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

release : 1 July, 2009 *(2009.02).*

Comments on *HCPR : 2009(02)* are most welcome to *chris_hurley@ekit.com*.

HCPR began as a project mandated by the Australian Society of Archivists in the mid-1990s for the purpose of developing an *Australian Common Practice Manual (ACPM)*. The idea was to produce a local implementation (so far as possible) of *ISAD(G)*, then in development, using a normalisation of descriptive rules from selected Australian archives programmes. The *Manual* would then cross-walk these rules with those from *ISAD(G)*. At the time, the ICA Commission preparing *ISAD(G)*, on which I was then the Australian representative, envisaged similar local adaptations in every country. As we had expressed (and continued to express while I was there) disquiet about the direction which *ISAD(G)* had taken, it was felt to be important that an Australian manual should demonstrate how far we were compliant with international theory and practice as well as highlighting differences we felt to be beneficial but in no way heterodox – an application, in David Bearman's terms, of a variant method to achieve the agreed outcome or recordkeeping requirement.

Implicit in this purpose was a view that ours was the larger perspective, encompassing both the methodological aspirations of *ISAD(G)* and our own into a single descriptive framework capable of encompassing both as well as others - instead of adopting the narrow framework within which *ISAD(G)* was, in our view wrongly, being formulated[1] which we felt excluded acceptable variant methods (our own included). It was this larger perspective that we had unsuccessfully urged the ICA Commission on Descriptive Standards to adopt. As the number of ICA standards began to multiply and the Australian descriptive discourse became increasingly interested in metadata, this task became complicated and problematic. In 1997, ASA withdrew from the project. Under the Agreement subsisting between ASA and the author, rights in the project reverted to ASA and rights in the work (*ACPM*) reverted to the author. Under that Agreement, the author's publication rights over the work become absolute after ASA failed to take up its option to publish within a specified period from termination of the Agreement.

The work, since retitled *Hurley's Common Practice Rules*, continues to build upon information given by archives programmes under the auspices of the project. They are listed below. The author has removed all reference to them from *HCPR* but some of the examples which will be found in forthcoming supplementary material are still based on what they supplied. They have, however, had identifying codes and references removed, though their origin may still be recognisable. Participants in the *Australian Common Practice Manual* Project were –
- Australian Archives (subsequently National Archives of Australia)
- National Library of Australia
- Australian War Memorial
- Northern Territory Archives Service
- City of Sydney Archives
- University of Sydney Archives
- Queensland State Archives
- City of Adelaide Archives
- Public Record Office of Victoria
- State Archives of Western Australia

The release in 2000 of the *Recordkeeping Metadata Schema (RKMS)* by the Records Continuum Research Group based at Monash University added a new dimension to the work. The question became whether archival description and description in the metadata space could both be encompassed within the *HCPR* framework. Despite superficial dissimilarities and some conceptual problems, *HCPR* takes the view that they can. The release, during 2008, of no fewer than four metadata standards (*de novo* or in revision) by Australasian government archives programmes gave an opportunity to further test this proposition. In 2007/2008, the Australian Society of Archivists entered the lists with descriptive rules published as *Describing Archiving in Context* (2007) and a chapter on description in *Keeping Archives* (3rd edition, 2008). Both of these provide descriptive rules fashioned on the metadata model.

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[1] The *ISAD(G)* framework was embodied in a *Statement of Principles* which was the basis for the Commission's early work. Australian objections to these principles was sufficiently loud to result in my joining the Commission but at the first meeting I attended (Stockholm, 1993) it was decided almost at once not to review them but instead to treat them as an "historical" document. The opportunity to follow an agreed path was lost from that point on.

In the meantime, the ICA standards underwent substantial reorientation and became more accommodating to variant practice (as Australia and other critics had originally advocated nearly 20 years ago). The ICA standards have become less narrowly aligned to the original conceptual under-pinning articulated in the *Statement of Principles*, but this has happened in a somewhat ramshackle and incoherent way (in my view) as each new standard or revision was issued rather than in a co-ordinated and comprehensive manner. It remains my view that order can and should be brought to all this unnecessary diversification by revising them all as variants to a single reference model.

In summary, this 2009 edition of *HCPR* normalises the "rules" implicit in all of these descriptive standards and metadata schemas. For good measure, a cross-walk is done with *Encoded Archival Description (EAD)* but in this last case there is no analysis of *EAD* just a linking between EAD elements and *ISAD(G)* rules according to the cross-walk provided by *EAD* itself on its web site.

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 State Archives of Ruritania
    - ‣ The James Boswell Papers
    - ‣ 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
    - ‣ Archives of the Presidency
    - ‣ Invitations Sent and Received
    - ‣ 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   ‣ Government of the Commonwealth of Australia
‣ The Tudors   ‣ Ministry of Foreign Affairs
‣ British Embassy, Washington

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   ‣ Commonwealth of Australia
‣ Henry VIII   ‣ Minister of Foreign Affairs, Fred Nerk
‣ Kim Philby

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.

Chris Hurley, Sydney (23 February, 2009)

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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
Citations - ▸ *ISAD 2* : 3.1.2 Title ▸ *EAD* : <unittitle> ▸ *RKMS Records* : 35.Title ▸ *AGRKMS Record :* 3.Name ▸ *NZRKMS Record :* 3.Name ▸ *SARKMS Record* : 3.Record Title ▸ *QGRKMS Record* : 3.Record Title ▸ *KA3 Series :* <Title> ▸ *KA3 Item :* <Title> ▸ *DAIC Series :* <Title> ▸ *DAIC Item :* <Title> **The title names the Document and conveys some idea of its contents.**	

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

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

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 CBS Sequence - Main Screen – Attribute : Name 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.	Common Practice Rule

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 *HCPR* 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** : A sub-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*.

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.

U 2.000.0 IDENTITY U 2.001.0 : Reference Code(s)	CATEGORY OF DATA Type of Data
R 2.001.0 : Reference Code(s) for The Document	**Type of Data**

Citations –
- ▸ *ISAD 2* : 3.1.1 Reference Code(s)
- ▸ *EAD* : <eadid> with COUNTRY CODE and MANAGENCYCODE attributes
       <unitid> with COUNTRY CODE and REPOSITORYCODE attributes
- ▸ *ISAD 2* : 3.1.4 Level of Description   ▸ *EAD* : <archdesc> and <c>LEVEL attribute
- ▸ *RKMS Records* : 33.Category Type 34.Identifier
- ▸ *AGRKMS Record* : 0.Entity Type 1.Category 2.Identifier
- ▸ *NZRKMS Record* : 0.Entity Type 1.Category 2.Identifier
- ▸ *SARKMS Record* : 1.Record Category Type 2.Record Identifier
- ▸ *QGRKMS Record* : 1.Record Category Type 2.Record Number
- ▸ *KA3 Series* : <Identifier>   ▸ *KA3 Item* : <Item number>
- ▸ *DAIC Series* : <Identifier>   ▸ *DAIC Item* : <Identifier>

The reference code uniquely identifies the Document to yourself and to the world and distinguishes it from all other entities. You may add or incorporate identifying data from other fields (e.g. name, date) and other schemes (e.g. country codes).

P 2.001.0 : Reference Code(s) for The Doer	**Type of Data**

Citations –
- ▸ *ISAAR2* : 5.1.1 Type of entity 5.1.6 Identifiers for corporate bodies 5.4.1 Authority record identifier
       5.4.5 Level of detail
- ▸ *ISDIAH* : 5.1.1 Identifier 5.1.5 Type of institution with archival holdings 5.6.1 Description identifier
       5.6.5 Level of detail
- ▸ *RKMS Agents* : 23.Category Type 24.Identifier
- ▸ *AGRKMS Agent* : 0.Entity Type 1.Category 2.Identifier
- ▸ *NZRKMS Agent* : 0.Entity Type 1.Category 2.Identifier
- ▸ *SARKMS* : 17.Agent Category Type 18.Agent Identifier
- ▸ *QGRKMS* : 18.Agent Category Type 19.Agent Identifier
- ▸ *KA3 Organisation etc.* : <Unique Identifier>   ▸ *KA3 Agency etc.*: <Identifier>
- ▸ *DAIC Organisation etc.* : <Identifier>   ▸ *DAIC Agency etc.*: <Identifier>

The reference code uniquely identifies the Doer to yourself and to the world and distinguishes it from all other entities. You may add or incorporate identifying data from other fields (e.g. name, date) and other schemes (e.g. country codes).

F 2.001.0 : Reference Code(s) for The Deed	**Type of Data**

Citations –
- ▸ *ISDF* : 5.1.1 Type 5.4.1 Function description identifier   ▸ *RKMS Business* : 01.Category Type 02.Identifier
- ▸ *RKMS Recordkeeping* : 12.Category Type 13.Identifier
- ▸ *AGRKMS Business* : 0.Entity Type 1.Category 2.Identifier
- ▸ *NZRKMS Business* : 0.Entity Type 1.Category 2.Identifier
- ▸ *AGRKMS Mandate* : 0.Entity Type 1.Category 2.Identifier
- ▸ *NZRKMS Mandate* : 0.Entity Type 1.Category 2.Identifier
- ▸ *AGRKMS Relationship* : 0.Entity Type 1.Category 2.Identifier
- ▸ *NZRKMS Relationship* : 0.Entity Type 1.Category 2.Identifier
- ▸ *SARKMS* : 25.Function Category Type 26.Function Identifier
- ▸ *QGRKMS* : 25.Function Category Type 26.Function Identifier
- ▸ *KA3 Function etc.* : <Number>   ▸ *DAIC Function etc.* : <Identifier>

The reference code uniquely identifies the Deed to yourself and to the world and distinguishes it from all other entities. You may add or incorporate identifying data from other fields (e.g. name, date) and other schemes (e.g. country codes).

Metadata-tonymy : This is the identifier for the entity-description in your descriptive scheme. It may be your role to confer this identifier on the entity in the "real world" (e.g. if you control the registration of public companies). It may incorporate or have added to it identifying codes or numbers assigned by someone else either to the entity being described or to your entity-description of it (e.g. in a union catalogue, company codes, ISBNs).

Scope Note –
- **Entity-Typology** : Use this for type of entity or type of entity-description rather than **U 3.002.0** (Summary Description).
- **Geographical or Locator Codes** : Use these here unless they are incorporated into the name, **R 2.002.0**.

- **Data from Other Fields** : The code may comprise, add or incorporate data from other fields (e.g. name or date) and data exchange codes (e.g. country codes incorporated into the identifier).
- **System Codes** : It may be a control number, record number, document number, or system-generated code used, in conjunction with Control Data (**U 2.004.0**), to manage the entity and/or entity-description within your descriptive scheme or your recordkeeping system.
- **Level** : Data that specifies the type or category of entity (e.g. business function, agency, etc.) or the "level of description" (e.g. *fonds*, *sous-fonds*, item, etc.) is dealt with here if it is primarily used, alone or in combination with other data, to reference the entity. Otherwise, if drawn from a classification scheme and used primarily to assist in discovery, it may be dealt with as Summary Data (**U 3.002.0**).
- **Record Type** : As used in *SARKMS* and *QGRKMS* is not to be confused with entity-type. Record types are a classification and are placed in Summary Description (**U 3.002.0**)

U 2.001.1 CODES APPLIED FROM YOUR SCHEME This gives an identifying code or number from your scheme	**AREA**
a. Give the entity a unique code or number The number it is known by in your scheme e.g. A Document : Series CBS 1234 A Doer : Agent CBA 1027 A Deed : Function CBF 2026	**Common Practice Rule**
b. Add or incorporate additional codes if need be Allows a modifier to be included e.g. entity A1234 (A = Canberra office)	**Common Practice Rule**
c. Identify the level or category of description if need be Allows other information to be encoded e.g. CRS A1234 (series held at Canberra)	**Common Practice Rule**
d. Additional codes may be applied from other schemes Allows other codes to be added under U 2.001.2	**Common Practice Rule**
U 2.001.2 CODES APPLIED FROM OTHER SCHEMES This gives an identifying code or number from someone else's scheme	**AREA**
a. Add or incorporate a code or description applied by someone else Permits use of other numbers e.g. ACN 9876, company number	**Common Practice Rule**
b. Use an agreed code or description to say who you are See ISAD(G) on repository identifiers	**Common Practice Rule**
c. Use another code or description to say where you are See ISAD(G) on country codes	**Common Practice Rule**
d. Use a code or description to say what you are Allows you to say whether you are an archives; library, bank, etc.	**Common Practice Rule**
e. Stipulate what scheme(s) they come from Allows you to say what the schemes are that additional codes come from	**Common Practice Rule**
U 2.001.3 PRIOR CODES This gives an identifying code or number no longer in use	**AREA**
a. Add or incorporate superseded codes Allows you to keep old references alongside the current ones	**Common Practice Rule**
b. Stipulate what prior scheme(s) they come from Allows you to say where they were used and when	**Common Practice Rule**

U 2.000.0 IDENTITY cont'd U 2.002.0 : Title/Name	CATEGORY OF DATA Type of Data
R 2.002.0 : Title/Name for The Document	*Type of Data*

Citations -
- ▸ *ISAD 2* : 3.1.2 Title
- ▸ *RKMS Records* : 35.Title
- ▸ *AGRKMS Record :* 3.Name
- ▸ *SARKMS Record* : 3.Record Title
- ▸ *KA3 Series :* <Title>
- ▸ *DAIC Series :* <Title>

- ▸ *EAD* : <unittitle>
- ▸ *NZRKMS Record :* 3.Name
- ▸ *QGRKMS Record* : 3.Record Title
- ▸ *KA3 Item :* <Title>
- ▸ *DAIC Item :* <Title>

The title names the Document and conveys some idea of its contents.

