.g. 'uncertain', see 5.5 below). |
| **Examples** | circa [en] |
| | approximate [en] |
| | end unknown [en] |

| ID | **RiC-A42** |
|---|---|
| **Name** | **Date Type** |
| **Definition** | Categorization of a *date*. |
| **Domain** | Date |
| **Specifications** | May be used to categorise a *date* as a single *date*, a *date* range or a *date* set or sub-categories of these broad types. This attribute should not be confused with the date relations defined in RiC-CM to connect a *date* entity and any other entity (such as RiC-R069 *is beginning date of*, see 5.2 below). |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Controlled value |
| **Scope** | |
| **Examples** | Single date [en] |
| | Date range [en] |
| | Date set [en] |
| | Year [en] |
| | Century [en] |
| | Geological era [en] |

| ID | **RiC-A15** |
|---|---|
| **Name** | **Demographic Group** |
| **Definition** | Categorization of a *person* or *group* based on shared characteristics. |
| **Domain** | Person; Group |
| **Specifications** | |
| **Extensibility** | Needs to be differentiated into specific attributes in order to be useful. |
| | Among possible specific demographic attributes are gender, (biological) sex, education, identity, place, ancestry, ethnic/cultural identification, and religion. |
| **Repeatability** | Relative to the specific kind of demographic category, may or may not be repeatable. |
| **Value schema** | Specific demographic attributes should use controlled values. |
| **Scope** | Intended to recognize that demographic categorization of *persons* or *groups* may be useful in identifying *persons* or *groups* associated with *records* in specific contexts. Demographic categorization presents intellectual and ethical challenges. While it may benefit users of *records* by providing context and facilitating specific kinds of research, historically it has also been abused, for example, when one *demographic* |

*group* argues its superiority over another *demographic group* as justification for oppression, even genocide.

A *person* or g*roup* may belong to several *demographic groups*.

A kind of *demographic group* for a *person* is an *occupation type*.

| Examples | Women [en] |
| --- | --- |
| | Brazilians [en] |
| | Protestants [en] |
| | Clergy [en] |
| | Peasants [en] |
| | Non-binary persons [en] |
| | Families [en] |

| ID | **RiC-A17** |
| --- | --- |
| **Name** | **Documentary Form Type** |
| **Definition** | Categorization of a *record set, record,* or *record part* with respect to its extrinsic and intrinsic elements that together communicate its content, administrative and documentary context, and authority. |
| **Domain** | Record Set; Record; Record Part |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable on *record* or *record part*, or on *record set* when describing all members of the *record set.* <br><br> Repeatable on *record set* when describing some members of the *record set.* |
| **Value schema** | Controlled value |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*. <br><br> *Documentary form type* plays an important role in determining the type of information a *record* may comprise, its status of perfection, and its authenticity and reliability. <br><br> *Documentary form types* exist in a specific social and cultural context, and within that context, are subject to change over time. <br><br> Do not confuse with the *content type* attribute of a *record set, record,* or *record part*, which describes the form of communication in which a *record* or *record part* is expressed (e.g. an image). |
| **Examples** | deed of gift [en] |
| | email [en] |
| | letter [en] |
| | papal bull [en] |
| | charter [en] |
| | birth certificate [en] |
| | will [en] |
| | acta de entrega [es] |

| | |
|---|---|
| | expediente de licencia de obras mayores [es] |
| | libro de actas [es] |
| | database [en] |


| ID | RiC-A18 |
|---|---|
| **Name** | **Event Type** |
| **Definition** | Categorization of an *event.* |
| **Domain** | Event |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Controlled value |
| **Scope** | *Events* of all kinds can be categorized. |
| **Examples** | accession [en] |
| | acquisition [en] |
| | arrangement [en] |
| | birth [en] |
| | description [en] |
| | digitization [en] |
| | earthquake [en] |
| | hurricane [en] |
| | marriage [en] |
| | transfer [en] |


| ID | RiC-A19 |
|---|---|
| **Name** | **Expressed Date** |
| **Definition** | Natural language expression of a *date*. |
| **Domain** | Date |
| **Specifications** | This attribute is a specialization of the *name* attribute.<br><br>In order that the precise meaning of the *date* can be understood information such as the calendar used or other specific context should be included. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | |
| **Examples** | October 24, 1999 [en] [month day, year] |
| | 1925-1966 [date range] |
| | 15 thermidor an IV (calendrier révolutionnaire français) [fr][day month year, French Republican calendar] |
| | 8 avril 1258 (a. st., style de Pâques) [fr] |
| | XVIIe siècle [fr][17th century] |
| | The Middle Ages [en][period of European history] |

| | |
|---|---|
| | Die jovis ultima mensis martii anno domini millesimo quingentesimo quadragesimo ante Pascha [la] [On the last Thursday of the month of March in the year of the Lord one thousand five hundred and forty before Easter] |
| | 1550-1553, 1555 [date range, year] |
| | One of the years 1550, 1551, 1553, 1555 [en] |
| | All of the years 1550, 1551, 1553, 1555 [en] |
| | The second semester of 1951 to 1952 [en] [academic reference system] |

| ID | RiC-A20 |
|---|---|
| Name | **Family Type** |
| Definition | Categorization of a *family*. |
| Domain | Family |
| Specifications | |
| Extensibility | Not extensible |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | Encompasses a wide variety of familial *groups* related by consanguinity, affinity, cohabitation, or other social conventions. |
| Examples | family [en] |
| | dynasty [en] |
| | clan [en] |
| | tribe [en] |

| ID | RiC-A43 |
|---|---|
| Name | **General Description** |
| Definition | General information about an entity. |
| Domain | Thing |
| Specifications | *General description* may be used to describe any entity. There are different appropriate uses for *general description*. First, while it is recommended that more specific attributes be used in describing an entity, it may be desirable, for economic or other reasons, to describe two or more specific attributes together. Second, *general description* may be used to describe one or more characteristics that are not otherwise accommodated in RiC-CM attributes. Third, it may be used to provide a succinct summary or abstract description in addition to more detailed specific description. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Free text |
| Scope | |
| Examples | Le massif du Mont-Blanc est un massif des Alpes partagé entre la France, l'Italie et la Suisse. Il abrite le mont Blanc, plus haut sommet d'Europe occidentale qui culmine à 4 809 mètres (altitude relevée en 2015). Il est traversé par le tunnel du Mont-Blanc, entre Chamonix dans la vallée de l'Arve et Courmayeur dans la vallée d'Aoste. [fr] [about a *place*, the Mont Blanc massif] |
| | Thomas Blaikie est un botaniste et jardinier écossais. Il a dessiné notamment les jardins de Malmaison et Bagatelle. [fr] [about a *person*, Thomas Blaikie (1750-1838)] |

| | The Senate is the academic governing body of the University of Strathclyde and is responsible for all academic matters including academic standards and quality. Meetings of the Senate are chaired by the Principal and the membership is drawn entirely from within the University, comprising academic and research staff. [en] [about a *corporate body,* University of Strathclyde Senate] |
| --- | --- |
| | This activity involves regulating the nursing profession by conducting examinations and on-going education for nurses, maintaining rolls of those qualified as enrolled or registered nurses, midwives, psychiatric, and other specialised nurses. It also covers hearing disciplinary charges against nurses (and where necessary, removing them temporarily or permanently from the registers), as well as promoting the nursing profession. [en] [about an *activity,* Nursing Profession Regulation] |

| ID | **RiC-A21** |
| --- | --- |
| **Name** | **History** |
| **Definition** | Summary of the development of an entity throughout its existence. |
| **Domain** | Record Resource; Instantiation; Agent; Event; Rule; Place |
| **Specifications** | For a r*ecord resource*, an account of its *history*. To the extent known, this may cover the entire *history* and include information about the *history* of origination, responsibility, property, custody, control, arrangement, description, and management of the *record resource*.<br><br>For *instantiation,* an account of the *history* of a specific *instantiation* of a *record resource* from its inception.<br><br>For *agent,* a concise *history* of an *agent*, relevant for understanding the context of related *record resources*. This may include its creation/definition/birth, and its development over time, for example changes concerning its education, competencies, *positions* held, the *mandate* assigned to it, etc.<br><br>For *event,* a *history* of the origin and development of an *event*.<br><br>For *activity,* an account of the *history* of the *activity* relevant for understanding the context of *records* creation. This may include information about the development of the *activity* over time and the changes in responsibility for the *activity*.<br><br>For *rule*, a *history* of the authority or specifications relating to the performance of an *activity*.<br><br>For *place,* a history of a *place*.<br><br>Can alternatively be represented in a more structured manner by use of the *event* entity. For example, the *history* of an entity may be represented as a series of *events* with relevant *event types* with relations expressed with *date* and *place* entities. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | For a *record set*, may be used to summarize the *history* of the *record set* itself, or additionally to summarize the *history* of some or all members of the *record set*. Should not be confused with the *scope and content* attribute. |

| | |
|---|---|
| Examples | The manuscripts are part of the collections of Robert Harley (d 1724) and Edward Harley (d 1741), 1st and 2nd Earls of Oxford, that were brought by Parliament and transferred to the British Museum in 1753. Those materials were then separated into this collection and those for Harley Charters and Harley Rolls and became part of the collections of the British Library in 1972. [en] [about a *record set*] |
| | Nacido en Barbastro en 1892, donde realizó sus primeros estudios con los escolapios. Licenciado en Derecho por la Universidad de Zaragoza, aprobó las oposiciones al cuerpo nacional de notarios… [es] [about a *person*] |
| | El primer sorteo de lotería se celebró el 13 de mayo de 1771, siendo desarrollado por la Real Lotería General de Nueva España… [es] [about an *activity*] |
| | Doublage des 2 pièces au papier japon réalisé en interne à la bibliothèque en 2016. [fr] [about an *activity*] |

| | |
|---|---|
| **ID** | **RiC-A22** |
| **Name** | **Identifier** |
| **Definition** | A word, number, letter, symbol, or any combination of these used to uniquely identify or reference an individual instance of an entity within a specific information domain. |
| **Domain** | Thing |
| **Specifications** | Can include Global Persistent Identifiers (globally unique and persistently resolvable identifier for the entity) and/or Local Identifiers.<br><br>Both the domain within which the *identifier* is unique, and the rules used in forming the *identifier* value should be provided with the *identifier* value. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Rule-based value; model-based text; free text |
| **Scope** | Within a given domain (a closed system), *identifiers* are used to uniquely reference instances of an entity. *Identifiers* are instruments of control that facilitate management of the entities within the domain. The formulation of *identifiers* commonly is based on rules.<br><br>In addition to an *identifier* needing to be unique within a domain, it is also highly desirable that it be persistent, that is, that the *identifier* uniquely identifies the entity over time. A variety of organizations provide rules for the formation of *identifiers*, and services designed to facilitate the persistence of *identifiers*. Such *identifiers* are commonly referred to as Persistent Identifiers (or PIDs). PIDs conform to RFC 3986, but impose additional rules. Common examples are Archival Resource Keys (ARKs)[21] and Digital Object Identifiers (DOIs).[22]<br><br>Within the global environment of the Internet, there are special rules for the formation of *identifiers* to ensure that they are unique within the domain of the Internet. Such *identifiers* must conform to the Internet Engineering Task Force (IETF) Uniform Resource Identifier rules (RFC 3986).[23] |

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[21] Available at ARK Alliance – Home of the Archival Resource Key (ARK) (arks.org) <accessed 20231106>.

[22] Available at http://www.doi.org/index.html <accessed 20231107>.

[23] Available at https://www.ietf.org/rfc/rfc3986.txt <accessed 20231107>.

| | |
|---|---|
| **Examples** | Global Persistent Identifiers |
| | http://n2t.net/ark:/99166/w6v1266v [example of an Archival Resource Key for a *record*] |
| | http://n2t.net/ark:/99166/w6tz44ht [example of an Archival Resource Key for a *person*] |
| | http://isni.org/0000000073572182 [example of a persistent International Standard Name Identifier for a *person*] |
| | Local identifiers |
| | BUD-01-F002 [example of a classification number from a corporate file plan] |
| | NAS1/A/1.1 [example of a local *identifier* for a *record*] |
| | F 1204 [example of a local *identifier* for a *record set* assigned by a repository] |
| | Shelfmark |
| | B-000091 [example of a unique identifier for an *instantiation* assigned by a repository] |

| ID | **RiC-A23** |
|---|---|
| **Name** | **Instantiation Extent** |
| **Definition** | Countable characteristics of an *instantiation* expressed as a quantity. |
| **Domain** | Instantiation |
| **Specifications** | |
| **Extensibility** | The attribute may be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | *Instantiation extent* should not be confused with *record resource extent* or *carrier extent*. For a given *record resource*, the *instantiation extent* may vary, based on format, density of information on the carrier, etc. For example, a CD with a storage capacity of 700 MB (*carrier extent*) might hold a *record* of 1500 words (*record resource extent*) represented in two versions, one a Word document with an *instantiation extent* of 3 KB and the other a PDF file with an *instantiation extent* of 5 KB. |
| **Examples** | The register has 345 written folios [en] |
| | Size of PDF file: 1.5 MB [en] |

| ID | **RiC-A24** |
|---|---|
| **Name** | **Integrity Note** |
| **Definition** | Information about the known intellectual completeness of a *record resource*. |
| **Domain** | Record Resource |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable on *record set* when describing some members of the *record set.* |
| **Value schema** | Model-based text; free text |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*. |

| | The information about integrity may be generated manually or automatically. |
|---|---|
| | Not to be confused with the physical completeness of the *instantiation*, which is covered by the *physical characteristics note* attribute. |
| | The integrity of a *record resource* and the *physical characteristics note* of an *instantiation* may be complementary. |
| | This attribute also covers any additions to or removal of original information. |
| **Examples** | For *record set*: series of letters, one is missing so the integrity is compromised. [en] |
| | A web page (HTML, 15 images, 2 CSS, 1 javascript) , with 5 images missing. [en] |
| | Part of the text is missing [because a corner on the *instantiation* was cut out, which is a physical characteristic]. See also the examples on A31 *Physical Characteristics*. [en] |
| | Line three of a hand-written letter was cut out and a replacement text was inserted by an unknown person. [en] |


| ID | RiC-A25 |
|---|---|
| **Name** | **Language** |
| **Definition** | A spoken or written human language represented in a *record resource* or used by an *agent*. |
| **Domain** | Record Resource; Agent |
| **Specifications** | Information includes the *language*, the script of the *language*, and the script transliteration scheme when appropriate. |
| | More than one *language* may be represented in a *record*. |
| | Does not refer to language/script of the description itself. |
| | An *agent* may use one or more *languages*. |
| **Extensibility** | May be extended with any number of specific attributes, in particular to accommodate separate though interrelated codes for *language* and script. |
| **Repeatability** | Repeatable |
| **Value schema** | Controlled value |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*. |
| | Controlled Code or Term (ISO 639 Codes for the representation of names of languages; ISO 15924 Codes for the representation of names and scripts; ISO 233-2:1993 Information and documentation - Translation of Arabic characters into Latin characters - Part 2: Arabic language - Simplified transliteration; ISO 843:1997 Information and documentation - Conversion of Greek characters into Latin characters). |
| **Examples** | <u>Languages</u> |
| | Arabic (ara) [en] |
| | Chinese (chi) [en] |
| | English (eng) [en] |

French (fre) [en]

Spanish (spa) [en]

<u>Scripts</u>

Arabic (Arab) [en]

Han (Hans) [en]

Latin (Latn) [en]

| ID | RiC-A26 |
|---|---|
| **Name** | **Legal Status** |
| **Definition** | A status defined by law. |
| **Domain** | Record Resource; Agent |
| **Specifications** | |
| **Extensibility** | Not extensible |
| **Repeatability** | Not repeatable on *record* or *record part*, *agent*, or on *record set* when describing all members of the *record set.*<br><br>Repeatable on *record set* when describing some members of the *record set.* |
| **Value schema** | Controlled value |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>For *record* and *record part*, the attribute provides information about legal context. |
| **Examples** | association [en] [*corporate body*]<br><br>non-profit organization [en] [*corporate body*]<br><br>public limited company [en] [*corporate body*]<br><br>public records [en] [*record resource*]<br><br>private papers [en] [*record resource*] |

| ID | RiC-A27 |
|---|---|
| **Name** | **Location** |
| **Definition** | A delimitation of the physical territory of a *place*. |
| **Domain** | Place |
| **Specifications** | Used to describe basic human-readable text such as an address, a cadastral reference, or less precise information found in a *record*.<br><br>Use the *coordinates* attribute (RiC-A11) to capture the geographical *coordinates* of the *place*. Use RiC-CM spatial relations (particularly RiC-R075i '*has location*') to capture a relation between two *places*. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Free text |
| **Scope** | The level of precision may vary according to the context. |
| **Examples** | 25 rue Saint-Denis à Paris [fr] [street in Paris]<br><br>Montreal [city in Canada] |

| ID | RiC-A44 |
| --- | --- |
| Name | **Mandate Type** |
| Definition | Categorization of a *mandate*. |
| Domain | Mandate |
| Specifications | |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | |
| Examples | Administrative arrangements order [en]<br><br>Charter [en]<br><br>Treaty [en]<br><br>Contract [en]<br><br>Letter of appointment [en]<br><br>lettre de mission [fr]<br><br>Papal mandate [en]<br><br>Episcopal mandate [en]<br><br>Court mandate [en]<br><br>Election mandate [en]<br><br>Popular mandate [en]<br><br>Federal mandate [en]<br><br>décret de création et d'organisation des services d'un ministère [fr] |

| ID | RiC-A28 |
| --- | --- |
| Name | **Name** |
| Definition | A label, title, or term designating an entity in order to make it distinguishable from other similar entities. |
| Domain | Thing |
| Specifications | Provides brief information about the content or other individual characteristics of the entity being described, necessary to distinguish it from other perhaps similar entities. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Repeatable |
| Value schema | Model-based text; free text |
| Scope | |
| Examples | The Letter of Neacsu from Campulung to the Mayor of Brasov [en] [*record*]<br><br>Digital copy of the Pomarius archival inventory from 1575 [en] [*instantiation*]<br><br>D-Day [en] [*date* or *event*]<br><br>Halloween 2016 [*date*]<br><br>Fundraising, University of Glasgow [en] [*activity*]<br><br>Providing hearing services [en] [*activity*]<br><br>Nelson Mandela [*person*] |

| | Papers of the Earls of Liverpool [en] [*record set*] |
| :--- | :--- |
| | Paris [*place*] |
| | Prime Minister [en] [*position*] |
| | Sketch Map of the Qatar Peninsula [en] [*record*] |


| ID | RiC-A29 |
| :--- | :--- |
| **Name** | **Normalized Date** |
| **Definition** | Machine readable representation of a *date* based on a public technical standard. |
| **Domain** | Date |
| **Specifications** | Used to represent the *expressed date* in a standardized format that can be processed programmatically.<br><br>The main standard used today is ISO 8601, which is based on the Gregorian calendar. See also the Extended Date Time Format (EDTF), which is an extension of ISO 8601, and enables, among other features, to represent a date set, and to indicate the date is approximate. |
| **Extensibility** | May be extended with any number of specific attributes, if for example, within the same system, one wishes to store ISO 8601 and EDTF dates, in order to distinguish them. |
| **Repeatability** | Repeatable |
| **Value schema** | Rule-based value |
| **Scope** | Digital standard *dates* will typically be based on ISO 8601, or Extended Date-Time Format (EDTF). |
| **Examples** | 2012-02-14/2015-03-08 [an ISO 8601 form of a date range]<br>2012/2015-03 [an ISO 8601 form of a date range]<br>1948-03 [an ISO 8601 form of a single date]<br>1948-03-08 [an ISO 8601 form of a single date]<br>1948-03~ [a single date in ETDF, meaning March 1948 approximately]<br>1948/.. [an open date range in EDTF, starting in 1948]<br>1948/ [a date range in EDTF, starting in 1948, end unknown]<br>[1550,1551,1553,1555] [a date set in EDTF, meaning one of the years 1550, 1151, 1553, 1555]<br>{1550,1551,1553,1555} [a date set in EDTF, meaning all of the years 1550, 1151, 1553, 1555]<br>{1805,1815..1820} [a date set in EDTF, meaning all of the years 1805, 1815, 1816, 1817, 1818, 1819, 1820] |


| ID | RiC-A30 |
| :--- | :--- |
| **Name** | **Occupation Type** |
| **Definition** | Categorization of a profession, trade, or craft pursued by a *person* in fulfilment of an *activity*. |
| **Domain** | Person |
| **Specifications** | A demographic group. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable. A *person* can have more than one occupation. |

