

Hurley's COMMON PRACTICE RULES for the DOCUMENTATION of ARCHIVES & OTHER RECORDS

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For an overview of the conceptual under-pinning of *HCPR*, refer to [Documenting for Dummies](#). In *HCPR*, because the language of descriptive practice is so unstandardised, the terminology used there is applied here :

- **THE DEED ENTITY-TYPE :**

This refers to entities that are variously termed functions, activities, business activities, actions, mandates, authorisations, business, recordkeeping, relationships, and acts. Examples of the kind of entities that come within the Deed type include -

A Function Entity which might be a role or purpose, an end rather than the means by which it is accomplished.

Examples :

- ▶ we are going to assist low income earners to get affordable housing
- ▶ we are going to improve the welfare of Aborigines

An Activity Entity which might be the application of a Function enabling the outcome to be predicted in a specific instance.

Examples

- ▶ we are going to build and manage public housing units
- ▶ we are going to provide rent subsidies
- ▶ we are going to set up an Aboriginal Health Service
- ▶ we are going to steal your children

An Action Entity which might be a step taken in pursuance of an Activity in a specific instance.

Examples

- ▶ we are going to build a block of flats here and you will have one
- ▶ I am releasing a tender
- ▶ I am signing the contract now
- ▶ I am signing your lease agreement

- **THE DOCUMENT ENTITY-TYPE :**

This refers to entities that are variously termed *fonds and sous-fonds*, record groups, series and sub-series, sequences and super- or sub-sequences, items, files, documents, documentary objects, accessions, consignments, transfers, sets. Examples of the kind of entities that come within the Document type include -

A Group or Fonds Entity which might be a body of documentary material identified by its connections with one or more Doers.

Examples

- | | |
|-----------------------------------|---|
| ▶ The Elvis Presley Archive | ▶ The James Boswell Papers |
| ▶ The State Archives of Ruritania | ▶ The Ruritanian State Department Fonds |

A Sequence or Series Entity which might be a body of documentary material identified by the connections that exist between its component parts within the same context.

Examples

- | | |
|------------------------------|---------------------------------|
| ▶ Scores and Recordings | ▶ Invitations Sent and Received |
| ▶ Archives of the Presidency | ▶ Overseas Cables : Outwards |

A Document or Item Entity which might be a documentary object linked together with other documentary objects into a sequence or series.

Examples

- ▶ Love Me Tender (a score)
- ▶ Inauguration Ceremony Records
- ▶ 1946, August 13 : Offer of Aid to Transylvania
- ▶ 1754, October 19 : To Dr Johnson – invitation to dine at Stone's Chop House

- **THE DOER ENTITY-TYPE :**

This refers to entities that are variously termed organisations, agencies, persons, families, corporations, agents, actors, institutions with archival holdings, libraries, museums, collections, galleries, custodians.

Examples of the kind of entities that come within the Document type include -
A Corporation or Family Entity which might be an organisational grouping, autonomous state or corporation, persons associated by birth or marriage – being an entity that operates independently of its component parts or, in the case of a corporation sole, is legally distinct.

Examples

- ▶ United Nations Organisation
- ▶ The Tudors
- ▶ British Embassy, Washington
- ▶ Government of the Commonwealth of Australia
- ▶ Ministry of Foreign Affairs

An Actor, Agent, or Person Entity which might be a corporate body, business unit, or natural person that operates as a unitary entity within a corporate or family context.

Examples

- ▶ Secretary-General, UNO
- ▶ Henry VIII
- ▶ Kim Philby
- ▶ Commonwealth of Australia
- ▶ Minister of Foreign Affairs, Fred Nerk

The above examples are indicative only. In recordkeeping, an entity's nature is defined, not by its characteristics, but by its relationships with other entities. A file, for example, is both an *item* within a series and a *sequence* for organising documentary objects.



REFERENCES & CITATIONS

The great thing about standards is there are so many to choose from

AGRKMS

National Archives of Australia, *Australian Government Recordkeeping Metadata Standard* (version 2.0, July 2008)

DAIC

Australian Society of Archivists, Committee on Descriptive Standards, *Describing Archives in Context ; A Guide to Australasian Practice* (Canberra, Australian Society of Archivists, 2007)

EAD

US, Library of Congress, *Encoded Archival Description Tag Library* (version 2002) EAD Technical Document No.2.
 Note : EAD has not been analysed for HCPR; the references given below are taken from Appendix A Crosswalks : 1 A1 ISAD(G) to EAD and the EAD tag shown is in each case the one nominated by EAD as that corresponding to the ISAD rule cited.