P 2.002.0 : Title/Name for The Doer	**Type of Data**

Citations -
- ▸ *ISAAR2 :* 5.1.2 Authorised form(s) of name 5.1.3 Parallel form(s) of name
  5.1.4 Standardised forms of name according to other rules 5.1.5 Other forms of name
- ▸ *ISDIAH :* 5.1.2 Authorised form(s) of name 5.1.3 Parallel form(s) of name 5.1.4 Other forms of name
- ▸ *RKMS Agents* : 25.Title
- ▸ *AGRKMS Agent :* 3.Name
- ▸ *SARKMS* : 19.Agent Title
- ▸ *KA3 Organisation etc.:* <Title/Name>
- ▸ *DAIC Organisation etc.:* <Title>

- ▸ *NZRKMS Agent :* 3.Name
- ▸ *QGRKMS* : 20.Agent Title
- ▸ *KA3 Agency etc.:* <Title/or Name>
- ▸ *DAIC Agency etc.:* <Title>

The title names the Doer and conveys some idea of its character, role or activity.

F 2.002.0 : Title/Name for The Deed	**Type of Data**

Citations -
- ▸ *ISDF :* 5.1.2 Authorised form(s) of name 5.1.3 Parallel form(s) of name 5.1.4 Other form(s) of name
- ▸ *RKMS Business* : 03.Title
- ▸ *AGRKMS Business :* 3.Name
- ▸ *AGRKMS Mandate :* 3.Name
- ▸ *AGRKMS Relationship :* 3.Name
- ▸ *SARKMS* : 27.Function Title
- ▸ *KA3 Function etc.:* <Title>

- ▸ *RKMS Recordkeeping* : 14.Title
- ▸ *NZRKMS Business :* 3.Name
- ▸ *NZRKMS Mandate :* 3.Name
- ▸ *NZRKMS Relationship :* 3.Name
- ▸ *QGRKMS* : 27.Function Title
- ▸ *DAIC Function etc.:* <Title>

The title names the Deed and conveys some idea of its character or use.

Metadata-tonymy : The name is of the thing described, on the principle that the name in the entity-description accurately depicts the name borne by that thing. This may be affected by geography (e.g. incorporating a current place-name instead of the contemporary one used in a title borne by the thing being described) or by time (e.g. modernising archaic or unpleasant spelling or terms : e.g. "Holocaust" for "Final Solution").

Scope Note –
- **Geographical or Locator Codes** : Unless these are incorporated into the name, use these in Reference Code (**R 2.001.0**).

U 2.002.1 NAMING THE ENTITY This gives a handle by which the entity can be known in everyday dealings	AREA
a. Give the entity a name Gives it a handle that people can remember e.g. A Document : Offer of employment A Doer : The Big Investments Corporation A Deed : Offer of employment	**Common Practice Rule**
b. Use the given name if there is one (transcribed title) Gives preference to a name it already has	**Common Practice Rule**
c. Otherwise, make one up (composed title) Allows you to make one up if it hasn't	**Common Practice Rule**
d. Don't use the same name twice without differentiation Make identical names different somehow e.g. A Document : Offer of employment to John Smith A Doer : Ministry of Foreign Affairs 2 A Deed : Offer of employment 2007.07.26.0090823	**Common Practice Rule**
e. Explain terms not in general use	**Common Practice Rule**

Lets you assist people who may not know what you're talking about	
f. Be consistent about use of most recent form of name Set a rule and stick to it	**Common Practice Rule**
g. Use data from other fields sparingly Don't repeat dates and description etc. in the name	**Common Practice Rule**
h. Use data about other entities sparingly Use relationships instead e.g. avoid "index to series 5432"	**Common Practice Rule**
U 2.002.2 ALTERNATIVE FORMS OF NAME/TITLE When it has more than one handle these should also be given, including names it has in other people's descriptive systems	**AREA**
a. You can add or incorporate alternative forms of name in the title Allows you to say all the other names you haven't used in the preferred name e.g. A Document : A Doer : A Deed :	**Common Practice Rule**
b. You can add or incorporate abbreviations in the title Abbreviations etc., can be incorporated and explained or treated as alternative names	**Common Practice Rule**
c. You can add or incorporate pre- and/or post-nominals You must decide how to treat honorifics, awards, etc.	**Common Practice Rule**
d. If you don't, put them somewhere else If they aren't in the name, they should be in the description	**Common Practice Rule**
U 2.002.3 SEVERAL THINGS TREATED AS ONE ENTITY Collective names should, as far as possible, cover everything	**AREA**
a. The title should refer to or encompass all Make the title inclusive e.g. Australasia if New Zealand is part of it	**Common Practice Rule**
b. Subordinate names may be given for component entities The component parts can be itemised e.g. New Zealand for Australasia	**Common Practice Rule**
U 2.002.4 PARALLEL TITLE(S) Parallel names are a special kind of alternative handle – where no priority should be given between one name and another. This is usually in countries with policies or practices involving bilingualism, e.g. Canada, Eire, New Zealand	**AREA**
a. Say what it is Give the parallel Name e.g. Te Rua Mahara o te Kāwanatanga	**Common Practice Rule**
b. Say what language it is in Say it is Maori name for Archives New Zealand (or vice versa)	**Common Practice Rule**

U 2.000.0 IDENTITY cont'd U 2.003.0 : Dates	CATEGORY OF DATA Type of Data
R 2.003.0 : Dates for The Document	**Type of Data**

Citations -
- ▸ *ISAD 2* : 3.1.3 Date(s)   ▸ *EAD* : <unitdate>
- ▸ *RKMS Records* : 36.Date
- ▸ *AGRKMS Record* : 4.Date Range   ▸ *NZRKMS Record* : 4.Date Range
- ▸ *SARKMS Record* : 5.Record Date   ▸ *QGRKMS Record* : 5.Record Date
- ▸ *KA3 Series* : <Series start date> <Series end date> <Contents start date> <Contents end date>
- ▸ *KA3 Item* : <Start date> <End date>
- ▸ *DAIC Series* : <Series creation start date> <Series creation end date> <Series contents start date>
       <Series contents end date>   ▸ *DAIC Item* : <Start date> <End date>

Dating adds to the identity of the Document by fixing it within a chronological reference or limits.

P 2.003.0 : Dates for The Doer	**Type of Data**

Citations -
- ▸ *ISAAR2* : 5.2.1 Dates of existence   ▸ *ISDIAH* : no reference
- ▸ *RKMS Agents* : 26.Date
- ▸ *AGRKMS Agent* : 4.Date Range   ▸ *NZRKMS Agent* : 4.Date Range
- ▸ *SARKMS* : 20.Agent Date   ▸ *QGRKMS* : 21.Agent Date
- ▸ *KA3 Organisation etc.:* <Start date> <End date>
- ▸ *KA3 Agency etc.:* <Start date (birth date)> <End date (death date)>
- ▸ *DAIC Organisation etc.:* <Start date> <End date>   ▸ *DAIC Agency etc.:* <Start date> <End date>

Dating adds to the identity of the Doer by fixing it within a chronological reference or limits.

F 2.003.0 : Dates for The Deed	**Type of Data**

Citations -
- ▸ *ISDF* : 5.2.3 Dates
- ▸ *RKMS Business* : 04.Date   ▸ *RKMS Recordkeeping* : 15.Date
- ▸ *AGRKMS Business* : 4.Date Range   ▸ *NZRKMS Business* : 4.Date Range
- ▸ *AGRKMS Mandate* : 4.Date Range   ▸ *NZRKMS Mandate* : 4.Date Range
- ▸ *AGRKMS Relationship* : 4.Date Range   ▸ *NZRKMS Relationship* : 4.Date Range
- ▸ *SARKMS* : 29.Function Date   ▸ *QGRKMS* : 29.Function Date
- ▸ *KA3 Function etc.* : <Start date> <End date>   ▸ *DAIC Function etc.* : <Start date> <End date>

Dating adds to the identity of the Deed by fixing it within a chronological reference or limits.

Metadata-tonymy : The dating of the entity-description will often be different to the dating of the thing described, except in the case of digital documentary objects and registration systems. This is best handled by dealing with dates for the entity-description (e.g. date authored, date revised, date deleted) under **U 2.004.0** (Control Data) even if that involves duplication.

Scope Note –
- • **Activity** : Dates of activity (The Doer and The Deed) and use (The Document) may be broader or narrower than dates of existence. Post-mortem activity, though rare, is not unknown. Formal or statutory existence is not synonymous with activity.
- • **Validity** : Dating may be affected by failure/withdrawal of or modification/variations to authority, permissions, applicability during the course of existence or at the beginning/end.
- • **Contents of The Document** : Dates of contents and use may be broader or narrower than dates of existence. Dates of accumulation of accessions, consignments and items may be different to dates of existence of the Document they make up.
- • **Effect of a Deed** : The effective dates of a Deed may be broader or narrower than dates of existence.
- • **Control** : For dating use **U 2.004.0**.
- • **Description** : For date-sensitive attributes – Related Legislation (**U 3.001.0**) – use rules shown there.
- • **Business Rules** : For date when the rules have or were applied use **U 3.006.0**
- • **Relationships** : For dating use **U 4.000.0**.
- • **Disposal Action** : For dating use **R 3.104.0** or **F 3.301.0**.

U 2.003.1 DATING THE ENTITY Dates say when it existed, when it was operational or functional, when it was active, when its component parts existed, etc.	**AREA**
a. Give dates for existence of the entity being described When it was "created" and when it ceased to exist.	**Common Practice Rule**

b. Some entities are reconstituted This allows you to treat it as one despite the time gap	**Common Practice Rule**
c. Give additional dates where necessary This allows you add dates for contents of series, activity of agents, etc.	**Common Practice Rule**
U 2.003.2 EXPRESSION OF DATES This says what conventions to use when expressing dates	**AREA**
a. Use a range of dates to show beginning and end e.g. 1948-2006	**Common Practice Rule**
b. Use an open date range if still current Adopt a convention e.g. 1948-ct	**Common Practice Rule**
c. Use a single date where appropriate You will need a convention to distinguish single date from the start of a range	**Common Practice Rule**
d. Show doubt or uncertainty if you don't know e.g. by-, post-, after-,circa-, ? (n.b. systems do not like these)	**Common Practice Rule**

R 2.004.0 : Control Data for The Document	Type of Data

Citations -
- ▸ *ISAD 2* : 3.7.3 Date(s) of Description   ▸ *EAD* : <processinfo><p><date>
- ▸ *RKMS Records* : 46.Control 51.Event History
- ▸ *AGRKMS Record* :25.Precedence   ▸ *NZRKMS Record* :no reference
- ▸ *SARKMS Record* : 16.Record Event History   ▸ *QGRKMS Record* : 15.Record Event History
- ▸ *KA 3 Control Data* :<Registered by> <Date registered> <Registration status> <Amendment date> <Amendment>
- ▸ *DAIC Control* :<Registration status> <Registered by> <Date registered>

This data tells how the Document has been managed within your descriptive scheme and/or your recordkeeping system.

P 2.004.0 : Control Data for The Doer	Type of Data

Citations -
- ▸ *ISAAR2* : 5.4.2 Institution identifier 5.4.4 Status 5.4.6 Dates of creation, revision or deletion
- ▸ *ISDIAH* : 5.6.2 Institution identifier 5.6.4 Status 5.6.6 Dates of creation, revision or deletion
- ▸ *RKMS Agents* : no reference
- ▸ *AGRKMS Agent* :no reference   ▸ *NZRKMS Agent* :no reference
- ▸ *SARKMS* : 24.Agent Event History   ▸ *QGRKMS* : 24.Agent Event History
- ▸ *KA 3 Control Data* : <Registered by> <Date registered> <Registration status> <Amendment date> <Amendment>
- ▸ *DAIC Control* :<Registration status> <Registered by> <Date registered>

This data tells how the entity-description of the Doer has been managed within your descriptive scheme and/or your recordkeeping system.

F 2.004.0 : Control Data for The Deed	Type of Data

Citations -
- ▸ *ISDF* : 5.4.2 Institution identifiers 5.4.4 Status 5.4.6 Dates of creation, revision or deletion
- ▸ *RKMS Business* : no reference   ▸ *RKMS Recordkeeping* : no reference
- ▸ *AGRKMS Business* : no reference   ▸ *NZRKMS Business* : no reference
- ▸ *AGRKMS Mandate* : no reference   ▸ *NZRKMS Mandate* : no reference
- ▸ *AGRKMS Relationship* : 7.Change History   ▸ *NZRKMS Relationship* : 7.Change History
- ▸ *SARKMS* : 34.Function Event History   ▸ *QGRKMS* : 34.Function Event History
- ▸ *KA 3 Control Data* : <Registered by> <Date registered> <Registration status> <Amendment date> <Amendment>
- ▸ *DAIC Control* :<Registration status> <Registered by> <Date registered>

This data tells how the entity-description of the Deed has been managed within your descriptive scheme and/or your recordkeeping system.

Metadata-tonymy : This invariably refers to data about the entity-description. Conceptually, it is data about the management of the entity-description as a record – the document management rules applicable to The Document. It is not, therefore, data about The Deed or The Doer but only about The Document that describe them. In *AGRKMS* and *NZRKMS*, however, document management appears to be handled using a "relationship entity" (sub-entity type actually) that operates on The Document only – an approach that deals with document management actions in **U 4.000.0** (Relationships). In *SARKMS* and *QGRKMS* and in the ICA standards, control data is given for all three entity types. To avoid compounding the confusion, control data is dealt with here as a universal rule rather than as a Document management rule.

Scope Note –
- **Code** : A control number, record number, document number, or system-generated code used, in conjunction with other Control Data, to manage the entity and/or entity-description within your descriptive scheme or your recordkeeping system should be dealt with under Reference Code(s) (**U 2.001.0**)**.**
- **Format codes :** Use Characteristics of The Document (**R 3.106.0**)
- **Level** : Data that specifies the type or category of entity (e.g. business function, agency, etc.) or the "level of description" (e.g. *fonds*, *sous-fonds*, item, etc.) and is primarily used, alone or in combination with other data, to reference the entity is dealt with as a Reference Code (**U 2.001.0**). If it is drawn from a classification scheme and used primarily to aid discovery, it is dealt with as Summary Data (**U 3.002.0**).
- **Security and Permissions**: Security codes and security classification are dealt with under Access/ Permissions (**U 3.008.0**), including data on who is entitled to ownership, custody, possession, and use of both the entity being described and the entity-description. Control Data should be used for information about who has conferred, been given and/or exercised these permissions and when.
- **Change History** : In *AGRKMS* and *NZRKMS* the change history, in addition to keeping track of changes to relationships under **U 4.000.0**, also tracks other changes to the management of the entity (e.g. changes to mandate). To reflect this, the element is duplicated here.