| Value schema | Controlled value |
|---|---|
| Scope | The pursuit of an occupation involves the performance of an *activity*. Successful performance of the *activity* is based on the ability to perform related competencies successfully. Such competencies may be acquired through education or experience, or a combination of both. The authority of the *person* to pursue the occupation may be derived tacitly or explicitly from an external *agent*, based on a demonstrated mastery of the competency.<br><br>An occupation may be pursued independently by a *person* or a *group*, thereby contributing to the fulfilment of the function (a*ctivity*) of the *group*.<br><br>Should not be confused with *position* where, for example, an *agent* with the occupation type "lawyer" holds the *position* of "legal counsel" in an agency.<br><br>Related to but should not be confused with the domain or field of activity, such as an archivist who works in the domain of archival science. |
| Examples | health professional [en]<br><br>legal professional [en]<br><br>service and sales worker [en] |


| ID | RiC-A31 |
|---|---|
| Name | **Physical Characteristics Note** |
| Definition | Information about the physical features, completeness, or conservation status of an *instantiation*. |
| Domain | Instantiation |
| Specifications | Includes information about the physical nature and condition such as conservation status or the deterioration of an *instantiation* (for example its carrier) affecting the ability to recover information. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Repeatable |
| Value schema | Model-based text; free text |
| Scope | Not to be confused with the intellectual completeness of a *record resource* and its sub-entities, which is covered by the *Integrity* attribute.<br><br>May include digital file fixity. |
| Examples | carrier heavily foxed [en]<br><br>some loss of text due to rodent damage [en]<br><br>The charter is missing the seal. [en]<br><br>Letter physical characteristics: corner without text missing – the carrier is damaged, but no information of the content is missing [en]<br><br>British Library binding [en]<br><br>Watermarked [en]<br><br>A web page (HTML, 15 images, 2 CSS, 1 JavaScript), with 1 CSS missing. [en]<br><br>For carrier: hard drives on which the author wrote physically (using a pen). https://bge-geneve.ch/iconographie/personne/jean-revillard [en]<br><br>Digital file format: JPEG-2000. [en] |

| ID | RiC-A32 |
|---|---|
| **Name** | **Place Type** |
| **Definition** | Categorization of a *place*. |
| **Domain** | Place |
| **Specifications** | An indication of the category of a *place*. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Controlled value |
| **Scope** | May be used to distinguish natural and human constructs. |
| **Examples** | settlement [en]<br><br>administrative division [en]<br><br>country [en]<br><br>mountain [en]<br><br>river [en] |

| ID | RiC-A33 |
|---|---|
| **Name** | **Production Technique** |
| **Definition** | The method used in the representation of information on an *instantiation*. |
| **Domain** | Instantiation |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Free text; controlled value |
| **Scope** | |
| **Examples** | handwriting [en]<br><br>engraving [en]<br><br>magnetic recording [en]<br><br>optical recording [en] |

| ID | RiC-A34 |
|---|---|
| **Name** | **Quality of Representation Note** |
| **Definition** | The extent to which the intellectual content is recoverable from an *instantiation*. |
| **Domain** | Instantiation |
| **Specifications** | Characteristics of an *instantiation* that affect the ability to recover the intellectual content. Such characteristics may be related to the methods used in creating the *instantiation* or introduced subsequent to the creation through accident. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Model-based text; free text |
| **Scope** | *Quality of representation note* is a specialization of *physical characteristics note.*<br><br>*Quality of representation note* should be used in conjunction with *physical characteristics note* when the physical characteristics impact the ability to recover the intellectual content. |

| Examples | sampling method of the audio recording decreases the quality of the recoverable sound. [en] |
| --- | --- |
| | quality of microform copies decreases the legibility of the text. [en] |
| | some loss of information due to poor quality of image capture [en] |
| | black and white digitization led to loss of some information from the colour original [en] |
| | Resolution of scans (300dpi vs 600dpi). [en] |
| | A web page (HTML, 15 images, 2 CSS, 1 JavaScript), printed as PDF in Letter and A4 sizes, respectively. [en] |

| ID | RiC-A35 |
| --- | --- |
| Name | **Record Resource Extent** |
| Definition | The quantity of information content, as human experienced, contained in a *record resource*. |
| Domain | Record Resource |
| Specifications | The method and precision of expressing the quantity of information represented in a *record resource* will vary according to the kind of *record resource* being described, processing economy constraints, etc.<br><br>For *record sets*, quantity may be expressed as number of *records*, or, for analogue *records* in particular, by the physical storage dimensions of the members of the *record set*.<br><br>For individual *records* or *record parts*, quantity may be expressed in more precise terms. |
| Extensibility | May be extended with any number of specific attributes in order to enable use of controlled values or rule-based values. |
| Repeatability | Repeatable |
| Value schema | Model-based text; free text |
| Scope | *Record resource extent* should not be confused with *instantiation extent* or *carrier extent*. The number, size or duration of the information content unit(s) remains the same even if the information is instantiated in various carriers. For example, a CD with a storage capacity of 700 MB (*carrier extent*) might hold a *record* of 1,500 words (*record resource extent*) represented in two versions, one a Word document with an *instantiation extent* of 3 KB and the other a PDF file with an *instantiation extent* of 5 KB. |
| Examples | 3 minutes and 24 seconds [en] |
| | 6 maps [en] |
| | 6 photographs [en] |
| | 2 films [en] |
| | 1,500 words [en] |
| | 2.065.735 characters [en] |

| ID | RiC-A36 |
| --- | --- |
| Name | **Record Set Type** |
| Definition | A broad categorization of the type of *record set*. |

| Domain | Record Set |
|---|---|
| Specifications | For legacy purposes, this attribute is the equivalent of the Level of Description element in ISAD(G) (3.1.4) except for the value "item," which equates to the *record* or *record part* entity in RiC-CM.<br><br>May be extended to categorize types of *record set* that have not traditionally been considered archival. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | |
| Examples | fonds [en]<br>series [en]<br>file [en]<br>collection [en]<br>accrual [en]<br>accession [en] |

| ID | RiC-A37 |
|---|---|
| Name | Representation Type |
| Definition | Method of recording the content type of an *instantiation* |
| Domain | Instantiation |
| Specifications | Can be unmediated (which allows humans to receive the message communicated without an intermediation of a device) and mediated (which needs a device to decode the message). A lot of contemporary mediated types are digital.<br><br>Each *representation type* may present specific features: bit rate for audio, resolution for digital images, encoding format for video etc. Depending on the type, specific attributes may be added to describe their characteristics. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | Should not be confused with the *carrier type* of the *instantiation* or the *content type* of a *record resource* as the form of the communication can be independent of the representation of the carrier, for example a map (*content type* "cartographic image") may be represented as a sketch (*representation type* "visual") recorded as a physical document (*carrier type* "paper"). |
| Examples | analogue/digital textual [en]<br>analogue/digital visual [en]<br>analogue/digital video [en]<br>analogue/digital audio [en] |

| ID | RiC-A45 |
|---|---|
| Name | Rule Type |
| Definition | Categorization of a *rule*. |
| Domain | Rule |

| Specifications | |
|---|---|
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Controlled value |
| Scope | |
| Examples | Legislation [en] |
| | Regulation [en] |
| | By-law [en] |
| | Constitution [en] |
| | International standard [en] |
| | Jurisdictional standard [en] |
| | Industry code of practice [en] |
| | Cultural norm [en] |
| | Directive [en] |
| | Community expectation [en] |
| | Social convention [en] |
| | Ordinance [en] |
| | Policy [en] |
| | Professional standard [en] |
| | Règle de commnunication des documents [fr] |
| | Tableau de gestion de documents d'activité [fr] |

| ID | RiC-A38 |
|---|---|
| Name | Scope and content |
| Definition | Summary of the scope (such as time periods, geography) and content (such as subject matter, administrative processes) of a *record resource*. |
| Domain | Record Resource |
| Specifications | Provides a more complete summary of the informational content of the *record resource* highlighting the information conveyed in the *record resource*, why it was created, received, and/or maintained, and the *agents* connected to it.<br><br>It may include description of relations with *agents*, *activities*, *dates* and *places*, or with other *record resources*. |
| Extensibility | May be extended with any number of specific attributes. |
| Repeatability | Not repeatable |
| Value schema | Model-based text; free text |
| Scope | *Scope and content* is a specialization of *general description*.<br><br>For a *record set*, may be used to summarize the *scope and content* of the *record set* itself, or additionally to summarize the *scope and content* of some or all members of the *record set*. It is not to be confused with the *history* attribute which focuses on the origination and subsequent changes to a *record resource*. |
| Examples | Includes a detailed list of the lands and villages given by the King to the Abbey. [en]<br>Among the witnesses, the Duke of Normandy. [en] |

| | |
|---|---|
| | The author explains why he does not agree with the decision made and adds that it cannot be applied. [en] |
| | Letter from Vlad the Impaler (Dracula) to the Council of Kronstadt asking them to send military support against the Ottomans, within the framework of their alliance treaty. [en] |
| | Se hace referencia a construcción del Gran Hotel, iniciada en 1899 bajo el nombre de Casa Celestino. Tras su interrupción en 1902, continuó la obra ya con su nombre actual. [es] |

| ID | RiC-A39 |
|---|---|
| **Name** | **State** |
| **Definition** | Description of the production or reproduction status of a *record resource*. |
| **Domain** | Record Resource |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable on *record* or *record part*, or on *record set* when describing all members of the *record set.*<br><br>Repeatable on *record set* when describing some members of the *record set.* |
| **Value schema** | Controlled value |
| **Scope** | May be used in a *record set* description when the attribute value is shared by some or all members of the *record set*.<br><br>Can refer both to a *record's* stage of creation (for example "draft") and its form of transmission when the *record* was received (for example "copy"). |
| **Examples** | draft [en]<br>final draft [en]<br>original [en]<br>simple copy [en]<br>certified copy [en] |

| ID | RiC-A40 |
|---|---|
| **Name** | **Structure** |
| **Definition** | Information about the intellectual arrangement and composition of a *record resource* or the physical arrangement and composition of an *instantiation*. |
| **Domain** | Record Resource; Instantiation |
| **Specifications** | For *record* and *record part,* encompasses information about the intellectual composition of the *record*, the presence of *record parts* and their functions.<br><br>For *record set*, encompasses information about the methodology or criteria used for arranging member *record sets* or *records* within a containing *record set*.<br><br>For *instantiation*, may comprise information about the composition of the physical elements of the *instantiation*. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text |

| Scope | For a *record set*, may be used to summarize the *structure* of the *record set* itself, or additionally to summarize the *structure* of some or all members of the *record set*. |
|---|---|
| | Should not be confused with the *classification* attribute, which provides information about the category which the *record set* belongs to within a classification scheme. |
| Examples | The record has two appendices, comprising a full account of the income from car taxes and real estate taxes [en] [*record*] |
| | The series have the files arranged according to the alphabetical order of the places concerned [en] [*record set*] |
| | Inside each file, the records are arranged chronologically [en] [*record set*] |
| | The database has three related tables: names, addresses, and passport numbers [en] [*record*] |

<br>

| ID | **RiC-A41** |
|---|---|
| **Name** | **Technical Characteristics** |
| **Definition** | Describes any relevant physical or software feature of any device involved in the creation or management of a *record resource*. |
| **Domain** | Mechanism |
| **Specifications** | |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Free text |
| **Scope** | Does not include references to the workflow that the *mechanism* is involved in which is described under the *activity* entity. |
| | It emphasizes those features that provide a better understanding of the impact of the *mechanism* on the *records*. |
| **Examples** | Hubble Space Telescope had until 2002 a flawed mirror that introduced severe spherical aberration for the images. [en] |

# 4 Entities with Attributes

In this section the attributes for each of the entities are set out. Definitions of each attribute are found in section 3 above.

The attributes for each entity are presented in the order suggested by the entity hierarchy (see the diagram in section 2.1 above). It should be noted that the attributes of each superior entity are shared with each sub-entity. This being the case all of the attributes of *thing* are shared by all of the entities as they are all below it in the hierarchy, and all of the attributes of *record resource* are shared by the *record set*, *record*, and *record part* entities, and so on for each entity.

At each level of the hierarchy, the attributes introduced at that level are listed in alphabetical order. Colours, as given in the entity hierarchy diagram in section 2.1 above, reflect the attributes shared with each superior entity in the hierarchy. Attributes that are specific to an entity have no color-coding.

The relative importance of each attribute in description is not represented in either the grouping or order within groups.

## 4.1 Attributes of Thing

Attributes shared by all entities.

| RiC-E01 | Thing |
|---|---|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |

## 4.2 Attributes of Record Resource

Attributes shared by *record set*, *record* and *record part*.

| RiC-E02 | Record Resource |
|---|---|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A03 | Authenticity Note |
| RiC-A07 | Classification |

| RiC-A08 | Conditions of Access |
|---|---|
| RiC-A09 | Conditions of Use |
| RiC-A10 | Content Type |
| RiC-A21 | History |
| RiC-A24 | Integrity Note |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A35 | Record Resource Extent |
| RiC-A38 | Scope and content |
| RiC-A39 | State |
| RiC-A40 | Structure |

## 4.2.1   Attributes of Record Set

Attributes that may be used in the description of all or some members of a *record set* rather than the *record set* itself are indicated with an asterisk *, while those that may be used to describe both the *record set* and all or some of its members are indicated by a plus sign +.

| RiC-E03 | Record Set |
|---|---|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A03 | Authenticity Note* |
| RiC-A07 | Classification* |
| RiC-A08 | Conditions of Access* |
| RiC-A09 | Conditions of Use* |
| RiC-A10 | Content Type* |
| RiC-A21 | History+ |
| RiC-A24 | Integrity Note* |
| RiC-A25 | Language* |
| RiC-A26 | Legal Status* |
| RiC-A35 | Record Resource Extent |
| RiC-A38 | Scope and content+ |
| RiC-A39 | State* |
| RiC-A40 | Structure+ |
| RiC-A01 | Accruals |

| RiC-A17 | Documentary Form Type* |
|---------|------------------------|
| RiC-A36 | Record Set Type |

## 4.2.2    Attributes of Record

| RiC-E04 | Record |
|---------|--------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A03 | Authenticity Note |
| RiC-A07 | Classification |
| RiC-A08 | Conditions of Access |
| RiC-A09 | Conditions of Use |
| RiC-A10 | Content Type |
| RiC-A21 | History |
| RiC-A24 | Integrity Note |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A35 | Record Resource Extent |
| RiC-A38 | Scope and content |
| RiC-A39 | State |
| RiC-A40 | Structure |
| RiC-A17 | Documentary Form Type |

## 4.2.3    Attributes of Record Part

| RiC-E05 | Record Part |
|---------|-------------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A03 | Authenticity Note |
| RiC-A07 | Classification |
| RiC-A08 | Conditions of Access |
| RiC-A09 | Conditions of Use |
| RiC-A10 | Content Type |

| RiC-A21 | History |
|---------|---------|
| RiC-A24 | Integrity Note |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A35 | Record Resource Extent |
| RiC-A38 | Scope and content |
| RiC-A39 | State |
| RiC-A40 | Structure |
| RiC-A17 | Documentary Form Type |

## 4.3    Attributes of Instantiation

| RiC-E06 | Instantiation |
|---------|---------------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A03 | Authenticity Note |
| RiC-A04 | Carrier Extent |
| RiC-A05 | Carrier Type |
| RiC-A08 | Conditions of Access |
| RiC-A09 | Conditions of Use |
| RiC-A21 | History |
| RiC-A23 | Instantiation Extent |
| RiC-A31 | Physical Characteristics Note |
| RiC-A33 | Production Technique |
| RiC-A34 | Quality of Representation Note |
| RiC-A37 | Representation Type |
| RiC-A40 | Structure |

## 4.4    Attributes of Agent

Attributes shared by *person*, *group*, *position*, and *mechanism*.

| RiC-E07 | Agent |
|---------|-------|
| **Attribute ID** | **Attribute Name** |

| RiC-A43 | General Description |
|---------|---------------------|
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |

### 4.4.1   Attributes of Person

| RiC-E08 | Person |
|---------|--------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A15 | Demographic Group |
| RiC-A30 | Occupation Type |

### 4.4.2   Attributes of Group

| RiC-E09 | Group |
|---------|-------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A15 | Demographic Group |

#### 4.4.2.1   Attributes of Family

| RiC-E10 | Family |
|---------|--------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A15 | Demographic Group |

| RiC-A20 | Family Type |
|---------|-------------|

### 4.4.2.2    Attributes of Corporate Body

| RiC-E11 | Corporate Body |
|---------|----------------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A15 | Demographic Group |
| RiC-A12 | Corporate Body Type |

### 4.4.3    Attributes of Position

| RiC-E12 | Position |
|---------|----------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |

### 4.4.4    Attributes of Mechanism

| RiC-E13 | Mechanism |
|---------|-----------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A25 | Language |
| RiC-A26 | Legal Status |
| RiC-A41 | Technical Characteristics |

## 4.5    Attributes of Event

Attributes shared by *activity*.

| RiC-E14 | Event |
|---------|-------|

| Attribute ID | Attribute Name |
|---|---|
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A18 | Event Type |
| RiC-A21 | History |

### 4.5.1   Attributes of Activity

| RiC-E15 | Activity |
|---|---|
| Attribute ID | Attribute Name |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A18 | Event Type |
| RiC-A21 | History |
| RiC-A02 | Activity Type |

## 4.6   Attributes of Rule

Attributes shared by *mandate*.

| RiC-E16 | Rule |
|---|---|
| Attribute ID | Attribute Name |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A45 | Rule Type |

### 4.6.1   Attributes of Mandate

| RiC-E17 | Mandate |
|---|---|
| Attribute ID | Attribute Name |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A21 | History |
| RiC-A45 | Rule Type |
| RiC-A44 | Mandate Type |

## 4.7   Attributes of Date

| RiC-E18 | Date |
|---------|------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A13 | Date Qualifier |
| RiC-A42 | Date Type |
| RiC-A19 | Expressed Date |
| RiC-A29 | Normalized Date |

## 4.8   Attributes of Place

| RiC-E22 | Place |
|---------|-------|
| **Attribute ID** | **Attribute Name** |
| RiC-A43 | General Description |
| RiC-A22 | Identifier |
| RiC-A28 | Name |
| RiC-A11 | Coordinates |
| RiC-A21 | History |
| RiC-A27 | Location |
| RiC-A32 | Place Type |

# 5  Relations

## 5.1  Introduction

In order to understand and describe *record resources*, it is essential to document the context in which those *record resources* were created, accumulated, and managed through time and space. The role of relations in RiC-CM is to describe the connections between entities as they contribute to the context of record making and keeping and, as a result, express significant characteristics of the history and management of archival records. Relations in RiC-CM are focused on documenting connections that have an impact on the world from an archival point of view and are not meant to be exhaustive. Relations defined in this model should provide a basic foundation for archival description and there are likely to be instances where more specific vocabularies could build on this foundation to satisfy the needs of specific implementations.

RiC-CM relations diverge conceptually from ISAD(G) as formalized in XML-based standards like EAD that rely on structural hierarchy to define connections between, for example, items to files to series to fonds. Instead, RiC-CM relations are based on a graph model, similar to the Resource Description Framework (RDF), which allows for simpler and more flexible connections. As an example, a *record* can be part of several different *record sets*, both as part of its archival fonds and also in a temporary *record set* curated by a researcher or as part of a physical or virtual exhibition.

By making connections between entities in this way, it will be possible to infer more complex information about record context that might not be explicitly recorded as part of a background note or provenance statement. Some brief examples of the type of complex scenarios that may now be described are:

- Two *agents* perform an *activity* and in the course of that *activity* send *records* to each other, which they then keep as evidence of that *activity*.
- An *agent* occupies a *position* held at an earlier *date* by another *agent* for the purpose of performing an *activity*. The *records* held by the latter *agent* include some *record sets* created by the former *agent*.
- A *record* is a copy of another *record* and conveys the same content. However, the message has a different "meaning" in its new context where it is linked with other materials that modify how the source is understood.

In many cases, simply connecting two entities does not provide sufficient information. RiC-CM also defines a set of attributes specific to relations that can be used to add a date range, cite relevant sources, or add a location where a connection might have taken place. A complete list of attributes can be found in 5.5 below.

Relations in RiC-CM are organized into categories based on the type of relation (see 5.2 below)and, like terms in many controlled vocabularies, range from broader to narrower. In

addition to a detailed description of each relation (see 5.4 below) and a full list of relations (see 5.6 below), this section also provides a hierarchical chart of relations, showing how they fit into a broader/narrower scheme (see 5.3 below).

## 5.2 Types of Relations

All relations fit into one or more of the following thirteen conceptual categories. Understanding a relation's type can help clarify its role within a descriptive system or practice.