ISAAR2

International Council on Archives, *ISAR(CPF) General International Standard Authority Record for Corporate Bodies, Persons and Families* (Ottawa, 2000) 2nd edition.

ISAD2

International Council on Archives, *ISAD(G) General International Standard Archival Description Authority Record for Corporate Bodies, Persons and Families* (Paris, 2004) 2nd edition.

ISDF1

International Council on Archives, *ISDF : International Standard for Describing Functions* (Paris, 2007) 1st edition.

ISDIAH1

International Council on Archives, *ISDIAH : International Standard for Describing Functions* (Paris, 2007) 1st edition.

KA3

Bettington, Jackie et al. (ed), *Keeping Archives* (Canberra, Australian Society of Archivists, 2008) 3rd edition.

NZRKMS

Archives New Zealand, *Technical Specifications for the Electronic Recordkeeping Standard* (June 2008)

QGRKMS

Queensland State Archives, *Queensland Recordkeeping Metadata Standard and Guideline* (Feb., 2008)

RKMS

Monash University, Records Continuum Research Group, Recordkeeping Metadata Project, *Recordkeeping Metadata Schema (RKMS) Version 1.0 Register* (May 2000, updated to August 2001)

SARKMS

State Records of South Australia, *South Australian Recordkeeping Metadata* (version 3, July 2008)

U 1.000.0 GENERAL INTRODUCTION TO HCPR

U 1.001.0 : How to Use the Rules

The Rules indicate how data should be handled when describing a universal recordkeeping object (URO), a super-type which has **three types** –

- **The Deed Entity-Type** : A documented activity or action, a power to act, or the invocation of an action (e.g. the process or step that is being documented in business and/or recordkeeping).
- **The Document Entity Type** : Any object or collection of documentary objects containing or conveying meaning.
- **The Doer Entity Type** : A corporate or natural person (an ISAAR “authority”) that does The Deed providing provenance or effects the action (includes records-creators and custodians).

For examples of the HCPR typology applied to entities found in the standards under review see **U 1.003.0**.

Every type has attributes in common with the URO and with other types and sub-types. The Rules for each entity-type or sub-type are broken down into **three categories** -

- **Identity Data** : Data that provides identifying features that distinguish one entity from other entities (a reference code or number, a name, dates). Also used for data needed in the management of the entity.
- **Descriptive Data** : All attributes of an entity that are not Identity Data or Relationship Data.
- **Relationship Data** : Data establishing and stipulating a defined relationship with another entity (of the same or a different sub-type). Relationships say how the entities are related and when they are related.

Each category of data has three data-types, corresponding to the three entities identified in *Documenting for Dummies* – viz. The Document, The Doer, and The Deed. The category and type of data is indicated in the shaded box **at the beginning of each section** of HCPR -

U 2.000.0 IDENTITY cont'd R 2.002.0 : Title/Name for The Document	CATEGORY OF DATA Type of Data
<i>Citations -</i> ▶ <u>ISAD 2</u> : 3.1.2 Title ▶ <u>RKMS Records</u> : 35.Title ▶ <u>AGRKMS Record</u> : 3.Name ▶ <u>SARKMS Record</u> : 3.Record Title ▶ <u>KA3 Series</u> : <Title> ▶ <u>DAIC Series</u> : <Title> The title names the Document and conveys some idea of its contents.	▶ <u>EAD</u> : <untitled> ▶ <u>NZARKMS Record</u> : 3.Name ▶ <u>QGRKMS Record</u> : 3.Record Title ▶ <u>KA3 Item</u> : <Title> ▶ <u>DAIC Item</u> : <Title>

Each data-type is broken down into one or more **areas** shown in the shaded boxes within each section of HCPR-

U 2.002.1 NAMING THE ENTITY This gives a handle by which the entity can be known in everyday dealings	AREA
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and within each area, one or more **common practice rules** are specified -

U 2.002.1a Give the entity a name Gives it a handle that people can remember e.g. Offer of employment	Common Practice Rule
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The statements shown in the unshaded boxes, therefore, are descriptive rules encompassing a variety of systems and schemas within which application rules for a particular programme may be fitted.

