

QUEENSLAND RECORDKEEPING METADATA STANDARD AND GUIDELINE

Queensland State Archives

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This guideline contains out of date references and will be reviewed pending changes to [Metadata \(IS34\)](#).



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Metadata for digital continuity: a companion guideline to the Queensland Recordkeeping Metadata Standard

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Information security

This document has been security classified using the Queensland Government Information Security Classification Framework (QGISCF) as PUBLIC and will be managed according to the requirements of the QGISCF.

Review status

This guideline contains out of date references and will be reviewed pending changes to [Metadata \(IS34\)](#).

Overview

The *Queensland recordkeeping metadata standard and guideline* identifies metadata elements required to manage records in accordance with best practice and provides guidance on implementation. Recordkeeping metadata assists in identifying, authenticating, describing and managing records, in particular digital records, in a systematic and consistent way to meet business, accountability, evidentiary and archival requirements.

This document contains both a guideline on understanding and applying recordkeeping metadata and a technical standard which identifies and defines metadata elements and specifies whether they are mandatory or optional.

The document is arranged in three parts:

- [Part 1: Guideline](#)
- [Part 2: Technical standard](#)
- [Part 3: Appendices](#).

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PART 1: GUIDELINE

1. Introduction

Recordkeeping metadata is a fundamental tool for capturing and managing full and accurate records. This standard and guideline details requirements for recordkeeping metadata and provides advice to public authorities on implementation.

Part 2 of this document comprises a technical standard designed to enable public authorities to meet some of the requirements of the *Public Records Act 2002*, *Information Standard 40: Recordkeeping* and *Information Standard 31: Retention and Disposal of Public Records*.

Information Standard 40: Recordkeeping (IS40) Principle 7 requires public authorities to make and keep full and accurate records for as long as they are needed for business, legislative, accountability and cultural purposes. In order to achieve compliance with this principle, public authorities are required to capture metadata about their records in accordance with the mandatory elements identified in [Part 2: Technical standard](#) of this document.

Compliance with the mandatory elements of this technical standard supports compliance with the requirements in *Information Standard 31: Retention and Disposal of Public Records* to capture information about the disposal process, including disposal authorisation.

For more information on requirements for public authorities, see [Section 3: Using the technical standard](#).

1.1. Authority

The State Archivist has issued this standard and guideline in accordance with s.25 of the *Public Records Act 2002* (the Act). Under s.25 of the Act, the State Archivist has the power to make policies, standards and guidelines about the making, keeping, preserving, managing and disposing of public records. Under s.7 of the Act, Chief Executives of public authorities must have regard to recordkeeping policies, standards and guidelines issued by the State Archivist.

1.2. Scope

This standard and guideline applies to all public authorities under the *Public Records Act 2002*.

It applies to the management of public records regardless of format.

The standard is particularly relevant to public authorities which are in the process of designing and implementing ICT systems that create and manage records, including electronic document and records management systems (eDRMS), and when reviewing ICT systems to determine recordkeeping compliance.

The focus of the technical standard is on metadata required for records management processes. While there is a strong relationship with metadata required for archival management, archival description is out of scope of this standard.

Additional advice on the use of metadata to support the long-term preservation of digital records is in *Metadata for digital continuity: a companion guideline to the Queensland Recordkeeping Metadata Standard*.¹

¹ Available from <https://www.qld.gov.au/gov/recordkeeping>.

1.3. Background

Prior to the issue of the standard in 2008, Queensland State Archives had previously recommended the adoption of the *Recordkeeping Metadata Standard for Commonwealth Agencies* (RKMSCA) version 1, developed by the National Archives of Australia.² The *Queensland recordkeeping metadata standard and guideline* was developed in response to feedback from public authorities, which called for a recordkeeping metadata standard tailored to the Queensland environment, and to provide for richer description and management of records as provided for by a multiple entity model.³

There is strong alignment between version 1 of the RKMSCA and the minimum mandatory requirements of this Standard. As a result, public authorities that complied with the RKMSCA are likely to comply with the minimum mandatory requirements of this standard.

[Appendix A](#) contains a mapping from this standard to the RKMSCA.

1.4. Definitions

Each element and element qualifier is defined in [Part 2: Technical standard](#) of this document.

Key terms used in this standard are defined below.

Term	Definition
Element	A single component of a metadata standard; a single unit of information.
Element qualifier	Refinement of an element defining its semantics or value. ⁴
Entity	Any concrete or abstract thing that exists, did exist, or might exist, including associations among these things. ⁵ For the purposes of this standard, record, agent and function have been defined as entities.
Metadata	Structured information that describes and/or allows users to find, manage, control, understand or preserve other information over time. ⁶

² Since the release of the QRKMS, the National Archives of Australia has released the new *Australian Government Recordkeeping Metadata Standard*. References in this document to the RKMSCA are to the 1999 original version.

³ For more information on the entity model in this standard, see section 4.1. The RKMSCA is based on the single entity of record.

⁴ Standards Australia (2004) AS ISO 23081.1-2004 Information and Documentation: Records Management processes – Metadata for records Part 1: Principles section 3.2.

⁵ Standards Australia (2007) AS ISO 23081.2-2007 Information and Documentation: Records Management processes – Metadata for records Part 2: Conceptual and implementation issues section 3.6.

⁶ National Archives of Australia (2004) *Glossary of Recordkeeping Terminology*.

Term	Definition
Recordkeeping metadata	Data describing the context, content and structure of records and their management through time. ⁷ Structured or semi-structured information that enables the creation, management and use of records through time and across domains. Recordkeeping metadata can be used to identify, authenticate and contextualise records; and the people, processes and systems that create, manage, maintain and use them. ⁸
Scheme	A source of information that provides instructions for the encoding of a data value, such as a metadata element or element qualifier. Allows for greater consistency in how element values are recorded.

Table 1 – Key terms

1.5. Changes in version 1.1

This version contains minor changes to align with Metadata for digital continuity: a companion guideline to the Queensland recordkeeping metadata standard. In particular, the changes include

- updating information on the use of data format (to make it repeatable) and original creating environment qualifiers
- adding the new optional current environment qualifier under the Record Format element
- updating the explanation under Record Event History element to emphasise the importance of documenting migration / preservation action
- adding the new element of Record integrity check and associated element qualifiers.

References to other Queensland State Archives' publications have been updated for currency, including Appendix D on metadata required to be retained after the destruction of records, and Appendix E on metadata for digitised records.

1.6. Acknowledgements

This document is an adaptation of State Records South Australia's *South Australian Recordkeeping Metadata Standard*. QSA acknowledges State Records South Australia for permission to adapt its standard.

The development of the *Queensland recordkeeping metadata standard and guideline* was informed by the input of a reference group comprising representatives of a range of public authorities listed in [Appendix H](#).

⁷ Standards Australia (2002) AS ISO 15489.1-2002 *Information and Documentation: Records Management* section 4.

⁸ National Archives of Australia (2004) *Glossary of Recordkeeping Terminology*.

2. Understanding recordkeeping metadata

Metadata is data that describes information resources. It allows users to find information resources and helps them determine whether the data or information will meet their needs. Metadata also assists managers and users to understand, retrieve, display, navigate, use, control and preserve data and information. There are many different types of metadata; for example, resource discovery metadata and geospatial metadata.

Recordkeeping metadata can be defined as:

structured or semi-structured information which enables the creation, management and use of records through time and across domains. Recordkeeping metadata can identify, authenticate and contextualise records and the people, processes and systems that create, manage and use them.⁹

ISO 15489 Records Management defines metadata as 'data describing the context, content and structure of records and their management through time'.¹⁰

A key feature that differentiates recordkeeping metadata from other types of metadata is that it is not a static profile of a document or other resource. Recordkeeping metadata initially defines a record at the point of capture, but is also dynamic and accrues through time, to provide information on how a record has been used or managed. This characteristic of recordkeeping metadata is essential for preserving the authenticity of records.

Recordkeeping metadata should also be used as an active tool to manage records and implement dynamic functionality: it is about facilitating processes rather than creating profiles. For example, metadata can enable the triggering of disposal operations or integrate with workflow processes.

Recordkeeping metadata includes information about:

- registration: metadata gives a record its unique identity in the system.
- content, structure and context: metadata can provide information about a record's content, for example title and description; structure, for example its type and format; and context, for example its classification, information about who created it, and its relationship with other records.
- recordkeeping processes: metadata provides information or evidence about processes a record may have undergone such as viewing, transmitting, transferring custody, accessing, reviewing or sentencing.

2.1. Purpose of recordkeeping metadata

A recordkeeping metadata standard allows users to identify and specify what information their systems (electronic, paper or hybrid) need to capture about records.

It therefore prescribes a standard approach for capturing, describing, using and managing information about records, their associated functions and the agents that create and use them. A

⁹ National Archives of Australia (2004) *Glossary of Recordkeeping Terminology*.

¹⁰ Standards Australia (2002) AS ISO 15489.1-2002 *Information and Documentation: Records Management* section 3.12.

standard approach is particularly valuable when implementing new electronic business and recordkeeping systems.

Recordkeeping metadata in a business or records system serves a number of purposes, in that it:

- Ensures that adequate contextual information about transactions is recorded and linked to the relevant record.
- Assists the discovery and retrieval of records by describing them in terms of recognisable functions and providing links between records of the same or similar activities and transactions using controlled vocabularies and other schema.
- Controls access to records by nominating, usually at the time of records creation, the security or legal status of records or any other caveats on their retention or use.
- Facilitates access to, and transfer of, records between public authorities due to machinery of government changes.
- Reduces the risk of unauthorised access to records.
- Supports management of storage costs of records and helps ensure that records are not kept beyond the period of their administrative use, by identifying disposal requirements.
- Supports the identification and management of vital records.
- Aids planning for data migration and other preservation needs by identifying, in standardised and accessible ways, the software and hardware dependencies of records.
- Provides a benchmark for measuring the quality of recordkeeping within and between public authorities for auditing and other purposes.
- Provides a key framework for specifying recordkeeping functionality when designing or procuring systems.

Reflecting this variety of purposes, three main ‘views’ of recordkeeping metadata are possible, and may coexist:

- The business view, where recordkeeping metadata supports business processes.
- The records management view, where recordkeeping metadata captures the characteristics of records and enables their management over time.
- The use view, either within or beyond the context of creation, where metadata enables the retrieval, understandability and interpretation of records.¹¹

2.2. Retention and disposal of recordkeeping metadata

Recordkeeping metadata is a record in itself, as it describes the actions that may have been carried out on a particular record. As such, the rules governing retention and disposal of these ‘control records’ are covered in the *General Retention and Disposal Schedule for Administrative*

¹¹ Standards Australia (2004) AS ISO 23081.1-2004 Information and Documentation: Records management processes – Metadata for records – Part 1: Principles section 5.1.

Records. Some recordkeeping metadata will need to be retained for longer than the life of the record to which it relates.

For more information on the retention and disposal of recordkeeping metadata, see [Appendix D: Metadata required to be maintained after the destruction of records.](#)

2.3. Relationship to other standards

[Part 2: Technical standard](#) of this document has been developed to align with appropriate Queensland Government legislation and standards, Australian and International Standards and recognised best practice in recordkeeping metadata, as illustrated in figure 1. Some of these relationships are explained further below.

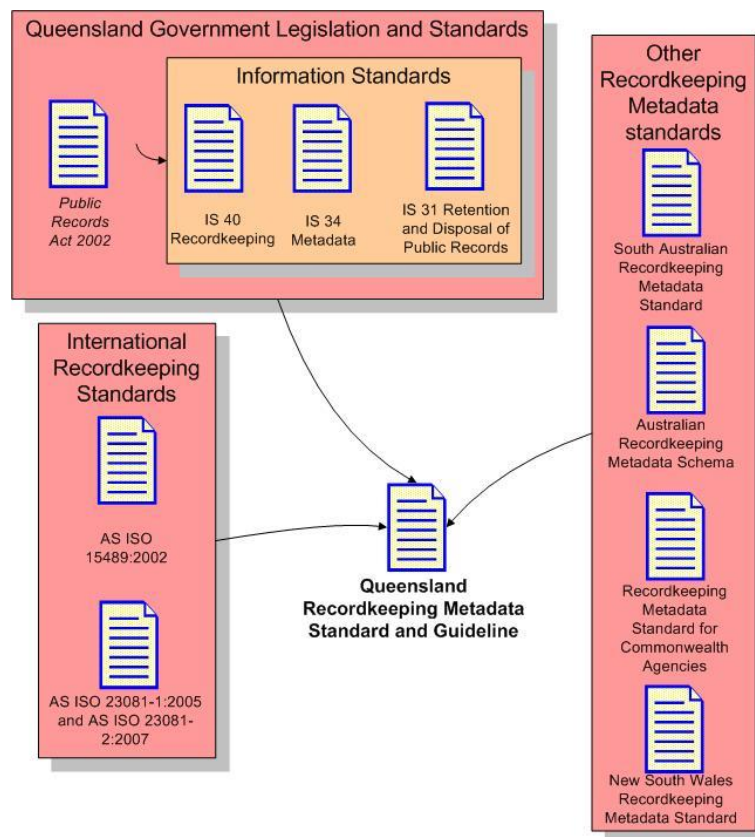


Figure 1 – Relationship to other standards

Information Standard 34: Metadata

In addition to the requirements in *Information Standard 40: Recordkeeping* and *Information Standard 31: Retention and Disposal of Public Records* to capture recordkeeping metadata (as outlined in [section 1: introduction](#)), *Information Standard 34: Metadata* (IS34) forms the central standard for the management of metadata schemes for Queensland government departments:

- metadata implementation
- management of metadata
- participation in whole-of-Government initiatives.