Whole-part relations
The relation that holds between a whole and its parts, for example the relation between a *record* and its constituent *record part(s)*.

Sequential relations
Any relation that describes a logical sequence between two entities, for example the relation between an *agent* and its antecedent *agent*.

Subject relations
Any relation that holds between a *record resource* and a subject or topic, for example the relation between a *record resource* and the main subject(s) which that *record resource* describes or is about.

Record Resource to Record Resource relations
Any relation that holds between a *record resource* and another *record resource*, for example the relation between a *record resource* and a draft or copy of that *record resource*.

Record Resource to Instantiation relations
Any relation that holds between a *record resource* and an *instantiation* of that *record resource*, for example the relation between a *record resource* and a digitized version of that *record resource*.

Provenance relations
Any relation that describes the provenance or origin of a *record resource* or *instantiation*, for example the relation between a *record resource* and the *agent* which created it or the *activity* from which it resulted.

Instantiation to Instantiation relations
Any relation that holds between an *instantiation* and another *instantiation*, for example the relation between a digital *instantiation* and a migrated version of that *instantiation*.

Management relations
Any relation that describes the authority of an *agent* over another entity, for example the relation between a *person* and their subordinates in an organization.

<u>Agent to Agent relations</u>
Any relation that holds between an *agent* and another *agent*.

<u>Event relations</u>
Any relation that holds between an entity and an *event*, for example the relation between a *record resource* and an *event* which resulted in the creation or modification of that *record resource*.

<u>Rule relations</u>
Any relation that holds between an entity and a *rule*, for example the relation between an *agent* and the *mandate* authorizing the existence and/or actions of that *agent*.

<u>Date relations</u>
Any relation that holds between an entity and a *date*, for example the relation between a *record resource* and the *date(s)* at which it was created or modified.

<u>Spatial relations</u>
Any relation that holds between an entity and a *place*, for example the relation between an *agent* and the *place(s)* in which that *agent* was located or had some jurisdiction.

## 5.3    Hierarchical Chart of Relations

Relations move from broad to narrow in a hierarchical fashion. The broadest, or most general relation, *is related to,* can connect any RiC-CM entity and makes no specific statement about how or why those entities are connected. As you move down the hierarchy, each relation becomes more specific.

The following chart demonstrates how relations are hierarchically arranged. The top level of the chart is occupied by *is related to*. The next level down lists the broadest term for each relation type and then works down through up to five levels of narrower relations.

The chart is also poly-hierarchical, which means that some relations may appear in multiple places, and levels, in the chart.

| Level One | Level Two | Level Three | Level Four | Level Five |
|---|---|---|---|---|
| RIC-R001: *Thing* **is related to** *Thing* | Type: <u>whole/part relations</u> | | | |
| | RiC-R002: *Thing* **has or had part** *Thing* | RiC-R003: *Record* or *Record Part* **has or had constituent** *Record* or *Record Part* (see also below) | | |

| | | | | |
|---|---|---|---|---|
| | | RiC-R004: *Instantiation* **has or had component** *Instantiation* (see also below)<br><br>RiC-R005: *Group* **has or had subdivision** *Group* (see also below)<br><br>RiC-R006: *Event* **has or had subevent** *Event* (see also below)<br><br>RiC-R007: *Place* **contains or contained** *Place* (see also below)<br><br>RiC-R024: *Record Set* **includes or included** *Record* or *Record Set* (see also below)<br><br>RiC-R085i: *Date* **has within** *Date* (see also below) | | |
| | Type: <u>sequential relations</u><br><br>RiC-R008: *Thing* **precedes or preceded** *Thing* | RiC-R009: *Thing* **precedes in time** *Thing* | RiC-R010: *Record* or *Record Part* **is original of** *Record* or *Record Part*<br><br>RiC-R011: *Record* **is draft of** *Record*<br><br>RiC-R012: *Record Resource* **has copy** *Record Resource* (see also below)<br><br>RiC-R013: *Record Resource* **has reply** *Record Resource* (see also below)<br><br>RiC-R014: *Instantiation* **has or had derived instantiation** *Instantiation* (see also below) | RiC-R015: *Instantiation* **migrated into** *Instantiation* |

| | | | | RiC-R017: *Person* **has descendant** *Person* (and the sixth level RiC-R018: *Person* **has child** *Person*) (see also below) |
|---|---|---|---|---|
| | | | RiC-R016: *Agent* **has successor** *Agent* (see also below) | |
| | Type: <u>subject relations</u><br><br>RiC-R019: *Record Resource* **has or had subject** *Thing* | RiC-R020: *Record Resource* **has or had main subject** *Thing*<br><br>RiC-R021: *Record Resource* **describes or described** *Thing* | | |
| | Type: <u>Record Resource to Record Resource relations</u><br>RiC-R022: *Record Resource* **is record resource associated with** *record resource Record Resource* | RiC-R023: *Record Resource* **has genetic link to record resource** *Record Resource*<br><br><br><br><br>RiC-R013: *Record Resource* **has reply** *Record Resource* (see also above)<br><br>RiC-R003: *Record* or *Record Part* **has or had constituent** <u>Record</u> **or** *Record Part* (see also above)<br><br>RiC-R024: *Record Set* **includes or included** *Record* or *Record Set* (see also above) | RiC-R010: *Record* or R*ecord Part* **is original of** *Record* or *Record Part* (see also above)<br><br>RiC-R011: *Record* **is draft of** *Record* (see also above)<br><br>RiC-R012: *Record Resource* **has copy** *Record Resource* (see also above) | |

| | | | |
|---|---|---|---|
| | Type: <u>Record Resource to Instantiation relations</u><br><br>RiC-R025: *Record Resource **has or had instantiation** Instantiation* | | | |
| | Type: <u>provenance relations</u><br><br>RiC-R026: *Record Resource or Instantiation **has provenance** Agent* | RiC-R027: *Record Resource or Instantiation **has creator** Agent* | | |
| | | | RiC-R079: *Record **has author** Person, Group or Position* | |
| | | RiC-R028: *Record Resource or Instantiation **has accumulator** Agent* | RiC-R029: *Record Resource or Instantiation **has receiver** Agent*<br><br>RiC-R030: *Record Resource or Instantiation **has collector** Agent* | |
| | | RiC-R031: *Record Resource or Instantiation **has sender** Agent*<br><br>RiC-R032: *Record Resource or Instantiation **has addressee** Agent* | | |
| | RiC-R033: *Record Resource or Instantiation **documents** Activity* (see also below) | | | |
| | Type: <u>Instantiation to Instantiation relations</u><br><br>RiC-R034: *Instantiation* | | | |

| | | | | |
|---|---|---|---|---|
| | *is instantiation associated with instantiation Instantiation* | RiC-R035: *Instantiation **is functionally equivalent to** Instantiation*<br><br>RiC-R014: *Instantiation **has or had derived instantiation** Instantiation* (see also above)<br><br>RiC-R004: *Instantiation **has or had component** Instantiation* (see also above) | RiC-R015: *Instantiation **migrated into** Instantiation* | |
| | Type: <u>management relations</u><br><br>RiC-R036: *Agent **has or had authority over** Thing* | RiC-R037: *Person* or *Group* or *Position **is or was owner of** Thing*<br><br>RiC-R038: *Agent **is or was manager of** Record Resource* or *Instantiation*<br><br>RiC-R040: *Person* or *Group* or *Position **is or was holder of intellectual property rights of** Record Resource* or *Instantiation*<br><br>RiC-R041: *Agent **is or was controller of** Agent* (see also below) | RiC-R039: *Agent **is or was holder of** Record Resource* or *Instantiation*<br><br>RiC-R042: *Person **is or was leader of** Group* | |
| | Type: <u>Agent to Agent relations</u><br><br>RiC-R044: *Agent **is agent associated with agent** Agent* | RiC-R045: *Agent **has or had subordinate** Agent* | RiC-R041: *Agent **is or was controller of** Agent* (see also above) | RiC-R042: *Person **is or was leader of** Group* |

| | | | | |
|---|---|---|---|---|
| | | | RiC-R005: *Group **has or had subdivision** Group* (see also above) | |
| | | RiC-R046: *Agent **has or had work relation with** Agent* | | |
| | | RiC-R016: *Agent **has successor** Agent* (see also above) | RiC-R017: *Person **has descendant** Person* (see also below) | RiC-R018: *Person **has child** Person* |
| | | RiC-R047: *Person **has family association with** Person* | RiC-R017: *Person **has descendant** Person* (see also above) | RiC-R018: *Person **has child** Person* |
| | | | RiC-R048: *Person **has sibling** Person* | |
| | | RiC-R050: *Person **knows of** Person* | RiC-R049: *Person **has or had spouse** Person* | |
| | | RiC-R051: *Person **knows** Person* | | |
| | | | RiC-R052: *Person **has or had correspondent** Person* | |
| | | | RiC-R053: *Person **has or had teacher** Person* | |
| | | RiC-R054: *Person **occupies or occupied** Position* | | |
| | | RiC-R055: *Group **has or had member** Person* | | |
| | | RiC-R056: *Position **exists or existed in** Group* | | |
| | Type: <u>event relations</u><br><br>RiC-R057: *Event **is event associated with** Thing* | RiC-R058: *Event **has or had participant** Thing* | RiC-R059: *Event **affects or affected** Thing* | |

| | | | RiC-R060: *Activity **is or was performed by** Agent* | |
|---|---|---|---|---|
| | | RiC-R061: *Event **results or resulted in** Thing* | RiC-R033i: *Activity **documented by** Record Resource* or *Instantiation* (see also above) | |
| | | RiC-R006: *Event **has or had subevent** Event* (see also above) | | |
| | | RiC-R084i: *Event **occurred at date** Date* (see also below) | | |
| | Type: <u>rule relations</u><br><br>RiC-R062: *Rule **is rule associated with** Thing* | RiC-R063: *Rule **regulates or regulated** Thing*<br><br>RiC-R064: *Rule **is or was expressed by** Record Resource*<br><br>RiC-R065: *Rule **issued by** Agent*<br><br>RiC-R066: *Rule **is or was enforced by** Agent*<br><br>RiC-R067: *Mandate **authorizes** Agent* | | |
| | Type: <u>date relations</u><br><br>RiC-R068: *Date **is date associated with** Thing* | RiC-R069: *Date **is beginning date of** Thing* | RiC-R070: *Date **is birth date of** Person*<br><br>RiC-R080: *Date **is creation date of** Record Resource* or *Instantiation*<br><br>RiC-R081: Date ***is or was creation date of all members of*** Record Set<br><br>*RiC-R082: Date **is or was creation date of*** | *RiC-R083 Date **is or was creation date of most*** |

| | | | some members of Record Set | members of Record Set |
|---|---|---|---|---|
| | | RiC-R071: Date **is end date of** Thing | RiC-R072: Date **is death date of** Person | |
| | | RiC-R073: Date **is modification date** of Thing | | |
| | | RiC-R084: Date **is date of occurrence of** Event (see also above) | | |
| | | RiC-R085: Date **is within** Date (see also above) | | |
| | | RiC-R086: Date **intersects** Date | | |
| | Type: <u>spatial relations</u><br>RiC-R074: Place **is place associated with** Thing | RiC-R075: Place **is or was location of** Thing | | |
| | | RiC-R076: Place **is or was jurisdiction of** Agent | | |
| | | RiC-R007: Place **contains or contained** Place (see also above) | | |
| | | RiC-R077: Place **is or was adjacent to** Place | | |
| | | RiC-R078: Place **overlaps or overlapped** Place | | |

## 5.4 Description of Relations

| ID | **RiC-R001** | |
|---|---|---|
| Name | *is related to* | Inverse relation: *is related to* |
| Domain/Range | Thing | Thing |
| Cardinality | M to M | |
| Definition | The most generic relation, *is related to,* connects any RiC-CM entity (*thing*) to any other RiC-CM entity.<br><br>This relation is symmetric. | |
| Scope Notes | Can be used in order to record a current or past connection between any RiC entity. Should be used only if it is not possible to specify the nature of the relation more precisely. | |

| Examples | Princeton Ethiopic Manuscripts [*record set*] *is related to* Princeton University [*agent*] [en] |
|---|---|
| | Princeton Ethiopic Manuscripts [*record set*] *is related to* Miracles of Mary [*record*] [en] |
| **Broader relations** | None (top level relation) |
| **Narrower relations** | RiC-R002 *has or had part*<br>RiC-R008 *precedes or preceded*<br>RiC-R019 *has or had subject*<br>RiC-R022 *is record resource associated with record resource*<br>RiC-R025 *has or had instantiation*<br>RiC-R026 *has provenance*<br>RiC-R033 *documents*<br>RiC-R034 *is instantiation associated with instantiation*<br>RiC-R036 *has or had authority over*<br>RiC-R044 *is agent associated with agent*<br>RiC-R057 *is event associated with*<br>RiC-R062 *is rule associated with*<br>RiC-R068 *is date associated with*<br>RiC-R074 *is place associated with* |

| ID | **RiC-R002** | |
|---|---|---|
| **Name** | ***has or had part*** | Inverse relation: ***is or was part of*** |
| **Domain/Range** | Thing | Thing |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *thing* to a *thing* that is or was a portion or division of the whole *thing*. | |
| **Scope Notes** | Use to connect a *thing* to another *thing* that is or was a part of the whole *thing* only if it is not possible to use a narrower, more specific whole/part relation, for example *has or had constituent*.<br><br>The end of existence of a whole/part relation may affect the integrity or nature of the domain entity. | |
| **Examples** | Princeton Ethiopic Manuscripts [*record set*] *has or had part* Miracles of Mary [*record*] [en] | |
| **Relation types** | Whole/part relations | |
| **Broader relations** | RiC-R001 *is related to* | |
| **Narrower relations** | RiC-R003 *has or had constituent*<br>RiC-R004 *has or had component*<br>RiC-R005 *has or had subdivision*<br>RiC-R006 *has or had subevent*<br>RiC-R007 *contains or contained*<br>RiC-R024 *includes or included*<br>RiC-R085i *has within* (inverse of RiC-R085 *is within*) | |

| ID | **RiC-R003** | |
|---|---|---|
| **Name** | ***has or had constituent*** | inverse relation: ***is or was constituent of*** |
| **Domain/Range** | Record or Record Part | Record or Record Part |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *record or record part* to a *record or record part* that is or was a constituent of that *record* or *record part*. | |

| Scope Notes | |
|---|---|
| Examples | The Charter of the Massachusetts Agricultural College [*record*] *has or had constituent* signature of Governor John A. Andrew [*record part*] [en] |
| | El Sello de placa de la Reina Isabel la Católica [*record part*] *is or was constituent of* Testamento de la Reina Isabel la Católica (12-10-1504) [*record*] [es] |
| | Requerimento de privilégio industrial de máquina de colheita de cana e análogos [*record*] *has or had constituent* desenho técnico [*record part*] [pt] |
| | Desenho técnico [*record part*] *is or was constituent of* requerimento de privilégio industrial de máquina de colheita de cana e análogos [*record*] [pt] |
| | Third Miracle of Mary [*record*] *has or had constituent* The Bandit Recites the Virgin Marys Salam Song [*record part*] [en] |
| Relation types | Whole/part relations<br>Record resource to record resource relations |
| Broader relations | RiC-R002 *has or had part*<br>RiC-R022 is *record resource associated with record resource* |
| Narrower relations | None |

| ID | **RiC-R004** | |
|---|---|---|
| Name | ***has or had component*** | inverse relation: ***is or was component of*** |
| Domain/Range | Instantiation | Instantiation |
| Cardinality | M to M | |
| Definition | Connects an *instantiation* to one of its present or past component *instantiations*. | |
| Scope Notes | | |
| Examples | Collection C0776 [*instantiation* of Princeton Ethiopic Manuscripts] *has or had component* Princeton Ethiopic Manuscript no.8 [*instantiation* of Miracles of Mary record] [en]<br><br>PEM no.8 *has or had component* 4r-6v [en] | |
| Relation types | Whole/part relations<br>Instantiation to instantiation relations | |
| Broader relations | RiC-R002 *has or had part*<br>RiC-R034 *is instantiation associated with instantiation* | |
| Narrower relations | None | |

| ID | **RiC-R005** | |
|---|---|---|
| Name | ***has or had subdivision*** | inverse relation: ***is or was subdivision of*** |
| Domain/Range | Group | Group |
| Cardinality | 1 to M | |
| Definition | Connects a *group* to one of its present or past subdivisions. | |
| Scope Notes | | |
| Examples | Depuis Janvier 2010, le ministère français de la Culture *has or had subdivision* la Direction générale des Patrimoines. [fr]<br><br>O Departamento Federal de Segurança Pública *has or had subdivision* a Divisão de Polícia Marítima Aérea e de Fronteiras. [pt] | |

| | A Divisão de Polícia Marítima Aérea e de Fronteiras *is or was subdivision of* Departamento Federal de Segurança Pública. [pt] |
|---|---|
| **Relation types** | Whole/part relations<br>Agent to agent relations |
| **Broader relations** | RiC-R002 *has or had part*<br>RiC-R045 *has or had subordinate* |
| **Narrower relations** | None |

| **ID** | **RiC-R006** | |
|---|---|---|
| **Name** | *has or had subevent* | inverse relation: *is or was subevent of* |
| **Domain/Range** | Event | Event |
| **Cardinality** | 1 to M | |
| **Definition** | Connects an *event* to one or more of a series of *events* that constitute the original, broader, past or ongoing *event*. | |
| **Scope Notes** | Since an *activity* is a kind of *event*, this relation can also be used for *activity*. | |
| **Examples** | The Spanish Civil War (1936-1939) *has or had subevent* the Bombing of Guernica (1937). [en]<br><br>A Guerra do Paraguai *has or had subevent* a Batalha Naval do Riachuelo. [pt]<br><br>A Batalha Naval do Riachuelo *is or was subevent of* a Guerra do Paraguai. [pt] | |
| **Relation types** | Whole/part relations<br>Event relations | |
| **Broader relations** | RiC-R002 *has or had part*<br>RiC-R057 is *event associated with*<br>*RiC-R057i is associated with event* | |
| **Narrower relations** | None | |

| **ID** | **RiC-R007** | |
|---|---|---|
| **Name** | *contains or contained* | inverse relation: *is or was contained by* |
| **Domain/Range** | Place | Place |
| **Cardinality** | M to M | |
| **Definition** | Connects a *place* to a region that is or was within it. | |
| **Scope Notes** | Use for connecting two geographical or administrative regions. | |
| **Examples** | La région française Auvergne-Rhône-Alpes *contains or contained* le département de l'Ain. Attribut *Date* de cette relation: 2016/ [fr]<br><br>La Comunidad Autónoma de Canarias *contains or contained* el Parque Nacional de Timanfaya (Las Palmas). [es]<br><br>A Amazõnia Legal *contains or contained* os estados brasileiros do Acre, Amapá, Amazonas, Mato Grosso, Pará, Rondônia, Roraima, Tocantins e Maranhão. [pt]<br><br>Acre, Amapá, Amazonas, Mato Grosso, Pará, Rondônia, Roraima, Tocantins e Maranhão *is or was contained by* a Amazonia Legal. [pt] | |
| **Relation types** | Whole/part relations<br>Spatial relations | |
| **Broader relations** | RiC-R002 *has or had part*<br>RiC-R074 *is place associated with*<br>RiC-R074i *is associated with place* | |

| Narrower relations | None |
| --- | --- |

<br>

| ID | **RiC-R008** | |
| --- | --- | --- |
| **Name** | ***precedes or preceded*** | inverse relation: ***follows or followed*** |
| **Domain/Range** | Thing | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *thing* to a *thing* that follows or followed it in some sequence. | |
| **Scope Notes** | The relation does not specify the criteria used for ordering the sequence. | |
| | There may be zero to many intermediate entities, ignored or unknown, in the sequence between the two connected *things*. | |
| | Can be used, for example, for specifying that a *record* "has next" another *record* within a *record set*. | |
| **Examples** | paragraph 1 [*record part*] *precedes or preceded* image 1 [*record part*] [en] | |
| **Relation types** | Sequential relations | |
| **Broader relations** | RiC-R001 *is related to* | |
| **Narrower relations** | RiC-R009 p*recedes in time* | |