U 2.002.1a Give the entity a name	Common Practice Rule
<u>CBS Sequence - Main Screen – Attribute : Name</u> Preferred name of entity. Descriptive, free text title assigned by entity author. Required that name be prefaced by either 'CBA' (Commonwealth Bank), 'COL' (Colonial Inheritance incorporating Rural Bank Archives), 'SBV' (State Bank of Victoria Inheritance), or 'OTH' (Other Banks): These tags designate the super-sequence to which each sequence or sub-sequence belongs which in turn indicates the immediate source of acquisition (R 3.007.0) by the Archives.	

Similarly, the specifications set out in each of the standards and schemas cited may also be fitted there. In other words, the Common Practice Rules provide a reference model within which each of the standards and schemas could be rendered.

Other examples of implementation rules for titling of documents -

Assign a title to each unit of description

Give the series a name

Name the document and give it a title

Give the volume a title

Call the *fonds* something

Put a subject line in your emails

U 1.002.0 : Distinguishing Descriptions from the Thing Described

metonymy : substituting the name of an attribute or feature for the name of the thing itself (mixing up container for the thing contained : “he hit the bottle” meaning he drinks a lot)

metadata-tonymy : mixing up the description and the thing described (e.g. “John Smith is highly protected” meaning John Smith’s personnel file is not available to everybody).

In traditional description, the description and the thing described were managed as two different things. The *fonds* or series sits in shelves within a repository while the finding aids and other descriptive tools are held elsewhere – most recently on-line. This has been likened to the way metadata (finding aids) relate to data (*fonds* and series). In the digital world, the mind-set inherited from the traditional approach can lead to confusion. The entity-description of a person or function operates and is managed separately from the behaviour of the thing being described. It is the job of description to mimic or portray in the virtual world what happens to the thing being described in the “real” world. So far as the resource management process of which the entity-description is a part, however, there is no difference. In the virtual world, the entity-description IS the person or function and the “real” thing does not exist separately from that.

On the other hand, the digital world also has the capacity for the thing described to travel in conjunction with the description and for the two to be managed con-jointly. John Smith’s personnel file and an entity-description of the file, or John Smith himself, or both may be treated as

- One documentary object containing Smith’s career history as well as documentation of it;
- Two documentary objects linked so as to form a single super-object;
- Two (or three) related objects each controlled as entities in their own right;
- Completely unrelated objects (some documentary and at least one of flesh-and-blood) which are related by codes and names with which it is hoped to avoid confusion.

The entities dealt with *H CPR* may be :

- a description of something else, e.g. a description in a recordkeeping system of a hard copy file containing the career history of a person who exists in the “real” world;
- a description in a recordkeeping system that is linked to something else in an information network, e.g. a digital career history that is managed in conjunction with a personnel file held digitally in an electronic recordkeeping system;
- an information resource that contains both the thing described (data content) and the description of the data content (metadata), e.g. a metadata encapsulated object that comprises a personnel record containing a career history along with documentation of that career and carries permissions and authorisations necessary for the person to take action within the domain in which the resource operates – permissions and authorisations that can be invoked by the subject of the record and changed by those in authority over him.

Care must be taken, when an information resource is used to describe another information resource or something in the “real” world, to distinguish data used to describe this information resource from data used to describe something else (or the data content of this information resource). The entity-description for a Document, for example, may have different data values from the data content being described. Thus the physical quantity or extent of a series is different from the size of the series description (the number of pages, folios, or megabytes used in the entity-description). Often, the data value of an entity attribute and the corresponding quality of the thing being described is identical – the Name/Title of a person, for example, is the person’s name.

U 1.003.0 : HCPR Typology Applied to Entities Identified by Standards Under Review

The three entity-types represent a highly abstract idea about aspects of recordkeeping. They are conceptually broad enough to comprehend myriad differences in application. The applied entities must be true to type, i.e. they must fall within the conceptual boundaries of the type to which they belong, and conversely the types must be broad enough to enable all the applied entities of that type to fit comfortably. Most applications will want to limit the scope of the type(s) to particular applied entities that meet their requirements.