A key requirement of IS34 is that agencies must ensure consistent description and classification of information resources (including datasets, records and web-based information and services)

through the adoption of metadata schemes which are interoperable with the Australian Standard AS 5044 *AGLS Metadata Element Set (AGLS)*.¹² While IS34 covers records, it only mandates resource discovery metadata, rather than recordkeeping metadata.

As shown in [Appendix A](#), the *Queensland recordkeeping metadata standard and guideline* can be mapped to AGLS. Therefore, in implementing this standard, agencies will also comply with the IS34 requirement to ensure their records are described with a metadata scheme interoperable with AGLS.¹³

AS ISO 23081

AS ISO 23081 Information and documentation – Records management processes – Metadata for Records – Part 1: Principles and Part 2: Conceptual and implementation issues provide a high-level framework for creating, managing and using recordkeeping metadata.

This standard and guideline has been developed in accordance with the high-level framework provided by AS ISO 23081. The AS ISO 23081.2 framework includes a four entity model of:

- records
- people (agents)
- business (functions)
- mandates.

However, in this standard, the mandate entity has been incorporated within the function entity to streamline implementation.

As required by AS 23081.2, the category types (or aggregation levels) in this document have been mapped to the aggregation levels in AS ISO 23081.2 (see [Appendices G1](#), [G10](#) and [G11](#)).

¹² The AGLS standard is available at <http://www.naa.gov.au/records-management/create-capture-describe/describe/AGLS/index.aspx>.

¹³ Please note that the mapping is to the 2002 version of AGLS.

3. Using the technical standard

Part 2 of this document comprises the technical standard, which details mandatory and optional recordkeeping metadata elements. This section explains key concepts underlying the technical standard and how it is presented.

[Section 4](#) deals with implementation issues.

3.1. Entity model

This standard is based on a three entity model, where metadata is captured about the three entities of **records**, **agents** (people) and **functions**. This three entity approach has been adopted by other Australian government archival authorities as it allows for a richer description of the context of records.

Figure 2 illustrates the relationships between the three entities:

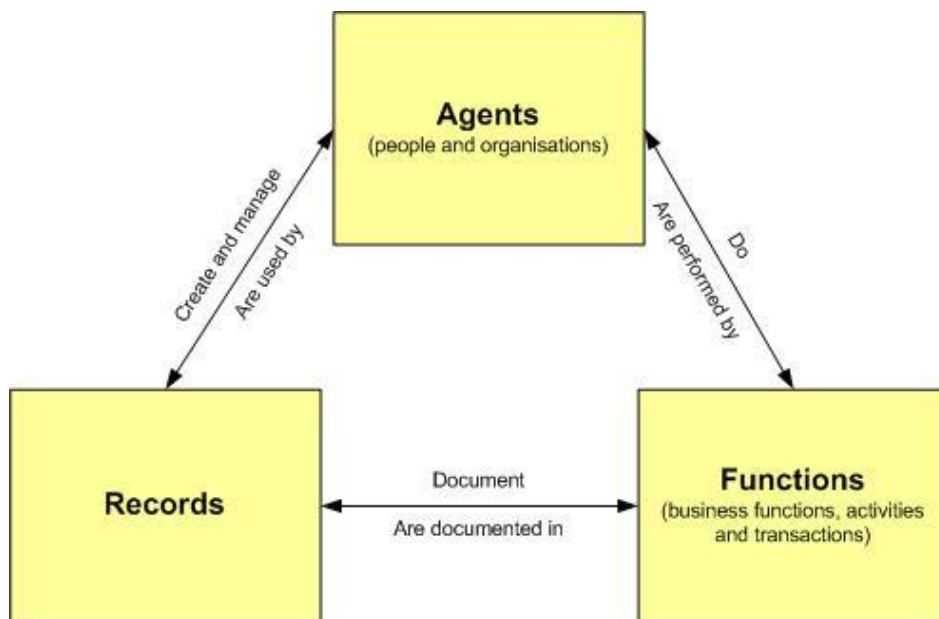


Figure 2 - Entity model

Metadata is documented for each entity and then relationships drawn to allow a detailed and flexible approach to documenting metadata.

3.2. Aggregation levels

Each entity can exist at different levels of aggregation. For example, the entity of 'record' may be a single item, a file or folder, a series of records, or recordkeeping system. These aggregation levels can be seen as 'layers', where the higher layer builds on the lower. For example, a person may be part of a workgroup, which is part of an organisation.

Figure 3 shows the different levels of aggregation for each entity.

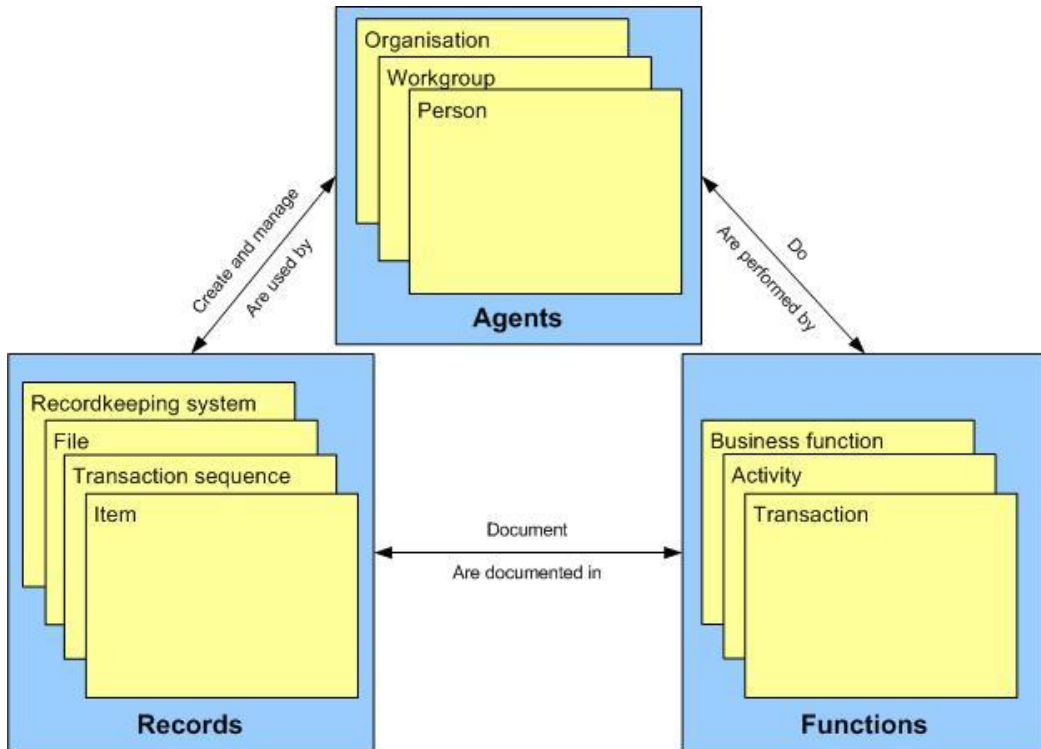


Figure 3 - Levels of aggregation

The level of aggregation for an entity being described is indicated in the 'category type' element for each entity. It is important to note that metadata about each level of aggregation in an entity may be different, and some metadata elements are more relevant to some levels than others. Information about the level of aggregation to which an element may be applied is included in the detail for each element in [Part 2: Technical standard](#).

3.3. Elements

Elements provide the building blocks of any metadata standard. They specify the individual units of information that need to be captured for any entity being described. Some elements are common across the entities and others are unique to a particular entity. Table 2 summarises the elements for each entity.

Record entity	Agent entity	Function entity
Category type	Category type	Category type
Identifier	Identifier	Identifier
Title	Title	Title
Description		Description
Date	Date	Date
Subject		
Coverage		
Language		
Type		

Record entity	Agent entity	Function entity
Format		
Relation	Relation	Relation
Access		Access
Disposal		
Location	Location/address	Location
Event history	Event history	Event history
Integrity check		
		Mandate

Table 2 - Elements for each entity

[Section 5: Table of elements](#) provides a more detailed overview of the elements, including element qualifiers.

Presentation of elements

Each element is presented in a standard layout, with the same information displayed for each element, as shown in Table 3 below:

Element number	Entity and name of element			
Definition	Describes an element and the objectives it is designed to fulfil.			
Purpose	Indicates the business and recordkeeping processes an element facilitates.			
Obligation	Indicates the requirement to implement an element. The values shown are 'mandatory', 'optional' or 'conditional'. Public authorities may choose to implement the 'optional' elements if they have a business need to do so or if they wish to follow the extent of the standard's best practice recommendations.			
Repeatability	Indicates whether an element can be used more than once to describe or refine the description of a particular entity.			
Scheme/values	Identifies any schemes or specified values recommended for use with the element (schemes are further described in Appendix G).			
Applicability	Indicates at what level of aggregation the element can be applied.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	The name and number of any qualifier.	Scheme recommended for use with that qualifier.	Identifies requirements to use the qualifier.	Whether the qualifier can be used more than once.
Default value	Indicates whether a default value can be used for an element or element qualifier, and what the recommended default value is.			

Conditions of use	Outlines any conditions that need to be considered when using an element. Defines element qualifiers.
Source	Indicates where the information to populate an element or element qualifier may be sourced from.
Comments	Contains additional information about the meaning or implementation of an element or element qualifier. May include advice about when it would be appropriate to use an element.

Table 3 - Presentation of elements

3.4. Understanding mandatory and optional requirements

3.4.1. Entities

This technical standard is based on the three entity model in line with national and international best practice. As outlined in [section 3.1](#), multiple entity metadata allows for rich and flexible management of records.

However, only implementation of the **record entity** is regarded as **mandatory**, as it is understood that not all systems within all public authorities have the capacity to implement all three entities. Two additional elements have been included in the 'record' entity, which **must be used** if the function and agent entities are not implemented.

When implementing eDRMS or building recordkeeping functionality into new business systems, it is strongly recommended that the full three entity model is used, to enable the public authority to achieve the full benefits of recordkeeping metadata.

3.4.2. Elements and element qualifiers

Within each entity, elements are mandatory, optional or conditional. Each element and element qualifier will be shown as having one of the following obligations:

- **Mandatory:** element or element qualifier must be implemented
- **Optional:** element or element qualifier may be implemented, depending on agency needs
- **Conditional:** element may or may not be required, depending on another factor; for example, conditional: mandatory for digital records.

The mandatory elements capture the minimum, basic metadata required to manage records over time to ensure they are complete, accurate, reliable and useable. Using some or all of the optional elements can result in improved retrieval and identification of records. In addition, significant or complex records, particularly those retained for longer periods of time, will need to be described more fully than simpler, shorter-term temporary records.

Most elements include a number of element qualifiers that further refine the meaning of the element. Some element qualifiers are stand-alone: for example, you do not need to know the value of creation date/time to understand the registration date/time qualifier. However, other element qualifiers comprise a set of linked metadata that needs to be retained as a sequence of interdependent elements. For example, in the record event history element, the element qualifiers of event ID, event type, event description and action officer together describe a single event and must be maintained as a linked set of information.

Please note that it is not necessary for element names to match this standard to be deemed compliant. What is important is that the same information is being captured. For example, the element named 'description' in this technical standard could be called 'abstract' in a particular implementation. An example of this is outlined in [Section 4.3: Assessing compliance](#).

3.4.3. Inheritance

Metadata can be inherited from different aggregation levels within the same entity. For example, an item can inherit some metadata from a file, or an activity can inherit metadata from a function.

Inheritance can happen in both directions. For example an item may take on the security classification of a file, or a file can take on the highest security classification of all the items it contains.

The feasibility of inheriting metadata must be assessed on an element by element basis. It is not possible for all the metadata for an instance or object at a certain aggregation level to be inherited from another aggregation level. For example, as all items within a file will have different creation dates, and the file itself will have a specific creation date, date created cannot be inherited from the file. Similarly, as all records, at all aggregation levels, need a unique identifier, this cannot be inherited.

3.4.4. Location of metadata

Metadata does not necessarily have to be captured within a single system. Metadata can be stored together within a record in a single system, separately in a database or a mixed approach. For example:

- A record may reside in a business system with minimal metadata about its creation, but metadata for classification and disposal may be in an eDRMS or other electronic repository or registry, with a pointer to the record.
- A business system may carry out transactions that relate only to a single function and a small number of activities. In this situation, metadata about the record classification may be captured in system documentation, rather than associated with every record within the system (however, each record within the system will still need to have metadata about its creation directly associated with it).