<br>

| ID | **RiC-R009** | |
| --- | --- | --- |
| **Name** | ***precedes in time*** | inverse relation: ***follows in time*** |
| **Domain/Range** | Thing | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *thing* to a *thing* that follows it in chronological order. | |
| **Scope Notes** | There may be zero to many intermediate entities, ignored or unknown, in the chronological sequence between the two connected entities. | |
| **Examples** | El Ministerio de Educación y Cultura (1996-2000) [*corporate body*] *precedes in time* el Ministerio de Ciencia y Tecnología (2000-2004) [*corporate body*]. [es] | |
| | O Departamento Federal de Segurança Pública [*corporate body*] *precedes in time* o Departamento de Polícia Federal [*corporate body*]. [pt] | |
| | O Departamento de Polícia Federal [*corporate body*] *follows in time* o Departamento Federal de Segurança Pública [*corporate body*]. [pt] | |
| **Relation types** | Sequential relations | |
| **Broader relations** | RiC-R008 *precedes or preceded* | |
| **Narrower relations** | RiC-R010 *is original of* <br> RiC-R011 *is draft of* <br> RiC-R012 *has copy* <br> RiC-R013 *has reply* <br> RiC-R014 *has or had derived instantiation* <br> RiC-R016 *has successor* | |

<br>

| ID | **RiC-R010** | |
| --- | --- | --- |
| **Name** | ***is original of*** | inverse relation: ***has original*** |
| **Domain/Range** | Record or Record Part | Record or Record Part |
| **Cardinality** | 1 to M | |
| **Definition** | Connects the original version of a *record* to a copy or a later version. <br> It is both a temporal and genetic relation between the two *records*. | |

| Scope Notes | There may be zero to many intermediate *records*, ignored or unknown, between the two connected *records*. |
|---|---|
| Examples | La charte dont l' instantiation cotée S/2262A n° 4 est conservée aux Archives nationales de France, et dont la *date* est Août 1239, *is original of* l'acte [*record]* *inscrit* au Cartulaire blanc de l'abbaye de Saint-Denis (Cart. blanc, t. I, p. 374a, n° XIIII, rubrique: 'De uno modio et dimidio vini empto a Renaldo de Logiis'). [fr]

A Lei Áurea é [*record*] *is original of* o documento cujo código de referênciaé BR RJANRIO_EH_0_FOT_EVE_04933 (Reprodução da Lei Áurea). [pt]

O documento cujo código de referência é BR RJANRIO_EH_0_FOT_EVE_04933 (Reprodução da Lei Áurea) *has original* a Lei Áurea [*record*]. [pt] |
| Relation types | Sequential relations<br>Record resource to record resource relations |
| Broader relations | RiC-R009 *precedes in time*<br>RiC-R023 *has genetic link to record resource* |
| Narrower relations | None |

<br>

| ID | **RiC-R011** | |
|---|---|---|
| Name | ***is draft of*** | inverse relation: ***has draft*** |
| Domain/Range | Record | Record |
| Cardinality | M to M | |
| Definition | Connects a draft to the final version of a *record*. | |
| Scope Notes | There may be zero to many intermediate *records*, ignored or unknown, between the two connected *records*. | |
| Examples | Manuscript dated April 1957 *is draft of* The Ugly American, 1958. [en] | |
| Relation types | Sequential relations<br>Record resource to record resource relations | |
| Broader relations | RiC-R009 p*recedes in time*<br>RiC-R023 *has genetic link to record resource* | |
| Narrower relations | None | |

<br>

| ID | **RiC-R012** | |
|---|---|---|
| Name | ***has copy*** | inverse relation: ***is copy of*** |
| Domain/Range | Record Resource | Record Resource |
| Cardinality | 1 to M | |
| Definition | Connects a *record resource* to a copy of that *record resource*. | |
| Scope Notes | Is both a temporal and genetic relation between the two *record resources*. | |
| Examples | Letter from Ernest Hemingway to Milford J. Baker I, 12 February 1930 *has copy* Copy of Letter from Ernest Hemingway to Milford J. Baker I, 12 February 1930. [en] | |
| Relation types | Sequential relations<br>Record resource to record resource relations | |
| Broader relations | RiC-R009 p*recedes in time*<br>RiC-R023 h*as genetic link to record resource* | |
| Narrower relations | None | |

| ID | RiC-R013 | |
|---|---|---|
| **Name** | ***has reply*** | inverse relation: ***is reply to*** |
| **Domain/Range** | Record Resource | Record Resource |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* to a reply, usually in the form of correspondence. | |
| **Scope Notes** | | |
| **Examples** | Letter from Mary White Ovington to William E. Walling, October 1, 1917 *has reply* Letter from William E. Walling to Mary White Ovington, October 21, 1917. [en] | |
| **Relation types** | Sequential relations<br>Record resource to record resource relations | |
| **Broader relations** | RiC-R009 *precedes in time*<br>RiC-R022 *is record resource associated with record resource* | |
| **Narrower relations** | None | |

| ID | RiC-R014 | |
|---|---|---|
| **Name** | ***has or had derived instantiation*** | inverse relation: ***is or was derived from instantiation*** |
| **Domain/Range** | Instantiation | Instantiation |
| **Cardinality** | 1 to M | |
| **Definition** | Connects an *instantiation* to an *instantiation* that is derived from it, whether it exists or has been lost or destroyed. | |
| **Scope Notes** | In some situations, it may be useful or necessary to connect an *instantiation* to an *instantiation* that was derived from it but no longer exists or has been lost. | |
| **Examples** | Le tirage photographique de la vue aérienne de la ville d'Ambérieux-en-Dombes (Ain, France), au sein de l'album 1PH/C/1 du fonds Lapie, *has or had derived instantiation* l'image numérique dont l'identifiant local est FRAN_0207_0001_A. [fr] | |
| **Relation types** | Sequential relations<br>Instantiation to instantiation relations | |
| **Broader relations** | RiC-R009 *precedes in time*<br>RiC-R034 *is instantiation associated with instantiation* | |
| **Narrower relations** | RiC-R015 *migrated into* | |

| ID | RiC-R015 | |
|---|---|---|
| **Name** | ***migrated into*** | inverse relation: ***migrated from*** |
| **Domain/Range** | Instantiation | Instantiation |
| **Cardinality** | 1 to M | |
| **Definition** | Connects an *instantiation* to a version it has been migrated into. | |
| **Scope Notes** | Use for digital *instantiations*. | |
| **Examples** | Microsoft Word document with the filename Draft_2019.docx *migrated into* normalized PDF/A with filename mums1023_00_b1.pdf [en] | |
| **Relation types** | Sequential relations<br>Instantiation to instantiation relations | |
| **Broader relations** | RiC-R014 *has or had derived instantiation* | |
| **Narrower relations** | None | |

| ID | **RiC-R016** | |
|---|---|---|
| **Name** | *has successor* | inverse relation: *is successor of* |
| **Domain/Range** | Agent | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to another *agent* that succeeds it chronologically. | |
| **Scope Notes** | There may be zero to many intermediate *agents*, ignored or unknown, between the two connected *agents*.<br><br>Can be used when there is a transfer of function from the first *agent* to the second *agent*. | |
| **Examples** | Le Bureau des Monuments historiques (1863-1870) (au sein de la Surintendance des Beaux-Arts, une subdivision du ministère français de la maison de l'Empereur) *has successor* le Bureau des Monuments historiques (1870-1907) au sein de la Direction des Beaux-Arts, une subdivision du ministère français de l'Instruction publique. [*corporate body*] [fr]<br><br>La Administración de Hacienda de la provincia de Barcelona *has successor* la Delegación Provincial de Hacienda de Barcelona y *is successor of* la Intendencia de Ejército y Provincia del Principado de Cataluña, en sus funciones Hacendísticas. [*corporate body*] [es]<br><br>O Departamento Federal de Segurança Pública *has successor* o Departamento de Polícia Federal. [*corporate body*] [pt]<br><br>O Departamento de Polílcia Federal *is successor of* o Departamento Federal de Segurança Pública. [*corporate body*] [pt] | |
| **Relation types** | Sequential relations<br>Agent to agent relations | |
| **Broader relations** | RiC-R009 p*recedes in time*<br>RiC-R044 *is agent associated with agent* | |
| **Narrower relations** | RiC-R017 *has descendant* | |


| ID | **RiC-R017** | |
|---|---|---|
| **Name** | *has descendant* | inverse relation: *has ancestor* |
| **Domain/Range** | Person | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects a *person* to one of their descendants. | |
| **Scope Notes** | There may be zero to many intermediate *persons*, ignored or unknown, between the two connected *persons*. | |
| **Examples** | Marc Ferrez *has descendant* Gilberto Ferrez. [pt]<br><br>Gilberto Ferrez *has ancestor* Marc Ferrez. [pt] | |
| **Relation types** | Sequential relations<br>Agent to agent relations | |
| **Broader relations** | RiC-R016 *has successor*<br>RiC-R047 *has family association with* | |
| **Narrower relations** | RiC-R018 *has child* | |

| ID | RiC-R018 | |
|---|---|---|
| **Name** | ***has child*** | inverse relation: ***is child of*** |
| **Domain/Range** | Person | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects a *person* to one of their children. | |
| **Scope Notes** | | |
| **Examples** | Alfonso Carlos de Borbón y Austria-Este (1849-1936) *is child of* Mª Beatriz de Austria-Este (1824- 1906). [es]<br><br>Júlio Ferrez *has child* Gilberto Ferrez. [pt]<br><br>Gilberto Ferrez *is child of* Júlio Ferrez. [pt] | |
| **Relation types** | Sequential relations<br>Agent to agent relations | |
| **Broader relations** | RiC-R017 *has descendant* | |
| **Narrower relations** | None | |

| ID | RiC-R019 | |
|---|---|---|
| **Name** | ***has or had subject*** | inverse relation: ***is or was subject of*** |
| **Domain/Range** | Record Resource | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* to a *thing* that is or was its subject. | |
| **Scope Notes** | The subject of a *record set* may be affected if the *record set* loses some of the *records* contained within it. | |
| **Examples** | Susan Kleckner Papers *has or had subject* Anti-nuclear movement. [en]<br><br>La fotografía 'Evacuation des enfants de Madrid' [1937] de Robert Capa *has or had subject* la Guerra Civil Española (1936-1939). [es]<br><br>O processo da Revolta da Chibata *has or had subject* o movimento de marinheiros contra a chibata, usada por oficiais como medida punitiva. [pt]<br><br>O movimento de marinheiros contra a chibata, usada por oficiais como medida punitiva, *is or was subject of* o processo da Revolta da Chibata. [pt]<br><br>C. T. Lanham Papers on Ernest Hemingway [*record set*] *has or had subject* Hemingway, Ernest [*person*] [en]<br><br>Clement Heaton Collection on Stained Glass [*record set*] *has or had subject* Glass painting and staining, Medieval -- Germany -- 20th century [*thing*]. [en] | |
| **Relation types** | Subject relations | |
| **Broader relations** | RiC-R001 *is related to* | |
| **Narrower relations** | RiC-R020 *has or had main subject*<br>RiC-R021 d*escribes or described* | |

| ID | RiC-R020 | |
|---|---|---|
| **Name** | ***has or had main subject*** | inverse relation: ***is or was main subject of*** |
| **Domain/Range** | Record Resource | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* to a *thing* that is or was its main subject. | |

| | | |
|---|---|---|
| **Scope Notes** | Use for specifying, for example, that a personal file (*record set*) has a *person* as its main subject, in order to help end users retrieve the main archival resources about that *person*. | |
| **Examples** | | |
| **Relation types** | Subject relations | |
| **Broader relations** | RiC-R019 *has or had subject* | |
| **Narrower relations** | None | |

<br>

| ID | **RiC-R021** | |
|---|---|---|
| **Name** | ***describes or described*** | inverse relation: ***is or was described by*** |
| **Domain/Range** | Record Resource | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* to a *thing* that it describes or described. | |
| **Scope Notes** | Can be used for specifying that a finding aid, which is a specific type of *record*, describes a *record set*. | |
| **Examples** | Guide to the Roxbury Action Project Records *describes or described* Roxbury Action Project Records [*record set*]. [en] | |
| **Relation types** | Subject relations | |
| **Broader relations** | RiC-R019 *has or had subject* | |
| **Narrower relations** | None | |

<br>

| ID | **RiC-R022** | |
|---|---|---|
| **Name** | ***is record resource associated with record resource*** | inverse relation: ***is record resource associated with record resource*** |
| **Domain/Range** | Record Resource | Record Resource |
| **Cardinality** | M to M | |
| **Definition** | Connects two *record resources*.<br><br>This relation is symmetric. | |
| **Scope Notes** | Use to connect two *record resources* only if it is not possible to use a narrower, more specific relation, for example *has genetic link to*. | |
| **Examples** | La Planta de la ciudadela, ciudad y puerto de Messina (Sicilia) [por Carlos Grunembergh] [1686] *is record resource associated with record resource* el fondo de Consejo de Italia (siglos XVI-XVIII). [es]<br><br>Graças Honoríficas *is record resource associated with record resource* Ordens Honoríficas. [pt]<br><br>Ordens Honoríficas *is record resource associated with record resource* Graças Honoríficas. [pt] | |
| **Relation types** | Record resource to record resource relations | |
| **Broader relations** | RiC-R001 *is related to* | |
| **Narrower relations** | RiC-R003 *has or had constituent*<br>RiC-R003i *is or was constituent of*<br>RiC-R013 *has reply*<br>RiC-R013i *is reply to*<br>RiC-R023 *has genetic link to record resource*<br>RiC-R024 *includes or included*<br>RiC-R024i *is or was included in* | |

| ID | **RiC-R023** | |
|---|---|---|
| **Name** | ***has genetic link to record resource*** | inverse relation: ***has genetic link to record resource*** |
| **Domain/Range** | Record Resource | Record Resource |
| **Cardinality** | M to M | |
| **Definition** | Connects two *record resources* when there is a genetic link between them. Genetic in this sense is as defined by diplomatics, i.e., the process by which a *record resource* is developed.<br><br>This relation is symmetric. | |
| **Scope Notes** | Use to connect two *record resources* only if it is not possible to use a narrower, more specific, asymmetric record resource to record resource relation, for example *is original of*. | |
| **Examples** | | |
| **Relation types** | Record resource to record resource relations | |
| **Broader relations** | RiC-R022 *is record resource associated with record resource* | |
| **Narrower relations** | RiC-R010 *is original of*<br>RiC-R010i *has original*<br>RiC-R011 *is draft of*<br>RiC-R011i *has draft*<br>RiC-R012 *has copy*<br>RiC-R012i *is copy of* | |

| ID | **RiC-R024** | |
|---|---|---|
| **Name** | ***includes or included*** | inverse relation: ***is or was included in*** |
| **Domain/Range** | Record Set | Record or Record Set |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record set* to a *record* or *record set* it aggregates or aggregated in the past. | |
| **Scope Notes** | A *record* or *record set* can be aggregated in one or many *record sets* simultaneously or through time. | |
| **Examples** | The W.E.B. Du Bois Papers [*record set*] *includes or included* Series 1. Correspondence [*record set*]. [en]<br><br>Consejo Supremo de Italia [*record set*] *includes or included* Secretaría de Nápoles [*record set*]. [es]<br><br>Departamento Nacional do Povoamento [*record set*] *includes or included* Hospedaria de Imigrantes da Ilha das Flores [*record set*]. [pt]<br><br>Hospedaria de Imigrantes da Ilha das Flores [*record set*]) *is or was included in* Departamento Nacional do Povoamento [*record set*]. [pt]<br><br>Princeton Ethiopic Manuscripts [*record set*] *includes or included* Miracles of Mary [*record*] [en] | |
| **Relation types** | Whole/part relations<br>Record resource to record resource relations | |
| **Broader relations** | RiC-R002 *has or had part*<br>RiC-R022 *is record resource associated with record resource* | |

| Narrower relations | None |
|---|---|

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|---|---|
| **ID** | **RiC-R025** |
| **Name** | ***has or had instantiation***    inverse relation: ***is or was instantiation of*** |
| **Domain/Range** | Record Resource     Instantiation |
| **Cardinality** | 1 to M |
| **Definition** | Connects a *record resource* to an *instantiation*, which either may exist or may have been lost or destroyed. |
| **Scope Notes** | In some situations, it may be useful or necessary to connect a *record resource* to an *instantiation* that no longer exists or has been lost, when some of its characteristics are known from a source, such as an old finding aid. |
| **Examples** | La série organique [*record set*] de photographies aériennes qui concerne le territoire de la commune d'Ambérieux-en-Dombes (Ain) dans le fonds Lapie *has or had instantiation* les tirages photographiques cotés "C.T. 104 1K-2K." [fr]<br><br>La même série [*record set*] *has or had instantiation* le lot d'images numériques dont l'identifiant est FRAN_0207_0001_A#FRAN_0207_0002_A. [fr] |
| **Relation types** | Record resource to instantiation relations |
| **Broader relations** | RiC-R001 *is related to* |
| **Narrower relations** | None |

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| | |
|---|---|
| **ID** | **RiC-R026** |
| **Name** | ***has provenance***    inverse relation: ***is provenance of*** |
| **Domain/Range** | Record Resource or Instantiation     Agent |
| **Cardinality** | M to M |
| **Definition** | Connects a *record resource* or an *instantiation* to an *agent* that creates or accumulates the *record resource* or receives or sends it. |
| **Scope Notes** | This is the most general provenance relation. Use it to connect a *record resource* or *instantiation* with an *agent* only if it is not possible to use a narrower, more specific relation, for example *has creator*. |
| **Examples** | C. T. Lanham Papers on Ernest Hemingway [*record set*] *has provenance* Lanham, C. T. (Charles Trueman), 1902- [*person*] [en] |
| **Relation types** | Provenance relations |
| **Broader relations** | RiC-R001 *is related to* |
| **Narrower relations** | RiC-R027 *has creator*<br>RiC-R028 *has accumulator*<br>RiC-R031 *has sender*<br>RiC-R032 *has addressee* |

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| | |
|---|---|
| **ID** | **RiC-R027** |
| **Name** | ***has creator***    inverse relation: ***is creator of*** |
| **Domain/Range** | Record Resource or Instantiation     Agent |
| **Cardinality** | M to M |

| Definition | Connects a *record resource* or an *instantiation* to the *agent* that is either responsible for all or some of the content of the *record resource* or is a contributor to the genesis or production of an *instantiation*. |
|---|---|
| Scope Notes | Covers the definition of "author" in diplomatics, and any agent that makes a contribution to the intellectual content of a *record resource*.<br><br>Can also be used for any *agent* that was involved in the genesis (e.g. with the role of witness, representative of the author etc.) or in the production (e.g. with the role of scribe, secretary, notary, printer etc.) of the *record resource* or *instantiation*. |
| Examples | Matilde de Baviera (1877-1906) [*person*] *is creator of* la Carta de Mathilde de Baviera a María de las Nieves, anunciándole su compromiso con el Príncipe Luis de Sajonia-Coburgo (15-12-1899) [*record set*]. [es]<br><br>Serviço Nacional de Informações [*corporate body*] *is creator of* Serviço Nacional de Informações [*record set*]. [pt]<br><br>Serviço Nacional de Informações [*record set*] *has creator* Serviço Nacional de Informações [*corporate body*]. [pt] |
| Relation types | Provenance relations |
| Broader relations | RiC-R026 *has provenance* |
| Narrower relations | RiC-R079 h*as author* |


| ID | **RiC-R028** | |
|---|---|---|
| Name | *has accumulator* | inverse relation: *is accumulator of* |
| Domain/Range | Record Resource or Instantiation | Agent |
| Cardinality | M to M | |
| Definition | Connects a *record resource* or an *instantiation* to the *agent* that accumulated it, be it intentionally (collecting) or not (receiving in the course of the *agent's activities*). | |
| Scope Notes | | |
| Examples | C. T. Lanham Papers on Ernest Hemingway [*record set*] *has accumulator* Lanham, C. T. (Charles Trueman), 1902- [*person*] [en]<br><br>Princeton Ethiopic Manuscripts [*record set*] *has accumulator* Princeton University Library [*corporate body*]. [en] | |
| Relation types | Provenance relations | |
| Broader relations | RiC-R026 h*as provenance* | |
| Narrower relations | RiC-R029 h*as receiver*<br>RiC-R030 *has collector* | |


| ID | **RiC-R029** | |
|---|---|---|
| Name | *has receiver* | inverse relation: *is receiver of* |
| Domain/Range | Record Resource or Instantiation | Agent |
| Cardinality | M to M | |
| Definition | Connects a *record resource* or an *instantiation* to the *agent* that receives it in the course of the *agent's activities*. | |
| Scope Notes | | |

| Examples | La Carta de Mathilde de Baviera a María de las Nieves, anunciándole su compromiso con el Príncipe Luis de Sajonia-Coburgo (15-12-1899) [*record*] *has receiver* Mª de las Nieves de Braganza y Borbón (1852-1941) [*person*]. [es] |
|---|---|
| **Relation types** | Provenance relations |
| **Broader relations** | RiC-R028 *has accumulator* |
| **Narrower relations** | None |