U 2.004.1 AUTHORSHIP AND REVIEW This says who prepared or created it and when – see **U 3.008.0** for permissions	**AREA**
a. Say when it is authored and who did it Identify yourself as the author of this	**Common Practice Rule**
b. Say when it is (or will be) reviewed and who reviewed it e.g. was/will be reviewed o 25 October, YYYY	**Common Practice Rule**
U 2.004.2 MODIFICATION AND DELETION This says who changed it or removed it and when – see **U 3.008.0** for permissions	**AREA**
a. Say when it is revised or added to and who did it e.g. revised by John Smith on 23 March, 2003	**Common Practice Rule**
b. Say when it is deleted/purged and who did it e.g. deleted by Fred Jones under Rule 7.02.5 (exception 1) on 15 April, 2008	**Common Practice Rule**
U 2.004.3 OWNERSHIP AND CONTROL This says who has been able to do things with it and when – see **U 3.008.0** for permissions	**AREA**
a. Say when there is a change in ownership/control and to whom e.g. this agency passed from control of Ministry A to Ministry B on 15 June, 2007	**Common Practice Rule**
b. Say when there is a change to custodianship and to whom e.g. these records passed from the agency into Archives on 23 September, 2004	**Common Practice Rule**
U 2.004.3 POSSESSION AND USE This says who has been able to use it and when – see **U 3.008.0** for permissions	**AREA**
a. Say when there is a change to possession and who to e.g. these records passed from the agency into Archives on 23 September, 2004	**Common Practice Rule**
b. Say when it was used, how, and by whom e.g. this function was in abeyance from 1989 to 2001	**Common Practice Rule**
U 2.004.4 STATUS OF THE ENTITY-DESCRIPTION This says how complete it is	**AREA**
a. Say what stage your understanding of the entity has reached e.g. this entity is final	**Common Practice Rule**
b. Say what stage your description of the entity has reached e.g. the description, however, is still draft	**Common Practice Rule**
c. Say when there is a change in status e.g. it became provisional on 23 July, 2008	**Common Practice Rule**

U 3.000.0 DESCRIPTION U 3.001.0 : Legislation/Mandate	CATEGORY OF DATA Type of Data

R 3.001.0 : Legislation/Mandate for The Document	Type of Data

Citations -
- ▸ *ISAD 2 :* no reference
- ▸ *AGRKMS Record* : no reference
- ▸ *SARKMS Record* : no reference
- ▸ *KA Series :* no reference
- ▸ *DAIC Series :* no reference

- ▸ *RKMS Records* : 37.Mandate
- ▸ *NZRKMS Record* : no reference
- ▸ *QGRKMS Record* : no reference
- ▸ *KA Item :* no reference
- ▸ *DAIC Item :* no reference

Any legislation, regulation, or source of authority/control of some kind stipulating creation or content of the Document(s) being described, that affects the recordkeeping process (including confidentiality or access), or impinges on the conduct of the business processes they document.). Includes authorisation/validation of the Document by a Doer or Deed competent to mandate its application or use.

P 3.001.0 : Legislation/Mandate for The Doer	Type of Data

Citations -
- ▸ *ISAAR2 :* 5.2.6 Mandates/Sources of authority
- ▸ *RKMS Agents* : 27.Mandate
- ▸ *AGRKMS Agent* : no reference
- ▸ *SARKMS* : no reference
- ▸ *KA 3 Organisation etc.:* Mandate
- ▸ *DAIC Organisation etc.:* Mandate

- ▸ *ISDIAH :* 5.3.3 Mandates/Sources of authority

- ▸ *NZRKMS Agent* : no reference
- ▸ *QGRKMS* : no reference
- ▸ *KA 3 Agency etc.:* Mandate
- ▸ *DAIC Agency etc.:* Mandate

Any legislation, regulation, or source of authority/control of some kind stipulating or recording the existence, role, or character of the Doer(s), that affects their involvement with The Deed or The Document (including confidentiality or access), affects the Doer's powers, responsibilities, ambit of operation, or conduct. Includes authorisation/validation of the existence, role, or actions of the Doer by a Deed or another Doer competent to mandate or authorise it

F 3.001.0 : Legislation/Mandate for The Deed	Type of Data

Citations -
- ▸ *ISDF :* 5.2.4 Legislation
- ▸ *RKMS Business* : 05.Mandate
- ▸ *AGRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* no reference
- ▸ *SARKMS* : 33.Function Mandate
- ▸ *KA 3 Function etc.:* Mandate

- ▸ *RKMS Recordkeeping* : 16.Mandate
- ▸ *NZRKMS Business :* no reference
- ▸ *NZRKMS Mandate :* no reference
- ▸ *NZRKMS Relationship :* no reference
- ▸ *QGRKMS* : 33.Function Mandate
- ▸ *DAIC Function etc.:* Mandate

Any legislation, regulation, or source of authority/control of some kind stipulating or recording the existence, purpose, or character of the Deed(s), that affects their connection with The Doer or The Document (including authority or permissions), or impinges on their operation in any way. Includes authorisation/validation of the Deed by a Doer competent to mandate its initiation, application, or effect.

Metadata-tonymy : When the entity-description is itself managed as a record, then any related legislation bearing on the creation or content of The Document apply to the entity-descriptions for The Doer and The Deed. This can be distinguished from related legislation bearing upon the existence and functioning of The Doer and the existence and operation of The Deed.

Scope Note –
- **Business Rules** : Business rules (**U 3.006.0**) will ordinarily be documentary objects which validate or authorise an action or empower a Doer to take action. An authorisation or mandate will usually be a Deed validating an action or empowering a Doer to undertake it or else an identification of the Doer who has authorised or mandated and action or reviewed a Document and authorised its release or application. An authorisation may be an instance of the exercise of a business rule or the exercise of a permission - see Access/Permissions (**U 3.008.0**). *AGRKMS* and *NZRKMS* treat mandate as a sub-entity type. Strictly, this means that mandates should be treated as an Association (**U 3.007.0**). Because mandate is more generally treated as an attribute, however, it is left here.
- **Business Rules** : A mandate provides the basis, authority or permission for the existence or operation/ activity of the thing. Look at Business Rules (**U 3.006.0**) for data on standards or regulation of the way it is constructed, managed, or behaves.
- **Security and Permissions**: Use Access/Permissions (**U 3.008.0**) for security and security classification but their regulatory source may be dealt with here.
- **Recordkeeping Requirements** : Recordkeeping requirements that emanate from legislation, regulation, or mandate should be dealt with here and the business rules applying those obligations/mandates under

Business Rules (**U 3.006.0**).
- **Retention/Disposal of Information** : The results of records appraisal are dealt with under **R 3.104.0** (Disposal of The Document) and the results of functional appraisal are dealt with under **F 3.301.0** (Appraisal of The Deed). The results of applying an appraisal to a Document, regardless of whether the appraisal is records or function based, are always documented using **R 3.104.0**.

U 3.001.1 CREATION, ABOLITION, AND ACTIVITY This is the regulatory basis upon which it exists and operates	AREA
a. Say if creation/existence is required or authorised and show when e.g. this agency was established by statute on 4 July 1776	**Common Practice Rule**
b. Say if operation/activity is prescribed or authorised and show when e.g. the disposition rule in this function was signed off by Business Unit Y on 5 May, 2007	**Common Practice Rule**
c. Say if purpose or character is prescribed or authorised and show when e.g. empowered to invade Iraq in 2003 by UN Security Council Resolutions 678 and 687	**Common Practice Rule**
d. Say if abolition, destruction, purge is required or authorised and show when e.g. abolished by decree in 1998	**Common Practice Rule**
U 3.001.2 USE AND DISPOSAL OF INFORMATION This is the regulatory basis for its use and continued existence	AREA
a. Say if and when availability/use of information is mandated or restricted e.g. accessible under FOI legislation enacted in 1985	**Common Practice Rule**
b. Say if and when disposal of information is mandated or restricted e.g. content to be destroyed under privacy rules applicable since 1998	**Common Practice Rule**
U 3.001.3 OTHER This is the regulatory basis for anything else	AREA
a. Say if and when legislation has any other kind of impact or effect e.g. affected by provisions of United Nations Charter	**Common Practice Rule**

U 3.000.0 DESCRIPTION U 3.002.0 : Summary Description	CATEGORY OF DATA Type of Data

R 3.002.0 : Summary Description of The Document	Type of Data

Citations -
- ▸ *ISAD 2 : 3.3.1* Scope and content
- ▸ *EAD : <scopecontent>*
- ▸ *RKMS Records :* ~~39.Functional Classification~~ 44.Documentary Form 41.Abstract 43.Subject Classification
- ▸ *AGRKMS Record :* 8.Jurisdiction 16.Coverage 17.Keyword
- ▸ *NZRKMS Record :* 8.Jurisdiction 16.Coverage 17.Keyword
- ▸ *SARKMS Record :* 6.Record Classification 7.Record Subject 8.Record Coverage 10.Record Type
- ▸ *QGRKMS Record :* 6.Record Subject 7.Record Coverage 9.Record Type 16.Record Classification
- ▸ *KA 3 Series :* <~~Function~~ or keywords>
- ▸ *KA 3 Item :* <~~Function~~/keywords>
- ▸ *DAIC Series:* <~~Function~~/subject descriptors>
- ▸ *DAIC Item:* <~~Function~~/subject descriptors>

Content/abstract statements summarise the subject or scope of the Document, its function or purpose, and any other characteristics which help convey an idea of the information it contains. Includes discovery terms whose value is taxonomically or vocabulary-controlled (e.g. authorised headings).

P 3.002.0 : Summary Description of The Doer	Type of Data

Citations -
- ▸ *ISAAR2 :* no reference
- ▸ *ISDIAH :* no reference
- ▸ *RKMS Agents :* ~~29.Functional Classification~~ 31.Abstract
- ▸ *AGRKMS Agent :* 8.Jurisdiction 14.Position
- ▸ *NZRKMS Agent :* 8.Jurisdiction 14.Position
- ▸ *SARKMS :* no reference
- ▸ *QGRKMS :* no reference
- ▸ *KA 3 Organisation etc.:* <~~Functions performed~~>
- ▸ *KA 3 Agency etc.:* <~~Function~~>
- ▸ *DAIC Organisation etc. :* <~~Function performed~~>
- ▸ *DAIC Agency etc. :* <~~Function performed~~>

Content/abstract statements summarise the activity and role of the Doer, function or purpose, and any other characteristics which help convey an idea of the information that can be found about the Doer. Includes discovery terms whose value is taxonomically or vocabulary-controlled (e.g. authorised headings).

F 3.002.0 : Summary Description of The Deed	Type of Data

Citations -
- ▸ *ISDF :* 5.1.5 Classification
- ▸ *RKMS Business :* ~~07.Functional Classification~~ 09.Abstract
- ▸ *RKMS Recordkeeping :* ~~18.Functional Classification~~ 20.Abstract
- ▸ *AGRKMS Business :* 8.Jurisdiction
- ▸ *NZRKMS Business :* 8.Jurisdiction
- ▸ *AGRKMS Mandate :* 8.Jurisdiction 16.Coverage
- ▸ *NZRKMS Mandate :* 8.Jurisdiction 16.Coverage
- ▸ *AGRKMS Relationship :* no reference
- ▸ *NZRKMS Relationship :* no reference
- ▸ *SARKMS :* no reference
- ▸ *QGRKMS :* no reference
- ▸ *KA 3 Function etc.:* no reference
- ▸ *DAIC Function etc. :* <~~Agency, person or family performing~~>

Content/abstract statements summarise the scope or purpose of the Deed and give any other characteristics that help convey an idea of the information that can be found about it. Includes discovery terms whose value is taxonomically or vocabulary-controlled (e.g. authorised headings).

Metadata-tonymy : This is a summary of the entity-description in the form of abstracts or descriptors/attributes about the entity being described.

Scope Note –
- **Entity-Typology** : For type of entity or type of entity-description use **U 2.001.0**.
- **Geographical or Locator Codes** : Unless these are incorporated into the Title/Name (**U 2.002.0**), use these under Reference Code (**U 2.001.0**).
- **Duplication Here of Data Held Elsewhere** : The summary description/descriptors can repeat data from other areas. *NZRKMS*, for example, allows location and era to be indicated under "Coverage".
- **Level** : Data that specifies the type or category of entity (e.g. business function, agency, etc.) or with "level of description" (e.g. *fonds*, *sous-fonds*, item, etc.) is dealt with here only if it is drawn from a classification scheme and is used primarily to aid discovery. If it is primarily used, alone or in combination with other Control Data (**U 2.004.0**), to reference the entity or to manage the entity description within your descriptive scheme or recordkeeping system, it is dealt with as a Reference Code (**U 2.001.0**).
- **Links to Functions** : *KA3* allows you to "list or link" organisations or families to <u>any registered</u> function and to "list or link" agency/person and series/item to <u>any</u> function. Lists of attributes belong here but because this is a link with a function (viz. a Deed), it should be at **U 3.007.0** (Associations) when listed or **U 4.000.0** (Relationships) when linked. *DAIC* has a similar approach and the same ambiguity can arise in *RKMS*. In any case, listed or linked functions do not belong here.
- **Jurisdiction :** A case could be made for treating Jurisdiction as a sub-entity type of Deed, in which case the rules, like those for Functions, would be dealt with under Associations or Relations.