Decisions about the appropriate storage and management of metadata should take into account that the relationship between a record and its metadata needs to be persistent. That is, the relationship must be able to be maintained for as long as the record is required. Particular attention must be given to maintaining these links during system migration or conversion.¹⁴ Further advice on this is contained in [Migrating digital records: a guideline for Queensland public authorities](#).

3.4.5. Extensibility

This standard specifies metadata that is required for recordkeeping purposes, including retrieval. Public authorities may have a business need to implement additional metadata for different purposes; for example, compliance with industry-specific metadata standards.

¹⁴ For further discussion of the issues associated with linking metadata, see Standards Australia (2007) AS ISO 23081.2-2007 Information and Documentation: Records Management Processes – Metadata for records – Part 2: Conceptual and Implementation Issues section 11.7.

Public authorities may add additional elements and/or element qualifiers to this standard to meet any particular business or additional recordkeeping requirements. These additional requirements may be specific to particular record types or business activities. For example, 'property number' may be included as an additional metadata element for certain local government records.

4. Implementing recordkeeping metadata

The tasks to be undertaken by a public authority to implement the requirements of this technical standard will vary in accordance with the particular circumstances of implementation. For example, implementation may be in an existing system or a new system; or in a paper, digital or hybrid environment. Implementation must be tailored to the particular system and the needs of the public authority. A one-size-fits-all approach to implementing recordkeeping metadata is not appropriate. Specific advice on using metadata to support the management of digital records requiring longer term retention is available in the *Metadata for digital continuity guidelines*.¹⁵

Without specifying a prescriptive approach, this section outlines issues to be considered during implementation. These include:

- planning an implementation approach
- determining business needs for additional and/or optional metadata (both across the public authority and for particular systems)
- assessing existing compliance
- configuring systems and developing relevant policies and procedures
- ongoing quality assurance.

¹⁵ Available from <https://www.qld.gov.au/gov/recordkeeping>.

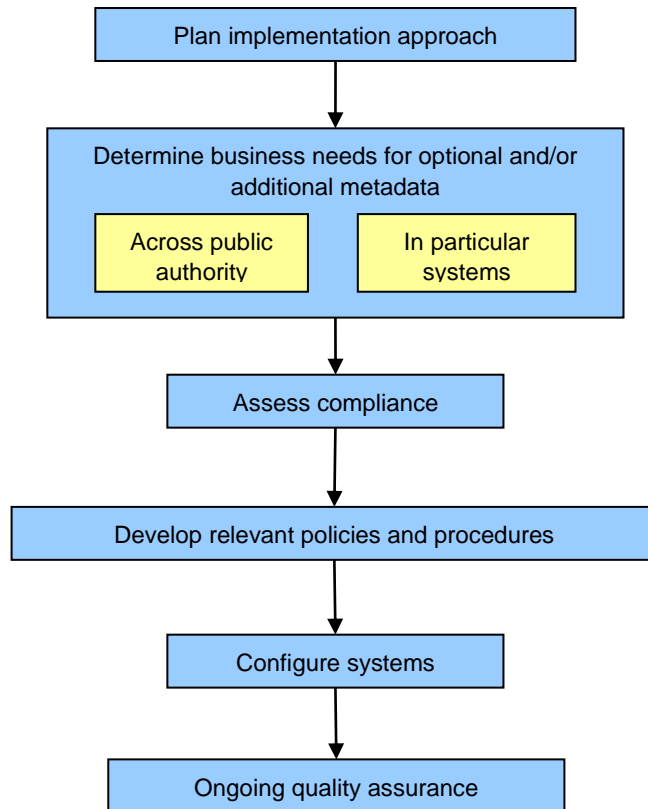


Figure 4 – Issues to be considered during implementation

4.1. Planning implementation

The implementation of recordkeeping metadata should be planned. Implementation may be done on a system-by-system basis across the organisation, with consideration given to prioritising systems based on both risk and opportunity.

For example:

- if a key business system is being redeveloped, exploit the opportunity to incorporate metadata requirements at the design stage
- a review of the organisation's main recordkeeping system (whether records management software is used to control physical records or an eDRMS) may be considered first, to be followed by an assessment of other business systems, or
- an initial assessment across current systems may focus on addressing minimum mandatory requirements, with further analysis scheduled to occur in conjunction with any planned future upgrades.

When designing and implementing new systems, public authorities are strongly advised to specify the need to support the full entity model, including optional elements, rather than limiting application of the standard to only the minimum mandatory requirements, to give the most flexibility when managing records. It is important that metadata requirements are clearly identified in functional specifications for any new system that manages records.

Generally, public authorities should take a holistic approach to metadata, including both recordkeeping and other types of metadata, adapting to the particular requirements of specific business units and systems.

4.1.1. Responsibilities

Implementation of the standard within public authorities requires a high level of cooperation between staff responsible for records management, system administration, business management, system vendors and implementers, and public authority staff. In addition, ongoing operational responsibilities need to be identified and communicated.

Some of the key responsibilities are outlined in Table 4.

Group	Implementation responsibilities	Operational responsibilities
Recordkeeping professionals	<ul style="list-style-type: none"> • Identification and documentation of additional elements and qualifiers and development of an implementation set. • Liaising with respective system administrators to ensure the capture and maintenance of recordkeeping metadata. • Providing advice on recordkeeping metadata when new systems are being designed or implemented. • Training of users. 	<ul style="list-style-type: none"> • Day-to-day capture and maintenance of certain recordkeeping metadata; for example, retention and disposal metadata. • Quality assurance of metadata, both automatically captured metadata and metadata manually entered by staff.
System administrators	<ul style="list-style-type: none"> • Ensuring the business and document/records management systems they support will capture and maintain recordkeeping metadata in accordance with this Standard. 	<ul style="list-style-type: none"> • Ensuring metadata is maintained for as long as required and not deleted without authority.
Business managers	<ul style="list-style-type: none"> • Providing advice on any required business-specific metadata. 	<ul style="list-style-type: none"> • Ensuring records are created of business processes. • Ensuring processes and internal controls are in place to support the creation and capture of necessary metadata.
System vendors and implementers	<ul style="list-style-type: none"> • Ensuring systems which create and manage records are capable of supporting required metadata. 	<ul style="list-style-type: none"> • Ongoing support and development of systems, as directed by public authority.
Public authority staff	<ul style="list-style-type: none"> • Acquiring necessary competencies to correctly enter metadata in the systems they use, in accordance with public authority policies and procedures. 	<ul style="list-style-type: none"> • Attributing metadata relating to individual business transactions where this cannot be captured automatically. For example, ensuring records they create are appropriately titled.

Table 4 - Roles and responsibilities

4.2. Assess business needs and develop implementation set

As outlined in [section 3.4](#), the technical standard contains a mix of mandatory, optional and conditional requirements, and can be extended to meet specific business requirements.

Public authorities should determine whether they will implement the minimum mandatory requirements of records entity, two of the entities or the full three-entity model, and whether any of the optional elements will be implemented. When implementing this standard, consideration should also be given to any business needs for additional metadata, for example an audience element to indicate the target audience of the information resource. This may include identifying overlaps and commonalities ('mapping') between the *Queensland recordkeeping metadata standard* and any other metadata standards specific to an industry sector; for example, EdNA learning objects metadata in the education sector, or the ANZLIC standard for spatial information.

This assessment may also involve identifying certain groups of records that require additional metadata. This may be on a system-by-system basis, or different metadata sets or 'profiles' associated with different record types within the one system. Examples of fields specific to certain records may be grant scheme name, licence type or property number.

Public authorities are encouraged to develop an implementation set which, based on this technical standard, will document:

- What elements are mandatory and optional, while ensuring that any mandatory elements in this Standard are also mandatory in the implementation set. For example, a public authority that routinely produces materials in languages other than English may make the language element mandatory.
- Any necessary mapping between the names of elements in this Standard and the labels applied in the system. For example, function element information may be captured in the title field.
- What schemes, controlled vocabularies or thesauri will be used to support specific elements or element qualifiers.
- At what level of aggregation metadata should be captured. For example, disposal metadata is usually captured at the file level, while format information applies at the item level.
- Any applicable default values.
- What metadata is captured automatically. For example, it is usually possible to capture some date and action officer information automatically.
- Who is responsible for the capture of manually generated metadata and quality assurance of metadata.

A sample metadata implementation matrix is available to assist in this process.¹⁶

The implementation set may also reflect that different metadata elements and different controls may be relevant for different business systems (again, always ensuring that the minimum mandatory elements from this Standard are included for all systems).

¹⁶ The matrix is available from <https://www.qld.gov.au/gov/recordkeeping>. It is based on a tool originally developed by Queensland Transport.

In developing the implementation set, consideration should be given to appropriate sources of metadata, and, where possible, minimising requirements for users to manually input metadata. Recordkeeping metadata can be sourced from a number of environments and systems in use in public authorities and, when user input is required, values should be selected from 'drop-down' menu lists, usually with logical default values, where possible. For example:

- Agent information may be captured from user logons or through integration with workflow systems.
- Date/time of records registration can be system-generated.
- Integration with transactional processing or workflow systems should also allow for default identification of relevant functions and activities.
- Format information can be automatically captured.

A number of sample schemes are available in [Appendix G](#) to populate drop-down lists for certain elements. The schemes are provided as guidance only and are not mandatory.

If the requirements of the *Queensland recordkeeping metadata standard and guideline* are being implemented as part of the development or implementation of a new system, then a metadata implementation set will inform system requirements and specifications.

4.3. Assess compliance

When implementing the standard in a current system, assess what metadata is already captured and map it against the requirements of this standard. In doing this, it is important to keep in mind that, as outlined in [Section 3.4: Understanding mandatory and optional requirements](#), it is not necessary for the names of elements to match those in this standard, or for metadata to be maintained all in the one system. What is important is that the right information is captured and can be logically linked to, or associated with, the record.

Assessing compliance and developing an implementation set for a specific system can be a recursive process, where an understanding of what metadata is currently captured (or what it is currently possible to capture) informs the implementation set. [Appendix C](#) provides a sample template that can assist with this assessment.

When implementing the standard in a new commercial ‘off the shelf’ system, this task will involve assessing what metadata is captured by the new system ‘out of the box’, and identifying what additional fields may need to be configured.

In assessing compliance, it is essential to have a thorough understanding of the structure of the system being examined. It is not necessary for all metadata to be visible on a ‘profile form’, as some metadata will be automatically generated and only visible to system administrators, or applied by records management staff.¹⁷ In addition, what is identified as a single element in this document may be captured in different ways for different entities or aggregation types, as shown in Table 5.

Requirement from technical standard	System feature	Compliance
Element 12 Record relation: For records with the category type of ‘item’: ‘created by’ relationship to agent is mandatory. <i>Explanation:</i> the item must be related to the agent that created the document.	Profile form for documents has mandatory field for author, linked to agent information in a drop-down list of agents.	While the structure and element names do not directly correspond to this standard, it can be seen that the same information is being captured, and therefore is compliant.

Table 5 - Example of metadata compliance

The assessment detail may vary depending on the system being assessed. For example, a current business system that only manages a limited range of records may simply be a list of the mandatory recordkeeping metadata with an explanation of where it is captured in the system or in related systems, or documentation with references to any existing applicable business rules. In contrast, the implementation set for a new system that is required to manage a wide range of records may be more detailed, including mandatory and optional metadata, information on what metadata is system-generated, where user input is required and what default values and schemes will be used for particular elements.

¹⁷ A ‘profile form’ is the common name given to the online form filled out by an eDRMS user when registering a document or a file.

4.4. Configure systems and develop policies and procedures

After the necessary business decisions have been made (and compliance assessed for current systems), agreed metadata can be implemented. This involves defining the business processes for metadata capture.

Any required system configuration should be undertaken by system administrators and relevant system documentation updated, creating a record of the changes. Policies and procedures should be similarly updated to reflect these changes and, depending on the extent of changes, communication and training may be required for end users.

4.5. Quality assurance

As it is not possible to completely automate the capture of recordkeeping metadata, a quality assurance process must be established so that metadata manually generated by end users is monitored. This may be based on a sample of records, or alternatively, attention may focus on the use of mandatory rather than optional elements.

Depending on the system in use, it may be possible to create and run reports which outline changes to some metadata elements. Such reports could be used to streamline quality checking. In addition, mandatory fields on profile forms and the use of drop-down lists help control the quality of the data that is being brought into the system.

The quality assurance process may identify common errors which can result in follow-up communication and training activities, or may reveal the need for changes to schemes or the addition of new elements.

5. Table of elements

The table below provides a list of all elements and element qualifiers, including their obligations. A list of mandatory elements and element qualifiers only is included as [Appendix B](#). A graphical representation of elements and their obligations is at [Appendix F](#).