The types should be thought of as the broadest categorisations necessary to explain the applied entities while satisfactorily differentiating between them. It can be understood by thinking of the types as categories such as animal, vegetable, and mineral. The applied entities will have all the characteristics of the category to which they belong – apples and pears both have the characteristics of fruit – but they are quite different from each other within that boundary.

An entity-type is like the concept of “motorised vehicles”. You need to have that concept if you want to understand nifty sports cars, tractors, and go-carts but it is not sufficient to understand how a go cart works in relation to a sports car. Each of the applied entities is strikingly different from the others but is also identical, conceptually, to other motorised vehicles.

U 1.003.1 Examples of Applied Entities Within the Deed Entity-Type

A Business : An entity identified by *RKMS*, *AGRKMS*, and *NZRKMS*; it is an activity of some kind, usually repetitive within an activity or process that is repeatable or predictable.

- **An Ambient Function** : A sub-entity identified by *RKMS*, *AGRKMS*, and *NZRKMS*, it is a high-level Deed - defined as the “broader societal purpose fulfilled by functions” (*RKMS*) and as existing “outside the boundaries of an organisation” (*AGRKMS* & *NZRKMS*).
- **A Business Function** : A sub-entity identified by *RKMS*; it is the implementation of an Ambient Function in a particular context – defined as major units of mandated activity “performed by organisations or people in pursuance of their purposes” (*RKMS*).
- **A Function** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a “major responsibility managed by an organisation ... high-level aggregates of an organisation’s activities” (*AGRKMS* & *NZRKMS*). It is similar to a Business Function in *RKMS*.
- **A Business Activity** : A sub-entity identified by *RKMS*; it is a Deed that takes place in furtherance of a Business Function in *RKMS* – defined as activities undertaken by organisations or people in performance of their functions.
- **An Activity** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a “major task performed by an organisation to accomplish each of its functions” (*AGRKMS* & *NZRKMS*). It is essentially the same as a Business Activity in *RKMS*.
- **A Business Transaction** : A sub-entity identified by *RKMS*; it is an instance of an Activity – defined as acts, actions, decisions, communications, or the component parts of business processes.
- **A Transaction** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is the “smallest unit of business activity” (*AGRKMS* & *NZRKMS*). It is essentially the same as a Business Transaction in *RKMS*.
- **A Business-Recordkeeping** : A sub-entity identified by *RKMS*; it is an activity (function) carried out explicitly for a recordkeeping purpose.

A Business-Recordkeeping Ambient Function : A sub-sub-entity identified by *RKMS*; it is a high level Deed in furtherance of recordkeeping – defined as “broader societal purposes [that] the recordkeeping functions fulfil (*RKMS*).

A Business-Recordkeeping Function : A sub-sub-entity identified by *RKMS*; it is the implementation of a Business-Recordkeeping Ambient function in a particular context – defined as major units of mandated activity performed in pursuance of recordkeeping purposes.

A Business-Recordkeeping Activity : A sub-sub-entity identified by *RKMS*; it is a Deed that takes place in furtherance of a Business-Recordkeeping Function – defined as activities undertaken in performance of recordkeeping functions (*RKMS*).

A Business-Recordkeeping Transaction : A sub-sub-entity identified by *RKMS*; it is an instance of a Business-Recordkeeping Activity – defined as recordkeeping acts, actions, decisions, communications, or the component parts of recordkeeping processes.

A Function : A “category” used by *SARKMS* and *QGRKMS* to group Deeds. The “category” covers essentially the same ground as a Business entity in *RKMS*.

- **A Business Function** : An entity identified by *SARKMS* and *QGRKMS*; it is a grouping of Business Activities (SA), a responsibility managed by an Organisation to fulfil its goals (QLD). It is essentially the same as a Business Function in *RKMS*.
- **An Activity/Business Activity** : An entity identified by *SARKMS* and *QGRKMS*; it is a Deed that takes place in furtherance of a Business Function, an “aggregation of Transaction groups ... to achieve a

business outcome" (SA), "tasks performed ... to accomplish ... functions" (QLD). It is essentially the same as a Business Activity in *RKMS*.

- **A Transaction Group** : An entity identified by *SARKMS*; it is a Deed (presumed to be a process or sequence of transactions) that takes place in furtherance of a Business Activity. It is a form of Business Transaction in *RKMS*.
- **A Transaction** : An entity identified by *QGRKMS*; it is "the smallest unit of business activity" and it is a form of Business Transaction in *RKMS*.