U 3.002.1 SUMMARY DESCRIPTION This is a summary description or an attribute using controlled terminology	**AREA**
a. Provide a brief précis of the Description (U 3.004.00) This allows you to make a brief description that might be displayed in a separate view	**Common Practice Rule**
b. Assign controlled terms from a classification or taxonomy This allows you to assign controlled index or other search terms	**Common Practice Rule**
U 3.002.2 SCOPE NOTE This is an indication of the boundaries with other entities	**AREA**
a. Say what is included/excluded This allows you to define the boundaries with other entities	**Common Practice Rule**

U 3.000.0 DESCRIPTION U 3.003.0 : Address/Location	CATEGORY OF DATA Type of Data

R 3.003.0 : Address/Location of The Document	Type of Data

Citations -
- ▸ *ISAD 2 :* no reference
- ▸ *AGRKMS Record* : 23.Location
- ▸ *SARKMS Record* : 15.Record Location
- ▸ *KA 3 Series :* <Location>
- ▸ *DAIC Series :* <Location>

- ▸ *RKMS Records* : 38.Place
- ▸ *NZRKMS Record* : 23.Location
- ▸ *QGRKMS Record* : 14.Record Location
- ▸ *KA 3 Item :* <Location>
- ▸ *DAIC Item :* <Location>

The Document is located by citing current custody arrangements. A separate location may be given for the entity-description (if different).

P 3.003.0 : Address/Location of The Doer	Type of Data

Citations -
- ▸ *ISAAR2 :* 5.2.3 Places
- ▸ *ISDIAH :* 5.2.1 Location and address(es) 5.3.2 Geographical ~~and cultural~~ context
- ▸ *RKMS* : 28.Place
- ▸ *AGRKMS Agent* : no reference
- ▸ *SARKMS* : 23.Agent Location/Address
- ▸ *KA 3 Organisation etc.:* <Location>
- ▸ *DAIC Organisation etc.:* <Location>

- ▸ *NZRKMS Agent* : no reference
- ▸ *QGRKMS* : 23.Agent Location/Address
- ▸ *KA 3 Agency etc.:* <Location>
- ▸ *DAIC Agency etc.:* <Location>

The Doer is located by citing a current operational or business address, domicile, or haunt.

F 3.003.0 : Address/Location of The Deed	Type of Data

Citations -
- ▸ *ISDF :* no reference
- ▸ *RKMS Agents Business* : 06.Place
- ▸ *AGRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* no reference
- ▸ *SARKMS* : 32.Function Location
- ▸ *KA 3 Function :* <Location>

- ▸ *RKMS Recordkeeping* : 17.Place
- ▸ *NZRKMS Business :* no reference
- ▸ *NZRKMS Mandate :* no reference
- ▸ *NZRKMS Relationship :* no reference
- ▸ *QGRKMS* : 32.Function Location
- ▸ *DAIC Function :* <Location>

The Deed is located by citing the geographical area in which it operates.

Metadata-tonymy : This refers to the location of the thing being described – where The Document is located, a Doer's address, and the area in which a Deed takes place. A location for Document entity-descriptions may be different; citing it could be seen as redundant assuming the user has already found it but it could still be useful on some occasions. If the entity-descriptions for The Doer and The Deed are managed as records, the only location/address given for them is that for the entity.

Scope Note –
- **Geographical or Locator Codes** : Use these in Reference Code (**R 2.001.0**) unless they are incorporated into Title/Name (**R 2.002.0**).
- **Duplicates** : For location of duplicates use **R 3.107.0**.
- **Contact Details** : Use **P 3.201.0**.

U 3.003.1 LOCATION This says where the entity can be found	AREA

a. Say where the entity is or has been and when e.g. series is located on compactus B467, shelf 6A	Common Practice Rule

U 3.003.2 GEOGRAPHIC COVERAGE/ASSOCIATIONS This says what part of the world the entity operates in, deals with, or is bounded by	AREA

a. State what places it is or has been associated with and when e.g. function exercised in Victoria and Tasmania	Common Practice Rule

R 3.004.0 : Description of The Document	Type of Data

Citations -
- ▸ *ISAD 2* : 3.6.1 Note
- ▸ *ISAD 2* : 3.7.1 Archivist's Note
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* 5.Description
- ▸ *SARKMS Record* : 4.Record Description
- ▸ *KA3 Series :* <Description>
- ▸ *KA3 Control Data :* <Sources used><Archivist's note>
- ▸ *DAIC Series :* <Description>
- ▸ *DAIC Control Data :* <References><Archivist's note>
- ▸ *EAD :* <odd><note>
- ▸ *EAD :* <processinfo>
- ▸ *NZRKMS Record :* 5.Description
- ▸ *QGRKMS Record* : 4.Record Description
- ▸ *KA3 Item :* <Description>
- ▸ *DAIC Item :* <Description>

This describes and may contain data content about the Document.

P 3.004.0 : Description for The Doer	Type of Data

Citations -
- ▸ *ISAAR2 :* 5.2.2 History 5.2.4 Legal status 5.2.5 Functions, occupations, and activities
  5.2.7 Internal structures/~~Genealogy~~ 5.2.8 General context 5.4.8 Sources 5.4.9 maintenance notes
- .. ▸ *ISDIAH :* 5.3.1 History of the institution with archival holdings 5.3.2 ~~Geographical and~~ cultural context
  5.3.4 Administrative structure 5.6.8 Sources 5.6.9 Maintenance notes
- ▸ *RKMS Agents :* no reference
- ▸ *AGRKMS Agent :* 5.Description
- ▸ *SARKMS* : no reference
- ▸ *KA3 Organisation etc.:* <Description>
- ▸ *KA3 Control Data :* <Sources used><Archivist's note>
- ▸ *DAIC Organisation etc.:* <Description>
- ▸ *DAIC Control Data :* <References><Archivist's note>
- ▸ *NZRKMS Agent :* 5.Description
- ▸ *QGRKMS* : no reference
- ▸ *KA3 Agency etc.:* <Description/Biographical note>
- ▸ *DAIC Agency etc.:* <Description>

This describes the biography or life history of the Doer and may contain data content about the Doer.

F 3.004.0 : Description for The Deed	Type of Data

Citations -
- ▸ *ISDF :* 5.2.2 Description 5.2.3 History 5.4.8 Sources 5.4.9 Maintenance notes
- ▸ *RKMS Business :* no reference
- ▸ *AGRKMS Business :* 5.Description
- ▸ *AGRKMS Mandate :* 5.Description
- ▸ *AGRKMS Relationship :* 5.Description
- ▸ *SARKMS* : 28.Function Description
- ▸ *KA3 Function etc.:* <Description>
- ▸ *DAIC Function etc.:* <Description>
- ▸ *RKMS Recordkeeping :* no reference
- ▸ *NZRKMS Business :* 5.Description
- ▸ *NZRKMS Mandate :* 5.Description
- ▸ *NZRKMS Relationship :* 5.Description
- ▸ *QGRKMS* : 28.Function Description
- ▸ *KA3 Control Data :* <Sources used><Archivist's note>
- ▸ *DAIC Control Data :* <References><Archivist's note>

This describes and may contain data content about the Deed.

Metadata-tonymy : This is a description of the thing being described. It is the place for a description of data content (if any).

Scope Note –
- **Genealogy** : ISAAR 2 (5.2.7 Internal structures/Genealogy). Genealogy is an internal structure of a family but an external structure within which a person. It is also dealt with under **U 3.007.0** (Associations).
- **Summary Description** : This is a fuller description of the thing being described than the one provided in Summary Description (**U 3.002.0**). It is the entity-description, however, rather than the entity, that is the subject of the Author's Notes.

U 3.004.1 DESCRIPTIVE NARRATIVE This says what the entity is	AREA
a. Provide a narrative account of information you think significant This is where you describe what it is	**Common Practice Rule**
b. You may repeat information that is formatted separately, but sparingly Things like dates and relationships are likely to be repeated	**Common Practice Rule**
U 3.004.2 MAINTENANCE NOTES This is where the author/creator puts information about his/her work	AREA
a. Give information about the management of the entity-description	**Common Practice Rule**

This is the "Archivist's Note"	
b. State your doubts and difficulties You can say if you doubt your sources, what you don't understand, etc.	**Common Practice Rule**

U 3.000.0 DESCRIPTION U 3.005.0 : Language	CATEGORY OF DATA Type of Data

R 3.005.0 : Language of The Document	Type of Data

Citations -
- ▸ *ISAD 2* : 3.4.3 Language/scripts of material
- ▸ *RKMS Records* : 42.Language
- ▸ *AGRKMS Record* : 15.Language
- ▸ *SARKMS Record* : 9.Record Language
- ▸ *KA 3 Series* : <Language>
- ▸ *DAIC Series* : <Language>
- ▸ *EAD* : <langmaterial>
- ▸ *NZRKMS Record* : 15.Language
- ▸ *QGRKMS Record*: 8.Record Language
- ▸ *KA 3 Item* : <Language>
- ▸ *DAIC Item* : <Language>

The predominant language(s) in the Document, distinctive alphabets, scripts, symbol systems, or abbreviations. Also the language(s) used in the entity-description itself (if different).

P 3.005.0 : Language of The Doer	Type of Data

Citations -
- ▸ *ISAAR2* : 5.4.7 Language(s) and script(s)
- ▸ *RKMS Agents* : 32.Language
- ▸ *AGRKMS Agent* :15.Language
- ▸ SARKMS : no reference
- ▸ KA 3 Organisation etc.: no reference
- ▸ DAIC Organisation etc. : no reference
- ▸ *ISDIAH* : 5.6.7 Language(s) and script(s)
- ▸ *NZRKMS Agent* : 15.Language
- ▸ QGRKMS : no reference
- ▸ KA 3 Agency etc.: no reference
- ▸ DAIC Agency etc.: no reference

The predominant language(s) employed by the Doer, distinctive alphabets, scripts, symbol systems, or abbreviations.

R 3.005.0 : Language of The Deed	Type of Data

Citations -
- ▸ *ISDF* : 5.4.7 Language(s) and script(s)
- ▸ *RKMS Business* : 10.Language
- ▸ AGRKMS Business : no reference
- ▸ AGRKMS Mandate : no reference
- ▸ AGRKMS Relationship : no reference
- ▸ SARKMS : no reference
- ▸ KA 3 Function etc.: no reference
- ▸ *RKMS Recordkeeping* : 21.Language
- ▸ NZRKMS Business : no reference
- ▸ NZRKMS Mandate : no reference
- ▸ NZRKMS Relationship : no reference
- ▸ QGRKMS : no reference
- ▸ DAIC Function : no reference

The predominant language(s) in which the Deed is conducted, distinctive alphabets, scripts, symbol systems, or abbreviations.

Metadata-tonymy : This is used for both the language employed in composing the entity-description and the language employed in or by the thing described (e.g. an English-language description of an information resource in Latin). So long as all entity-descriptions are themselves managed as records, there is no need to make this distinction for The Doer and The Deed. It is sufficient, in those cases, to apply the rules for The Document to the entity-descriptions for The Doer and The Deed.

Scope Note –
- **Technological Dependency** : For information about technology-related tools needed to interpret an entity-description use **R 3.106.0**.

U 3.5.1 LANGUAGES USED This says what language you must know to use it	AREA

a. Say what language the entity employs e.g. these records are in German	**Common Practice Rule**

b. Say what language is used to describe the entity e.g. this entity is in English	**Common Practice Rule**

U 2.5.2 SCRIPTS, NOTATION, ETC This says what scripts or notation you need to be familiar with	AREA

a. Say what scripts or notation the entity employs e.g. this Tardis design uses Cartesian coordinates to represent space and time	**Common Practice Rule**

b. Say what script or notation is used to describe the entity e.g. this catalogue entry for the design is in English from planet Earth	**Common Practice Rule**

U 3.000.0 DESCRIPTION U 3.006.0 : Business Rules	CATEGORY OF DATA Type of Data
R 3.006.0 : Business Rules for The Document	**Type of Data**

Citations -
- ▸ *ISAD 2* : 3.7.2 Rules or conventions
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* no reference
- ▸ *SARKMS Record* : no reference
- ▸ *KA Series :* no reference
- ▸ *DAIC Series :* no reference
- ▸ *EAD :* <descrules>
- ▸ *NZRKMS Record :* no reference
- ▸ *QGRKMS Record* : no reference
- ▸ *KA 3 Item :* no reference
- ▸ *DAIC Item :* no reference

Any standards, policies, procedures, or rules used when making and keeping the Document (includes business rules used to make and maintain entity-descriptions, if different.

P 3.006.0 : Business Rules for The Doer	**Type of Data**

Citations -
- ▸ *ISAAR2 :* 5.4.3 Rules and/or conventions used
- ▸ *ISDIAH :* 5.3.5 Records management and collecting policies 5.6.3 Rules and/or conventions used
- ▸ *RKMS Agents :* no reference
- ▸ *AGRKMS Agent :* no reference
- ▸ *SARKMS* : no reference
- ▸ *KA 3 Organisation etc.:* no reference
- ▸ *DAIC Organisation etc.:* no reference
- ▸ *NZRKMS Agent :* no reference
- ▸ *QGRKMS* : no reference
- ▸ *KA 3 Agency etc.:* no reference
- ▸ *DAIC Agency etc.:* no reference

Any standards, policies, procedures, or rules adopted, promulgated, or observed by the Doer when carrying out The Deed (or used when documenting The Doer).

F 3.006.0 : Business Rules for The Deed	**Type of Data**

Citations -
- ▸ *ISDF :* 5.4.3 Rules and/or conventions used
- ▸ *RKMS Business :* 11.Business Rules
- ▸ *AGRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* no reference
- ▸ *SARKMS* : no reference
- ▸ *KA 3 Function etc.:* no reference
- ▸ *RKMS Recordkeeping :* 22.Business Rules
- ▸ *NZRKMS Business :* no reference
- ▸ *NZRKMS Mandate :* no reference
- ▸ *NZRKMS Relationship :* no reference
- ▸ *QGRKMS* : no reference
- ▸ *DAIC Function etc. :* no reference

Any standards, policies, procedures, or rules used when conducting the Deed or when documenting it. Includes specific authorisations or validations for the entity/entity-description.

Metadata-tonymy : The business rules referred to may relate to the operation of the entity or the compilation of the entity-description. On the basis that entity-descriptions are themselves records, they should be made and maintained under the business rules for The Document.