Key to obligations: M = Mandatory

O = Optional

C = Conditional

As outlined in [section 3.4](#), only the record entity is mandatory. When only the record entity is implemented, a total of 26 elements or sub-elements are mandatory. Please note that the conditional element of records classification **must** be implemented if the function entity is not used; and the conditional element of record agent **must** be implemented if the agent entity is not used.

5.1. Record entity

	Number	Name	Obligation	Notes
Element	1	Record category type	M	
Element	2	Record identifier	M	
Qualifier	2.1	Domain	O	
Qualifier	2.2	Barcode	O	
Element	3	Record title	M	
Qualifier	3.1	Alternative title	O	
Qualifier	3.2	Abbreviated title	O	
Element	4	Record description	O	
Element	5	Record date	M	Use in conjunction with element qualifiers
Qualifier	5.1	Creation date/time	M	
Qualifier	5.2	Registration date/time	M	
Qualifier	5.3	Transfer date	O	
Qualifier	5.4	Date declared record	O	
Element	6	Record subject	O	
Element	7	Record coverage	O	Use in conjunction with element qualifiers

	Number	Name	Obligation	Notes
Qualifier	7.1	Jurisdiction	O	
Qualifier	7.2	Spatial	O	
Qualifier	7.3	Period name	O	
Element	8	Record language	O	
Element	9	Record type	O	
Element	10	Record format	M	Use in conjunction with element qualifiers
Qualifier	10.1	Data format	C	Mandatory for digital records only
Qualifier	10.2	Medium	M	
Qualifier	10.3	Extent	O	
Qualifier	10.4	Original creating environment	O	
Qualifier	10.5	Current environment	O	
Element	11	Record relation	M	Use in conjunction with element qualifiers
Qualifier	11.1	Related entity identifier	M	
Qualifier	11.2	Relationship type	M	
Qualifier	11.3	Relationship date	O	
Element	12	Record access	M	Use in conjunction with element qualifiers
Qualifier	12.1	Security classification	M	
Qualifier	12.2	Caveat	O	
Qualifier	12.3	Access rights	O	
Qualifier	12.4	Use conditions	O	
Qualifier	12.5	Access statement	O	
Qualifier	12.6	Determination date	M	
Qualifier	12.7	Review due date	O	

	Number	Name	Obligation	Notes
Element	13	Record disposal	M	Use in conjunction with element qualifiers
Qualifier	13.1	Disposal authorisation	M	
Qualifier	13.2	Disposal sentence	M	
Qualifier	13.3	Disposal status	O	
Qualifier	13.4	Date sentenced	O	
Qualifier	13.5	Disposal action due	M	
Qualifier	13.6	Authorising officer	C	Mandatory for temporary records, once destroyed
Qualifier	13.7	Destruction notification	C	Mandatory for temporary records, once destroyed
Qualifier	13.8	Disposal statement	O	
Element	14	Record location	M	Use in conjunction with element qualifiers
Qualifier	14.1	Current location	M	
Qualifier	14.1	Store location	M	
Qualifier	14.3	Location date	M	
Element	15	Record event history	M	Use in conjunction with element qualifiers
Qualifier	15.1	Event ID	M	
Qualifier	15.2	Event type	M	
Qualifier	15.3	Event description	M	
Qualifier	15.4	Event date/time	M	
Qualifier	15.5	Action officer	M	
Element	16	Record classification	C	Mandatory if function entity not implemented
Qualifier	16.1	Function descriptor	C	Mandatory if element used
Qualifier	16.2	Activity descriptor	C	Mandatory if element used
Qualifier	16.3	Transaction descriptor	O	

	Number	Name	Obligation	Notes
Element	17	Record agent	C	Mandatory if Agent entity not implemented
Qualifier	17.1	Record creator	C	Mandatory if element used
Qualifier	17.2	Record recipient	O	
Qualifier	17.3	Record registrar	C	Mandatory if element used
Qualifier	17.4	Organisation responsible	C	Mandatory if element used
Element	35¹⁸	Record integrity check	C	Conditional – mandatory when integrity checks are performed Use in conjunction with element qualifiers
Qualifier	35.1	Hash function name	C	Mandatory if element used
Qualifier	35.2	Message digest	C	Mandatory if element used

5.2. Agent entity

	Number	Name	Obligation	Notes
Element	18	Agent category type	C	Mandatory if agent entity is implemented
Element	19	Agent identifier	C	Mandatory if agent entity is implemented
Qualifier	19.1	Domain	O	
Qualifier	19.2	Digital signature	O	
Element	20	Agent title	C	Mandatory if agent entity is implemented
Qualifier	20.1	Alternative title	O	
Qualifier	20.2	Abbreviated name	O	

¹⁸ This element number is out of sequence as it is a new element, added in version 1.1. For the sake of clarity between versions 1 and 1.1, it was undesirable to renumber all the elements.

	Number	Name	Obligation	Notes
Element	21	Agent date	O	Use in conjunction with element qualifiers
Qualifier	21.1	Agent date commencement	O	
Qualifier	21.2	Agent date cessation	O	
Qualifier	21.3	Agent date operational period	O	
Element	22	Agent relation	C	Mandatory if agent entity is implemented Use in conjunction with element qualifiers
Qualifier	22.1	Related entity identifier	C	Mandatory if agent entity is implemented
Qualifier	22.2	Relationship type	C	Mandatory if agent entity is implemented
Qualifier	22.3	Relationship date	O	
Element	23	Agent location/address	O	
Qualifier	23.1	Business address	O	
Qualifier	23.2	Contact address	O	
Qualifier	23.3	Location date	O	
Element	24	Agent event history	C	Mandatory if agent entity is implemented Use in conjunction with element qualifiers
Qualifier	24.1	Event ID	C	Mandatory if agent entity is implemented
Qualifier	24.2	Event description	C	Mandatory if agent entity is implemented
Qualifier	24.3	Event date/time	C	Mandatory if agent entity is implemented
Qualifier	24.4	Action officer	C	Mandatory if agent entity is implemented

5.3. Function entity

	Number	Name	Obligation	Notes
Element	25	Function category type	C	Mandatory if function entity is implemented
Element	26	Function identifier	C	Mandatory if function entity is implemented
Qualifier	26.1	Domain	O	
Element	27	Function title	C	Mandatory if function entity is implemented
Qualifier	27.1	Alternative title	O	
Qualifier	27.2	Abbreviated title	O	
Element	28	Function description	C	Mandatory if function entity is implemented Mandatory at business function level of aggregation
Element	29	Function date	C	Mandatory if function entity is implemented Use in conjunction with element qualifiers
Qualifier	29.1	Date implemented	C	Mandatory for business functions only
Qualifier	29.2	Date valid	O	
Element	30	Function relation	C	Mandatory if function entity is implemented Use in conjunction with element qualifiers
Qualifier	30.1	Related entity identifier	C	Mandatory if function entity is implemented
Qualifier	30.2	Relationship type	C	Mandatory if function entity is implemented
Qualifier	30.3	Relationship date	O	

	Number	Name	Obligation	Notes
Element	31	Function access	O	Use in conjunction with element qualifiers
Qualifier	31.1	Security classification	O	
Qualifier	31.2	Caveat	O	
Qualifier	31.3	Use conditions	O	
Qualifier	31.4	Access statement	O	
Qualifier	31.5	Determination date	O	
Qualifier	31.6	Review due date	O	
Element	32	Function location	O	Use in conjunction with element qualifiers
Qualifier	32.1	Business activity area	O	
Qualifier	32.2	Service delivery point	O	
Qualifier	32.3	Location date	O	
Element	33	Function mandate	O	Use in conjunction with element qualifiers
Qualifier	33.1	Mandate type	C	Mandatory if function mandate element is used
Qualifier	33.2	Mandate title	C	Mandatory if function mandate element is used
Qualifier	33.3	Mandate identifier	O	
Qualifier	33.4	Mandate description	O	
Qualifier	33.5	Mandate date	O	
Qualifier	33.6	Mandate jurisdiction	O	
Element	34	Function event history	C	Mandatory if function entity is implemented Use in conjunction with element qualifiers
Qualifier	34.1	Event ID	C	Mandatory if function entity is implemented

	Number	Name	Obligation	Notes
Qualifier	34.2	Event description	C	Mandatory if function entity is implemented
Qualifier	34.3	Event date/time	C	Mandatory if function entity is implemented
Qualifier	34.4	Action officer	C	Mandatory if function entity is implemented

PART 2: TECHNICAL STANDARD

Record entity

Elements associated with the record entity describe records and aggregations of records.

Record entity metadata is associated with:

- individual records or items including documents typically produced in office applications including word processed documents, spreadsheet applications, presentation material, emails, web pages and images. An item may also be a logical set of related data fields in a database or business system; for example, the fields entered when initiating a licence application.
- aggregations of records including transaction sequence, files (physical or virtual), record series and record systems.

A 'transaction sequence' is a set of items which shows one coherent transaction. For example, a letter of complaint and response, or all the data fields required to process a license application in a business system (when the data fields for each distinct step of the process form an item).

Deciding on the appropriate levels of aggregation to capture metadata is a key implementation decision. In traditional paper and electronic document and records management environments, metadata is commonly inherited by the item from its 'parent' file (see [section 4.4](#) of the guideline for more information on inheritance).

However, in business systems not principally designed for recordkeeping purposes, item and/or transaction sequence may be used. For example, while disposal metadata is usually applied at the file level, in a business system which does not support a file aggregation, it may need to be applied at a transaction sequence level.

The record entity comprises the following elements:

- category type
- identifier
- title
- description
- date
- subject
- coverage
- language
- type
- format
- relation
- access
- disposal
- location
- event history
- classification (only when function entity is not used)
- agent (only when agent entity is not used)
- integrity check

1. Record category type

Definition	<p>This element identifies the level of aggregation of the record or group of records being described. That is, the record being described is:</p> <ul style="list-style-type: none"> • an item: a single record, for example a report, email or invoice. • a transaction sequence: a sequence of items, physically or virtually linked, which document one coherent transaction. • a file or folder: a group of related records, a container of related items. • a record series: those records or archives having the same provenance and which belong together because: <ul style="list-style-type: none"> ○ they are part of a discernible filing system (alphabetical, numerical, chronological or a combination of these) ○ they have been kept together because they result from the same activity, or ○ they are of similar formats and relate to a particular function. • a recordkeeping system: usually belonging to a single public authority (this includes business systems that capture and manage records).
Purpose	<p>This element:</p> <ul style="list-style-type: none"> • categorises records according to their level of aggregation • facilitates understanding of the type of records being described, and • enables searches to be restricted to records at a particular level of aggregation.
Obligation	Mandatory.
Repeatability	Not repeatable.
Recommended scheme/values	QRKMS Record category type scheme (Appendix G1), with agency specific extensions if required.
Applicability	Applicable at all levels of aggregation.
Default value	Item.
Conditions of use	None.
Source	The record category type can be selected from a menu based on the QRKMS Record category type scheme (Appendix G1). The scheme can be supplemented with public authority-specific record category types, if required.
Comments	The identification of records at different levels of aggregation can be achieved by several means; for example, through the use of icons.

2. Record identifier

Definition	This element provides the unique identifier allocated to a record or aggregation of records, usually at the time of registration.			
Purpose	This element: <ul style="list-style-type: none"> uniquely identifies a record or an aggregation of records ensures records can be located facilitates the use of records acts as a reference point for the records described, and provides a link to the records description and acts as a link to other related elements and entities. 			
Obligation	Mandatory.			
Repeatability	Repeatable (Note: each record must have a single unique identifier. However this element is repeatable when used in conjunction with the element qualifier 2.1 as the record could have a different identifier for different domains).			
Recommended scheme/values	Public authority-specific schemes, for example system-generated control numbers. For series of records where parts of the series have been transferred to the custody of Queensland State Archives, a series identifier can be obtained from Queensland State Archives' control system.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Recommended scheme	Obligation	Repeatability
	2.1 Domain	Public authority-specific domain scheme	Optional	Repeatable
	2.2 Barcode	-	Optional	Repeatable
Default value	None.			
Conditions of use	<p>Domain indicates the environment within which the identifier is meaningful or unique. For example, to specify that an identifier is unique only within a regional office, not across the public authority.</p> <p>Barcode is a machine-readable representation of information, usually an identifying number. The barcode may or may not use the same numbering sequence as the record identifier.</p>			
Source	<p>Record identifiers are in most cases automatically generated by the recordkeeping system. They may be allocated sequentially.</p> <p>Generally, a different sequence or series of numbers will be used for each different category type (see record category type).</p> <p>Domain names can be selected from a menu developed from an agency or authority-based scheme.</p> <p>Barcodes can be derived from a number of sources. A range of different symbologies may be used for barcodes. It is recommended public authorities use the barcodes supported by the relevant recordkeeping system.</p>			
Comments	<p>Public authorities are required to allocate a unique identifier to items created or captured within a recordkeeping or document management system, in accordance with AS ISO 15489.</p> <p>The Domain qualifier should be used if the numbering (or other identifying scheme) is not unique across the organisation or to indicate the meaning of different identifiers. For example, public authorities may need to allocate other identifiers to records transferred to</p>			

alternative storage providers.