| ID | RiC-R030 | |
|---|---|---|
| **Name** | ***has collector*** | inverse relation: ***is collector of*** |
| **Domain/Range** | Record Resource or Instantiation | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* or an *instantiation* to the *agent* that collects it intentionally, i.e., the *agent* is a collector. | |
| **Scope Notes** | | |
| **Examples** | The poster *¡Miliciano!: antes morir que retroceder* [1936-1937] [*record part*] *has collector* José Mario Armero Alcántara (1927-1995) [*person*]. [en] A coleção Fotografias avulsas [*record set*] *has collector* o Arquivo Nacional (Brasil) [*corporate body*]. [pt] Arquivo Nacional (Brasil) [*corporate body*] *is collector of* coleção Fotografias Avulsas [*record set*]. [pt] | |
| **Relation types** | Provenance relations | |
| **Broader relations** | RiC-R028 *has accumulator* | |
| **Narrower relations** | None | |

| ID | RiC-R031 | |
|---|---|---|
| **Name** | ***has sender*** | inverse relation: ***is sender of*** |
| **Domain/Range** | Record Resource or Instantiation | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* or an *instantiation* to the *agent* that sends it. | |
| **Scope Notes** | The identity of the sender is (usually) evidenced by the *record resource* or *instantiation* itself. | |
| **Examples** | Ofício encaminhando ao diretor do Serviço Nacional de Informações documentos referentes a pessoa indiciada por participação em atividades subversivas [*record part*] *has sender* o diretor da Divisão de Informações do Departamento Federal de Segurança Pública [*position*]. [pt] Diretor da Divisão de Informações do Departamento Federal de Segurança Pública [*position*] *is sender of* ofício encaminhando ao diretor do Serviço Nacional de Informações documentos referentes a pessoa indiciada por participação em atividades subversivas [*record part*]. [pt] | |
| **Relation types** | Provenance relations | |
| **Broader relations** | RiC-R026 *has provenance* | |
| **Narrower relations** | None | |

| ID | RiC-R032 | |
|---|---|---|
| **Name** | ***has addressee*** | inverse relation: ***is addressee of*** |
| **Domain/Range** | Record Resource or Instantiation | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* or an *instantiation* to the *agent* that it is addressed to. | |
| **Scope Notes** | The identity of the addressee is (usually) evidenced by the *record resource* or *instantiation* itself. | |
| **Examples** | Ofício do diretor da Divisão de Informações do Departamento Federal de Segurança Pública encaminhando documentos referentes a pessoa indiciada por participação em atividades subversivas [*record part*] *has addressee* o diretor do Serviço Nacional de Informações *[position]*. [pt]<br><br>Diretor do Serviço Nacional de Informações *[position] is addressee of* o diretor da Divisão de Informações do Departamento Federal de Segurança Pública encaminhando documentos referentes a pessoa indiciada por participação em atividades subversivas [*record part*]. [pt] | |
| **Relation types** | Provenance relations | |
| **Broader relations** | RiC-R026 *has provenance* | |
| **Narrower relations** | None | |

| ID | RiC-R033 | |
|---|---|---|
| **Name** | ***documents*** | inverse relation: ***documented by*** |
| **Domain/Range** | Record Resource or Instantiation | Activity |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record resource* or an *instantiation* to the *activity* that generates the *record resource* or *instantiation*. | |
| **Scope Notes** | To be used to describe the functional provenance of a *record resource* or *instantiation*. | |
| **Examples** | El Título de Duque de Terranova a Carlo d'Aragona Tagliavia (20-7-1561) [*record*] *documents* la Concesión de títulos nobiliarios . [es] | |
| **Relation types** | Provenance relations<br>Event relations | |
| **Broader relations** | RiC-R001 *is related to*<br>RiC-R061i *results or resulted from (*inverse of RiC-R061 *results or resulted in)* | |
| **Narrower relations** | None | |

| ID | RiC-R034 | |
|---|---|---|
| **Name** | ***is instantiation associated with instantiation*** | inverse relation: ***is instantiation associated with instantiation*** |
| **Domain/Range** | Instantiation | Instantiation |
| **Cardinality** | M to M | |
| **Definition** | Connects two *instantiations*.<br><br>This relation is symmetric. | |
| **Scope Notes** | Use only if it is not possible to specify a narrower *instantiation* to *instantiation* relation, for example *is functionally equivalent to*. | |

| Examples | Collection C0776 [*instantiation* of the r*ecord set* Princeton Ethiopic Manuscripts] *is instantiation associated with instantiation* PEM8 [*instantiation* of Miracles of Mary). [en] |
|---|---|
| Relation types | Instantiation to instantiation relations |
| Broader relations | RiC-R001 is related to |
| Narrower relations | RiC-R004 *has or had component*<br>RiC-R004i *is or was component of*<br>RiC-R035 *is functionally equivalent to*<br>RiC-R014 *has or had derived instantiation*<br>RiC-R014i *is or was derived from instantiation* |

| ID | **RiC-R035** | |
|---|---|---|
| Name | ***is functionally equivalent to*** | inverse relation: ***is functionally equivalent to*** |
| Domain/Range | Instantiation | Instantiation |
| Cardinality | M to M | |
| Definition | Connects two *instantiations* which may be considered as equivalent.<br><br>This relation is symmetric. | |
| Scope Notes | Two *instantiations*, from some point of view, may be considered as equivalent. This equivalence is usually based upon the fact that the *instantiations* have at least the same intellectual content (they instantiate the same *record resource*). | |
| Examples | Surrogate copy of Letter from Ernest Hemingway to Milford J. Baker I, 12 February 1930 *is functionally equivalent to* Letter from Ernest Hemingway to Milford J. Baker I, 12 February 1930 [en] | |
| Relation types | Instantiation to instantiation relations | |
| Broader relations | RiC-R034 *is instantiation associated with instantiation* | |
| Narrower relations | None | |

| ID | **RiC-R036** | |
|---|---|---|
| Name | ***has or had authority over*** | inverse relation: ***is or was under authority of*** |
| Domain/Range | Agent | Thing |
| Cardinality | M to M | |
| Definition | Connects an *agent* to a *thing* over which the *agent* has or had some kind of authority. | |
| Scope Notes | Use only if it is not possible to specify a narrower management relation, for example *is or was owner of*. | |
| Examples | | |
| Relation types | Management relations | |
| Broader relations | RiC-R001 *is related to* | |
| Narrower relations | RiC-R037 *is or was owner of*<br>RiC-R038 *is or was manager of*<br>RiC-R040 *is or was holder of intellectual property rights of*<br>RiC-R041 *is or was controller of* | |

| ID | RiC-R037 | |
|---|---|---|
| **Name** | ***is or was owner of*** | inverse relation: ***has or had owner*** |
| **Domain/Range** | Group or Person or Position | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to a *thing* that the *agent* owns or owned. | |
| **Scope Notes** | | |
| **Examples** | La Universidad Pública de Navarra (*corporate body*) *is or was owner of* los Expedientes de personal investigador en formación [*record set*]. [es]<br><br>Ruy Alexandre Guerra Coelho Pereira [*person*] *is or was owner of* Ruy Guerra [*record set*]. [pt]<br><br>Ruy Guerra [*record set*] *has or had owner* Ruy Alexandre Guerra Coelho Pereira [*person*]. [pt] | |
| **Relation types** | Management relations | |
| **Broader relations** | RiC-R036 *has or had authority over* | |
| **Narrower relations** | None | |

| ID | RiC-R038 | |
|---|---|---|
| **Name** | ***is or was manager of*** | inverse relation: ***has or had manager*** |
| **Domain/Range** | Agent | Record Resource or Instantiation |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to a *record resource* or *instantiation* that the *agent* manages or managed. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Management relations | |
| **Broader relations** | RiC-R036 *has or had authority over* | |
| **Narrower relations** | RiC-R039 *is or was holder of* | |

| ID | RiC-R039 | |
|---|---|---|
| **Name** | ***is or was holder of*** | inverse relation: ***has or had holder*** |
| **Domain/Range** | Agent | Record Resource or Instantiation |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to a *record resource* or *instantiation* that the *agent* holds. | |
| **Scope Notes** | | |
| **Examples** | The National Archive of Spain [*corporate body*] *is or was holder of* Junta Central Suprema Gubernativa del Reino (Siglo XIX) [*record set*]. [es]<br><br>Arquivo Nacional (Brasil) [*corporate body*] *is or was holder of* Departamento Nacional do Povoamento [*record set*]. [pt]<br><br>Departamento Nacional do Povoamento [*record set*] *has or had holder* Arquivo Nacional (Brasil) [*corporate body*]. [pt] | |
| **Relation types** | Management relations | |
| **Broader relations** | RiC-R038 *is or was manager of* | |
| **Narrower relations** | None | |

| ID | **RiC-R040** | |
|---|---|---|
| **Name** | *is or was holder of intellectual property rights of* | inverse relation: ***has or had intellectual property rights holder*** |
| **Domain/Range** | Group, Person or Position | Record Resource or Instantiation |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to a *record resource* or *instantiation* in which the *agent* has or had some intellectual property rights. | |
| **Scope Notes** | | |
| **Examples** | *Los* herederos de Pablo Pérez-Mínguez [*group*] *is or was holder of intellectual property rights of* el Archivo Fotográfico Pablo Pérez-Mínguez [*record resource*]. [es]<br><br>Ruy Alexandre Guerra Coelho Pereira [*person*] *is or was holder of intellectual property rights of* Ruy Guerra [*record set*]. [pt]<br><br>Ruy Guerra [*record set*] *has or had intellectual property rights holder* Ruy Alexandre Guerra Coelho Pereira [*person*]. [pt] | |
| **Relation types** | Management relations | |
| **Broader relations** | RiC-R036 *has or had authority over* | |
| **Narrower relations** | None | |


| ID | **RiC-R041** | |
|---|---|---|
| **Name** | *is or was controller of* | inverse relation: ***has or had controller*** |
| **Domain/Range** | Agent | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to another *agent* it controls or controlled. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Management relations<br>Agent to agent relations | |
| **Broader relations** | RiC-R036 *has or had authority over*<br>RiC-R045 *has or had subordinate* | |
| **Narrower relations** | RiC-R042 *is or was leader of* | |


| ID | **RiC-R042** | |
|---|---|---|
| **Name** | *is or was leader of* | inverse relation: ***has or had leader*** |
| **Domain/Range** | Person | Group |
| **Cardinality** | M to M | |
| **Definition** | Connects a *person* to the *group* the *person* leads or led in the past. | |
| **Scope Notes** | | |
| **Examples** | Jean Favier (1932-2014) *is or was leader of* la Bibliothèque nationale de France. Attribut *Date* de cette relation: 1994/1997. Attribut *Description* de cette relation: Jean Favier fut président de la BnF. [fr]<br><br>João Cândido *is or was leader of* Revolta da Chibata. [pt]<br><br>Revolta da Chibata *has or had leader* João Cândido. [pt] | |
| **Relation types** | Management relations | |

|  | Agent to agent relations |  |
|---|---|---|
| **Broader relations** | RiC-R041 *is or was controller of* | |
| **Narrower relations** | None | |


| **ID** | **RiC-R044** | |
|---|---|---|
| **Name** | ***is agent associated with agent*** | inverse relation: ***is agent associated with agent*** |
| **Domain/Range** | Agent | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects two *agents*.<br><br>This relation is symmetric. | |
| **Scope Notes** | Use only if it is not possible to specify a narrower agent to agent relation, for example *has or had work relation with*. | |
| **Examples** | El Ayuntamiento de Soria [*corporate body*] *is agent associated with agent* la Junta de Castilla y León [*corporate body*]. [es]<br><br>Ministro de Estado da Justiça e Segurança Pública [*corporate body*] *is agent associated with agent* presidente da República Federativa do Brasil [*position*]. [pt]<br><br>Presidente da República Federativa do Brasil [*position*] *is agent associated with agent* ministro de Estado da Justiça e Segurança Pública [*corporate body*]. [pt] | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R001 *is related to* | |
| **Narrower relations** | RiC-R045 *has or had subordinate*<br>RiC-R045i *is or was subordinate to*<br>RiC-R046 *has or had work relation with*<br>RiC-R016 *has successor*<br>RiC-R016i *is successor of*<br>RiC-R047 *has family association with*<br>RiC-R050 *knows of*<br>RiC-R050i *known by*<br>RiC-R051 *knows*<br>RiC-R054 *occupies or occupied*<br>RiC-R054i *is or was occupied by*<br>RiC-R055 *has or had member*<br>RiC-R055i *is or was member of*<br>RiC-R056 *exists or existed in*<br>RiC-R056i *has or had position* | |


| **ID** | **RiC-R045** | |
|---|---|---|
| **Name** | ***has or had subordinate*** | inverse relation: ***is or was subordinate to*** |
| **Domain/Range** | Agent | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects an *agent* to an *agent* that is hierarchically inferior. | |
| **Scope Notes** | The hierarchical relation can be an authority relation, or a whole/part relation between two *agents*. | |

| Examples | La Real Audiencia y Chancillería de Valladolid [*corporate body*] *has or had subordinate* la Sala Primera de lo Civil [*corporate body*]. [es] |
| --- | --- |
| | Presidente da República Federativa do Brasil [position] *has or had subordinate* ministro de Estado da Justiça e Segurança Pública [*corporate body*]. [pt] |
| | Ministro de Estado da Justiça e Segurança Pública [*corporate body*] *is or was subordinate to* Presidente da República Federativa do Brasil [*position*]. [pt] |
| Relation types | Agent to agent relations |
| Broader relations | RiC-R044 *is agent associated with agent* |
| Narrower relations | RiC-R005 *has or had subdivision*<br>RiC-R041 *is or was controller of* |

<br>

| ID | RiC-R046 | |
| --- | --- | --- |
| Name | *has or had work relation with* | inverse relation: ***has or had work relation with*** |
| Domain/Range | Agent | Agent |
| Cardinality | M to M | |
| Definition | Connects two *agents* that have or had some type of work relation in the course of their *activities*.<br><br>This relation is symmetric. | |
| Scope Notes | | |
| Examples | Presidente da República Federativa do Brasil [*position*] *has or had work relation with* ministro de Estado da Justiça e Segurança Pública [*position*]. [pt]<br><br>Ministro de Estado da Justiça e Segurança Pública [*position*] *has or had work relation with* Presidente da República Federativa do Brasil [*position*]. [pt] | |
| Relation types | Agent to agent relations | |
| Broader relations | RiC-R044 *is agent associated with agent* | |
| Narrower relations | None | |

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| ID | RiC-R047 | |
| --- | --- | --- |
| Name | *has family association with* | inverse relation: ***has family association with*** |
| Domain/Range | Person | Person |
| Cardinality | M to M | |
| Definition | Connects two *persons who* have some type of family link, i.e., belong to the same family.<br><br>This relation is symmetric. | |
| Scope Notes | Use RiC-R055 *has or had member* for connecting a *family* and a *person*. | |
| Examples | Fernando VI (Rey de España) [*person*] *has family association with* Isabel II (Reina de España) [*person]*). [es] | |
| Relation types | Agent to agent relations | |
| Broader relations | RiC-R044 *is agent associated with agent* | |
| Narrower relations | RiC-R017 *has descendant*<br>RiC-R017i *has ancestor*<br>RiC-R048 *has sibling* | |

| RiC-R049 *has or had spouse* |
|---|

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| ID | **RiC-R048** | |
|---|---|---|
| **Name** | ***has sibling*** | inverse relation: ***has sibling*** |
| **Domain/Range** | Person | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects two *persons who* are siblings.<br><br>This relation is symmetric. | |
| **Scope Notes** | | |
| **Examples** | Francisco Franco Bahamonde (1892-1975) [*person] has sibling* Ramón Franco Bahamonde (1896-1938) [*person]*). [es] | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R047 *has family association with* | |
| **Narrower relations** | None | |

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| ID | **RiC-R049** | |
|---|---|---|
| **Name** | ***has or had spouse*** | inverse relation: ***has or had spouse*** |
| **Domain/Range** | Person | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects two *persons who* are or were married.<br><br>This relation is symmetric. | |
| **Scope Notes** | | |
| **Examples** | Margarita de Borbón-Parma (1847-1893) [*person] has or had spouse* Carlos María de Borbón y Austria-Este (1848-1909) [*person]*. [es] | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R047 *has family association with* | |
| **Narrower relations** | None | |

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| ID | **RiC-R050** | |
|---|---|---|
| **Name** | ***knows of*** | inverse relation: ***known by*** |
| **Domain/Range** | Person | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects a *person* to another *person* they have some knowledge of through time or space. | |
| **Scope Notes** | | |
| **Examples** | Maimonides (1138-1204) *knows of* Aristotle (384–322 BCE) | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R044 *is agent associated with agent* | |
| **Narrower relations** | None | |

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| ID | **RiC-R051** | |
|---|---|---|
| **Name** | ***knows*** | inverse relation: ***knows*** |
| **Domain/Range** | Person | Person |

| Cardinality | M to M |
|---|---|
| Definition | Connects two *persons who* directly know each other during their existence. This relation is symmetric. |
| Scope Notes | The relation implies that the two *persons* met or at least corresponded with each other. |
| Examples | Oppenheimer, J. Robert *knows* Groves Jr., Leslie R. |
| Relation types | Agent to agent relations |
| Broader relations | RiC-R044 *is agent associated with agent* |
| Narrower relations | RiC-R052 *has or had correspondent* <br> RiC-R053 *has or had teacher* <br> RiC-R053i *has or had student* |


| ID | **RiC-R052** | |
|---|---|---|
| Name | ***has or had correspondent*** | inverse relation: ***has or had correspondent*** |
| Domain/Range | Person | Person |
| Cardinality | M to M | |
| Definition | Connects two *persons* who correspond or have corresponded with each other. This relation is symmetric. | |
| Scope Notes | | |
| Examples | Ernest Hemingway *has or had correspondent* Milford J. Baker [en] | |
| Relation types | Agent to agent relations | |
| Broader relations | RiC-R051 *knows* | |
| Narrower relations | None | |


| ID | **RiC-R053** | |
|---|---|---|
| Name | ***has or had teacher*** | inverse relation: ***has or had student*** |
| Domain/Range | Person | Person |
| Cardinality | M to M | |
| Definition | Connects a *person* to another *person* who is or was their teacher. | |
| Scope Notes | | |
| Examples | Beatriz Galindo, la Latina (c.1465-1535) *has or had student* Isabel I la Católica (1474-1504). [es] | |
| Relation types | Agent to agent relations | |
| Broader relations | RiC-R051 *knows* | |
| Narrower relations | None | |


| ID | **RiC-R054** | |
|---|---|---|
| Name | ***occupies or occupied*** | inverse relation: ***is or was occupied by*** |
| Domain/Range | Person | Position |
| Cardinality | M to M | |
| Definition | Connects a *person* to a *position* they occupy or occupied. | |
| Scope Notes | | |

| Examples | Pío Cabanillas Gallas (1923-1991) *occupies or occupied* el cargo de Ministro de Cultura (fechas de la relación: 1977-1979). [es] |
| | George McGovern *occupies or occupied* the office of United States Senator from 1963-1980 [en] |
| **Relation types** | Agent to agent relations |
| **Broader relations** | RiC-R044 *is agent associated with agent* |
| **Narrower relations** | None |

| ID | **RiC-R055** | |
|---|---|---|
| **Name** | ***has or had member*** | inverse relation: ***is or was member of*** |
| **Domain/Range** | Group | Person |
| **Cardinality** | M to M | |
| **Definition** | Connects a *group* to a *person who* is or was a member of that *group*. | |
| **Scope Notes** | | |
| **Examples** | Le Conseil constitutionnel français [*corporate body*] *has or had member* Simone Veil . Attribut *Date* de cette relation: 1998/2007. [fr] | |
| | Francisco Cabarrús (1752-1810) [*person*] *is or was member of* el Ministerio del Interior [*corporate body*]. Fecha de la relación: 1808. [es] | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R044 *is agent associated with agent* | |
| **Narrower relations** | None | |

| ID | **RiC-R056** | |
|---|---|---|
| **Name** | ***exists or existed in*** | inverse relation: ***has or had position*** |
| **Domain/Range** | Position | Group |
| **Cardinality** | M to 1 | |
| **Definition** | Connects a *position* to a *group* in which that *position* exists or existed, or that is defined by that *group's* organizational structure. | |
| **Scope Notes** | | |
| **Examples** | Director of Food for Peace *exists or existed in* Food for Peace since 1961. [en] | |
| **Relation types** | Agent to agent relations | |
| **Broader relations** | RiC-R044 *is agent associated with agent* | |
| **Narrower relations** | None | |