Scope Note –
- **Permissions** : A permission documents what someone exercising a mandate may do. Authorisations are a record of them doing it.
- **Authorisations and Mandate** : Business Rules are standards or regulation of the way the thing is constructed, managed, or behaves.. A mandate (**U 3.001.0**) provides the basis, authority or permission for the existence or operation/ activity of the thing. An authorisation is the application of a mandate to validate a document or action or the doer of an action.
- **Recordkeeping Requirements** : Recordkeeping requirements for disposal should be dealt with under Related Legislation (**U 3.001.0**) and the business rules applying those obligations/mandates, including rules for retention/disposal) here.
- **Retention of Information** : The results of a records appraisal are dealt with under **R 3.104.0** (Disposal of The Document) and the results of a functional appraisal are dealt with under **F 3.301.0** (Appraisal of The Deed). The application of an apparaisal, regardless of whetehr it is records or function based, is always docuemnted using **R 3.104.0**.

U 3.006.1 BUSINESS RULES APPLYING TO THE ENTITY These are rules that say or effect how it operates	**AREA**
a. Say what rules apply to the entity e.g. this business unit complies with Group-wide OH&S rules	**Common Practice Rule**
b. Say what rules apply to the entity-description e.g. this description was compiled using *Hurley's Common Practice Rules*	**Common Practice Rule**

c. Say when e.g. release 2009.01	**Common Practice Rule**
U 3.006.2 BUSINESS RULES ISSUED BY THE ENTITY These are rules the entity provides, applies or uses to govern others	**AREA**
a. Say what rules the entity issues to or imposes on others e.g. the ASA issued *Describing Archives in Context*	**Common Practice Rule**
b. Say when e.g. in 2007	**Common Practice Rule**

R 3.007.0 : Associations for The Document	Type of Data

Citations -
- ▸ *ISAD 2* : 3.2.1 Name of creator(s)   ▸ *EAD* : <origination>
- ▸ *ISAD 2* : 3.2.2 Administrative/Biographical history   ▸ *EAD* : <bioghist>
- ▸ *ISAD 2* : 3.2.3 Archival history   ▸ *EAD* : <custodhist>
- ▸ *ISAD 2* : 3.2.4 Immediate source of acquisition or transfer   ▸ *EAD* : <acqinfo>
- ▸ *ISAD 2* : 3.4.5 Finding aids   ▸ *EAD* : <otherfindaid>
- ▸ *RKMS Records:* 39.Functional Classification
- ▸ *AGRKMS Record :* no reference   ▸ *NZRKMS Record :* no reference
- ▸ *SARKMS Record* : no reference   ▸ *QGRKMS Record* : 17.Record Agent
- ▸ *KA 3 Series* : <Function ~~or keywords~~> <Archival history> <Finding aids>
- ▸ *KA 3 Item* : <Function/~~keywords~~> <Finding aids>
- ▸ *DAIC Series:* <Function/~~subject~~ descriptors> <Finding aids>
- ▸ *DAIC Item:* <Function/~~subject~~ descriptors> <Finding aids>

This shows connections between the Document and Deeds, Doers, and other Documents when those links are with things that are not documented entities in your descriptive scheme or in a networked scheme. For connections with documented entities in your scheme, use Relationships (R 4.000.0).

P 3.007.0 : Associations for The Doer	Type of Data

Citations -
- ▸ *ISAAR2* : 5.2.7 ~~Internal structure~~/ Genealogy
- ▸ *ISDIAH* : 5.3.7 Archival and other holdings 5.3.8 Finding aids, guides, and publications
- ▸ *RKMS Agents :* 29.Functional Classification
- ▸ *AGRKMS Agent :* no reference   ▸ *NZRKMS Agent :* no reference
- ▸ *SARKMS* : no reference   ▸ *QGRKMS* : no reference
- ▸ *KA 3 Organisation etc.:* <Functions performed>   ▸ *KA 3 Agency etc.:* <Function>
- ▸ *DAIC Organisation etc. :* <Function performed>   ▸ *DAIC Agency etc. :* <Function performed>

This shows connections between the Doer and Documents, Deeds, and other Doers when those links are with things that are not documented entities in your descriptive scheme or in a networked scheme. For connections with documented entities in your scheme, use Relationships (P 4.000.0).

F 3.007.0 : Associations for The Deed	Type of Data

Citations -
- ▸ *ISDF :* no reference
- ▸ *RKMS Business :* 07.Functional Classification   ▸ *RKMS Recordkeeping :* 18.Functional Classification
- ▸ *AGRKMS Business :* no reference   ▸ *NZRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference   ▸ *NZRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* no reference   ▸ *NZRKMS Relationship :* no reference
- ▸ *SARKMS* : no reference   ▸ *QGRKMS* : no reference
- ▸ *KA 3 Function etc.:* no reference   ▸ *DAIC Function etc.:* <Agency, person, or family performing>

This shows connections between the Deed and Documents, Doers, and other Deeds when those links are with things that are not documented entities in your descriptive scheme or in a networked scheme. For connections with documented entities in your scheme, use Relationships (R 4.000.0).

Metadata-tonymy : This is the way to express a link between the thing being described and another thing when the other thing is not documented ("registered") in your descriptive scheme. Links with entities that are made between two entity-descriptions in your scheme are Relationships (**U 4.000.0**). An association, in other words, is an attribute of the thing being described expressed that way because you cannot relate them in your scheme.

Scope Note –
An Association is a Relationship (**U 4.000.0**) that is not reciprocated. An entity has associations with other Documents, Deeds, or Doers. Anything else is an attribute. Think of Associations as a half-way house between Summary Description (**U 3.002.0**) and Relationships (**U 4.000.0**).
- **Links to Functions** : *KA3* allows you to "list or link" organisations or families to <u>any registered</u> function and to "list or link" agency/person and series/item to <u>any</u> function. Lists of attributes belong in **U 3.002.0** (Summary Description) but because these are links with a function (viz. Deed), it should be here when listed or at **U 4.000.0** (Relationships) when linked. *DAIC* has a similar approach. In any case, listed or linked functions do not belong in Summary Description.
- **Genealogy** : *ISAAR 2* (5.2.7 Internal structures/Genealogy). Genealogy is an internal structure of a family but an external structure (association or relationship) with the family within which a person fits. It is also dealt with under **U 3.4.0** (Description).

- **Other "Units of Description"** : *ISAD* 3.5.3 (Related units of description) is placed with **U 4.002.0** (Relationships with Like Entities).
- **Finding Aids** : They are documents and references to them are treated as Associations.

U 3.007.1 ASSOCIATIONS WITH UNLIKE THINGS This shows ownership and other connections with things of a similar kind	AREA
a. Make connections with things that are dissimilar in kind to the entity e.g. the Australian Army was responsible for defending Australia militarily	**Common Practice Rule**
b. Give a date for each association e.g. from 1901 to date	**Common Practice Rule**
c. Show how they are associated e.g. the function is carried out by the Commonwealth Government under the Crown	**Common Practice Rule**
U 3.007.2 ASSOCIATIONS WITH LIKE THINGS This shows inheritance, ownership, and other connections with things of a similar kind	AREA
a. Make connections with things of a similar kind to the entity e.g. this correspondence is closely related to the Fred Nerk papers at NLA	**Common Practice Rule**
b. Give a date for each association e.g. for the period is 1987 to 1996	**Common Practice Rule**
c. Show how they are associated e.g. during which time they corresponded on many subjects	**Common Practice Rule**

U 3.000.0 DESCRIPTION cont'd U 3.008.0 : Access/Permissions	CATEGORY OF DATA Type of Data

R 3.008.0 : Access/Permissions for The Document	Type of Data

Citations -
- ▶ *ISAD 2* : 3.4.1 Conditions governing access
- ▶ *EAD* : <accessrestrict>
- ▶ *RKMS Records:* 49.Access 50.Use (also **R 3.105.0** Use of The Document)
- ▶ *AGRKMS Record :* 9.Security Classification 10.Security Caveat 12 Rights
- ▶ *NZRKMS Record :* 9.Security Classification 10.Security Endorsement 12 Rights
- ▶ *SARKMS Record* : 13.Record Access
- ▶ *QGRKMS Record* : 12.Record Access
- ▶ *KA 3 Series :* <Access status>
- ▶ *KA 3 Item :* <Access status> <Availability>
- ▶ *KA 3 Control :* <Security codes>
- ▶ *DAIC Series :* <Access status>
- ▶ *DAIC Item :* <Access status> <Availability>
- ▶ *DAIC Control :* <Security codes>

A statement about the availability of the Document(s) and/or the entity-description for use. Stipulates how it can be managed and by whom, whether it can be inspected and used and if restrictions or limitations apply.

P 3.008.0 : Access/Permissions for The Doer	Type of Data

Citations -
- ▶ *ISAAR2* : no reference
- ▶ *ISDIAH* : no reference
- ▶ *RKMS Agents :* no reference
- ▶ *AGRKMS Agent :* 11.Permissions
- ▶ *NZRKMS Agent :* 11.Permissions
- ▶ *SARKMS* : 22.Agent Access
- ▶ *QGRKMS* : no reference[2]
- ▶ *KA 3 Organisation etc.:* no reference
- ▶ *KA 3 Agency etc.:* no reference
- ▶ *KA 3 Control :* <Security codes>
- ▶ *DAIC Organisation etc.:* no reference
- ▶ *DAIC Agency etc.:* no reference
- ▶ *DAIC Control :* <Security codes>

A statement about the rights the Doer has to inspect and use The Document or to perform a Deed whose exercise must be authorised. Stipulates whether the Doer's rights are restricted or limited in any way.

F 3.008.0 : Access/Permissions for The Deed	Type of Data

Citations -
- ▶ *ISDF* : no reference
- ▶ *RKMS Business :* no reference
- ▶ *RKMS Recordkeeping :* no reference
- ▶ *AGRKMS Business :* 9.Security Classification 11.Permissions
- ▶ *NZRKMS Business :* 9.Security Classification 11.Permissions
- ▶ *AGRKMS Mandate :* 9.Security Classification 10.Security Caveat
- ▶ *NZRKMS Mandate :* 9.Security Classification 10 Security Endorsement
- ▶ *AGRKMS Relationship :* no reference
- ▶ *NZRKMS Relationship :* no reference
- ▶ *SARKMS* : 31.Function Access
- ▶ *QGRKMS* : 31.Function Access
- ▶ *KA 3 Function etc.:* no reference
- ▶ *KA 3 Control :* <Security codes>
- ▶ *DAIC Function etc.:* no reference
- ▶ *DAIC Control :* <Security codes>

A statement about the authority needed to undertake this Deed, what may be done, and the ambit within which it may be exercised. Stipulates whether this is restricted or limited in any way.

Metadata-tonymy : Security/Permissions applying to the entity being described may not be the same as for the entity-description. Both are dealt with here. When Doers and Deeds are managed as records, access/permissions applying to the Document apply.

Scope Note –
- **Control Data** : . Security codes and security classification are dealt with here, including data on who has or is entitled to ownership, custody, possession, and use of both the entity being described and the entity-description. Information about who has exercised these permissions and when is dealt with under Control Data (**U 2.004.0**).
- **Ownership/Control** : The owner of the document (including an entity-description) is designated under Control Data (**U 2.004.0**). The owner's privileges are documented here as are other permissions. The exercise of those permissions is recorded under Control Data.
- **Access and Use** : In relation to The Document, this deals with restrictions on use that would prevent access (e.g. fragility). Restrictions on the use of information obtained by someone who has had access to the Document (e.g. intellectual property) are dealt with under **R 3.105.0** (Use of The Document).

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[2] Agent Access is listed on p.62 of *QGRKMS* as an element for Agent entity but no such element appears in the table nor does it have a number.

U 3.008.1 OWNERSHIP AND CONTROL OF INFORMATION This says who has privileges/authority to hold and manage it and where they got them – for actual exercise of these rights see **U 2.004.0** (Control Data)	**AREA**
a. Say what privileges the owner has and can authorise e.g. data owner has all privileges but cannot alter logs or delete stumps	**Common Practice Rule**
b. Say who has been authorised to manage and/or use it, how, and by whom e.g. this data is managed by Fred Jones; John Smith has been authorised to use it	**Common Practice Rule**
c. Say who can authorise its revision or deletion and who has been e.g. Fred can authorise its revision/deletion and he has so authorised Bill Wicks	**Common Practice Rule**
d. Say who is entitled to custodianship and by whom authorised e.g. HR Central is the data custodian	**Common Practice Rule**
e. Say who can possess it and by whom authorised e.g. pre-2006 archived data is held by Corporate Archives	**Common Practice Rule**
f. Say if ownership/control is limited and how e.g. data acquired under credit ratings agreement must be controlled by protocol	**Common Practice Rule**
U 3.008.2 ACCESS AND USE OF INFORMATION This says who has privileges/authority to see and use it and where they got them – for actual exercise of these rights see **U 2.004.0** (Control Data)	**AREA**
a. Say whether access is restricted e.g. access restricted to rules for treatment of customer information	**Common Practice Rule**
b. Say if Documents are unusable (owing to fragility, obsolescence, etc.) e.g. encrypted documents can no longer be opened	**Common Practice Rule**
c. Say who can see your data and what level of access they have e.g. John Smith can use but not edit/delete these documents	**Common Practice Rule**
U 3.008.3 AUTHORITY TO ACT IN OTHER WAYS This says who has privileges/authority to act in any other way and where they got them – for actual exercise of these rights see **U 2.004.0** (Control Data)	**AREA**
a. Say what authorisation/permissions are needed e.g. financial delegation up to $200,000 needed to carry out this function	**Common Practice Rule**
b. Say who has them and who conferred them e.g. managers and above have financial delegation up to $200,000	**Common Practice Rule**
c. Say if authorisation/permission is limited and how e.g. managers financial delegations not applicable to staff payments/remuneration	**Common Practice Rule**

U 4.00.0 RELATIONSHIPS U 4.001.0 : Relationships with Unlike Entities	CATEGORY OF DATA Type of Data

R 4.001.0 : Relationships of The Document with Unlike Entities	Type of Data

Citations –
- ▸ *ISAD 2 :* no reference
- ▸ *AGRKMS Record :* no reference
- ▸ *SARKMS Record* : 12.Record Relation
- ▸ *KA 3 Series :* <Relationship Links Table 8.10>
- ▸ *KA 3 Item :* <Series number> <Relationship Links Table 8.12>
- ▸ *DAIC Series :* <Relationships>
- ▸ *RKMS Records :* 40.Relation
- ▸ *NZRKMS Record :* no reference
- ▸ *QGRKMS Record* : 11.Record Relation
- ▸ *DAIC Item :* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Document and Deeds or Doers when those links are with things that are documented entities in your descriptive scheme.