3. Record title

Definition	This element states the name given to a record (or an aggregation of records) as free text. It can also be described with an alternative and/or abbreviated title.			
Purpose	This element: <ul style="list-style-type: none"> assists in the identification and differentiation of records, and facilitates searching and retrieval of records. 			
Obligation	Mandatory.			
Repeatability	Repeatable (Note: each record must have single title, however this element is repeatable when the element qualifiers are used - the record may have multiple alternative or abbreviated titles).			
Recommended scheme/values	Free text title. It is recommended that a file title is derived, in part, from a thesaurus or Business Classification Scheme or other established business rule.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Recommended scheme	Obligation	Repeatability
	3.1 Alternative Title	-	Optional	Repeatable
	3.2 Abbreviated Title	-	Optional	Repeatable
Default value	None.			
Conditions of use	<p>Record title is the name given to a record.</p> <p>Alternative title is used to indicate a different title which the record is also known by.</p> <p>Abbreviated title can be used to capture common shorter forms of the title.</p>			
Source	Title metadata is predominantly user defined. It may be derived from 'properties' data in Office applications or from other nominated fields, such as the subject field in email documents.			
Comments	<p>Effective use of this element may require a significant amount of user education to ensure records are given adequate and meaningful titles. Public authority-specific guideline should be developed to educate users on conventions for titling records, including the use of acronyms or abbreviations.</p> <p>Public authorities may use functional thesauri such as <i>Keywords for Councils</i> or one based on <i>Keyword AAA</i> or <i>QKey</i> to partially determine titles (usually at the file level of aggregation). When applied, users should be automatically prompted to use these when titling records. Therefore this element may partially duplicate information in the function entity, or in record classification.</p> <p>If a title is automatically derived from document properties or from the subject field in an email, the user must be allowed to alter the title metadata to provide a more meaningful title if necessary.</p>			

4. Record description

Definition	This element provides a free text description of the contents and/or purpose of a record or an aggregation of records.
Purpose	This element: <ul style="list-style-type: none"> enhances information included in the record title facilitates searching and retrieval, and facilitates user choice.
Obligation	Optional.
Repeatability	Repeatable.
Recommended scheme/values	-
Applicability	Applicable at all levels of aggregation.
Element qualifiers	None.
Default value	None.
Conditions of use	Content of this element should not duplicate information in other elements.
Source	Record description element is predominantly user defined. Metadata could be derived from automatic abstracting tools.
Comments	None.

5. Record date

Definition	This element specifies date/time or a range of date/times applicable to a record or an aggregation of records.			
Purpose	This element: <ul style="list-style-type: none"> provides date/time specificity to a record or group of records contributes to the evidential value of records contributes to accountability facilitates searching and retrieval facilitates records management processes such as disposal. 			
Obligation	Mandatory.			
Repeatability	As for element qualifiers.			
Scheme/values	ISO 8601.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name/s	Recommended scheme	Obligation	Repeatability
	5.1 Creation date/time	ISO 8601	Mandatory	Not repeatable
	5.2 Registration date/time	ISO 8601	Mandatory	Not repeatable
	5.3 Transfer date	ISO 8601	Optional	Repeatable
	5.4 Date declared record	ISO 8601	Optional	Not repeatable

Default value	None.
Conditions of use	<p>The record date element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Creation date/time is the date and time when the record is created. For example, for a letter the creation date is shown on the letter.</p> <p>Registration date/time is the date and time a record was entered into the recordkeeping system.</p> <p>Transfer date is the date that a record was transferred out of the custody of the public authority to another organisation, for example through a Machinery of Government change or to Queensland State Archives.</p> <p>Date declared record is the date and time that an item, already in a system, is then declared to be a record (see comments, below).</p>
Applicability	Applicable at all levels of aggregation.
Source	Date/time metadata will in most cases be system generated. It is therefore necessary to implement processes to ensure the accuracy of the system clock.
Comments	<p>Dates recorded in this element and its element qualifiers are those associated with creation and registration of the record and its initial metadata. Dates relating to other events associated with the management of records are captured in record event history.</p> <p>Some redundancy in information may exist as date/time created and date/time registered may be the same, particularly for category types such as files and series where the act of creation and the act of registration are the same.</p> <p>In some systems, such as document and records management systems, an item may be registered (made known to the system) before it is formally declared a record. For example, a draft document may be registered in the system and worked on collaboratively, then declared a record once finalised. In these situations, date registered may refer to the date an item is made known to the system, and therefore the date declared record element qualifier should be used to indicate when the item was formally made a record.</p>

6. Record subject

Definition	This element identifies the subject keywords, which describe the subject content of the record or aggregation of records.
Purpose	<p>This element:</p> <ul style="list-style-type: none"> • facilitates searching and retrieval at a 'finer level' than available when using record title and record classification • classifies records by subject descriptors, and • identifies the subject scheme used to describe the record subject content.
Obligation	Optional.
Repeatability	Repeatable.
Scheme/values	Various – see comments.
Applicability	Applicable at all levels but primarily at the item and file (or equivalent) level.
Element qualifiers	As required by public authority-selected scheme.
Default value	None.
Conditions of use	None.
Source	Metadata for this element can be user-selected from a defined scheme.

Comments	A public authority may choose to use a subject thesaurus specific to the industry sector in which they operate, for example the ERIC (<i>Education Resource Information Centre Thesaurus</i>) for the education sector, <i>Index Medicus</i> for health, <i>Enterprise Thesaurus</i> for law or the <i>Australian Public Affairs Information Service (APAIS) Thesaurus</i> for general coverage of public affairs and social sciences.
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7. Record coverage

Definition	This element identifies the jurisdiction in which the record is valid (i.e. the place name, region or geographical area) and/or the time period the record covers.			
Purpose	This element <ul style="list-style-type: none"> • provides context, and • facilitates retrieval. 			
Obligation	Optional.			
Repeatability	Repeatable.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	7.1 Jurisdiction	Public authority developed scheme	Optional	Repeatable
	7.2 Spatial	ASGC or Local Government areas	Optional	Repeatable
	7.3 Period Name	ISO 8601	Optional	Repeatable
Default value	Suggested values for jurisdiction: Queensland (for Queensland Government Agencies); Local Government Area (for Local Governments).			
Conditions of use	<p>The record coverage element should not be used alone, but in conjunction with at least one of its qualifiers.</p> <p>Jurisdiction should be used for records documenting matters relevant to the legislative and political affairs of a specific, defined geographic area.</p> <p>Spatial should be used for records documenting matters relating to geographic, economic, social or cultural affairs which have a strong focus on place, or to allow for consistent retrieval within a specified geographic context.</p> <p>Period name is used where a resource has particular time-related characteristics, for example, when the record is only valid for a particular period, or to specify the period referred to by the contents of the record.</p>			
Source	Values can be selected from a menu list based on an approved scheme.			
Comments	<p>Most public authorities will have identified different regions within the state for service delivery and management purposes and may develop a scheme based on these for the jurisdiction qualifier. Other public authorities may choose to use local government areas.</p> <p>The Australian Standard Geographic Classification is recommended for use for the Spatial qualifier and will ensure consistency at the state and national levels. Alternatively, local government areas may also be used.</p> <p>Some redundancy with other elements may exist as coverage data may be contained within record title, record description and record classification elements.</p>			

8. Record language

Definition	This element identifies the language (oral or written) in which the record is documented.
Purpose	This element : <ul style="list-style-type: none"> • facilitates searching and retrieval • limits the scope of searching, and • facilitates the work of public authorities that use material originating in foreign countries or that work with migrant communities.
Obligation	Optional.
Repeatability	Repeatable (record content may be documented in more than one language).
Scheme/values	RFC 4646.
Applicability	Applicable at all levels but predominantly at the record item level.
Element qualifiers	None.
Default value	en – (for English).
Conditions of use	None.
Source	Selected by a user from a drop-down list if the default value is not appropriate. The drop-down list may be restricted to those languages used by the public authority, rather than all languages allowed by RFC 4646.
Comments	This qualifier is particularly relevant for public authorities that prepare materials in different community languages.

9. Record type

Definition	This element identifies the type of record, its logical form.
Purpose	This element : <ul style="list-style-type: none"> • facilitates searching and retrieval of a particular type of record • attributes management strategies • facilitates understanding or interpretation of the records, and • provides additional information.
Obligation	Optional.
Repeatability	Not repeatable.
Scheme/values	Public authority-defined scheme (example at Appendix G2).
Applicability	Applicable at the item level of aggregation.
Element qualifiers	None.
Default value	None.
Conditions of use	None.
Source	The source for record type should be selected from a menu, which may be customised for the needs of each public authority. A sample is available at Appendix G2 . Use of templates within office applications will assist with automatic population of this element.
Comments	Some record types will be generic across all public authorities. Some redundancy may occur with record type information replicated in the record title or

	record description elements. There is no redundancy with the record format element.
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10. Record format

Definition	This element identifies the media, data format, extent and physical form of a record or an aggregation of records.			
Purpose	This element : <ul style="list-style-type: none"> • facilitates management of the record/s over time • provides information on the format, storage medium, physical size and storage space required for a record or group of records • facilitates searching and retrieval, and • assists with planning technology requirements for managing particular formats of records over time. 			
Obligation	Mandatory.			
Repeatability	As for element qualifiers.			
Scheme/values	As for element qualifiers.			
Applicability	Usually applicable at the item level of aggregation (see Comments).			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	10.1 Data format	QRKMS data format scheme (Appendix G3)	Conditional – Mandatory for digital records	Repeatable
	10.2 Medium	QRKMS medium scheme (Appendix G4)	Mandatory	Not repeatable
	10.3 Extent	-	Optional	Not repeatable
	10.4 Original creating environment	-	Optional	Not repeatable
	10.5 Current Environment	-	Optional	Not Repeatable
Default value	None.			
Conditions of use	The record format element should not be used alone, but in conjunction with at least its mandatory qualifiers. <p>Data format records the logical format of the data that comprises the record. It is usually derived from a record's file extension. For example '.pdf' denotes a file in Adobe Portable Document Format. Version information should also be included. Data format is required to provide specific information about the format of a record to enable appropriate rendering or representation of a record.</p> <p>Medium refers to the physical carrier or media on which a record is stored. It enables appropriate storage conditions to be specified and monitored, storage capacity for each medium to be monitored and media refreshing to be undertaken for preservation purposes. It also enables retrieval by storage medium, for example, all CD-ROMs.</p> <p>Extent refers to the physical size and/or capacity of the record.</p> <p>Original Creating Environment enables the capture of information about the hardware, software and/or operating system originally used to create the record. It is recommended for digital records that need to be retained over periods of time</p>			

	Current Environment enables the capture of information about the hardware, software and/or operating system required to view or access a record. It is strongly recommended when a record cannot be accessed in the standard operating environment of the controlling organisation.
Source	Data format details for a record can be automatically detected and assigned by the creating application. For example, a word processing record created in MS Word will automatically be given an extension of '.doc' which will indicate the data format or '.pdf' denotes a file in Adobe Portable Document Format. Public authorities may wish to also include version information. While record format is usually applied at the item level of aggregation, it could also be applied at other levels, for example at the recordkeeping system level of aggregation; a database may have a single format.
Comments	For more information on using this element to support the management of digital records over time, see <i>Metadata for digital continuity: a companion guide to the Queensland recordkeeping metadata standard</i> .

11. Record relation

Definition	This element identifies and defines a relationship or set of relationships that exist between records/agents and functions.			
Purpose	This element: <ul style="list-style-type: none"> establishes contextual relationships between records and/or other records, agents and functions provides evidence of a record's relationship to other records, people (agents) and functions allows a chain of evidence to be created by linking related records links related entities and provides a full picture of a public authority's activities facilitates understanding of records, and facilitates use and retrieval of records. 			
Obligation	Mandatory (Note: see further explanation in conditions of use).			
Repeatability	Repeatable.			
Scheme/values	QRKMS relationship type scheme – Appendix G5 .			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Value	Obligation	Repeatability
	11.1 Related entity identifier	Public authority defined scheme	Mandatory	Repeatable
	11.2 Relationship type	QRKMS relationship type scheme (Appendix G5)	Mandatory	Repeatable
	11.3 Relationship date	ISO8601	Optional	Repeatable
Default value	None.			
Conditions of Use	The record relation element should not be used alone, but in conjunction with at least its mandatory qualifiers. Related entity identifier is the identifier of the record, person or agent the record is being related to. Relationship type indicates the nature of the relationship.			