A Function : An entity identified by *ISDF*; it is a "high level purpose, responsibility or task assigned to the accountability agenda of a corporate body by legislation, policy or mandate. Functions may be decomposed into sets of co-ordinated operations such as subfunctions, business processes, activities, tasks or transactions." It is similar in many ways to a Business in *RKMS*.

A Function : An entity identified by *KA3* and *DAIC* of the functional provenance type (*KA3*) or context-business type (*DAIC*); it is a "broad area of responsibility" (*DAIC*) and is similar to a Business Function in *RKMS*.

An Activity : An entity identified by *KA3* and *DAIC* of the functional provenance type (*KA3*) or context-business type (*DAIC*); it is a "group of tasks" undertaken to accomplish a Function (*DAIC*) - a Deed that takes place in furtherance of a Function - and is similar in many ways to a Business Activity in *RKMS*.

A Mandate : An entity identified by *AGRKMS* and *NZRKMS*; it is one way of conferring, withdrawing, or limiting the power to act.

- **A Legislative Deed (Legislation)** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a "legal mandate containing written laws" (*AGRKMS* & *NZRKMS*).
A Regulation : A sub-sub-entity identified by *AGRKMS* and *NZRKMS*; it is a "mandate that exists in a piece of subsidiary legislation" (*AGRKMS* & *NZRKMS*).
- **A Policy** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is "a set of generic instructions the manner in which, and the standards to which, business actions are to be performed" (*AGRKMS* & *NZRMS*).
- **A Business Rule** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a "set of discrete procedural instructions ... to meet specific business ... requirements" (*AGRKMS* & *NZRKMS*).
- **A Stakeholder Requirement** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is an "identified business need governing the retention, access and use of records" (*AGRKMS* & *NZRKMS*). Presumably, a Stakeholder Requirement governing other aspects of recordkeeping is a Community Expectation, but the distinction between "retention" and "created, kept or destroyed" is unclear.
- **A Community Expectation** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is an "expectation ... that business will be conducted in a particular way, or that particular records will be created, kept or destroyed" (*AGRKMS* & *NZRKMS*). The distinction between "created, kept or destroyed" and "retention" (cf. Stakeholder Requirement) is unclear.
- **A Standard** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a mandate requiring compliance or recommending best practice (*AGRKMS* & *NZRKMS*).
- **An Instrument** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a mechanism "by which a higher-level mandate is implemented" (*AGRKMS* & *NZRKMS*). The distinction between an Instrument and a Documentary Object or a Reference Document in *HCPR* is unclear unless Instrument conceptualises the action rather than its documentary embodiment.
- **A Code of Conduct** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a statement "of how an individual or ... group ... should conduct themselves" (*AGRKMS* & *NZRKMS*). It could be a sub-sub-entity of a Policy, a Business Rule, or a Standard - but it is unclear which.
- **A System Specification** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a statement of the functional requirements for a business system (*AGRKMS* & *NZRKMS*).

A Relationship : An entity identified by *AGRKMS* and *NZRKMS*; it is one way of invoking or establishing a connection between two entities.

- **A Provenance Relationship** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it "provides context to the creation and use" of Records (*AGRKMS* & *NZRKMS*).
- **A Recordkeeping Event** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is an action (current or planned) or a management activity carried out on a Record (*AGRKMS* & *NZRKMS*).

U 1.003.2 Examples of Applied Entities Within the Document Entity-Type

A Documentary Object : An entity identified by *HCPR*; it is writing, in physical or digital form, conveying or capable of conveying meaning that is managed as a single object. When managed under recordkeeping protocols and relied on as the basis, proof, or support of something, it is a Record, a Series, an Item, or a Unit of Description, etc.

- **A Reference Document** : A sub-entity identified by *HCPR*; it is a Documentary Object used in a business or recordkeeping transaction that is referred to (or is available to be referred to) but is not incorporated into the record of that transaction.

A Unit of Description : An entity identified by *ISAD2*; it is a documentary object or collectivity that is the object of “a single description”.