| ID | **RiC-R057** | |
|---|---|---|
| **Name** | ***is event associated with*** | inverse relation: ***is associated with event*** |
| **Domain/Range** | Event | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects an *event* to a *thing* that is associated with the existence and lifecycle of the *event*. | |
| **Scope Notes** | Use to connect an *event* and an entity only if it is not possible to specify a narrower event relation, for example *has or had participant*. | |
| **Examples** | The Princeton Antioch Excavations *is event associated with* Princeton University Dept. of Art and Architecture Antioch Excavation Records [*record set*] [en] | |

| Relation types | Event relations |
|---|---|
| Broader relations | RiC-R001 *is related to* |
| Narrower relations | RiC-R006 *has or had subevent* |
| | RiC-R006i *is or was subevent of* |
| | RiC-R058 *has or had participant* |
| | RiC-R061 *results or resulted in* |
| | RiC-R084i *occurred at date* (inverse of RiC-R084 *is date of occurrence of*) |

| ID | **RiC-R058** | |
|---|---|---|
| **Name** | ***has or had participant*** | inverse relation: ***is or was participant in*** |
| **Domain/Range** | Event | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects an *event* to a *thing* that is or was actively or passively involved in it. | |
| **Scope Notes** | | |
| **Examples** | Princeton Antioch Excavations *has or had participant* Princeton University [*corporate body*]. [en] | |
| **Relation types** | Event relations | |
| **Broader relations** | RiC-R057 *is event associated with* | |
| **Narrower relations** | RiC-R059 *affects or affected* | |
| | RiC-R060 *is or was performed by* | |

| ID | **RiC-R059** | |
|---|---|---|
| **Name** | ***affects or affected*** | inverse relation: ***is or was affected by*** |
| **Domain/Range** | Event | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects an *event* to a *thing* on which the *event* has or had some significant impact. | |
| **Scope Notes** | | |
| **Examples** | L'un des premiers programmes de numérisation aux Archives nationales de France *affects or affected* le fonds Napoléon [*record set*]. [fr] | |
| **Relation types** | Event relations | |
| **Broader relations** | RiC-R058 *has or had participant* | |
| **Narrower relations** | None | |

| ID | **RiC-R060** | |
|---|---|---|
| **Name** | ***is or was performed by*** | inverse relation: ***performs or performed*** |
| **Domain/Range** | Activity | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects an *activity* to an *agent* that performs or performed the *activity*. | |
| **Scope Notes** | | |
| **Examples** | Town planning *is or was performed by* City hall of Madrid [*corporate body]*. [en] | |
| **Relation types** | Event relations | |
| **Broader relations** | RiC-R058 *has or had participant* | |
| **Narrower relations** | None | |

| ID | **RiC-R061** | |
|---|---|---|
| **Name** | *results or resulted in* | inverse relation: *results or resulted from* |
| **Domain/Range** | Event | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects an *event* to a *thing* that results or resulted from the *event*. | |
| **Scope Notes** | | |
| **Examples** | A request made under the Freedom of Information Act 2000 *results or resulted in* *record resource* LCO 20/892 becoming available to researchers. | |
| **Relation types** | Event relations | |
| **Broader relations** | RiC-R057 *is event associated with* | |
| **Narrower relations** | RiC-R033i *documented by* (inverse of RiC-R033 *documents*) | |

| ID | **RiC-R062** | |
|---|---|---|
| **Name** | *is rule associated with* | inverse relation: *is associated with rule* |
| **Domain/Range** | Rule | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *rule* to a *thing* that is associated with the *rule*. | |
| **Scope Notes** | *Use* only if it is not possible to specify a narrower rule relation, for example, *regulates or regulated*. | |
| **Examples** | | |
| **Relation types** | Rule relations | |
| **Broader relations** | RiC-R001 is related to | |
| **Narrower relations** | RiC-R063 *regulates or regulated* <br> RiC-R064 *is or was expressed by* <br> RiC-R065 *issued by* <br> RiC-R066 *is or was enforced by* <br> RiC-R067 *authorizes* | |

| ID | **RiC-R063** | |
|---|---|---|
| **Name** | *regulates or regulated* | inverse relation: *is or was regulated by* |
| **Domain/Range** | Rule | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *rule* to a *thing* that it regulates or regulated. | |
| **Scope Notes** | | |
| **Examples** | Le 'Règlement intérieur de l'Assemblée nationale constituante' *regulates or regulated* l'Assemblée nationale constituante française (1789-1791) [*corporate body*]. Attribut *Date* de cette relation : 1789-07-29/1791-09-30. [fr] <br><br> La Universidad Complutense de Madrid [*corporate body*] *is or was regulated by* la Ley Orgánica 11/1983 de Reforma Universitaria (25-8-1983). [es] | |
| **Relation types** | Rule relations | |
| **Broader relations** | RiC-R062 *is rule associated with* | |
| **Narrower relations** | None | |

| ID | **RiC-R064** | |
|---|---|---|
| **Name** | *is or was expressed by* | inverse relation: *expresses or expressed* |

| Domain/Range | Rule | Record Resource |
|---|---|---|
| **Cardinality** | M to M | |
| **Definition** | Connects a *rule* to a *record resource* that expresses or expressed the *rule*. | |
| **Scope Notes** | | |
| **Examples** | The French *Déclaration des droits de l'homme et du citoyen*, dated 1793, August 13 *is or was expressed by* the *record* whose *instantiation* FRAN AE/II/3701 is held by the Archives nationales de France (see https://commons.wikimedia.org/wiki/File:Declaration_des_Droits_de_lHomme.jpg <accessed 20190912>). [en] | |
| **Relation types** | Rule relations | |
| **Broader relations** | RiC-R062 *is rule associated with* | |
| **Narrower relations** | None | |

| ID | **RiC-R065** | |
|---|---|---|
| **Name** | ***issued by*** | inverse relation: ***is responsible for issuing*** |
| **Domain/Range** | Rule | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *rule* to the *agent* that issued or published the *rule*. | |
| **Scope Notes** | | |
| **Examples** | Constitución Política de la Monarquía Española (1812) *issued by* The Cádiz Corts (1810-1814) [*corporate body*]. [es] | |
| **Relation types** | Rule relations | |
| **Broader relations** | RiC-R062 *is rule associated with* | |
| **Narrower relations** | None | |

| ID | **RiC-R066** | |
|---|---|---|
| **Name** | ***is or was enforced by*** | inverse relation: ***is or was responsible for enforcing*** |
| **Domain/Range** | Rule | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *rule* to an *agent* that enforces or enforced the *rule*. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Rule relations | |
| **Broader relations** | RiC-R062 *is rule associated with* | |
| **Narrower relations** | None | |

| ID | **RiC-R067** | |
|---|---|---|
| **Name** | ***authorizes*** | inverse relation: ***authorized by*** |
| **Domain/Range** | Mandate | Agent |
| **Cardinality** | M to M | |
| **Definition** | Connects a *mandate* to an *agent* to which the *mandate* gives the authority or competencies to act. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Rule relations | |

| Broader relations | RiC-R062 *is rule associated with* |
|---|---|
| Narrower relations | None |

| ID | **RiC-R068** | |
|---|---|---|
| Name | *is date associated with* | inverse relation: *is associated with date* |
| Domain/Range | Date | Thing |
| Cardinality | M to M | |
| Definition | Connects a *date* to a *thing* with whose existence and lifecycle the *date* is associated. | |
| Scope Notes | Use to connect a *date* and an entity only if it is not possible to specify a narrower date relation, for example, *is beginning date of*. | |
| Examples | 1932 *is date associated with* Princeton Antioch Excavation I [*event*]. [en] | |
| Relation types | Date relations | |
| Broader relations | RiC-R001 *is related to* | |
| Narrower relations | RiC-R069 *is beginning date of*<br>RiC-R071 *is end date of*<br>RiC-R073 *is modification date of*<br>RiC-R084 *is date of occurrence of*<br>RiC-R085 *is within*<br>RiC-R085i *has within*<br>RiC-R086 *intersects* | |

| ID | **RiC-R069** | |
|---|---|---|
| Name | *is beginning date of* | inverse relation: *has beginning date* |
| Domain/Range | Date | Thing |
| Cardinality | 1 to M | |
| Definition | Connects a *date* to a *thing* that came into existence on that *date*. | |
| Scope Notes | | |
| Examples | La Guerra de la Independencia Española [*thing] has beginning date* el 2 de mayo de 1808. [es] | |
| Relation types | Date relations | |
| Broader relations | RiC-R068 *is date associated with* | |
| Narrower relations | RiC-R070 is *birth date of*<br>RiC-R080 *is creation date of*<br>RiC-R081 *is or was creation date of all members of*<br>RiC-R082 *is or was creation date of some members of* | |

| ID | **RiC-R070** | |
|---|---|---|
| Name | *is birth date of* | inverse relation: *has birth date* |
| Domain/Range | Date | Person |
| Cardinality | 1 to M | |
| Definition | Connects a *date* to a *person* who was born on that *date*. | |
| Scope Notes | | |
| Examples | El 1 de mayo de 1852 *is birth date of* Premio Nobel, Santiago Ramón y Cajal. [es] | |
| Relation types | Date relations | |
| Broader relations | RiC-R069 *is beginning date of* | |

| | |
|---|---|
| **Narrower relations** | None |

<br>

| ID | **RiC-R071** | |
|---|---|---|
| **Name** | ***is end date of*** | inverse relation: ***has end date*** |
| **Domain/Range** | Date | Thing |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *date* to a *thing* whose existence ended on that *date*. | |
| **Scope Notes** | | |
| **Examples** | La Guerra de la Independencia Española [*thing*] *has end date* el 17 de abril de 1814. [es] | |
| **Relation types** | Date relations | |
| **Broader relations** | RiC-R068 *is date associated with* | |
| **Narrower relations** | RiC-R072 *is death date of* | |

<br>

| ID | **RiC-R072** | |
|---|---|---|
| **Name** | ***is death date of*** | inverse relation: ***has death date*** |
| **Domain/Range** | Date | Person |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *date* to a *person* who died on that *date*. | |
| **Scope Notes** | | |
| **Examples** | El Premio Nobel, Santiago Ramón y Cajal *has death date* el 17 de octubre de 1934. [es] | |
| **Relation types** | Date relations | |
| **Broader relations** | RiC-R071 *is end date of* | |
| **Narrower relations** | None | |

<br>

| ID | **RiC-R073** | |
|---|---|---|
| **Name** | ***is modification date of*** | inverse relation: ***has modification date*** |
| **Domain/Range** | Date | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *date* to a *thing* that was modified on that *date*. | |
| **Scope Notes** | | |
| **Examples** | 2010-03-05 *is modification date* of record WA 17/C5W/Z. [en] | |
| **Relation types** | Date relations | |
| **Broader relations** | RiC-R068 *is date associated with* | |
| **Narrower relations** | None | |

<br>

| ID | **RiC-R074** | |
|---|---|---|
| **Name** | ***is place associated with*** | inverse relation: ***is associated with place*** |
| **Domain/Range** | Place | Thing |
| **Cardinality** | M to M | |
| **Definition** | Connects a *place* to a *thing* with whose existence and lifecycle the *place* is associated. | |

| Scope Notes | Use to connect a *place* to an entity only if it is not possible to specify a narrower spatial relation, for example, *is or was location of*. |
|---|---|
| Examples | El Mar Jónico *is place associated with* la Batalla de Lepanto (1571) [*thing*]). [*es*] |
| Relation types | Spatial relations |
| Broader relations | RiC-R001 *is related to* |
| Narrower relations | RiC-R007 *contains or contained*<br>RiC-R007i *is or was contained by*<br>RiC-R075 *is or was location of*<br>RiC-R076 *is or was jurisdiction of*<br>RiC-R077 *is or was adjacent to*<br>RiC-R078 *overlaps or overlapped* |


| ID | RiC-R075 | |
|---|---|---|
| Name | *is or was location of* | inverse relation: **has or had location** |
| Domain/Range | Place | Thing |
| Cardinality | M to M | |
| Definition | Connects a *place* to a *thing* that is or was located in the *place*. | |
| Scope Notes | | |
| Examples | El *Archivo* General de Indias [*corporate body*] *has or had location* Sevilla. [*es*] | |
| Relation types | Spatial relations | |
| Broader relations | RiC-R074 *is place associated with* | |
| Narrower relations | None | |


| ID | RiC-R076 | |
|---|---|---|
| Name | *is or was jurisdiction of* | inverse relation: **has or had jurisdiction** |
| Domain/Range | Place | Agent |
| Cardinality | M to M | |
| Definition | Connects a *place* to an *agent* that has or had jurisdiction over the *place*. | |
| Scope Notes | Not to be confused with RiC-R075 *is or was location of*. | |
| Examples | El Tribunal Supremo [*corporate body*] *has or had jurisdiction* to do el territorio de España. [*es*] | |
| Relation types | Spatial relations | |
| Broader relations | RiC-R074 *is place associated with* | |
| Narrower relations | None | |


| ID | RiC-R077 | |
|---|---|---|
| Name | *is or was adjacent to* | inverse relation: *is or was adjacent to* |
| Domain/Range | Place | Place |
| Cardinality | M to M | |
| Definition | Connects two *places* that are or were geographically adjacent.<br><br>This relation is symmetric. | |
| Scope Notes | Use for connecting two adjacent geographical or administrative regions. | |
| Examples | The French Ain département *is or was adjacent to* the Haute-Savoie département. [*en*] | |

| Relation types | Spatial relations |
|---|---|
| Broader relations | RiC-R074 *is place associated with* |
| | RiC-R074i *is associated with place* |
| Narrower relations | None |

| ID | **RiC-R078** | |
|---|---|---|
| **Name** | ***overlaps or overlapped*** | inverse relation: ***overlaps or overlapped*** |
| **Domain/Range** | Place | Place |
| **Cardinality** | M to M | |
| **Definition** | Connects two *places* that geographically overlap or overlapped. This relation is symmetric. | |
| **Scope Notes** | Use for connecting two overlapping geographical or administrative areas. | |
| **Examples** | La région géographique française de la Bresse *overlaps or overlapped* la région administrative Auvergne-Rhône-Alpes. [fr] | |
| **Relation types** | Spatial relations | |
| **Broader relations** | RiC-R074 *is place associated with* | |
| | RiC-R074i *is associated with place* | |
| **Narrower relations** | None | |

| ID | **RiC-R079** | |
|---|---|---|
| **Name** | ***has author*** | inverse relation: ***is author of*** |
| **Domain/Range** | Record | Person or Group or Position |
| **Cardinality** | M to M | |
| **Definition** | Connects a *record* to the *group*, *person* or *position* that is responsible for conceiving and formulating the information contained in the *record*. | |
| **Scope Notes** | To be used for a *person*, *group* or *position* that makes any contribution to the content of a *record.* Includes the *person*, *group* or *position* in whose name or by whose command the content may have been formulated and first instantiated (for example the *person* who signed the *record*). | |
| **Examples** | Letter from Ernest Hemingway to Milford J. Baker *has author* Ernest Hemingway [*person*]. [en] | |
| **Relation types** | Provenance relations | |
| **Broader relations** | RiC-R027 *has creator* | |
| **Narrower relations** | None | |

| ID | **RiC-R080** | |
|---|---|---|
| **Name** | ***is creation date of*** | inverse relation: ***has creation date*** |
| **Domain/Range** | Date | Record Resource, Instantiation |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *date* to a *record resource* or *instantiation* that was created at this *date*. | |
| **Scope Notes** | When used for a *record set* (e.g. a file), it is the creation date of the *record set* itself rather than the creation date of the members of the *record set*. | |

|  | To record the creation date of members of the *record set*, use RiC-R081 *is or was creation date of all members of, RiC-R083 is or was creation date of most members of'* or RiC-R082 *is or was creation date of some members of'*. |
| --- | --- |
| **Examples** |  |
| **Relation types** | Date relations |
| **Broader relations** | RiC-R069 *is beginning date of* |
| **Narrower relations** | None |


| **ID** | **RiC-R081** |  |
| --- | --- | --- |
| **Name** | *is or was creation date of all members of* | inverse relation: ***has or had all members with creation date*** |
| **Domain/Range** | Date | Record Set |
| **Cardinality** | 1 to M |  |
| **Definition** | Connects a *date* to a *record set* all of whose present or past members were created at this *date*. |  |
| **Scope Notes** |  |  |
| **Examples** | 1959-1965 *is or was creation date of all members of* Alfonso Ortiz Collection of Native American Oral Literature. [en] |  |
| **Relation types** | Date relations |  |
| **Broader relations** | RiC-R069 *is beginning date of* |  |
| **Narrower relations** | None |  |


| **ID** | **RiC-R082** |  |
| --- | --- | --- |
| **Name** | *is or was creation date of some members of* | inverse relation: ***has or had some members with creation date*** |
| **Domain/Range** | Date | Record Set |
| **Cardinality** | M to M |  |
| **Definition** | Connects a *date* to a *record set s*ome of whose present or past members were created at this *date.* |  |
| **Scope Notes** |  |  |
| **Examples** |  |  |
| **Relation types** | Date relations |  |
| **Broader relations** | RiC-R069 *is beginning date of* |  |
| **Narrower relations** | RiC-R083 *is or was creation date of most members of* |  |

| ID | RiC-R083 | |
|---|---|---|
| **Name** | *is or was creation date of most members of* | inverse relation: *has or had most members with creation date* |
| **Domain/Range** | Date | Record Set |
| **Cardinality** | 1 to M | |
| **Definition** | Connects a *date* to a *record set* most of whose present or past members were created at this *date.* | |
| **Scope Notes** | To be used for specifying a bulk date, i.e., the predominant date of the members of the *record set.* | |
| **Examples** | 1888-1937 *is or was creation date of most members* of W. B. Yeats Collection [en] | |
| **Relation types** | Date relations | |
| **Broader relations** | RiC-R082 *is or was creation date of some members of* | |
| **Narrower relations** | None | |

| ID | RiC-R084 | |
|---|---|---|
| **Name** | *is date of occurrence of* | inverse relation: *occurred at date* |
| **Domain/Range** | Date | Event |
| **Cardinality** | M to M | |
| **Definition** | Connects a *date* to an *event* that occurred at this *date*. An *event* or *activity* can be recurrent, which implies that one single *event* can be related to several *dates*. | |
| **Scope Notes** | | |
| **Examples** | 1932 *is date of occurrence of* Princeton Antioch Excavation I. [en] | |
| **Relation types** | Date relations <br> Event relations | |
| **Broader relations** | RiC-R068 *is date associated with* <br> RiC-R057i *is associated with event* (inverse of RiC-R057 *is event associated with*) | |
| **Narrower relations** | None | |

| ID | RiC-R085 | |
|---|---|---|
| **Name** | *is within* | inverse relation: *has within* |
| **Domain/Range** | Date | Date |
| **Cardinality** | M to M | |
| **Definition** | Connects a *date* to a *date* in which it is contained. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Date relations <br> Whole/part relations | |
| **Broader relations** | RiC-R068 *is date associated with* <br> RiC-R068i *is associated with date* | |

| | RiC-R002i *is or was part of* (inverse of RiC-R002 *has or had part*) |
|---|---|
| **Narrower relations** | None |

<br>

| **ID** | **RiC-R086** | |
|---|---|---|
| **Name** | *intersects* | inverse relation: *intersects* |
| **Domain/Range** | Date | Date |
| **Cardinality** | M to M | |
| **Definition** | Connects two *dates* that overlap.<br>This relation is symmetric. | |
| **Scope Notes** | | |
| **Examples** | | |
| **Relation types** | Date relations | |
| **Broader relations** | RiC-R068 *is date associated with*<br>RiC-R068i *is associated with date* | |
| **Narrower relations** | None | |

<br>

## 5.5    Attributes of Relations

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| **ID** | **RiC-RA01** |
|---|---|
| **Name** | **Certainty of Relation** |
| **Definition** | Qualifies the level of certainty of the accuracy of the relation. |
| **Specifications** | |
| **Extensibility** | Not extensible |
| **Repeatability** | Not repeatable |
| **Value schema** | Model-based text; free text; controlled value |
| **Scope Notes** | |
| **Examples** | certain [en]<br><br>uncertain [en]<br><br>unknown [en] |