	<p>Relationship date is the date the relationship was created.</p> <p>The element qualifiers must be maintained as a related set of information for each relationship.</p> <p>The following relationship types are regarded as mandatory (please see comment field):</p> <ul style="list-style-type: none"> • Where the category type is 'item': <ul style="list-style-type: none"> ○ record to record: 'is part of' category type 'file' or 'transaction sequence' ○ record to agent: 'is created by' category type 'individual' ○ record to agent: 'is received by' (for correspondence-type records) 'individual' <p>These relationships are sufficient to document the creator and recipient of an item, and the file or transaction sequence it is part of.</p> <ul style="list-style-type: none"> • Where the category type is 'file': <ul style="list-style-type: none"> ○ record to record: 'contains' category type 'item' ○ record to agent: 'is owned by' category type 'workgroup' or 'organisation' ○ record to function: 'documents' category type 'business function' <p>These relationships are sufficient to document the owner of the file (which must be a workgroup or organisation, not an individual), its contents and the function it documents.</p> <p>Where function and/or agent entities are not implemented, only the record to record relationships are mandatory.</p>
Source	<p>Some relationship metadata can be automatically derived from the system. For example, that one document is a subsequent version of a previous document, or to identify the creator of an internal document.</p> <p>However, depending on organisational controls on the use of these document properties, this automatically derived information may be unreliable.</p>
Comments	<p>This is an important element as it draws links between entities, relating records to the context of their creation. Relationships may be complex and there may be multiple relationships between related records and other entities.</p> <p>While some relationship types have been recommended as mandatory (see Conditions of Use) it is recognised that, depending on implementation environment or the nature of the record itself, these may not be relevant in all circumstances. For example, some correspondence may not be from an identified individual and can only be related to an organisation, or records are created collaboratively by workgroups.</p> <p>Implementing additional non-mandatory relationships, for example between previous and subsequent files or between an item and the person that authorises it, provides a rich web of contextual information that can assist retrieval and understanding of records.</p>

12. Record access

Definition	<p>This element identifies information that governs the accessibility of records. It includes business or legal requirements to prescribe access to records as open or closed to public authority staff or the public, as appropriate.</p> <p>Access controls placed on a record include restrictions such as security classifications, privacy issues, confidentiality considerations, restricted access periods under the <i>Public Records Act 2002</i>, or other specified conditions.</p>
Purpose	<p>This element:</p> <ul style="list-style-type: none"> • facilitates or restricts access to records by public authority staff or the public • enables records with access sensitivities to be appropriately identified and managed • alerts users to restrictions on access to records

	<ul style="list-style-type: none"> prevents access to records by persons with insufficient access authority (security permissions), and meets requirements to document sensitivities in record collections under <i>Information Standard 42 and 42a: Information Privacy, Public Records Act 2002</i>. 			
Obligation	Mandatory.			
Repeatability	As for element qualifiers.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	12.1 Security classification	Queensland Government Information Security Classification Framework	Mandatory	Not repeatable
	12.2 Caveat	QRKMS Caveat scheme (Appendix G6)	Optional	Not repeatable
	12.3 Access rights	QRKMS access rights scheme (Appendix G7)	Optional	Not repeatable
	12.4 Use conditions	-	Optional	Repeatable
	12.5 Access statement	-	Optional	Repeatable
	12.6 Determination date	ISO8601	Mandatory	Repeatable
	12.7 Review due date	ISO8601	Optional	Repeatable
Default value	[Unclassified] for security classification [None] for caveat [Closed] for access rights			
Conditions of Use	<p>The record access element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Security classification describes the sensitivity of a record and outlines the consequences of unauthorised release in terms of its impact on the public authority or the State of Queensland.</p> <p>Caveat limits access to certain records to those authorised to access them. It is used in conjunction with security classification to prevent everyone with, for example, ‘in-confidence’ clearance from accessing all ‘in-confidence’ documents.</p> <p>Access rights determine the accessibility (or restrictions applying to access) to a record or a group of records. An aggregation of records may ‘inherit’ the highest level of access rights contained within it. This element may contain information about restricted access periods under the <i>Public Records Act 2002</i> or status under the <i>Right to Information Act 2009</i>.</p> <p>Use condition should describe the conditions under which a record becomes available for access.</p> <p>Access statement should describe why a particular access regime (i.e. security classification, caveat or use condition) was imposed, or is used to document penalties which apply to unauthorised/inappropriate use.</p> <p>Determination date can document the date/s on which a particular access regime was</p>			

	<p>imposed.</p> <p>Review due date documents the date on which a review of an access determination should take place. It could also be used to flag automatic security declassification after a set period.</p> <p>Access statement, determination date and review due date must be linked to the relevant element qualifier.</p>
Source	<p>User selected from a drop-down menu.</p> <p>Record Access data can be inherited from a 'parent' aggregation level and in some cases may be inherited from a lower level of aggregation. For example, a file may inherit the highest level of Security Classification from items contained in the file, or the Access Rights of an item may also determine the Access Rights of a File or Series.</p>
Comments	<p>In some implementations, caveat style controls may be implemented through access control lists.</p> <p>The contents of this element reflect the current status of record access i.e. security classification, caveat, use conditions etc. Information on previous access status, for example if a record has been reclassified, is recorded in record event history.</p>

13. Record disposal

Definition	This element documents the processes undertaken to ensure the appropriate disposal of a record or aggregation of records.			
Purpose	This element : <ul style="list-style-type: none"> • facilitates records disposal or retention activities • provides evidence of disposal activities • documents the authority for disposal activities • triggers authorised disposal activities, and • facilitates search/retrieval for records of a particular disposal class or retention period. 			
Obligation	Mandatory.			
Repeatability	Repeatable.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable mainly at the file level of aggregation. For records that are not aggregated into a file, for example, transactional records in a business system, this element can be applied at the item or transaction sequence levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	13.1 Disposal authorisation	QDAN	Mandatory	Not repeatable
	13.2 Disposal sentence	QDAN	Mandatory	Not repeatable
	13.3 Disposal status	QRKMS disposal status scheme (Appendix G8)	Optional	Not repeatable
	13.4 Date sentenced	ISO 8601	Optional	Not repeatable
	13.5 Disposal action due	ISO 8601	Mandatory	Not repeatable

	13.6 Authorising officer	-	Conditional - mandatory for temporary records, once destroyed	Not repeatable
	13.7 Destruction notification	-	Conditional - mandatory for temporary records, once destroyed	Not repeatable
	13.8 Disposal statement	Free text	Optional	Repeatable
Default value	[Not yet sentenced].			
Conditions of use	<p>The record disposal element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Disposal authorisation records the QDAN (Queensland Disposal Authority Number), version and class number that authorises the disposal of the record.</p> <p>Disposal sentence is the disposal action that is to be applied to the record, for example 'retain for 5 years after last action' or 'retain permanently'.</p> <p>Disposal status records whether the record is temporary, permanent or has been destroyed, in accordance with QRKMS Disposal status scheme (Appendix G8).</p> <p>Date sentenced is the date the record has been sentenced. It can be used to identify whether records need re-sentencing.</p> <p>Disposal action due usually records the date the record is due to be destroyed. However, for permanent value records, it may record the date a record is due to be transferred to Queensland State Archives (see transfer date).</p> <p>Authorising officer identifies the person who is responsible for final sign-off for the destruction of a record.</p> <p>Destruction notification includes information about the actual destruction of the record; the date and method of destruction and the person or organisation responsible for carrying it out.</p> <p>Disposal statement allows for the capture of additional information relating to disposal; for example, why a record was re-sentenced, or that a scheduled destruction was not implemented due to pending legal action (also see comments for link to record event history).</p>			
Source	<p>Some of the element qualifiers, such as disposal action due, date sentenced and disposal status, may be automatically derived from a retention and disposal schedule based on the information entered for disposal authorisation.</p> <p>Disposal authorisation may be partially automated based on function information, but requires confirmation by a records manager.</p>			
Comments	<p>This element aligns to the requirements in <i>Information Standard 31: Retention and Disposal of Public Records</i> regarding the information which must be captured about the destruction of public records.</p> <p>All records within a recordkeeping system require the use of this element at some time in their existence. However, it may not be possible to provide the information required by all qualifiers at the point of creation, either because the records are not covered by an authorised retention and disposal schedule or because final disposal status is dependent on a future event; for example, whether or not an application is approved. As this element is mandatory, a default value of 'not yet sentenced' may need to be used until such time as specific values can be assigned.</p> <p>Depending on implementation choices, public authorities may wish to capture some of this information (such as destruction notification and authorising officer) in a disposal log.</p>			

	<p>Occasionally, files may hold items that relate to different retention periods. As this element is not repeatable, and in line with recommended sentencing practice, the class with the longest retention period should be documented.</p> <p>If the disposal authorisation for a record changes: for example, it is re-sentenced following Right to Information access, then previous disposal information should be captured in record event history.</p>
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14. Record location

Definition	This element identifies the physical or virtual location of a record or aggregation of records.			
Purpose	<p>This element :</p> <ul style="list-style-type: none"> • facilitates searching for and retrieval of records • contributes to the useability of records • enables public authorities to track the location of a record, and • assists public authorities to determine that records are in appropriate storage. 			
Obligation	Mandatory.			
Repeatability	As for element qualifiers.			
Scheme/values	Public authority defined schemes/values.			
Applicability	Applicable at all levels of aggregation, particularly at the file level where files are used.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	14.1 Current location	Public authority defined scheme	Mandatory	Not repeatable
	14.2 Store location	Public authority defined scheme	Mandatory	Not repeatable
	14.3 Location date	ISO 8601	Mandatory	Not repeatable
Default value	For online digital records, the default value may be the name of the system.			
Conditions of use	<p>The record location element should not be used alone, but in conjunction with its qualifiers.</p> <p>Current location indicates where the record is currently located, for example, that the record is 'marked out' to a particular individual.</p> <p>Store location is the home location of a record.</p> <p>Location date is the date that the record was moved to its current location.</p>			
Source	<p>For physical records – user defined (could be a drop-down menu).</p> <p>For online digital records – may be system generated.</p> <p>For offline digital records – as for physical records.</p>			
Comments	Location date shows the date the item was moved to its current location and is therefore not repeatable. Previous movement information is captured in record event history .			

15. Record event history

Definition	This element documents the preservation, retrieval, disposal, control, access or use related activities performed on a record or an aggregation of records.
Purpose	This element:

	provides a record of the management and control activities performed on a record or group of records over time acts as an accountability mechanism for records activities and records staff, and provides a visible and auditable trail of records management actions and decisions.			
Obligation	Mandatory.			
Repeatability	As for element qualifiers.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	15.1 Event ID	-	Mandatory	Repeatable
	15.2 Event type	QRKMS record event type scheme (Appendix G9)	Mandatory	Repeatable
	15.3 Event description	-	Mandatory	Repeatable
	15.4 Event date/time	ISO 8601	Mandatory	Repeatable
	15.5 Action officer	-	Mandatory	Repeatable
Default value	Event date/time – current system event/date time. Action officer – from logon.			
Conditions of use	The record event history element should not be used alone, but in conjunction with its qualifiers. It is to be used whenever a recordkeeping event is performed on a record or an aggregation of records. While it is generally a business decision whether a particular type of event needs to be logged, certain events such as changing metadata, migrating the record and destroying the record must be logged. Event ID is a unique identifier that is allocated to the event. Event type indicates the nature of the event that occurred on the record. Event description is a free text description, adding to the information in event type. It may provide a rationale for the event. Event date/time captures the date of the event. Action officer indicates the individual or system responsible for the event. The element qualifiers must be managed as a linked set of related information for each event.			
Source	Most basic metadata can be captured automatically from system audit logs, including event ID, date/time and action officer. When changes are made to other metadata fields, the previous metadata will be captured in the event description element qualifier. Where data values are not system generated, values can be selected from menu lists from related schemes e.g. QRKMS record event type scheme (Appendix G9) .			
Comments	For more information on using this element to document migration and preservation-related events for digital records, see <i>Metadata for digital continuity: a companion guide to the Queensland recordkeeping metadata standard</i> . In accordance with Queensland State Archives' <i>Digitisation Disposal Policy toolkit – metadata guidance</i> , public authorities should capture certain technical process metadata. Further information on metadata required when digitising paper records is in Appendix E: Metadata for digitised records . Similarly, the record event history element can also be used to capture information about			

	the microfilming of records.
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16. Record classification

Definition	This element identifies the business documented in the record or in an aggregation of records.			
Purpose	<p>This element :</p> <ul style="list-style-type: none"> relates records to the business functions they document enables records to be classified by business function facilitates sentencing facilitates allocation of user and security permissions for access control provides evidence of the transaction of business functions provides a means by which the transaction of a business function can be measured, and facilitates searching for a retrieval of records documenting a business function. 			
Obligation	Conditional – mandatory if function entity metadata is not implemented.			
Repeatability	Repeatable.			
Scheme/values	<i>Keyword for Councils (KFC)</i> or public authority-specific business classification scheme based on <i>Keyword AAA: Thesaurus of General Terms</i> or <i>QKey</i> .			
Applicability	Applicable at all levels of aggregation, but primarily at the file level.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	16.1 Function descriptor	KFC, KAAA, QKey and/or public authority specific functional thesaurus	Conditional – mandatory if element used	Not repeatable
	16.2 Activity descriptor	KFC, KAAA, QKey and/or public authority specific functional thesaurus	Conditional – mandatory if element used	Not repeatable
	16.3 Transaction descriptor	KFC, KAAA, QKey and/or public authority specific functional thesaurus	Optional	Repeatable
Default value	None.			
Conditions of use	<p>Rules governing the use of standard schemes such as <i>Keyword AAA</i> should be used as appropriate.</p> <p>Function descriptor indicates the business function documented in the record.</p> <p>Activity descriptor identifies the business activity documented in the record.</p> <p>Transaction descriptor identifies the business transaction/s documented in the record.</p>			
Source	Function/activity descriptor metadata can be derived from drop-down lists linked to a business classification scheme or browsed through a hierarchical display.			