P 4.001.0 : Relationships of The Doer with Unlike Entities	Type of Data

Citations –
- ▸ *ISAAR2 :* 6.1 Identifiers and titles of related resources 6.2 Types of related resources
    6.3 Nature of relationship 6.4 Dates of related resources and/or relationships
- ▸ *ISDIAH :* 6.1 Title and identifier of related archival material 6.2 Description of relationship
    6.3 Dates of relationship 6.4 Authorised form(s) of name and identifier of related authority record
- ▸ *RKMS Agents :* 30.Relation
- ▸ *AGRKMS Agent :* no reference
- ▸ *SARKMS* : 21.Agent Relation
- ▸ *KA 3 Organisation etc.:* <Relationship Links Table 8.4>
- ▸ *KA 3 Person etc.:* <Relationship Links Table 8.6>
- ▸ *DAIC Agency etc.:* <Relationships>
- ▸ *NZRKMS Agent :* no reference
- ▸ *QGRKMS* : 22.Agent Relation
- ▸ *DAIC Organisation etc.:* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Doer and The Document or Deeds when those links are with things that are documented entities in your descriptive scheme. For connections with undocumented entities, use Associations (P 3.7.0).

F 4.001.0 : Relationships of The Deed with Unlike Entities	Type of Data

Citations –
- ▸ *ISDF :* .6.1 Identifier and authorised form(s) of name of related resource 6.2 Nature of relationship
    6.3 Dates of relationship
- ▸ *RKMS Business :* 08.Relation
- ▸ *AGRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* 6.Related Entity 7.Change History
- ▸ *NZRKMS Relationship :* 6.Related Entity 7.Change History
- ▸ *SARKMS* : 30.Function Relation
- ▸ *KA 3 Function etc.:* <Relationship Links Table 8.8>
- ▸ *RKMS Recordkeeping :* 19.Relation
- ▸ *NZRKMS Business :* no reference
- ▸ *NZRKMS Mandate :* no reference
- ▸ *QGRKMS* : 30.Function Relation
- ▸ *DAIC Function etc.:* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Deed and The Document or The Doer when those links are with things that are documented entities in your descriptive scheme. For connections with undocumented entities, use Associations (F 3.7.0).

Metadata-tonymy : A relationship is a connection between two entities expressed as a link between two entity-descriptions.

Scope Note –
For connections with undocumented entities, use Associations (**U 3.7.0**). A Relationship is an Association that has been reciprocated. An entity has relationships with other Documents, Deeds, or Doers. Anything else is an attribute.
- **Change History** : In *AGRKMS* and *NZRKMS* the change history, in addition to keeping track of changes to relationships, also tracks other changes to the management of the entity (e.g. changes to mandate). To reflect this, the element is duplicated in **U 2.004.0** (Control Data).
- **The Reciprocity Paradox** : Although *ISAD 2* does not contain explicit rules for relationships with Doers and Deeds (only associations), *ISAAR 2*, *ISDIAH*, and *ISDF* now allow for relationships with The Document . Since relationships are reciprocal this, in effect, provides the rules for relating The Document to The Doer and The Deed.

U 4.001.1 OWNERSHIP This establishes a reciprocal link in your scheme with another Document, Deed, or Doer that stands in a relationship of owning, controlling, or managing the entity being described and is of a different entity sub-type.	**AREA**
a. Say when an entity is owned by, belongs to, or is controlled by another e.g. function 4321 is in an ownership relationship with (1) agency 8765 (2) series 4532	**Common Practice Rule**
b. Give a date for each relationship e.g. between (1) 1976 and 2008 (2) from 1951 to date	**Common Practice Rule**
c. Show how they are related e.g. (1) 4321 is assigned to 8765 (2) 4532 documents the exercise of 4321	**Common Practice Rule**
U 4.001.2 OTHER This establishes a reciprocal link in your scheme with another Document, Deed, or Doer that stands in some other kind of relationship with the entity being described and is of a different entity sub-type.	**AREA**
a. Say when an entity is related to another in some other way e.g. function 4321 is related to series 9087	**Common Practice Rule**
b. Give a date for each relationship e.g. from 1951 to date	**Common Practice Rule**
c. Show how they are related e.g. 9087 documents the authorisation of agencies to carry out 4321	**Common Practice Rule**

Examples of Ownership between Unlike Entities • Doers create The Document (documents created by Doers) • Doers carry out Deeds (Deeds carried out by Doers)

U 4.000.0 RELATIONSHIPS U 4.002.0 : Relationships with Like Entities	CATEGORY OF DATA Type of Data
R 4.002.0 : Relationships with Like Entities for The Document	**Type of Data**

Citations –
- ▸ *ISAD 2 :* 3.5.3 Related units of description   ▸ *EAD :* <related material><separatedmaterial>
- ▸ *RKMS Records :* 40.Relation
- ▸ *AGRKMS Record :* no reference   ▸ *NZRKMS Record :* no reference
- ▸ *SARKMS Record*: 12.Record Relation   ▸ *QGRKMS Record* : 11.Record Relation
- ▸ *KA 3 Series :* <Relationship Links Table 8.10>
- ▸ *KA 3 Item :* <Series number> <Relationship Links Table 8.12>
- ▸ *DAIC Series :* <Relationships>   ▸ *DAIC Item :* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Document and other Documents when those links are with things that are managed entities in your descriptive scheme. For connections with unmanaged entities, use Associations (R 3.007.0).

P 4.002.0 : Relationships with Like Entities for The Doer	**Type of Data**

Citations –
- ▸ *ISAAR2 :* 5.3.1 Names/identifiers of related corporate bodies, persons or families
  5.3.2 Category of relationship   5.3.3 Description of relationship   5.3.4 Dates of relationship
- ▸ *ISDIAH :* no reference
- ▸ *RKMS Agents :* 30.Relation
- ▸ *AGRKMS Agent :* no reference   ▸ *NZRKMS Agent :* no reference
- ▸ *SARKMS* : 22.Agent Relation   ▸ *QGRKMS* : 22.Agent Relation
- ▸ *KA 3 Organisation etc.:* <Relationship Links Table 8.4>
- ▸ *KA 3 Person etc.:* <Relationship Links Table 8.6>
- ▸ *DAIC Organisation etc. :* <Relationships>   ▸ *DAIC Agency etc.:* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Doer and other Doers when those links are with things that are managed entities in your descriptive scheme. For connections with unmanaged entities, use Associations (P 3.007.0).

F 4.002.0 : Relationships with Like Entities for The Deed	**Type of Data**

Citations –
- ▸ *ISDF :* 5.3.1 Authorised form(s) of names/identifier of the related function   5.3.2 Type
  5.3.3 Category of relationship   5.3.4 Description of relationship   5.3.5 Dates of relationship
- ▸ *RKMS Business :* 08.Relation   ▸ *RKMS Recordkeeping :* 19.Relation
- ▸ *AGRKMS Business :* no reference   ▸ *NZRKMS Business :* no reference
- ▸ *AGRKMS Mandate :* no reference   ▸ *NZRKMS Mandate :* no reference
- ▸ *AGRKMS Relationship :* 6.Related Entity   7.Change History
- ▸ *NZRKMS Relationship :* 6.Related Entity   7.Change History
- ▸ *SARKMS* : 30.Function Relation   ▸ *QGRKMS* : 30.Function Relation
- ▸ *KA 3 Function etc.:* <Relationship Links Table 8.8>   ▸ *DAIC Function etc. :* <Relationships>
- ▸ *DAIC Relationship :* <Start date> <End date> <Relationship definition> <Relationship description> <Relationship entity identifier> <Relationship type>

This shows connections between the Deed and other Deeds when those links are with things that are managed entities in your descriptive scheme. For connections with unmanaged entities, use Associations (F 3.007.0).

Metadata-tonymy : A relationship is a connection between two entities expressed as a link between two entity-descriptions.

Scope Note –
- **Change History** : In *AGRKMS* and *NZRKMS* the change history, in addition to keeping track of changes to relationships, also tracks other changes to the management of the entity (e.g. changes to mandate). To reflect this, the element is duplicated in **U 2.004.0** (Control Data).
- **Function to Function** : Curiously, *KA3* (Relationship Links Table 8.8) does not seem to contemplate an ownership (superior/subordinate) relationship between functions
- **Item to Doer and Deeds** : *KA3* makes no allowance for linking items with Doers or Deeds except vicariously via series.

U 4.001.1 OWNERSHIP This establishes a reciprocal link in your scheme with another Document, Deed, or Doer that stands in a relationship of owning, controlling, or managing the entity being described and is of the same entity sub-type.	**AREA**
a. Say when an entity is owned by, belongs to, or is controlled by another e.g. agency 8765 is in an ownership relationship with agency 2398	**Common Practice Rule**
b. Give a date for each relationship e.g. from 1987 - 2005	**Common Practice Rule**
c. Show how they are related e.g. 8765 is a subordinate agency of 2398	**Common Practice Rule**
U 4.001.2 SUCCESSION This establishes a reciprocal link in your scheme with another Document, Deed, or Doer that stands in a relationship of inheriting its role from or bequeathing it to the entity being described and is of the same entity sub-type.	**AREA**
a. Say when an entity inherits its substance or contents from another e.g. agency 8765 is related successively to agency 6543	**Common Practice Rule**
b. Give a date for each relationship e.g. in 2008	**Common Practice Rule**
c. Show how they are related e.g. agency 6543 inherits function 4321 from agency 8765	**Common Practice Rule**
U 4.001.3 OTHER This establishes a reciprocal link in your scheme with another Document, Deed, or Doer that stands in some other kind of relationship with the entity being described and is of the same entity sub-type.	**AREA**
a. Say when an entity is related to another in some other way e.g. series 1234 is related to series 5678	**Common Practice Rule**
b. Give a date for each relationship e.g. from 1853 to 1904	**Common Practice Rule**
c. Show how they are related e.g. 1234 is a letter-book containing duplicates of outgoing correspondence from 5678	**Common Practice Rule**

Examples of Ownership between Like Entities
- Person belongs to family
- Family belongs to clan or tribe

Examples of Succession between Like Entities
- Series succeeds Series
- Person begets child
- Agency assumes function of agency
- Function subsumes function
- Function breaks away from function

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.101.0 : Quantity of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2 :* 3.1.5 Extent ~~and medium~~ of the unit of description (quantity, bulk, or size)
- ▸ *EAD :* <physdesc> and subelements <extent> <dimension>
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* 20.Extent
- ▸ *NZRKMS Record :* 20.Extent
- ▸ *SARKMS Record*: no reference
- ▸ *QGRKMS Record*: no reference
- ▸ *KA3 Series:* <Quantity>
- ▸ *KA3 Item:* <Quantity>
- ▸ *DAIC Series :* <Quantity>
- ▸ *DAIC Item :* <Quantity>

The quantity statement describes the logical or physical extent (quantity) of the Document, incorporating (where necessary) a description of physical form.

Metadata-tonymy : The size or extent of the Document being described or the size of the entity-description (if different) can both be dealt with here.

Scope Note –
- • **Medium :** For medium in *ISAD(G)* 3.1.5 use **3.106.0** (Characteristics of The Document).

R 3.101.1 STATEMENTS OF QUANTITY This is what to say.	AREA
a. Say what quantity there is or that you hold e.g. Quantity Held (as at 1 March, 2009) : 683 metres here; 954 metres there	**Common Practice Rule**
b. Say what quantity there is no more or that you don't hold e.g. Quantity destroyed (as at 1 March, 2009) : 1023 metres	**Common Practice Rule**
c. Say what these quantities total e.g. Total Quantity (as at 1 March, 2009) : 2660 metres	**Common Practice Rule**
R 3.101.2 QUANTITY STATEMENT FORMAT This is how to say it.	AREA
a. You can say how many items, folios, or units make up the total e.g. 20 leaves, 32 folios	**Common Practice Rule**
b. Or, you can give physical dimensions (length, breadth, height) e.g. 25cm x 10cm; 3.5cm thick	**Common Practice Rule**
c. Or, you can use a shelf length or cubic measure (dimensions) e.g. 695 shelf metres (683 metres)	**Common Practice Rule**
d. Or, you can give a range of control symbols e.g. 1.0001 to 50.0963 (with gaps)	**Common Practice Rule**
e. Or, you can give logical size or duration for a digital record e.g. 1.86 MB	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.102.0 : Accruals of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2* *:* 3.3.3 Accruals
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* no reference
- ▸ *SARKMS Record*: no reference
- ▸ *KA 3* *Series :* <Accruals>
- ▸ *DAIC Series :* <Accruals>

- ▸ *EAD* *:* <accruals>
- ▸ *NZRKMS Record :* no reference
- ▸ *QGRKMS Record* : no reference
- ▸ *KA 3 Item :* no reference
- ▸ *DAIC Item :* no reference

This provides for information about prospective additions to records in custody.

Metadata-tonymy :

Scope Note –

R 3.102.1 FUTURE ACCRUALS This data says if there's more coming.	**AREA**
a. Say if you expect more transfers to you e.g. Transfers of series 9395 are expected every 5 years	**Common Practice Rule**

R 3.0.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.103.0 : Arrangement of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2 :* 3.3.4 System of arrangement   ▸ *EAD :* <arrangement>
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* no reference   ▸ *NZRKMS Record :* no reference
- ▸ *SARKMS Record* : no reference   ▸ *QGRKMS Record* : no reference
- ▸ *KA3 Series :* <System of arrangement> <Range of control symbols> ▸ *KA3 Item :* no reference
- ▸ *DAIC Series :* <System of arrangement> <Range of control numbers> ▸ *DAIC Item :* no reference

Information on the system of arrangement describes the internal structure of the unit of description - the order given to the material (items) which makes up the unit of description by the records-maker.