<br>

| **ID** | **RiC-RA02** |
|---|---|
| **Name** | **Date of Relation** |
| **Definition** | The *date* when the relation occurred. |
| **Specifications** | |
| **Extensibility** | |
| **Repeatability** | |
| **Value schema** | Rule-based value; model-based text; free text |
| **Scope Notes** | |

| Examples | *RiC-R073*: 2010-03-05 *is modification date* of *record* WA 17/C5W/Z. |
|---|---|
| | *Date of relation*: 2010-03-05 |
| | *RiC-R061*: A request made under the Freedom of Information Act 2000 *results or resulted in record resource* LCO 20/892 becoming available to researchers. |
| | *Date of relation*: 2005-12-14 |

| ID | **RiC-RA03** |
|---|---|
| **Name** | **Description of Relation** |
| **Definition** | Further information about a relation that is not otherwise addressed. |
| **Specifications** | |
| **Extensibility** | The attribute may be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Free text |
| **Scope Notes** | |
| **Examples** | *RiC-R073* :2010-03-05 *is modification date* of record WA 17/C5W/Z. |
| | *Description of relation*: The date when this born-digital record was last amended by its creator. |
| | *RiC-R061*: A request made under the Freedom of Information Act 2000 *results or resulted in record resource* LCO 20/892 becoming available to researchers. |
| | *Description of relation*: A record that was previously closed to public access became open to public access following a review requested by a member of the public. |

| ID | **RiC-RA04** |
|---|---|
| **Name** | **Identifier of Relation** |
| **Definition** | A word, number, letter, symbol, or any combination of these used to uniquely identify or reference an individual instance of a relation within a specific information domain. |
| **Specifications** | The attribute can include Global Persistent Identifiers (globally unique and persistently resolvable identifier for the relation) and/or Local Identifiers. |
| | Both the domain within which the identifier is unique, and the rules used in forming the identifier value should be provided with the identifier value. |
| **Extensibility** | May be extended with any number of specific attributes. |
| **Repeatability** | Repeatable |
| **Value schema** | Rule-based value; model-based text; free text |
| **Scope Notes** | Within a given domain (a closed system), identifiers are used to uniquely reference instances of a relation. Identifiers are instruments of control that facilitate management of the relations within the domain. The formulation of identifiers commonly is based on rules. |
| | In addition to an identifier needing to be unique within a domain, it is also highly desirable that it is persistent, that is, that the identifier uniquely identifies the relation over time. A variety of organizations provide rules for the formation of identifiers, and services designed to facilitate the persistence of the identifiers. Such |

identifiers are commonly referred to as Persistent Identifiers (or PIDS). PIDs conform to RFC 3986, but impose additional rules. Common examples are Archival Resource Keys (ARKS)[24] and Digital Object Identifiers (DOIs).[25]

Within the global environment of the Internet, there are special rules for the formation of identifiers to ensure that they are unique within the domain of the Internet. Such identifiers must conform to the Internet Engineering Task Force (IETF) Uniform Resource Identifier rules (RFC 3986).[26]

| | |
|---|---|
| **Examples** | |

| ID | RiC-RA06 |
|---|---|
| **Name** | **Place of Relation** |
| **Definition** | Information about the place of a relation. |
| **Specifications** | |
| **Extensibility** | The attribute may be extended with any number of specific attributes. |
| **Repeatability** | Not repeatable |
| **Value schema** | Controlled value |
| **Scope Notes** | |
| **Examples** | |

| ID | RiC-RA05 |
|---|---|
| **Name** | **Source of Relation** |
| **Definition** | A source of information used for identifying and describing the relation. |
| **Specifications** | Source could point to an identifier of a RiC *record resource* or of any cultural heritage object that is the source of the relation. |
| **Extensibility** | |
| **Repeatability** | Repeatable |
| **Value schema** | Model-based text; free text |
| **Scope Notes** | |
| **Examples** | *RiC-R073*: 2010-03-05 *is modification date* of *record* WA 17/C5W/Z.<br><br>*Source of relation*: Inherent metadata of the born-digital record<br><br>*RiC-R061*: A request made under the Freedom of Information Act 2000 *results or resulted in record resource* LCO 20/892 becoming available to researchers.<br><br>*Source of relation*:<br>https://webarchive.nationalarchives.gov.uk/ukgwa/20161208103940/http://www.nationalarchives.gov.uk/releases/2005/foi_december/foireleases.htm |

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[24] Available at ARK Alliance – Home of the Archival Resource Key (ARK) (arks.org) <accessed 20231106>.
[25] Available at http://www.doi.org/index.html <accessed 20231107>.
[26] Available at https://www.ietf.org/rfc/rfc3986.txt <accessed 20231107>.

## 5.6 List of Relations

The full list of relations in the table below is sorted by domain ID, then by range ID, and then by name (in alphabetical order). The list includes the inverse relations (whose IDs are formed using the ID of the relation, followed by the letter "i").

| Relation ID | Domain | ID of domain | Name | ID of range | Range | Inverse relation ID and name |
|---|---|---|---|---|---|---|
| RiC-R009i | Thing | RiC-E01 | follows in time | RiC-E01 | Thing | RiC-R009 precedes in time |
| RiC-R008i | Thing | RiC-E01 | follows or followed | RiC-E01 | Thing | RiC-R008 precedes or preceded |
| RiC-R002 | Thing | RiC-E01 | has or had part | RiC-E01 | Thing | RiC-R002i is or was part of |
| RiC-R002i | Thing | RiC-E01 | is or was part of | RiC-E01 | Thing | RiC-R002 has or had part |
| RiC-R001 | Thing | RiC-E01 | is related to | RiC-E01 | Thing | RiC-R001 is related to |
| RiC-R009 | Thing | RiC-E01 | precedes in time | RiC-E01 | Thing | RiC-R009i follows in time |
| RiC-R008 | Thing | RiC-E01 | precedes or preceded | RiC-E01 | Thing | RiC-R008i follows or followed |
| RiC-R021i | Thing | RiC-E01 | is or was described by | RiC-E02 | Record Resource | RiC-R021 describes or described |
| RiC-R020i | Thing | RiC-E01 | is or was main subject of | RiC-E02 | Record Resource | RiC-R020 has or had main subject |
| RiC-R019i | Thing | RiC-E01 | is or was subject of | RiC-E02 | Record Resource | RiC-R019 has or had subject |
| RiC-R036i | Thing | RiC-E01 | is or was under authority of | RiC-E07 | Agent | RiC-R036 has or had authority over |
| RiC-R037i | Thing | RiC-E01 | has or had owner | RiC-E08; RiC-E09; RiC-E12 | Person; Group; Position | RiC-R037 is or was owner of |
| RiC-R057i | Thing | RiC-E01 | is associated with event | RiC-E14 | Event | RiC-R057 is event associated with |
| RiC-R059i | Thing | RiC-E01 | is or was affected by | RiC-E14 | Event | RiC-R059 affects or affected |
| RiC-R058i | Thing | RiC-E01 | is or was participant in | RiC-E14 | Event | RiC-R058 has or had participant |
| RiC-R061i | Thing | RiC-E01 | results or resulted from | RiC-E14 | Event | RiC-R061 results or resulted in |
| RiC-R062i | Thing | RiC-E01 | is associated with rule | RiC-E16 | Rule | RiC-R062 is rule associated with |
| RiC-R063i | Thing | RiC-E01 | is or was regulated by | RiC-E16 | Rule | RiC-R063 regulates or regulated |
| RiC-R069i | Thing | RiC-E01 | has beginning date | RiC-E18 | Date | RiC-R069 is beginning date of |
| RiC-R071i | Thing | RiC-E01 | has end date | RiC-E18 | Date | RiC-R071 is end date of |

| | | | | | | |
|---|---|---|---|---|---|---|
| **RiC-R073i** | Thing | RiC-E01 | has modification date | RiC-E18 | Date | RiC-R073 is modification date of |
| **RiC-R068i** | Thing | RiC-E01 | is associated with date | RiC-E18 | Date | RiC-R068 is date associated with |
| **RiC-R075i** | Thing | RiC-E01 | has or had location | RiC-E22 | Place | RiC-R075 is or was location of |
| **RiC-R074i** | Thing | RiC-E01 | is associated with place | RiC-E22 | Place | RiC-R074 is place associated with |
| **RiC-R021** | Record Resource | RiC-E02 | describes or described | RiC-E01 | Thing | RiC-R021i is or was described by |
| **RiC-R020** | Record Resource | RiC-E02 | has or had main subject | RiC-E01 | Thing | RiC-R020i is or was main subject of |
| **RiC-R019** | Record Resource | RiC-E02 | has or had subject | RiC-E01 | Thing | RiC-R019i is or was subject of |
| **RiC-R012** | Record Resource | RiC-E02 | has copy | RiC-E02 | Record Resource | RiC-R012i is copy of |
| **RiC-R023** | Record Resource | RiC-E02 | has genetic link to record resource | RiC-E02 | Record Resource | RiC-R023 has genetic link to record resource |
| **RiC-R013** | Record Resource | RiC-E02 | has reply | RiC-E02 | Record Resource | RiC-R013i is reply to |
| **RiC-R012i** | Record Resource | RiC-E02 | is copy of | RiC-E02 | Record Resource | RiC-R012 has copy |
| **RiC-R022** | Record Resource | RiC-E02 | is record resource associated with record resource | RiC-E02 | Record Resource | RiC-R022 is record resource associated with record resource |
| **RiC-R013i** | Record Resource | RiC-E02 | is reply to | RiC-E02 | Record Resource | RiC-R013 has reply |
| **RiC-R025** | Record Resource | RiC-E02 | has or had instantiation | RiC-E06 | Instantiation | RiC-R025i is or was instantiation of |
| **RiC-R064i** | Record Resource | RiC-E02 | expresses or expressed | RiC-E16 | Rule | RiC-R064 is or was expressed by |
| **RiC-R028** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has accumulator | RiC-E07 | Agent | RiC-R028i is accumulator of |
| **RiC-R032** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has addressee | RiC-E07 | Agent | RiC-R032i is addressee of |
| **RiC-R030** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has collector | RiC-E07 | Agent | RiC-R030i is collector of |
| **RiC-R027** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has creator | RiC-E07 | Agent | RiC-R027i is creator of |
| **RiC-R039i** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has or had holder | RiC-E07 | Agent | RiC-R039 is or was holder of |
| **RiC-R038i** | Record Resource; Instantiation | RiC-E02; RiC-E06 | has or had manager | RiC-E07 | Agent | RiC-R038 is or was manager of |

| RiC-R026 | Record Resource; Instantiation | RiC-E02; RiC-E06 | has provenance | RiC-E07 | Agent | RiC-R026i is provenance of |
|---|---|---|---|---|---|---|
| RiC-R029 | Record Resource; Instantiation | RiC-E02; RiC-E06 | has receiver | RiC-E07 | Agent | RiC-R029i is receiver of |
| RiC-R031 | Record Resource; Instantiation | RiC-E02; RiC-E06 | has sender | RiC-E07 | Agent | RiC-R031i is sender of |
| RiC-R040i | Record Resource; Instantiation | RiC-E02; RiC-E06 | has or had intellectual property rights holder | RiC-E08; RiC-E09; RiC-E12 | Agent | RiC-R040 is or was holder of intellectual property rights of |
| RiC-R033 | Record Resource; Instantiation | RiC-E02; RiC-E06 | documents | RiC-E15 | Activity | RiC-R033i documented by |
| RiC-R024 | Record Set | RiC-E03 | includes or included | RiC-E03; RiC-E04 | Record Set; Record | RiC-R024i is or was included in |
| RiC-R024i | Record Set; Record | RiC-E03; RiC-E04 | is or was included in | RiC-E03 | Record Set | RiC-R024 includes or included |
| RiC-R011i | Record | RiC-E04 | has draft | RiC-E04 | Record | RiC-R011 is draft of |
| RiC-R010i | Record | RiC-E04 | has original | RiC-E04 | Record | RiC-R010 is original of |
| RiC-R011 | Record | RiC-E04 | is draft of | RiC-E04 | Record | RiC-R011i has draft |
| RiC-R010 | Record | RiC-E04 | is original of | RiC-E04 | Record | RiC-R010i has original |
| RiC-R003 | Record | RiC-E04 | has or had constituent | RiC-E05 | Record Part | RiC-R003i is or was constituent of |
| RiC-R079 | Record | RiC-E04 | has author | RiC-E08; RiC-E09; RiC-E012 | Person; Group; Position | RiC-R079i is author of |
| RiC-R003i | Record Part | RiC-E05 | is or was constituent of | RiC-E04 | Record | RiC-R003 has or had constituent |
| RiC-R025i | Instantiation | RiC-E06 | Is or was instantiation of | RiC-E02 | Record Resource | RiC-R025 has or had instantiation |
| RiC-R014 | Instantiation | RiC-E06 | has or had derived instantiation | RiC-E06 | Instantiation | RiC-R014i is or was derived from instantiation |
| RiC-R004 | Instantiation | RiC-E06 | has or had component | RiC-E06 | Instantiation | RiC-R004i is or was component of |
| RiC-R014i | Instantiation | RiC-E06 | is or was derived from instantiation | RiC-E06 | Instantiation | RiC-R014 has or had derived instantiation |
| RiC-R035 | Instantiation | RiC-E06 | is functionally equivalent to | RiC-E06 | Instantiation | RiC-R035 is functionally equivalent to |
| RiC-R034 | Instantiation | RiC-E06 | is instantiation associated with instantiation | RiC-E06 | Instantiation | RiC-R034 is instantiation associated with instantiation |

| | | | | | | |
|---|---|---|---|---|---|---|
| **RiC-R004i** | Instantiation | RiC-E06 | is or was component of | RiC-E06 | Instantiation | RiC-R004 has or had component |
| **RiC-R015i** | Instantiation | RiC-E06 | migrated from | RiC-E06 | Instantiation | RiC-R015 migrated into |
| **RiC-R015** | Instantiation | RiC-E06 | migrated into | RiC-E06 | Instantiation | RiC-R015i migrated from |
| **RiC-R036** | Agent | RiC-E07 | has or had authority over | RiC-E01 | Thing | RiC-R036i is or was under authority of |
| **RiC-R028i** | Agent | RiC-E07 | is accumulator of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R028 has accumulator |
| **RiC-R032i** | Agent | RiC-E07 | is addressee of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R032 has addressee |
| **RiC-R030i** | Agent | RiC-E07 | is collector of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R030 has collector |
| **RiC-R027i** | Agent | RiC-E07 | is creator of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R027 has creator |
| **RiC-R039** | Agent | RiC-E07 | is or was holder of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R039i has or had holder |
| **RiC-R038** | Agent | RiC-E07 | is or was manager of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R038i has or had manager |
| **RiC-R026i** | Agent | RiC-E07 | is provenance of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R026 has provenance |
| **RiC-R029i** | Agent | RiC-E07 | is receiver of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R029 has receiver |
| **RiC-R031i** | Agent | RiC-E07 | is sender of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R031 has sender |
| **RiC-R041i** | Agent | RiC-E07 | has or had controller | RiC-E07 | Agent | RiC-R041 is or was controller of |
| **RiC-R045** | Agent | RiC-E07 | has or had subordinate | RiC-E07 | Agent | RiC-R045i is or was subordinate to |
| **RiC-R046** | Agent | RiC-E07 | has or had work relation with | RiC-E07 | Agent | RiC-R046 has or had work relation with |
| **RiC-R016** | Agent | RiC-E07 | has successor | RiC-E07 | Agent | RiC-R016i is successor of |
| **RiC-R044** | Agent | RiC-E07 | is agent associated with agent | RiC-E07 | Agent | RiC-R044 is agent associated with agent |
| **RiC-R041** | Agent | RiC-E07 | is or was controller of | RiC-E07 | Agent | RiC-R041i has or had controller |
| **RiC-R045i** | Agent | RiC-E07 | is or was subordinate to | RiC-E07 | Agent | RiC-R045 has or had subordinate |
| **RiC-R016i** | Agent | RiC-E07 | is successor of | RiC-E07 | Agent | RiC-R016 has successor |

| | | | | | | |
|---|---|---|---|---|---|---|
| **RiC-R060i** | Agent | RiC-E07 | performs or performed | RiC-E15 | Activity | RiC-R060 is or was performed by |
| **RiC-R066i** | Agent | RiC-E07 | is or was responsible for enforcing | RiC-E16 | Rule | RiC-R066 is or was enforced by |
| **RiC-R065i** | Agent | RiC-E07 | is responsible for issuing | RiC-E16 | Rule | RiC-R065 issued by |
| **RiC-R067i** | Agent | RiC-E07 | authorized by | RiC-E17 | Mandate | RiC-R067 authorizes |
| **RiC-R076i** | Agent | RiC-E07 | has or had jurisdiction | RiC-E22 | Place | RiC-R076 is or was jurisdiction of |
| **RiC-R017i** | Person | RiC-E08 | has ancestor | RiC-E08 | Person | RiC-R017 has descendant |
| **RiC-R018** | Person | RiC-E08 | has child | RiC-E08 | Person | RiC-R018i is child of |
| **RiC-R017** | Person | RiC-E08 | has descendant | RiC-E08 | Person | RiC-R017i has ancestor |
| **RiC-R047** | Person | RiC-E08 | has family association with | RiC-E08 | Person | RiC-R047 has family association with |
| **RiC-R052** | Person | RiC-E08 | has or had correspondent | RiC-E08 | Person | RiC-R052 has or had correspondent |
| **RiC-R049** | Person | RiC-E08 | has or had spouse | RiC-E08 | Person | RiC-R049 has or had spouse |
| **RiC-R053i** | Person | RiC-E08 | has or had student | RiC-E08 | Person | RiC-R053 has or had teacher |
| **RiC-R053** | Person | RiC-E08 | has or had teacher | RiC-E08 | Person | RiC-R053i has or had student |
| **RiC-R048** | Person | RiC-E08 | has sibling | RiC-E08 | Person | RiC-R048 has sibling |
| **RiC-R018i** | Person | RiC-E08 | is child of | RiC-E08 | Person | RiC-R018 has child |
| **RiC-R050i** | Person | RiC-E08 | known by | RiC-E08 | Person | RiC-R050 knows of |
| **RiC-R051** | Person | RiC-E08 | knows | RiC-E08 | Person | RiC-R051 knows |
| **RiC-R050** | Person | RiC-E08 | knows of | RiC-E08 | Person | RiC-R050i known by |
| **RiC-R042** | Person | RiC-E08 | is or was leader of | RiC-E09 | Group | RiC-R042i has or had leader |
| **RiC-R055i** | Person | RiC-E08 | is or was member of | RiC-E09 | Group | RiC-R055 has or had member |
| **RiC-R054** | Person | RiC-E08 | occupies or occupied | RiC-E12 | Position | RiC-R054i is or was occupied by |
| **RiC-R070i** | Person | RiC-E08 | has birth date | RiC-E18 | Date | RiC-R070 is birth date of |
| **RiC-R072i** | Person | RiC-E08 | has death date | RiC-E18 | Date | RiC-R072 is death date of |
| **RiC-R079i** | Person; Group; Position | RiC-E08; RiC-E09; RiC-E012 | is author of | RiC-E04 | Record | RiC-R079 has author |
| **RiC-R037** | Person; Group; Position | RiC-E08; RiC-E09; RiC-E12 | is or was owner of | RiC-E01 | Thing | RiC-R037i has or had owner |

| | | | | | | |
|---|---|---|---|---|---|---|
| **RiC-R040** | Agent | RiC-E08; RiC-E09; RiC-E12 | is or was holder of intellectual property rights of | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R040i has or had intellectual property rights holder |
| **RiC-R042i** | Group | RiC-E09 | has or had leader | RiC-E08 | Person | RiC-R042 is or was leader of |
| **RiC-R055** | Group | RiC-E09 | has or had member | RiC-E08 | Person | RiC-R055i is or was member of |
| **RiC-R005** | Group | RiC-E09 | has or had subdivision | RiC-E09 | Group | RiC-R005i is or was subdivision of |
| **RiC-R005i** | Group | RiC-E09 | is or was subdivision of | RiC-E09 | Group | RiC-R005 has or had subdivision |
| **RiC-R056i** | Group | RiC-E09 | has or had position | RiC-E12 | Position | RiC-R056 exists or existed in |
| **RiC-R054i** | Position | RiC-E12 | is or was occupied by | RiC-E08 | Person | RiC-R054 occupies or occupied |
| **RiC-R056** | Position | RiC-E12 | exists or existed in | RiC-E09 | Group | RiC-R056i had or has position |
| **RiC-R059** | Event | RiC-E14 | affects or affected | RiC-E01 | Thing | RiC-R059i is or was affected by |
| **RiC-R058** | Event | RiC-E14 | has or had participant | RiC-E01 | Thing | RiC-R058i is or was participant in |
| **RiC-R057** | Event | RiC-E14 | is event associated with | RiC-E01 | Thing | RiC-R057i is associated with event |
| **RiC-R061** | Event | RiC-E14 | results or resulted in | RiC-E01 | Thing | RiC-R061i results or resulted from |
| **RiC-R006** | Event | RiC-E14 | has or had subevent | RiC-E14 | Event | RiC-R006i is or was subevent of |
| **RiC-R006i** | Event | RiC-E14 | is or was subevent of | RiC-E14 | Event | RiC-R006 has or had subevent |
| **RiC-R033i** | Activity | RiC-E15 | documented by | RiC-E02; RiC-E06 | Record Resource; Instantiation | RiC-R033 documents |
| **RiC-R060** | Activity | RiC-E15 | is or was performed by | RiC-E07 | Agent | RiC-R060i performs or performed |
| **RiC-R062** | Rule | RiC-E16 | is rule associated with | RiC-E01 | Thing | RiC-R062i is associated with rule |
| **RiC-R063** | Rule | RiC-E16 | regulates or regulated | RiC-E01 | Thing | RiC-R063i is or was regulated by |
| **RiC-R064** | Rule | RiC-E16 | is or was expressed by | RiC-E02 | Record Resource | RiC-R064i expresses or expressed |
| **RiC-R066** | Rule | RiC-E16 | is or was enforced by | RiC-E07 | Agent | RiC-R066i is or was responsible for enforcing |
| **RiC-R065** | Rule | RiC-E16 | issued by | RiC-E07 | Agent | RiC-R065i is responsible for issuing |
| **RiC-R067** | Mandate | RiC-E17 | authorizes | RiC-E07 | Agent | RiC-R067i authorized by |
| **RiC-R069** | Date | RiC-E18 | is beginning date of | RiC-E01 | Thing | RiC-R069i has beginning date |

| RiC-R068 | Date | RiC-E18 | is date associated with | RiC-E01 | Thing | RiC-R068i is associated with date |
|---|---|---|---|---|---|---|
| RiC-R071 | Date | RiC-E18 | is end date of | RiC-E01 | Thing | RiC-R071i has end date |
| RiC-R073 | Date | RiC-E18 | is modification date of | RiC-E01 | Thing | RiC-R073i has modification date |
| RiC-R070 | Date | RiC-E18 | is birth date of | RiC-E08 | Person | RiC-R070i has birth date |
| RiC-R072 | Date | RiC-E18 | is death date of | RiC-E08 | Person | RiC-R072i has death date |
| RiC-R075 | Place | RiC-E22 | is or was location of | RiC-E01 | Thing | RiC-R075i has or had location |
| RiC-R074 | Place | RiC-E22 | is place associated with | RiC-E01 | Thing | RiC-R074i is associated with place |
| RiC-R076 | Place | RiC-E22 | is or was jurisdiction of | RiC-E07 | Agent | RiC-R076i has or had jurisdiction |
| RiC-R007 | Place | RiC-E22 | contains or contained | RiC-E22 | Place | RiC-R007i is or was contained by |
| RiC-R077 | Place | RiC-E22 | is or was adjacent to | RiC-E22 | Place | RiC-R077 is or was adjacent to |
| RiC-R007i | Place | RiC-E22 | is or was contained by | RiC-E22 | Place | RiC-R007 contains or contained |
| RiC-R078 | Place | RiC-E22 | overlaps or overlapped | RiC-E22 | Place | RiC-R078 overlaps or overlapped |