Comments	<p>This element has been included to provide for capture of minimum function metadata when the function entity is not implemented.</p> <p>Classification is usually applied to files. Items inherit their classification from the file they are related to. Similarly, records in a business system may all relate to one function and/or activity. In this situation, the classification can be applied to the entire business systems rather than to each item.</p> <p>Public authorities that wish to also use subject classification can capture this information in record subject.</p>
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17. Record agent

Definition	This element identifies the corporate entity or individual responsible for some form of action on a record or aggregation of records.			
Purpose	<p>This element :</p> <ul style="list-style-type: none"> ensures accountability for important recordkeeping decisions and actions provides context for the creation of records, and facilitates searching for and retrieval of records created or actioned by a particular person or work unit. 			
Obligation	Conditional – mandatory if agent entity metadata is not implemented.			
Repeatability	Repeatable.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	17.1 Record creator	-	Conditional – mandatory if element used	Not repeatable
	17.2 Record recipient	-	Optional	Not repeatable
	17.3 Record registrar	Public authority action officer list	Conditional – mandatory if element used	Not repeatable
	17.4 Organisation responsible	-	Conditional – mandatory if element used	Repeatable
Default value	None.			
Conditions of use	<p>Record creator identifies the person, people, workgroup or organisation responsible for the creation of an item. The creator should be identified at the most specific level possible: for example, if the individual creator is known, capture the name of the individual, not just that of the organisation.</p> <p>Record recipient identifies the recipient of the record.</p> <p>Record registrar is the action officer that registered the record into a recordkeeping system and may or may not be the same as the creator.</p> <p>Organisation responsible is the name of the organisation responsible for the ongoing management of the record, which may or may not be the same as the organisation responsible for the creation of the record.</p>			

Source	Record registrar can be automatically captured from user logon. Other qualifiers may be user generated or captured through integration with workflow systems or defined document templates.
Comments	This element has been included to provide for the capture of minimum agent metadata when the agent entity is not implemented. The agent should be identified at the most specific level possible: for example, if the individual creator or recipient is known, capture the name of the individual, not just that of the organisation. Organisation responsible is usually applied at the recordkeeping system level, as generally all records within the system are the responsibility of the same organisation. When information is being shared between agencies, organisation responsible can be useful to track responsibility for recordkeeping.

35. Record integrity check

Definition	This element documents the use of a method for determining whether the bits that make up a digital record have been changed in the course of transmission or storage. Sometimes referred to as 'fixity'.			
Purpose	This element: Verifies whether an object has been altered in an undocumented or unauthorised way, and Assists in the preservation of records over time.			
Obligation	Conditional – mandatory when integrity checks are performed.			
Repeatability	As for element qualifiers.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	35.1 Hash function name	-	Conditional – Mandatory if element used	Not Repeatable
	35.2 Message digest	-	Conditional – Mandatory if element used	Not Repeatable
Default value	None.			
Conditions of use	The Record Integrity Check element should not be used alone, but in conjunction with its qualifiers. It is to be used whenever a recordkeeping event is performed on a record or an aggregation of records. Hash Function Name specifies the method used to perform the integrity check. A hash function is a reproducible algorithmic method that transforms a string of characters (for example, a digital object) into a usually shorter value of fixed length, or a key that represents the original value. Message digest is the actual value that represents the record, generated by the hash function. This value is often, but incorrectly, referred to as a 'checksum'			
Source	Integrity metadata should be automatically generated by the software which performs the check.			

Comments	For more information on this element, see <i>Metadata for digital continuity: a companion guide to the Queensland recordkeeping metadata standard</i> .
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Agent entity

Elements associated with the agent entity provide information that describes agents.

An agent is an 'individual, workgroup or organisation responsible for, or involved in, record creation, capture and/or records management processes'.¹⁹

As an organisation deals with many external individuals and organisations in carrying out its business, the agent entity documents information about both internal and external agents.

The amount of metadata captured about each agent will depend on what is feasible; for example, only minimal metadata may be documented for external agents, unless the public authority has an ongoing relationship with them. For some external agents, it may not even be possible to capture the minimum mandatory metadata, for example, where clients have a right to deal with an organisation anonymously and the only available information is an email address.

Public authorities will need to determine what agent metadata is captured given particular business constraints.

It is also important to note that the metadata in this entity focuses on documenting all agents (internal and external) for the purpose of attributing records (and actions on records) to the correct individual or group. While some internal agents will also be system users, this technical standard does not attempt to specify the information required to configure and control system access and use permissions.

It may be possible to import information on internal agents into the recordkeeping system from an external authoritative source such as a human resources system.

The agent entity comprises the following elements:

- category type
- identifier
- title
- date
- relation
- access
- location/address
- event history

When this entity is not implemented, [record agent](#) must be used.

¹⁹ Standards Australia (2004) AS ISO 23081.1-2004 Information and Documentation: Records management processes – Metadata for records – Part 1: Principles section 3.1.

18. Agent category type

Definition	This element identifies the type of agent undertaking a business activity with, or on behalf of, a public authority. That is, is the agent being described: <ul style="list-style-type: none"> • an individual • a workgroup, or • an organisation.
Purpose	This element: <ul style="list-style-type: none"> • categorises agents • facilitates understanding of the agent described, and • enables searches to be restricted to agents at a particular level of aggregation.
Obligation	Conditional - mandatory if agent entity is implemented.
Repeatability	Not repeatable.
Scheme/values	QRKMS agent category type scheme (Appendix G10) with public authority-specific extensions if required.
Applicability	Applicable at all levels of aggregation.
Default value	[Individual].
Conditions of use	None.
Source	May be selected from a drop-down menu.
Comments	The identification of different levels of aggregation for agents may be indicated by icons.

19. Agent identifier

Definition	This element states the unique identification of an agent.			
Purpose	This element: <ul style="list-style-type: none"> • uniquely identifies agents • acts as a reference point for the agent described • provides a link to agent's description, and • acts as a link to related entities. 			
Obligation	Conditional - mandatory if agent entity is implemented.			
Repeatability	Repeatable (Note: each agent should have a single unique identifier. However this element, when used in conjunction with the element qualifier Domain, is repeatable - the agent could have a different identifier for different domains).			
Scheme/values	Public authority defined scheme.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	19.1 Domain	Public authority-specific scheme	Optional	Repeatable
	19.2 Digital signature	-	Optional	Repeatable
Default value	None.			
Conditions of use	Domain indicates the environment within which the identifier is meaningful or unique.			

	Digital signature is an encrypted tamper-proof piece of a data that creates a unique and non-forgable identifier of the agent responsible for the transactions the record documents. A digital signature can be associated with any level of aggregation.
Source	Agent identifiers may be automatically allocated by the system or manually assigned. They may be allocated sequentially. Generally, a different sequence or series of numbers will be used for each different level of aggregation. Digital signatures will be obtained from a secure signature server.
Comments	The identifier may be meaningful: for example, a logon name for individuals, or may simply be a system generated number. Depending on the implementation environment, it may be useful to use a different sequence or series of identifiers for internal, compared to external, agents.

20. Agent title

Definition	This element states the name of an agent.			
Purpose	This element : <ul style="list-style-type: none"> assists in the identification and differentiation of agents, and captures alternative titles and abbreviated titles for agents. 			
Obligation	Conditional - mandatory if agent entity is implemented.			
Repeatability	Repeatable (Note: agent must have single title. However, this element is repeatable when the element qualifiers are used, such as when the agent has multiple alternative or abbreviated titles).			
Scheme/values	None.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	20.1 Alternative title	-	Optional	Repeatable
	20.2 Abbreviated name	-	Optional	Repeatable
Default value	-			
Conditions of use	<p>At an individual level, names should be presented in a standard form i.e. family name followed by given name/s, for example: Smith, Joanne Wong, Steven.</p> <p>Alternative and/or abbreviated title should only be used when the agent's full title has been provided in the main agent title element. They should not be used in isolation.</p> <p>Alternative title can be used if the agent is commonly referred to by a different name.</p> <p>Abbreviated name identifies an acronym or shortened name by which the agent is also known.</p>			
Source	<p>Agent information may be derived from a number of sources including: network system logon HR systems, and client management systems.</p> <p>Multiple sources may be required to cover all agents including external agents and contractors or consultants.</p>			

Comments	Title should not be confused with the prefix given to an individual, for example 'Ms', 'Dr', which in this context can be regarded as part of an individual's name.
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21. Agent date

Definition	This element specifies the date or collection of dates applicable to an agent.			
Purpose	<p>This element:</p> <ul style="list-style-type: none"> • provides date/time specificity • contributes to the evidential value and accountability of agent information • contributes to the usefulness of agent information, and • facilitates searching for agent information. 			
Obligation	Optional.			
Repeatability	Repeatable.			
Scheme/values	ISO 8601.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	21.1 Agent date commencement	ISO 8601	Optional	Repeatable
	21.2 Agent date cessation	ISO 8601	Optional	Repeatable
	21.3 Agent date operational period	ISO 8601	Optional	Repeatable
Default value	None.			
Conditions of use	<p>The agent date element should not be used alone, but in conjunction with at least one of its qualifiers.</p> <p>Agent date commencement is the date an agent commenced interacting with the organisation (as an employee, client, formation of workgroup etc).</p> <p>Agent date cessation indicates the date an agent ceased interacting with the organisation; for example, workgroup dissolved, employee resigns.</p> <p>Agent date operational period indicates the span of dates in which an agent was active.</p>			
Source	Commencement date and cessation date may be sourced from human resources systems for internal, individual agents.			
Comments	<p>Agent dates recorded for this element are those associated with the commencement, cessation and operational period of the agent.</p> <p>Dates associated with events concerning the management of the agent or metadata are captured as specific element qualifiers, for example, the date a relationship was established, and specific actions are recorded in agent event history.</p> <p>This element is optional, acknowledging that it may not be possible to capture dates for external agents.</p>			

22. Agent relation

Definition	This element specifies and identifies the relationship or set of relationships between and among agents/records and functions.			
Purpose	This element : <ul style="list-style-type: none"> establishes contextual relationships between agents and/or the records and functions with which they operate provides evidence of an agent's relationship to other agents, records and functions fosters accountability by linking agents to the records they create and the activities they perform, and links related entities and provides a full picture of public authorities' activities with regard to records. 			
Obligation	Conditional - mandatory if agent entity is implemented (Note: see further explanation in conditions of use).			
Repeatability	Repeatable.			
Scheme/values	Sample QRKMS relationship type scheme (Appendix G5).			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	22.1 Related entity identifier	-	Conditional – mandatory if entity is implemented	Repeatable
	22.2 Relationship type	QRKMS relationship type scheme (Appendix G5)	Conditional – mandatory if entity is implemented	Repeatable
	22.3 Relationship date	ISO 8601	Optional	Repeatable
Default value	None.			
Conditions of use	<p>The agent relation element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Related entity identifier is the identifier of the record, person or agent the record is being related to.</p> <p>Relationship type indicates the nature of the relationship.</p> <p>Relationship date is the date the relationship was created.</p> <p>The element qualifiers must be maintained as a related set of information for each relationship.</p> <p>The mandatory relationships documented in record relation are reciprocal and will involve agents; therefore this element has been made mandatory.</p> <p>However, as the essential relationships are driven from an event taking place on a record; for example, 'a record is created by', 'a record is registered by', 'a record is sent to'; no particular relationship types are here indicated as mandatory.</p> <p>Where the information is known, it is highly desirable to relate an agent at the 'individual' level of aggregation to the 'organisation' level of aggregation.</p>			
Source	Some relationship metadata can be automatically derived from the system: for example, the logon of the person registering a record.			
Comments	While only a limited set of relationships have been recommended as mandatory, use of			

	other relationships can provide alternative retrieval points and richer context for records. For example, a precedes/succeeds relationship between successive workgroups or individuals can help identify continuity of work even when agents change.
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23. Agent location/address

Definition	This element identifies the physical or virtual location of an agent.			
Purpose	This element: <ul style="list-style-type: none"> • facilitates accessibility of agents • contextualises agents • facilitates provision of agency services, and • facilitates searching and retrieval of agent information at a particular location. 			
Obligation	Optional.			
Repeatability	Repeatable.			
Scheme/values	ISO 8601.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	23.1 Business address	-	Optional	Repeatable
	23.2 Contact address	-	Optional	Repeatable
	23.3 Location date	ISO 8601	Optional	Repeatable
Default value	None.			
Conditions of use	This element should not be used in isolation but in conjunction with its element qualifiers. Business address identifies the physical address of an agent. Contact address indicates the contact details for an agent, for example mailing or email address, telephone number. Location date indicates the date from which the address is valid. It should be used in conjunction with the business address or contact address element qualifiers.			
Source	-			
Comments	While this element is optional, it is recommended for external agents at all levels of aggregation.			