- **A Fonds** : A sub-entity identified by *ISAD2*; it is “the whole of the records” created by a person, family or corporate body in the course of that creator’s activities and functions.
- **A Sub-Fonds** : A sub-sub-entity identified by *ISAD2*; it is a “subdivision” of a Fonds.
- **A Series** : A sub-entity identified by *ISAD2*; it is an arrangement of documents resulting from “the same accumulation or filing process”.
- **A File** : A sub-entity identified by *ISAD2*; it is an arrangement of documents grouped together because “they relate to the same subject, activity, or transaction”.
- **An Item** : A sub-entity identified by *ISAD2*; it is the “smallest intellectually indivisible archival unit”.

A Record/Records : An entity identified by *RKMS*, *AGRKMS*, and *NZRKMS*; it is a an *HCPR* Documentary Object or collectivity of Documentary Objects that is meaningful owing to a connection with an event or circumstance when organised into relationships with other objects or with knowledge of that connection by means of description. The organisation/connection may be purposeful or accidental (*HCPR*).

- **A Collective Archives/Archives** : A sub-entity identified by *RKMS*, *AGRKMS*, and *NZRKMS*; it is all the records “within a specified society, jurisdiction, business or social sector brought into an encompassing framework” (*RKMS*), all those “within a specified society, jurisdiction or sector brought into an encompassing framework” (*AGRKMS* & *NZRKMS*).
- **A Corporate Archive/Recordkeeping System** : A sub-entity identified by *RKMS*; it is “the whole of the records of an organisation, or the corporate recordkeeping system” (*RKMS*).
- **An Archive** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is the “whole body of records of an organisation or individual” (*AGRKMS* & *NZRKMS*). It is similar to a Fonds in *ISAD2*.
- **A Record Aggregation** : A sub-entity identified by *RKMS*; it is an “organic grouping of records, series, files, or items” (*RKMS*). The use of “items” instead of Record Objects in this definition is confusing.
- **A Series** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is an accumulation of “Items” on the basis of a filing or business process or similarity of format/content. It is a sub-type of a Record Aggregation in *RKMS*. The *AGRKMS* definition uses the phrase “group of records” when defining series and *NZRKMS* uses “aggregation of records” but this is confusing since Series is itself a sub-entity of a Record entity.
- **A Record Object** : A sub-entity identified by *RKMS*; it is “the smallest unit of recorded information controlled by the recordkeeping system” (*RKMS*).
- **A File** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is “a sequence of items physically or virtually linked” to show evidence of organisational or business activity (*AGRKMS* & *NZRKMS*). It is a sub-type of an *RKMS* Record Aggregation but in some systems it might be an *RKMS* Record Object.
- **A Transaction Sequence** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is “a sequence of items physically or virtually linked” to show evidence of one coherent transaction “leading to a specific outcome” (*AGRKMS* & *NZRKMS*). It is a sub-type of an *RKMS* Record Aggregation but in some systems it might be an *RKMS* Record Object.
- **An Item** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is the “smallest discrete unit of records managed as an entity” (*AGRKMS* & *NZRKMS*) and is similar to a Record Object in *RKMS*.

A Record : A “category” used by *SARKMS* and *QGRKMS* to group Documents. The “category” covers much the same ground as a Record entity in *RKMS*.

- **A System/Recordkeeping System** : A sub-entity identified by *SARKMS* and *QGRKMS*; it is the recordkeeping system that captures and keeps records of a creator or function. It is similar to a Corporate Archive/Recordkeeping System in *RKMS*.
- **A Series** : An entity identified by *SARKMS* and *QGRKMS*; it is an accumulation of Items on the basis of a filing or business process or similarity of purpose or format. It is a type of a Record Aggregation in *RKMS*.
- **A Consignment** : An entity identified by *SARKMS*; it is a group of records kept together because they share the same disposal outcome.
- **A Box** : An entity identified by *SARKMS*; it is a “collection” of Items or files kept in a box.
- **A File** : An entity identified by *SARKMS* and *QGRKMS*; it is a group of related records (Items) documenting the same group of transactions.
- **A Transaction Sequence** : An entity identified by *QGRKMS*; it is a sequence of Items linked around a single “coherent transaction”
- **An Item** : An entity identified by *SARKMS* and *QGRKMS*; it is a “single record item” and is similar to a subordinate or granular Record Object in *RKMS*.

A (Record) Series : An entity identified by *KA3* and *DAIC* of the records type; it is defined in *DAIC* as a “group” of records resulting from the same business or recordkeeping activity or having something in common arising out of their creation or use. It is essentially the same as a Series in *AGRKMS* and *NZRKMS*.