# 6  Documenting Description

## 6.1   Introduction

Descriptions of *record resources* are themselves *records*. The description *record* is created by an *agent* performing an *activity*, describing a *record resource* and related contextual entities. As a result, RiC-CM does not provide a specialized set of entities, attributes, and relations for documenting archival description. This section will give a brief description of the basic contexts for archival description and provide some simple examples of how to document description using RiC-CM.

Documenting description involves four layers of context: 1) documenting the holding *agent*; 2) documenting the *position* responsible for processing and describing *records*; 3) documenting the archival description *record* itself; and, 4) documenting the evidence for assertions made in the description *record*. These layers go from broad to specific, much like zooming in on a web-based map. You start at the archive, then zoom further into the archival *position* performing the descriptive *activities*, then zoom further to the *record* itself, then finally to the content that makes up that *record*. Each layer is part of a whole, and RiC-CM makes it possible to describe each of these layers in a detailed manner, the broader layers providing essential context for the more specific.

## 6.2   Holding Agent

The broadest layer describes the holding *agent*, which has custody of and responsibility for managing archival *records*, and the *activities* pursued in fulfilment of this responsibility. The holding *agent* may have authority to perform its responsibilities derived from a *mandate*, and additional internal or external *rules* may and likely do govern the *activities*. *Rules* governing the *activities* of the holding *agent* may include, among others, national laws, institutional policy decisions, professional standards, or informal community agreements. The *activities* governed by the *rules* may cover a range of interrelated *activities* including acquisition, appraisal, processing, describing, and preservation.

Using RiC-CM entities and relations, a very high-level description of a university archives could look like this:
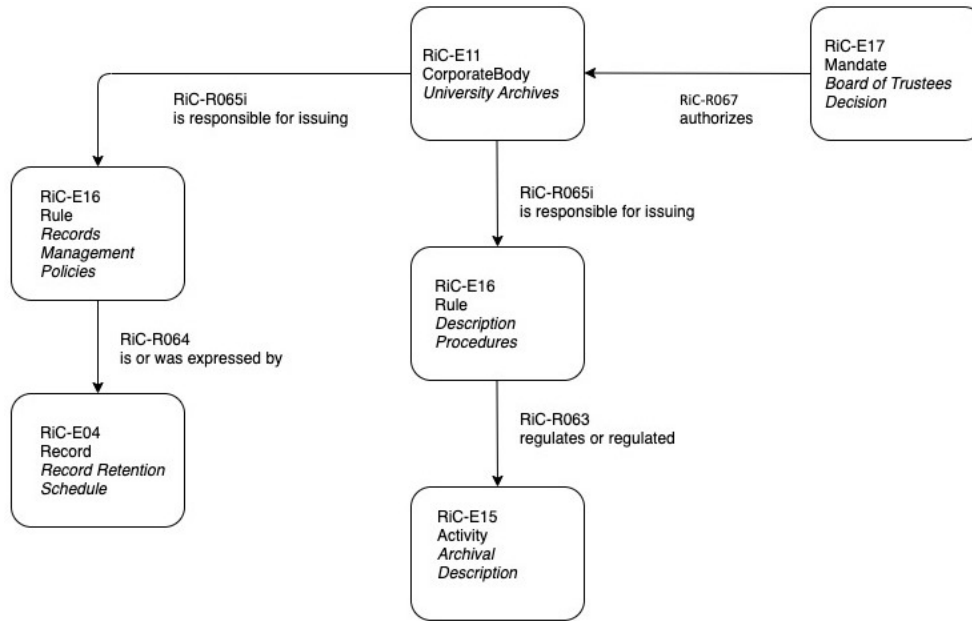
Figure 4: University archives description.

## 6.3   Position

The record keeping *activities* of the holding *agent* are performed by *positions* or *mechanisms* that have been given a *mandate* from the holding *agent* to perform record keeping *activities*. The *activities* of a *mechanism* are governed by *rules* and expressed in instructions executed by it, and a *position* is held by a *person*, who has training and experience, and whose work is also governed by organizational, professional or other external or internal *rules*. The distinction between *position* and *person* helps to understand in which role and for which tasks a *person* was active in an organization at a certain time.
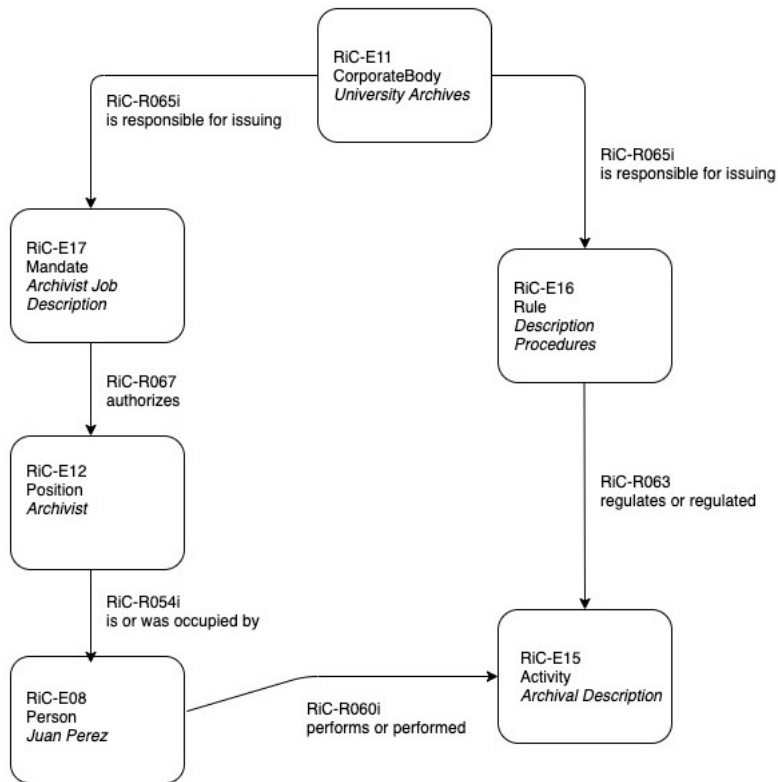
Figure 5: *Position* description for processing archivist.

## 6.4    Archival Resource Description

At this layer, context is provided for an instance of archival description, which can be as simple as documenting the evidence on which the description *record* is based, the describing *agent*, and the *date* of the describing. In that a description may be revised over time, the revision history may also be documented.

The following example shows basic documentation of a single archival description *record*:
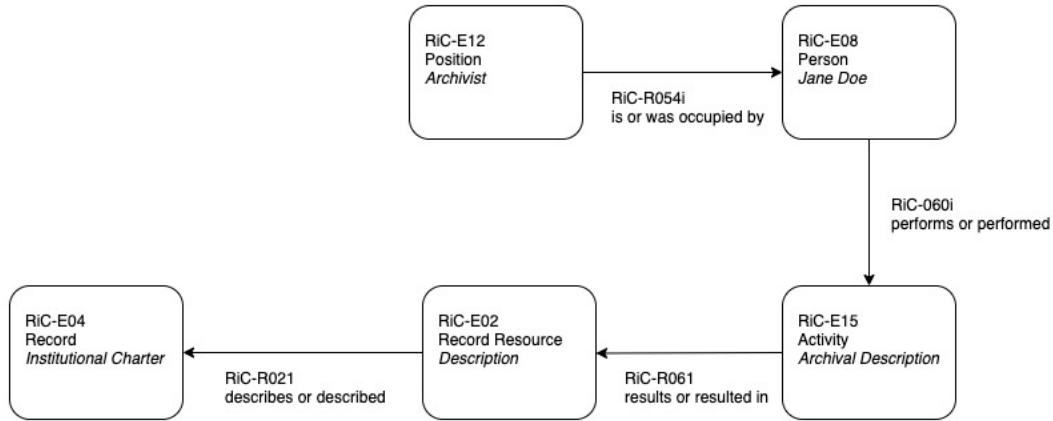
Figure 6: Description of a single archival description *record*.

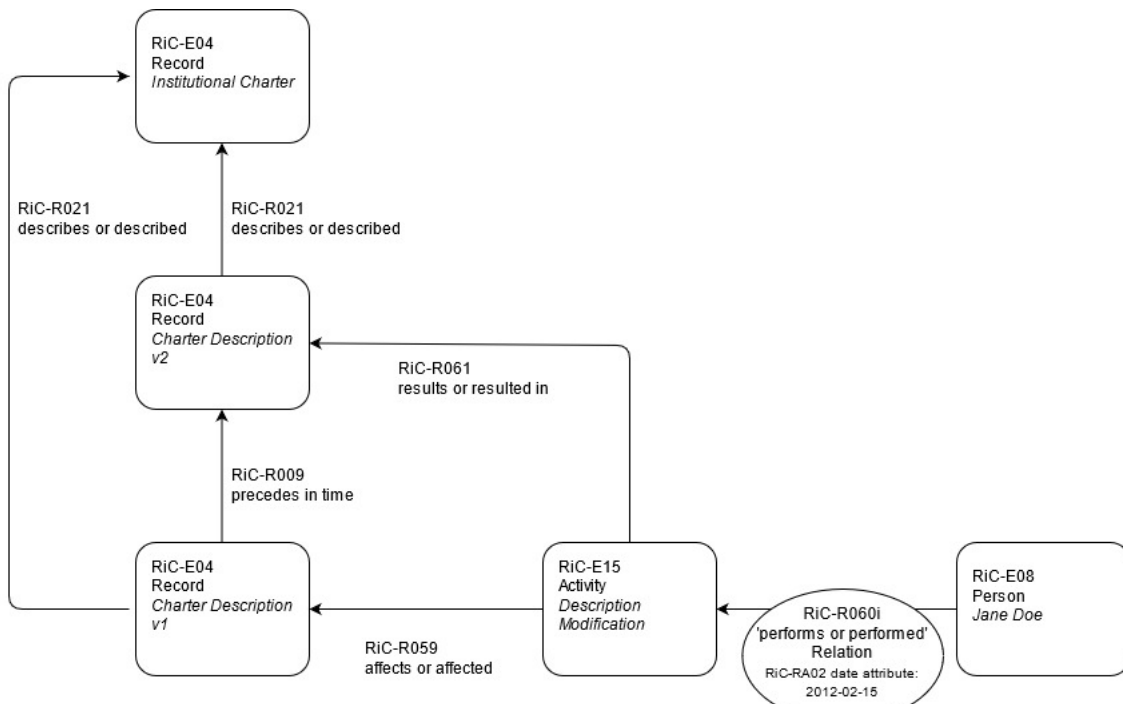And a modification to an existing description *record*:



Figure 7: Modification of single description *record*.

## 6.5    Description Assertion Verification

The final, and most specific layer of documenting description provides context for the content of the description itself and the assertions made within. At the most general, this could include reference to *records* that provide evidence for the content of the description as a whole, for example, which sources were used to compile the description, or could be as detailed as providing evidence for each statement made in the description, for example this source provided evidence for the birth and death *dates* of this *person*, and this source provided

evidence that these two *persons* were married. It is also worth noting that the context in each of the previous layers of documenting description provide important verification of the authority and social environment that contributes to the information in archival description.

The following example shows a source cited for verifying a single statement within archival description.
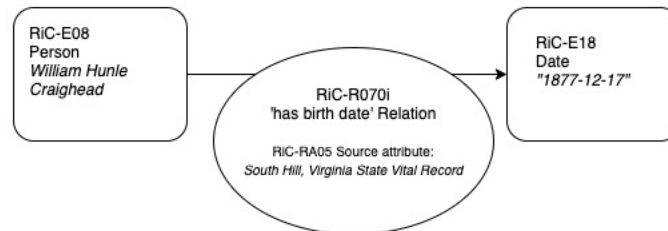


Figure 8: Description of an individual statement in an archival description *record.*

# 7 Appendices

## 7.1 Appendix 1 – EGAD Members

### 7.1.1 Current Members

| | | | |
|---|---|---|---|
| Monty Jacques Albert | Presidential Mail Department of the General Secretariat of the Presidency of the Republic | Cameroon | 2023- |
| Florence Clavaud | Archives nationales | France | 2012- |
| Adrian Cunningham | Retired Archivist | Australia | 2012- |
| Merel Q. Geerlings | City Archives Amsterdam | The Netherlands | 2023- |
| Alex Green | National Archives, U.K. | United Kingdom | 2021- |
| Regine Heberlein | Princeton University Library | United States | 2023- |
| Silke Jagodzinski | Bundesarchiv (2018-2019) Geheimes Staatsarchiv Preußischer Kulturbesitz (2020- ) | Germany | 2018- |
| Jan Krause | Archives cantonales vaudoises | Switzerland | 2023- |
| Stephanie Luke | University of Illinois Urbana-Champaign | United States | 2023- |
| Carina McDowell | Bibliothèque et Archives Canada / Library and Archives Canada | Canada | 2018- |
| Vitor Manoel Marques da Fonseca | Arquivo Nacional (Brasil); Universidade Federal Fluminense (2012-2015) Universidade Federal Fluminense (2016- ) | Brazil | 2012- |
| Gerhard Müller | Staatsbibliothek zu Berlin | Germany | 2018- |
| Victoria Peters | University of Strathclyde | United Kingdom | 2012- |
| Bonon Younous Pazimi | La Banque de Développement des États de l'Afrique Centrale (BDEAC) | Congo | 2023- |
| Daniel Pitti (chair) | University of Virginia (retired) | United States | 2012- |
| Bogdan-Florin Popovici | Arhivele Naţionale ale României | Romania | 2012- |
| Zdenka Semlic Rajh | Historical Archives Ljubljana | Slovenia | 2023- |
| Javier E. Requejo Zalama | Ministerio de Educación, Cultura y Deporte | Spain | 2014- |
| Bill Stockting | British Library (2012-2016) Royal Archives (2016- ) | United Kingdom | 2012- |
| Martin Stuerzlinger | ARCHIVERSUM | Austria | 2012- |
| Tobias Wildi | Docuteam GmbH (2019-2021) University of Applied Sciences of the Grisons (2021- ) | Switzerland | 2019- |

| Siân Wynn-Jones | The Purpose Business | United Kingdom | 2018- |
| Ivo Zandhuis | Consultant on digital access to cultural heritage and digital humanities | The Netherlands | 2023 |

### 7.1.2 Past Members

| Bethany Anderson | University of Virginia (2018-2019) University of Illinois, Urbana-Champaign (2019- ) | United States | 2019-2022 |
|---|---|---|---|
| Nils Brübach | Sächsisches Staatsarchiv / Saxon State Archives | Germany | 2012-2018 |
| Beatriz Franco Espiño | Ministerio de Educación, Cultura y Deporte (2012-2018) Archivos Comunidad de Madrid (2018- ) | Spain | 2012-2022 |
| Pete Johnston | Cambridge University Library | United Kingdom | 2012-2017 |
| Miia Herrala | Kansallisarkisto | Finland | 2016-2022 |
| Jaana Kilkki | Kansallisarkisto | Finland | 2013-2016 |
| Padré Lydie Gnessougou Baroan-Dioumency | Direction Générale du Trésor et de la Comptabilité Publique | Ivory Coast | 2012-2020 |
| Gavan McCarthy | University of Melbourne | Australia | 2012-2022 |
| Alice Motte | Service interministériel des Archives de France | France | 2013-2016 |
| Stéphanie Roussel | Service interministériel des Archives de France | France | 2015-2016 |
| Aaron Rubinstein | University of Massachusetts Amherst | United States | 2012-2022 |
| Claire Sibille | Service interministériel des Archives de France | France | 2012-2013 |
| Katherine (Kat) Timms | Bibliothèque et Archives Canada / Library and Archives Canada | Canada | 2013-2018 |
| Irene Van Bavel | Bibliothèque et Archives Canada / Library and Archives Canada | Canada | 2018-2020 |
| Salvatore Vassallo | Archivum Romanum Societatis Iesu | Italy | 2012-2022 |
| Stefano Vitali | Archivio centrale dello Stato | Italy | 2012-2022 |
| Hélène Zettel | Service interministériel des Archives de France | France | 2017 |

## 7.2    Appendix 2 – Overview of RiC-CM 0.1 to 0.2 Changes

The 0.2 release of the draft of RiC-CM introduced significant changes from the 0.1 release. The changes were based on extensive feedback from the professional community as well as new reflections on the part of the EGAD.

The introduction was substantially revised, giving more emphasis to RiC-CM's changing approach to archival description, due both to new technologies and to the broader view of context with its implications for the understanding of records.

The Entities section was completely revised. In the 0.2 version, entities were grouped hierarchically, starting from the root entity, *thing*, followed by the core entities of concern when describing archives (*record resource*, *instantiation*, and *agent*) and the supporting entities (*event*, *rule*, *date*, and *place*), which were then followed by the third- and fourth-level entities including the *activity* and *mandate* entities.

Due to their shared nature, the *record set*, *record* and *record part* (formerly Record Component) entities were grouped under the new *record resource* entity. A new entity, *instantiation*, was introduced, to distinguish clearly between the intellectual content of a *record* and its representation on one or more carriers. The former Function, Function (Abstract) and Activity entities were replaced by a single entity, *activity*, which is defined as a kind of newly-introduced *event* entity. A new *agent* entity, *mechanism*, was introduced in order to allow for the description of human technological proxies. The *position* entity was redefined as a kind of *agent*, while *family* and *corporate body* were identified as a kind of *group agent*.

What were called properties in the first release were reconfigured as *attributes*; they were listed together with definitions in a consistent format and by the entity with which they may be used.

The Relations section was completely rewritten. The number of relations was significantly reduced, resulting in seventy-eight relations, most of them having an inverse relation. The relations were organized in a poly-hierarchical system. Also, each of them was defined in a consistent format. The definitions, when appropriate, cover both past relations as well as those that are ongoing. Many examples were also provided to facilitate understanding and use.