Metadata-tonymy :

Scope Note –

R 3.103.1 STATEMENTS OF ARRANGEMENT This is what to say.	AREA
a. Say how sub-entities in a collectivity are arranged e.g. Files in series 4857 are arranged numerically	**Common Practice Rule**
b. Say how the information in a Document is arranged e.g. Documents in each file are arranged chronologically	**Common Practice Rule**
c. Tell people if you have arranged the records e.g. Un-numbered files have been arranged chronologically by earliest document	**Common Practice Rule**
R 3.103.2 ARRANGEMENT STATEMENT FORMAT This is how to say it.	AREA
a. Give the first and last numbers in a range of control symbols e.g. 1999/001 – 2008/783	**Common Practice Rule**
b. Or, you can describe the arrangement (numerical, alphabetical) e.g. Numerical (files); chronological (file contents)	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.104.0 : Disposal of The Document	CATEGORY OF DATA Type of Data

Citations -
- ‣ *ISAD 2* : 3.3.2 Appraisal, destruction and scheduling information
- ‣ *EAD* : <appraisal>   ‣ *RKMS Records* : 45.Appraisal
- ‣ *AGRKMS Record* : 18.Disposal   ‣ *NZRKMS Record* : 18.Disposal
- ‣ *SARKMS Record* : 14.Record Disposal   ‣ *QGRKMS Record* : 13.Record Disposal
- ‣ *KA 3 Series* : <Disposal status and history>
- ‣ *KA 3 Item* : <Disposal status and history> <Disposal class number>
- ‣ *DAIC Series* : <Disposal status and history>
- ‣ *DAIC Item* : <Disposal status and history> <Disposal class number>

This tells the user if the Document is complete and, if not, indicates how and to what extent the content has been (or will be) culled, discarded or otherwise disposed of. May also be used to set out the retention rule(s) applying to the Documents. Generic disposal rules apply (e.g. duplicates, personal and private content, reference material, embargoes, etc.)

Metadata-tonymy : The disposal of the Document being described or the disposal of the entity-description (if different) can both be dealt with here.

Scope Note –
- **Recordkeeping Requirements for Disposal** : The requirements for disposal should be dealt with under Related Legislation (**U 3.001.0**) and the business rules applying those obligations/mandates under Business Rules (**U 3.006.0**). The results of a records appraisal are dealt with here and the results of a functional appraisal are dealt with under **F 3.301.0** (Appraisal of The Deed). Stated under **R 3.104.3** are the rules or requirements that will apply or have applied in the case of the Document being described and the date of application.
- **Retention Rules** : This allows the disposal status/history to be documented under **R 3.104.1** and **R 3.104.2**. Status/history records the application of a disposal rule in this instance. The rules themselves applying to this Document and/or its sub-entities may be kept with the Document using **R 3.104.3** to **R 3.104.9** or, as a result of a functional appraisal, using Appraisal of The Deed (**F 3.301.0**). A disposal authority, whatever method is used, will be a Document in its own right that may be linked with this Document using **U 3.007.0** (Associations) or **U 4.000.0** (Relationships).

R 3.104.1 CURRENT DISPOSAL STATUS This tells of past or current disposal status (or future status before action takes place).	**AREA**
a. Say what will be destroyed/deleted, purged, or retained e.g. Board minutes have been retained indefinitely	**Common Practice Rule**
b. Say what information the Document must contain e.g. Personal history record must contain offer of appointment and acceptance	**Common Practice Rule**
R 3.104.2 DISPOSAL HISTORY This tells of past or current disposal action when or after action takes place.	**AREA**
a. Say what has been destroyed/deleted, purged or retained e.g. Signed disclosure of interests forms purged before 1993	**Common Practice Rule**
b. Say what will be transferred to someone else (or other scheme) e.g. Unused data files to Archives after 5 years	**Common Practice Rule**
c. Say what information the Document has contained e.g. Employment histories moved to PeopleManager System in August 2006	**Common Practice Rule**
d. Say what has been transferred to someone else (or other scheme) e.g. Consignment 83745 sent to Archives 12 June, 2003	**Common Practice Rule**
R 3.104.3 DISPOSAL AUTHORITY/REQUIREMENT This says what authorises or requires disposal action.	**AREA**
a. Say what the authority/requirement is (make a link to F 3.301.0 if appropriate) e.g. Rule 7.4.1.01	**Common Practice Rule**
b. Say when it applies (has applied or will apply) e.g. 13 Oct., 2007 to date; 15 Dec., 2008, etc.	**Common Practice Rule**
R 3.104.4 RULES FOR DISPOSAL OF THE DOCUMENT This says what fate awaits the Document(s) covered by the authority/requirment	**AREA**

a. Say if they are to be deleted (by rule or at discretion) or retained e.g. Delete, Retain, or User Discretion	**Common Practice Rule**
R 3.104.5 RULES FOR DELETION AT DISCRETION AND RETENTION If there is no rule for deletion, this says what to do about metadata and versions	**AREA**
a. Say if the rule applies to versions e.g. Versions of retained documentation must be kept	**Common Practice Rule**
b. Say if metadata must be kept e.g. Metadata need not be kept for digital objects deleted at discretion	**Common Practice Rule**
R 3.104.6 DELETION BY RULE If there is a rule for deletion, this says what it is and how it must be applied	**AREA**
a. Stipulate a trigger type (currency/completion) e.g. Trigger Type : currency	**Common Practice Rule**
b. State the rule e.g. Wait until the loan is repaid then delete after another 7 years	**Common Practice Rule**
c. Say if the rule applies to versions e.g. versions need not be kept	**Common Practice Rule**
d. Say if metadata must be kept e.g. metadata need not be kept	**Common Practice Rule**
e. Add a period type e.g. years	**Common Practice Rule**
f. Add a period value e.g. 7	**Common Practice Rule**
R 3.104.7 RULES FOR EXCEPTIONS Exceptions apply to Documents that are not retained or deleted early. If some Document(s), or parts of a Document, or some information in the Document don't share the same fate, this says what happens and how an exception must be applied	**AREA**
a. Describe the exception e.g. Loan applications not proceeded with	**Common Practice Rule**
b. Stipulate a trigger type (currency/completion) e.g. Trigger Type : completion	**Common Practice Rule**
c. State the rule applying to the exception e.g. Wait until the application is denied/withdrawn then wait another year	**Common Practice Rule**
d. Say if the exception rule applies to versions e.g. versions need not be kept	**Common Practice Rule**
e. Say if metadata must be kept under the exception rule e.g. metadata need not be kept	**Common Practice Rule**
f. Add a period type e.g. 1	**Common Practice Rule**
g. Add a period value e.g. years	**Common Practice Rule**
R 3.104.8 RULES FOR EXTENSIONS (DOCUMENTS RETAINED OR KEPT LONGER) Extensions apply to Document(s) that are retained or kept longer. If some Document(s) or parts of a Document, or some information in the Document don't share the same fate, this says what happens and how an extension must be applied	**AREA**
a. Describe the extension e.g. Loans that have been rescheduled	**Common Practice Rule**
b. Stipulate a trigger type (currency/completion) e.g. Trigger Type : currency	**Common Practice Rule**
c. State the rule applying to the extension e.g. Wait until the rescheduled loan is repaid then wait another 7 years	**Common Practice Rule**
d. Say if the extension rule applies to versions e.g. versions need not be kept	**Common Practice Rule**

e. Say if metadata must be kept under the extension rule e.g. metadata need not be kept	**Common Practice Rule**
f. Add a period type e.g. 7	**Common Practice Rule**
g. Add a period value e.g. years	**Common Practice Rule**
R 3.104.9 RULES FOR CONDITIONS, VERIFICATION, NOTIFICATION This says if a condition must be satisfied before action is taken or if someone must approve it beforehand or be notified afterwards	**AREA**
a. Say which rule, exception, or extension is affected e.g. 7.4.1.01 Sales and Marketing ^{CBF 2084}	**Common Practice Rule**
b. Say if a condition must be satisfied and state it e.g. At least 3 copies of publications have been retained and deposited with Archives	**Common Practice Rule**
c. Say if verification has to be obtained and from whom e.g. Manager verification required	**Common Practice Rule**
d. Say if notification has to be given and to whom e.g. No notification necessary	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.105.0 : Use of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2* : 3.4.2 Conditions governing reproduction
- ▸ *RKMS Records :* 50.Use (also **U 3.008.0** Access/Permissions)
- ▸ *AGRKMS Record :* no reference
- ▸ *SARKMS Record* : no reference
- ▸ *KA 3 Series* : <Copyright and reproduction>
- ▸ *DAIC Series* : <Copyright and reproduction>
- ▸ *EAD* : <userestrict>
- ▸ *NZRKMS Record :* no reference
- ▸ *QGRKMS Record* : no reference
- ▸ *KA 3 Item* : <Copyright and reproduction>
- ▸ *DAIC Item* : <Copyright and reproduction>

The statement on copyright and on conditions governing copying and use. It gives information on further restrictions on use of records which are available under access conditions.

Metadata-tonymy : The use of the Document being described or the use of the entity-description (if different) can both be dealt with here.

Scope Note –
- **Access and Use** : This deals with restrictions on the use of information obtained by someone who has had access to the Document (e.g. intellectual property). Restrictions on use that would prevent access (e.g. fragility) are dealt with under Access/Permissions (**U 3.008.0**).
- **Replication/Publication** : A record of replication is dealt with under **R 3.107.0** and a record of publication (by you or others) is dealt with under **R 3.108.0**.

R 3.105.1 COPYRIGHT AND REPRODUCTION Even if a Document is accessible, there may be limitations on its publication and reproduction. These are stated here.	AREA
a. Say whether there are legal or other obstacles to allowing copies to be made e.g. Copyright in unpublished manuscript lies with the author	**Common Practice Rule**
b. Say whether copies once made can be published or further reproduced e.g. Fair dealing copies may not be published without permission	**Common Practice Rule**
c. Say whether information the Document contains can be published or distributed e.g. Publication of this image requires permission	**Common Practice Rule**
d. State the rule(s) or condition(s) that apply and say when they apply e.g. Permission required under copyright law until 2019	**Common Practice Rule**
e. If permission is required, say whose e.g. Permission may be sought from author/donor	**Common Practice Rule**
R 3.105.2 HANDLING Even if a Document is accessible, there may be limitations on its handling and how or where it is used. These are stated here.	AREA
a. State the rule(s) or condition(s) that apply and say when they apply e.g. 13 August 2008 : Use is restricted owing to fragility	**Common Practice Rule**
b. If permission is required, say whose e.g. Use only with permission of Head Cheese and under supervision	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.106.0 : Characteristics of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2 :* 3.1.5 ~~Extent and~~ medium of the unit of description (~~quantity, bulk, or size~~)
- ▸ *EAD :* <physdesc> and subelements <genreform>
- ▸ *ISAD 2 :* 3.4.4 Physical characteristics and technical requirements
- ▸ *EAD :* <physdesc> and subelements <physfacet> <phystech>
- ▸ *RKMS Records :* 47.Preservation 48.Retrieval
- ▸ *AGRKMS Record :* 19.Format 21.Medium 22.Integrity Check 24.Document Form
- ▸ *NZRKMS Record :* 19.Format 21.Medium 22.Integrity Check 24.Document Form
- ▸ *SARKMS Record* : 11.Record Format   ▸ *QGRKMS Record* : 10.Record Format
- ▸ *KA 3 Series :* <Physical characteristics and technical requirements>
- ▸ *KA 3 Item :* <Physical characteristics and technical requirements>
- ▸ *DAIC Series :* <Physical characteristics and technical requirements>
- ▸ *DAIC Item :* <Physical characteristics and technical requirements>

Format, size, and physical dimensions affecting use are described. Include technological dependencies.

Metadata-tonymy : The characteristics of Document being described or the characteristics of the entity-description (if different) can both be dealt with here.

Scope Note –
- **Extent and Quantity** : Use **R 1.101.0**.
- **Physical Factors Limiting Handling and Use** : These should be described here. The effect of these factors upon access should be recorded under Access/Permissions (**U 3.008.0**).

R 3.106.1 PHYSICAL CHARACTERISTICS This is about format, medium, integrity, etc. (not size).	AREA
a. Say what the medium it is in (paper, microfilm, etc.) e.g. Series 4593 is paper-based	**Common Practice Rule**
b. Say what the format is (audio, image, text, etc.) e.g. It consists of leather-bound volumes	**Common Practice Rule**
c. Say what condition it is in e.g. The covers are in poor condition but contents are useable	**Common Practice Rule**
R 3.107.2 TECHNOLOGICAL DEPENDENCIES	**AREA**
a. Say what equipment or technology (if any) is needed to use it e.g. Document 2375648395 is machine-readable	**Common Practice Rule**
b. Say what technology has been applied (encryption, compression, etc.) e.g. Encrypted in pgp	**Common Practice Rule**
c. State software/hardware dependencies e.g. It is an Excel spreadsheet	**Common Practice Rule**
d. State rendering/representation rules and standards e.g. MPEG7	**Common Practice Rule**
e. State transmission rules and standards e.g. compressed using WinZip version 2, 3.5 mb	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.107.0 : Duplicates	CATEGORY OF DATA Type of Data
R 3.107.0 : Duplicates of The Document	**Type of Data**

Citations -
- ▸ *ISAD 2 :* 3.5.1 Existence and location of originals   ▸ *EAD :* <originalsloc>
- ▸ *ISAD 2 :* 3.5.2 Existence and location of copies   ▸ *EAD :* <altformavail>
- ▸ *RKMS Records :* no reference
- ▸ *AGRKMS Record :* no reference   ▸ *NZRKMS Record :* no reference
- ▸ *SARKMS Record :* no reference   ▸ *QGRKMS Record :* no reference
- ▸ *KA 3 Series :* <Copies>   ▸ *KA 3 Item :* <Location of copies>
- ▸ *DAIC Series :* <Location of copies>   ▸ *DAIC Item :* <Location of copies>

Where duplicates of the Document(s) being described exist, their existence, location, and availability may be noted.

Metadata-tonymy : Duplicates of the Document being described or duplicates of the entity-description (if different) can both be dealt with here.