An Item : An entity identified by *KA3* and *DAIC* of the records type; it is defined in *DAIC* as “an individual record unit”. It is essentially the same as an Item in *AGRKMS* and *NZRKMS*.

U 1.003.3 Examples of Applied Entities Within the Doer Entity-Type

An Agent : An entity identified by *RKMS*, *AGRKMS*, and *NZRKMS*; it undertakes, directly or vicariously, a business or recordkeeping action.

- **A Social Institution (duplicated under An Involved Party below)** : A sub-entity identified by *RKMS*; it is defined as institutions “associated” with Ambient Functions “in the sense of high level societal purposes”. It is apparent that *RKMS* intends it to be a sub-entity of Agents but it is here duplicated under Involved Party because the relationship between an Organisation/Corporate body and a Social Institution will be a superior/subordinate one only when a Business Function is mandated (e.g. by a sovereign government to a governmental agency). It appears that *RKMS* has broader or at least different “associations” in mind that take the operation of Social Institutions outside the scope of the Agent entity.
- **An Institution** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is groups of organisations associated with “broader” functions “in the sense of high-level societal purposes” (*AGRKMS* & *NZRKMS*). It is similar to a Social Institution in *RKMS*. The use of the term “broader functions” instead of Ambient Functions, however, makes it unclear whether it is intended to have as broad a sweep as Social Institution in *RKMS* and for that reason it is not duplicated under Involved Party (below).
- **An Organisation/Corporate Body** : A sub-entity identified by *RKMS*; it is “mandated to carry out” a Function (*RKMS*).
- **An Organisation** : A sub-entity identified by *AGRKMS*; it is a “distinct and recognisable body, such as an agency” with responsibility for carrying out “administrative functions” (*AGRKMS*). It is essentially the same as a subordinate Social Institution in *RKMS*.
- **An Agency** : A sub-entity identified by *NZRKMS*; it is identical to an Organisation *AGRKMS*.
- **An Organisational Unit/ Work Group** : A sub-entity identified by *RKMS*; it is a group responsible for an Activity (*RKMS*).
- **A Work Group** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a collection of people or positions aligned to achieve a business outcome (*AGRKMS* & *NZRKMS*). It is similar to an Organisational Unit/Work Group in *RKMS*.
- **A Person/Actor** : A sub-entity identified by *RKMS*; it is defined as “actors who carry out” Transactions. The Person/Actor in *RKMS* is, in some ways, a narrower concept than Person in *KA3*, *DAIC*, and *ISAAR2* but also broader because it probably includes the concept of position, function, or role.
- **A Person** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is “an individual who carries out business transactions” (*AGRKMS* & *NZRKMS*). It is essentially the same as Person/Actor in *RKMS*.
- **A Mechanism** : A sub-entity identified by *AGRKMS* and *NZRKMS*; it is a “physical mechanism or electronic system that carries out business transactions” (*AGRKMS* & *NZRKMS*) – the inanimate equivalent of a Person.

An Agent : A “category” used by *SARKMS* and *QGRKMS*; to group Doers. The “category” covers much the same ground as an Agent entity in *RKMS*.

- **An Organisation** : An entity identified by *QGRKMS*; it is a “collection of business groups” with a mandate to carry out “particular” functions. It could be equated with either an Institution in *AGRKMS* or with an Organisation in *AGRKMS*.
- **A Local Government Authority** : An entity identified by *SARKMS*; it is a collection of “Business Groups” in local government (SA). Similar to an Organisation in *AGRKMS*.
- **An Agency** : A sub-entity identified by *SARKMS*; it is a collection of “Business Groups” (SA). Similar to an Organisation in *AGRKMS*.
- **A Business Group** : A sub-entity identified by *SARKMS*; it is a collection of “Work Groups” and is similar to a superior Organisational Unit/Work group in *RKMS*.
- **A Work Group (Workgroup)** : An entity identified by *SARKMS* and *QGRKMS*; it is a collection of Positions (SA) or of people or positions (QLD). It is similar to a subordinate Organisational Unit/Work group in *RKMS*.
- **A Position** : An entity identified by *SARKMS*; it is “the established position” occupied by an “Individual”. It equates to a kind of Person/Actor in *RKMS*.
- **An Individual** : An entity identified by *SARKMS* and *QGRKMS*; it is an employee of an Agency or Local Government Authority (SA) or a person carrying out Business Transactions (QLD). It is essentially the same as a type of Person/Actor in *RKMS*.

An Organisation : An entity identified by *KA3* and *DAIC* of the ambient type; it is defined as a government, local authority, incorporated body, etc, that is “regarded as independent and autonomous in the performance of its ... functions”. It is essentially the same as a superior Organisation/Corporate Body in *RKMS*.

An Agency : An entity identified by *KA3* and *DAIC* of the provenance type; it is defined as a “distinct and recognisable part” of an Organisation that “usually has its own recordkeeping system”. It is essentially the same as a subordinate Organisation/Corporate Body in *RKMS*.

A Family : An entity identified by *KA3* and *DAIC* of the ambient type; it is defined as “a group of related persons”.

A Person : An entity identified by *KA3* and *DAIC* of the provenance type; it is defined in *DAIC* as a natural; person. It may be regarded as broader in scope than Person/Actor in *RKMS* or Individual in *SARKMS*. It probably equates more or less with Person in *ISAAR2*.

An Authority Record : An entity identified by *ISAAR2*; it is the “authorised form of name [of corporate bodies, families, and persons] combined with other information elements that identify and describe the named entity”.

- **A Family** : An undefined sub-entity identified by *ISAAR2*.
- **A Corporate Body** : A sub-entity identified by *ISAAR2*; defined in *ISAD2* as an organisation or group of persons that is identified by a particular name and that acts, or may act, as an entity.
- **A Person** : An undefined sub-entity identified by *ISAAR2*. Note : the definition of “Person” in *ISDF* stipulates that a person acting in a corporate capacity is a Corporate Body.
- **An Institution with Archival Holdings** : A sub-entity identified by *ISDIAH*; it is an organisation that keeps and preserves archival material and makes it available for use. It “may be described in *ISAAR(CPF)* compliant author records”.

An Involved Party : An entity identified for conceptualisation purposes; it is the correspondent, loan guarantor, victim of government oppression, etc. Two applied entities are included here : the Social institution (*RKMS*) which seems to have elements of both an Agent and an Involved Party and an External Author (*SARKMS*) which is generally not the creator of the record in a recordkeeping process (albeit a crucial party to the creation of the documentary object). This entity is alluded to in order to demonstrate that not all entities of The Doer type will undertake the business being recorded or keep the records of it. Considerably more work needs to be done to clarify the concept of Involved Parties who have a more than passing interest in the records but do not actually participate in a transaction embodied in the record (e.g. the family formed by a stolen child grown to adulthood, the aggrieved landowner victimised by a corrupt planning application).

- **A Social Institution (duplicated under An Agent above)** : A sub-entity identified by *RKMS*; it is defined as institutions “associated” with Ambient Functions “in the sense of high level societal purposes”. It is apparent that *RKMS* intends it to be a sub-entity of Agents but it is here duplicated under Involved Party because the relationship between an Organisation/Corporate body and a Social Institution will be superior/subordinate only when a Business Function is mandated (e.g. by a sovereign government to a governmental agency). It appears that *RKMS* has broader or at least different “associations” in mind that take the operation of Social Institutions outside the scope of the Agent entity (defined as the doer of business or recordkeeping actions).
- **An External Author** : A sub-entity identified by *SARKMS*; it is an “external” party responsible for the content of an Item.
- **A Regulator** : A sub-entity identified by *HCPR*; e.g. Australian Prudential Regulation Authority (APRA) for financial services institutions in Australia.
- **A Lender** : A sub-entity identified by *HCPR*; e.g. the mortgager identified in a contract of sale between a vendor and a purchaser of land.
- **A Seller** : A sub-entity identified by *HCPR*; e.g. the seller of property under mortgage in a transaction between a mortgager and a mortgagee.
- **A Purchaser** : A sub-entity identified by *HCPR*; e.g. the buyer identified in a mortgage discharge transaction between a seller of mortgaged property and the mortgager.
- **A Guarantor** : A sub-entity identified by *HCPR*; e.g. a party standing guarantor in a loan transaction between a bank and a borrower.
- **A Reference Group** : A sub-entity identified by *HCPR*; e.g. a sociological concept referring to a group to which an individual or another group is compared.