Scope Note –
- **Status of Duplicates of The Document** : Conceptually, a duplicate is an associated or related entity. The rules abstracted above are all from archival descriptive practice and are allowed here as an exception.
- **Replication/Publication** : A record of replication is dealt with here and a record of publication (by you or others) is dealt with under **R 3.108.0**. Conditions governing this are dealt with under **R 3.105.0** (Use of The Document).
- **Documented Copies/Duplicates** : Documented copies or duplicates of the data contents should be dealt with under **U 4.002.0** (Relationships with Like Entities).
- **Versions** : Versions of the entity-description should be dealt with under **U 2.004.0** (Control Data).

R 3.107.1 EXISTENCE OF DUPLICATES This is about duplicates of the document that has been described (or, if duplicates have been described, about the originals)	**AREA**
a. Say what duplicates exist e.g. Document 6574939087 v.1.00 is a copy of Document 9237586562 v.4.76	**Common Practice Rule**
b. If you have originals, say whether copies exist e.g. A microfilm copy of series 2098 is available in all regional offices	**Common Practice Rule**
c. If you have copies, say whether originals exist e.g. The original of series 9034 remains with the Ministry of Secrets	**Common Practice Rule**
R 3.107.2 REPLICATION OF CONTENT This is about replication or rendering of the document's content in another form	**AREA**
a. Say if the content has been replicated in another form e.g. Cables from series 3765 are published in *Foreign Affairs Documents 1938-1945*	**Common Practice Rule**
b. Say if the content has been incorporated into another document e.g. The content of document 938547664643 is Appendix D of the *Group HR Policy*	**Common Practice Rule**

R 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOCUMENT R 3.108.0 : Publication of The Document	CATEGORY OF DATA Type of Data

Citations -
- ▸ *ISAD 2 :* 3.5.4 Publication note
- ▸ *EAD :*
- ▸ *RKMS Records:* no reference
- ▸ *AGRKMS Record :* no reference
- ▸ *NZRKMS Record :* no reference
- ▸ *SARKMS Record :* no reference
- ▸ *QGRKMS Record :* no reference
- ▸ *KA 3 Series :* no reference
- ▸ *KA 3 Item :* no reference
- ▸ *DAIC Series :* no reference
- ▸ *DAIC Item :* no reference

Any publication of the entity-description or of the information in or about the entity based on the use, study or analysis of the information are identified.

Metadata-tonymy : Publication of the Document being described or publication of the entity-description (if different) can both be dealt with here.

Scope Note –
- **Replication/Publication** : A record of replication is dealt with under R 3.107 and a record of publication (by you or others) is dealt with here. Conditions governing this are dealt with under **R 3.105.0** (Use of The Document).

R 3.108.1 PUBLICATION OF THE DOCUMENT BY YOU This is about publication or distribution you have made	AREA
a. Say if it has been broadcast, distributed, or released by you e.g. Items in series 6754 have been published by us	**Common Practice Rule**
b. Say how e.g. Digitally, on-line	**Common Practice Rule**
c. Say to whom, when, and/or by what means e.g. Available for public use since 2007 at **OurStuffOnLine**	**Common Practice Rule**
R 3.108.2 PUBLICATION OF THE DOCUMENT BY SOMEONE ELSE This is about publication someone else has made	AREA
a. Say if it has been broadcast, distributed, or released by someone else e.g. Doc.9867457600023 has been published by them	**Common Practice Rule**
b. Say how e.g. Print and digitally (on-line)	**Common Practice Rule**
c. Say to whom, when, and/or by what means e.g. Public for sale or download from **TheirStuffOnLine** in 2009	**Common Practice Rule**
R 3.108.3 PUBLICATION OF THE INFORMATION This is about publication or distribution (by you or someone else) of information derived from or based on use, study, or analysis of the document or of the entity-description	AREA
a. Say if the information was used in a broadcast, distribution or release e.g. Series 3421 has been used extensively in broadcasting	**Common Practice Rule**
b. Say how e.g. In preparing TV documentaries	**Common Practice Rule**
c. Say by whom, when, and/or by what means e.g. TV Series "Do You know Who I Am?" 2008 : episodes 6 and 8	**Common Practice Rule**

P 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOER P 3.201.0 : Contacts	CATEGORY OF DATA Type of Data
P 3.201.0 : Contacts for The Doer	**Type of Data**

Citations -
- ▸ *ISAAR 2 :*no reference
- ▸ *ISDIAH :* 5.2.2 Telephone, fax., email 5.2.3 Contact persons
- ▸ *RKMS Agents :* no reference
- ▸ *AGRKMS Agent* : 13.Contact   ▸ *NZRKMS Agent* : 13.Contact
- ▸ *SARKMS Agent* : no reference   ▸ *QGRKMS Agent* : no reference
- ▸ *KA 3 Organisation etc. :* no reference   ▸ *KA 3 Agency etc. :* no reference
- ▸ *DAIC Organisation, etc. :* no reference   ▸ *DAIC Agency etc. :* no reference

A Doer's contact details. Not address or location..

Metadata-tonymy :

Scope Note –
- **Address/Location** : For address/location of the Doer use **U 3.003.0**.

P 3.201.1 WHO TO CONTACT This says who to contact (not where they are)	**AREA**
a. Say who should be contacted e.g. Contacts : 3. Information Manager	**Common Practice Rule**
b. Say what they can be contacted about e.g. 3. For inquiries on recordkeeping standards and procedures; disposal	**Common Practice Rule**
R 3.201.2 HOW TO CONTACT THEM This says how	**AREA**
a. Give contact details (e.g. address, 'phone/fax. numbers, email address) e.g. 3. Timbuktu Office, email: askme03@timbrecords.com etc.	**Common Practice Rule**
b. Say when they can be contacted e.g. contactable 24/7	**Common Practice Rule**

P 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOER P 3.202.0 : This category is left deliberately unused	CATEGORY OF DATA Type of Data

P 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOER P 3.203.0 : Capability	CATEGORY OF DATA Type of Data
P 3.203.0 : Capability of The Doer	**Type of Data**

Citations -
- ▸ *ISAAR 2 :*no reference
- ▸ *RKMS Agents :* no reference
- ▸ *AGRKMS Agent* : no reference
- ▸ *SARKMS Agent* : no reference
- ▸ *KA 3 Organisation etc. :* no reference
- ▸ *DAIC Organisation etc. :* no reference

- ▸ *ISDIAH :* 5.3.6 Buildings 5.5.3 Public areas
- ▸ *NZRKMS Agent* : no reference
- ▸ *QGRKMS Agent* : no reference
- ▸ *KA 3 Agency etc. :* no reference
- ▸ *DAIC Agency etc.. :* no reference

These are the resources (such as buildings, tools, systems, infrastructure) that the Doer has to carry out the Deeds.

Metadata-tonymy :

Scope Note –
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P 3.203.1 FACILITIES This says what facilities belong to the Doer	**AREA**
a. Say what buildings there are e.g. Public reading rooms in Auckland, Wellington, Christchurch, Dunedin	**Common Practice Rule**
P 3.203.2 AMENITIES This says what facilities are provided by the Doer	**AREA**
a. Say what public areas are provided e.g. Search rooms; dictation and meeting rooms; cafeteria; cloak room; exhibition area	**Common Practice Rule**

P 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DOER P 3.204.0 : Services	CATEGORY OF DATA Type of Data
P 3.204.0 : Services Provided by The Doer	**Type of Data**

Citations -
- ▸ *ISAAR 2 :*no reference
- ▸ *ISDIAH :* 5.4.1 Opening times 5.4.2 Conditions and requirements for access and use 5.4.3 Accessibility
       5.5.1 Research services 5.5.2 Reproduction services
- ▸ *RKMS Agents :* no reference

▸ *AGRKMS Agent*: no reference	▸ *NZRKMS Agent*: no reference
▸ *SARKMS Agent* : no reference	▸ *QGRKMS Agent* : no reference
▸ *KA 3 Organisation etc.:* no reference	▸ *KA 3 Agency etc.:* no reference
▸ *DAIC Organisation etc..:* no reference	▸ *DAIC Agency etc..:* no reference

These are the services (including limitations or restrictions) that the Doer provides.

Metadata-tonymy :

Scope Note –
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P 3.204.1 USE OF FACILITIES This says what use can be made of facilities provided by the Doer	AREA
a. State opening times e.g. Open Mon-Fri: 9.00am to 5.00pm; Sat:9.00am-noon	**Common Practice Rule**
b. State conditions and requirements for access and use e.g. Reader's ticket required in advance. Saturday visits by appointment only	**Common Practice Rule**
c. Indicate accessibility of the facilities e.g. Wheelchair access	**Common Practice Rule**
P 3.204.2 SERVICES This says what assistance is given by the Doer	**AREA**
a. Say what research services are provided e.g. search room advisory, research by correspondence, email, 'phone	**Common Practice Rule**
b. Say what reproduction services are provided e.g. Photocopying, scanning, microfilming	**Common Practice Rule**
c. Say what other services are provided e.g. Assistance for the aurally/visually impaired; list of professional researchers available	**Common Practice Rule**

F 3.000.0 DESCRIPTION : EXTENSION for DESCRIPTION of THE DEED F 3.301.0 : Appraisal	CATEGORY OF DATA Type of Data
F 3.301.0 : Appraisal of The Deed	Type of Data

Citations -
- ‣ *ISDF :*no reference
- ‣ *RKMS Business :* no reference
- ‣ *AGRKMS Business* : no reference
- ‣ *AGRKMS Mandate* : no reference
- ‣ *AGRKMS Relationship* : no reference
- ‣ *SARKMS Function* : no reference
- ‣ *KA 3 Function etc.:* no reference

- ‣ *RKMS Recordkeeping :* no reference
- ‣ *NZRKMS Business* : no reference
- ‣ *NZRKMS Mandate* : no reference
- ‣ *NZRKMS Relationship* : no reference
- ‣ *QGRKMS Function* : no reference
- ‣ *DAIC Function etc.:* no reference

This sets out the retention rule applying to Documents linked to a Deed (functional appraisal). Generic disposal rules apply (e.g. duplicates, personal and private content, reference material, embargoes, etc.)

Metadata-tonymy : Disposal of Functional Appraisals : Functional appraisals should be managed as Documents. Stated under **R 3.104.3** are the rules or requirements that will apply or have applied in the case of the Document and the date of application.

Scope Note –
- **Recordkeeping Requirements for Disposal** : The requirements for disposal should be dealt with under Related Legislation (**U 3.001.0**) and the business rules applying those obligations/mandates under Business Rules (**U 3.006.0**). The results of a records appraisal are dealt with under **R 3.104.0** (Disposal of Documents) and the results of a functional appraisal are dealt with here.

F 3.301.1 RETENTION OF LINKED DOCUMENTS This says what fate awaits documentation of the deed	AREA
a. Say if they are to be deleted (by rule or at discretion) or retained e.g. Delete/Retain/User Discretion	**Common Practice Rule**
F 3.301.2 DELETION AT DISCRETION AND RETENTION If there is no rule for deletion, this says what to do about metadata and versions	**AREA**
a. Say if the rule applies to versions e.g. Versions of retained documentation must be kept	**Common Practice Rule**
b. Say if metadata must be kept e.g. Metadata need not be kept for digital objects deleted at discretion	**Common Practice Rule**
F 3.301.3 DELETION BY RULE If there is a rule for deletion, this says what it is and how it must be applied	**AREA**
a. Stipulate a trigger type (currency/completion) e.g Trigger Type : currency	**Common Practice Rule**
b. State the rule e.g. Wait until the loan is repaid then delete after another 7 years	**Common Practice Rule**
c. Say if the rule applies to versions e.g. versions need not be kept	**Common Practice Rule**
d. Say if metadata must be kept e.g. metadata need not be kept	**Common Practice Rule**
e. Add a period type e.g. years	**Common Practice Rule**
f. Add a period value e.g. 7	**Common Practice Rule**
F 3.301.4 EXCEPTIONS (DOCUMENTS NOT RETAINED OR DELETED EARLY) If some documents do not share the same fate, this says what happens and how an exception must be applied	**AREA**
a. Describe the exception e.g. Loan applications not proceeded with	**Common Practice Rule**
b. Stipulate a trigger type (currency/completion) e.g. Trigger Type : completion	**Common Practice Rule**
c. State the rule applying to the exception	**Common Practice Rule**

e.g. Wait until the application is denied/withdrawn then wait another year	
d. Say if the exception rule applies to versions e.g. versions need not be kept	**Common Practice Rule**
e. Say if metadata must be kept under the exception rule e.g. metadata need not be kept	**Common Practice Rule**
f. Add a period type e.g. 1	**Common Practice Rule**
g. Add a period value e.g. years	**Common Practice Rule**
F 3.301.5 EXTENSIONS (DOCUMENTS RETAINED OR KEPT LONGER) If some documents do not share the same fate, this says what happens and how an extension must be applied	**AREA**
a. Describe the extension e.g. Loans that have been rescheduled	**Common Practice Rule**
b. Stipulate a trigger type (currency/completion) e.g. Trigger Type : currency	**Common Practice Rule**
c. State the rule applying to the extension e.g. Wait until the rescheduled loan is repaid then wait another 7 years	**Common Practice Rule**
d. Say if the extension rule applies to versions e.g. versions need not be kept	**Common Practice Rule**
e. Say if metadata must be kept under the extension rule e.g. metadata need not be kept	**Common Practice Rule**
f. Add a period type e.g. 7	**Common Practice Rule**
g. Add a period value e.g. years	**Common Practice Rule**
F 3.301.6 CONDITIONS, VERIFICATION, NOTIFICATION This says if a condition must be satisfied before action is taken or if someone must approve it beforehand or be notified afterwards	**AREA**
a. Say which rule, exception, or extension is affected e.g. 7.4.1.01 Sales and Marketing [CBF 2084]	**Common Practice Rule**
b. Say if a condition must be satisfied and state it e.g. At least 3 copies of publications have been retained and deposited with Archives	**Common Practice Rule**
c. Say if verification has to be obtained and from whom e.g. Manager verification required	**Common Practice Rule**
d. Say if notification has to be given and to whom e.g. No notification necessary	**Common Practice Rule**