24. Agent event history

Definition	This element documents management events or actions relating to agents.
Purpose	This element: <ul style="list-style-type: none"> • Provides a historical log of the management and control activities performed on an agent over time • Documents the date/time on which activity relating to agents occurred • Contributes to the authenticity of records created within a function by detailing alterations to agents over time • Facilitates accountability by providing an auditable set of changes to information about agents, and • Facilitates searching and retrieval of occurrences of particular agent activities.

Obligation	Conditional – mandatory if Agent entity is implemented.			
Repeatability	Repeatable.			
Scheme/Values	Derived from records management or business systems audit log.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	24.1 Event ID	-	Conditional – mandatory if entity is implemented	Repeatable
	24.2 Event description	-	Conditional – mandatory if entity is implemented	Repeatable
	24.3 Event date/time	ISO 8601	Conditional – mandatory if entity is implemented	Repeatable
	25.4 Action officer	-	Conditional – mandatory if entity is implemented	Repeatable
Default value	Event date/time – current system event/date time. Action officer – derived from user logon.			
Conditions of use	<p>The agent event history element should not be used alone, but in conjunction with its qualifiers.</p> <p>Event ID is a unique identifier that is allocated to the event.</p> <p>Event description is a free text description of the event that occurred on the agent metadata and may provide a rationale for the event.</p> <p>Event date/time captures the date of the event.</p> <p>Action officer indicates the individual responsible for the event.</p> <p>The element qualifiers must be managed as a linked set of related information for each event.</p>			
Source	The majority of events can be captured automatically from system audit logs, including event ID, date/time and action officer.			
Comments	<p>The purpose of the agent event history element is not to provide a full history of an internal or external agent’s interactions with the organisation. This would be documented in human resources or client relationship systems.</p> <p>This element records changes that have happened to the metadata about an agent within the recordkeeping system, for example, a change of location or changing relationships.</p> <p>As ‘events’ relating to agents are considerably less frequent and less varied than ‘record’ entity events, this element does not contain an ‘event type’ element qualifier, as is included for record event history.</p>			

Function entity

Elements associated with the function entity identify and describe information about the business functions of the public authority.

By documenting the functions, activities and transactions of the public authority, and linking these descriptions to the resulting records, records are placed in their business context.

This entity also allows for the capture of information relating to the mandate for the function, that is, the legislative or regulatory basis for undertaking the business activity and therefore keeping the records.

The function entity is, in most implementations, the documentation of the public authority's business classification scheme.

The function entity comprises the following elements:

- category type
- identifier
- title
- description
- date
- relation
- access
- location
- mandate
- event history

When this entity is not implemented, [record classification](#) must be used.

25. Function category type

Definition	This element identifies the type or category of function being described, whether it is: <ul style="list-style-type: none"> • a business function – the major responsibilities managed by an organisation to fulfil its goals • an activity – the major tasks performed by an organisation to accomplish each of its functions, or • a transaction – the smallest unit of business activity.
Purpose	This element: <ul style="list-style-type: none"> • categorises functions • facilitates understanding of the function described, and • enables searches to be limited to functions at a particular level of aggregation.
Obligation	Conditional - mandatory if function entity is implemented.
Repeatability	Not repeatable.
Scheme/values	QRKMS function category type scheme (Appendix G11).
Applicability	Applicable at all levels of aggregation.
Element qualifiers	None.
Default value	None.
Conditions of use	None.
Source	Function category type should be selected from a menu list. See example in Appendix G11 .
Comments	None.

26. Function identifier

Definition	This element specifies the unique identifier associated with a function, activity or transaction.
Purpose	This element: <ul style="list-style-type: none"> • uniquely identifies functions • acts as a reference point for the function described, and • provides a link to the function's description and acts as a linkage point to other related entities.
Obligation	Conditional – mandatory if function entity is implemented.
Repeatability	Repeatable (Note: each function should have a single unique identifier. However this element is repeatable when used in conjunction with the element qualifier function domain – the function may have different identifiers for different domains).
Scheme/values	None.
Applicability	Applicable at all levels of aggregation.

Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	26.1 Function domain	-	Optional	Repeatable
Default Value	None.			
Conditions of Use	Function domain indicates the environment within which the identifier is meaningful or unique.			
Source	This may be system-generated or a simple sequential number.			
Comments	Function identifiers will typically consist of numbers or terms/numbers. Function identifiers must be sufficiently unique to ensure they can be identified at a global – cross agency/authority level, or otherwise the function domain qualifier should be used.			

27. Function title

Definition	This element states the name of a business function, activity or transaction.			
Purpose	This element: <ul style="list-style-type: none"> assists in the identification of and differentiation of functions, and facilitates searching and retrieval of functional information. 			
Obligation	Conditional – mandatory if function entity is implemented.			
Repeatability	Not repeatable.			
Scheme/values	<i>Keyword for Councils (KFC)</i> or public authority-specific functional business classification scheme, which may be based on <i>Keyword AAA Thesaurus of General Terms</i> or <i>Qkey</i> . ISO 8601 for date/time view.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	27.1 Alternative title	-	Optional	Repeatable
	27.2 Abbreviated title	-	Optional	Repeatable
Default value	None.			
Conditions of use	Alternative title and/or abbreviated title must be used in conjunction with a full function title. Alternative title indicates any alternative or non-preferred terms by which a function may be known. Abbreviated title indicates any acronyms or shortened names by which the function is known.			
Source	Thesaurus/classification scheme management software.			

Comments	<p>The function title element is the 'term' or 'label' given to identify a business function, activity or transaction.</p> <p>The identification of function titles should be based on a broad analysis of the purpose, role and business processes of the public authority.</p>
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28. Function description

Definition	This element provides a free text description of the scope and/or purpose of a business function, business activity or transaction group. Also referred to as a scope note.
Purpose	<p>This element:</p> <ul style="list-style-type: none"> • enhances and adds value to information in the function title element; • facilitates searching and retrieval of business function, business activity and transaction group information • improves accountability by linking functions to the records they are documented by and the agents that perform them, and • links related entities and provides a fuller picture of agencies, personnel, records and business activities.
Obligation	Conditional – mandatory if function entity is implemented, at business function level of aggregation.
Repeatability	Repeatable.
Scheme/values	<i>Keyword for Councils (KFC)</i> or public authority-specific functional business classification scheme, which may be based on <i>Keyword AAA Thesaurus of General Terms</i> or <i>Qkey</i> .
Applicability	Applicable at all levels of aggregation, in particular business function and activity.
Element qualifiers	None.
Default value	None.
Conditions of use	Function description is mandatory for business functions, but optional at other levels of aggregation.
Source	Thesaurus/classification scheme management software.
Comments	<p>This element is commonly referred to as the 'scope note' for a particular function or activity and may therefore be derived from <i>Keyword for Councils (KFC)</i> or a public authority-specific functional business classification scheme, which may be based on <i>Keyword AAA Thesaurus of General Terms</i> or <i>Qkey</i>.</p> <p>While this element is mandatory only at the business function level of aggregation (category type), it is strongly recommended that this element also be used at the activity level.</p>

29. Function date

Definition	This element specifies the date or a collection of dates applicable to a function, commonly expressed as a date range.			
Purpose	This element: <ul style="list-style-type: none"> • provides date/time specificity • adds to the evidential value and accountability of functional information, and • facilitates searching for functional information. 			
Obligation	Conditional – mandatory if function entity is implemented, for business functions.			
Repeatability	Repeatable.			
Scheme/values	ISO 8601.			
Applicability	Applicable at all levels of aggregation, in particular business function.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	29.1 Date implemented	ISO 8601	Conditional – mandatory for business functions	Not repeatable
	24.2 Date valid	ISO 8601	Optional	Not repeatable
Default value	Thesaurus/classification scheme management software.			
Conditions of use	The function date element should not be used alone, but in conjunction with at least its mandatory qualifier. Date implemented indicates the date of a function's implementation or establishment. It is mandatory for business functions, but optional at other levels of aggregation. Date valid indicates the date range in which a function was performed by the organisation.			
Source	-			
Comments	Date implemented may be based on a business decision or legislative mandate. See also function mandate .			

30. Function relation

Definition	This element specifies and identifies a relationship or set of relationships between and among functions, records and agents.			
Purpose	This element: <ul style="list-style-type: none"> • establishes contextual relationships between functions and/or records and agents • improves accountability by linking functions to the records they are documented by and the agents that perform them, and • links related entities and provides a fuller picture of a public authority's records and business activities. 			
Obligation	Conditional – mandatory if function entity is implemented (Note: see additional information in conditions of use).			
Repeatability	Repeatable.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable to all types of function.			
Value components	Value component name	Scheme	Obligation	Repeatability

	30.1 Related entity identifier	-	Conditional – mandatory if entity is implemented	Repeatable
	30.2 Relationship type	QRKMS relationship type scheme (Appendix G5)	Conditional – mandatory if entity is implemented	Repeatable
	30.3 Relationship date	ISO 8601	Optional	Repeatable
Default value	For business systems which carry out only a limited range of processes, it may be possible to set a default.			
Conditions of use	<p>The function relation element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Related entity identifier is the identifier of the record, person or agent the function is being related to.</p> <p>Relationship type indicates the nature of the relationship.</p> <p>Relationship date is the date the relationship was created.</p> <p>The element qualifiers must be maintained as a related set of information for each relationship.</p> <p>It is acknowledged that the mandatory relationships documented in record relation are reciprocal and will involve functions.</p> <p>In addition, the following relationship types are mandatory: function to function: 'contains'/'is part of'.</p> <p>For example, a business function contains activities, and activities contain transactions. These relationships are necessary to show the hierarchical relationships between different category types within the function entity.</p>			
Source	-			
Comments	Relationships are often complex. For example, a function may be related to many other entities including other functions, agents (people/organisations) and records.			

31. Function access

Definition	This element provides information that governs the accessibility of, and use conditions relating to, business functions, business activities or transaction groups.			
Purpose	<p>This element :</p> <ul style="list-style-type: none"> • facilitates or restricts access to information about functions by agency staff or the public, and • enables sensitive business functions/activities or transaction groups to be managed. 			
Obligation	Optional.			
Repeatability	Repeatable.			
Scheme/values	As for element qualifiers.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	31.1 Security classification	Queensland Information Security Classification Framework	Optional	Not repeatable

	31.2 Caveat	QRKMS caveat scheme (Appendix G6)	Optional	Repeatable
	31.3 Use conditions	-	Optional	Repeatable
	31.4 Access statement	[Text]	Optional	Repeatable
	31.5 Determination date	ISO 8601	Optional	Repeatable
	31.6 Review due date	ISO 8601	Optional	Repeatable
Default value	[Unclassified] for security classification. [None] for caveat.			
Conditions of Use	<p>The function access element should not be used alone, but in conjunction with at least one of its qualifiers.</p> <p>Security classification describes the sensitivity of information and outlines the consequences of unauthorised release in terms of its impact on the public authority or the State of Queensland.</p> <p>Caveat limits access to certain records to those authorised to access them. It is used in conjunction with security classification to prevent everyone with, for example, ‘in-confidence’ clearance from accessing all ‘in-confidence’ documents.</p> <p>Use conditions describes the conditions under which a record can be available for access.</p> <p>Access statement describes why a particular access regime (such as security classification, caveat or use condition) was imposed, or may document penalties for unauthorised/inappropriate use.</p> <p>Determination date documents the date/s on which a particular access regime was imposed.</p> <p>Review due date can document the date on which a review of an access determination should take place. It could also be used to flag automatic security declassification after a set period.</p> <p>Access statement, determination date and review due date must be linked to the relevant element qualifier.</p>			
Source	Access information will be user-defined but attributed at registration of a function by systems administrators.			
Comments	Access controls are more commonly applied to records, but have been included in the function entity as all records relating to a particular function or activity may share similar sensitivities; therefore records may inherit permissions from the function to which they relate.			

32. Function location

Definition	This element identifies the physical or virtual location of a function, business activity or transaction group.
Purpose	This element : <ul style="list-style-type: none"> • facilitates accessibility of functions and the services they provide, and • enables clients to select services of most relevance to them.
Obligation	Optional.
Repeatability	Repeatable.
Scheme/values	-
Applicability	Applicable at all levels of aggregation, but particularly at the activity or transaction levels.

Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	32.1 Business activity area	Agency location scheme	Optional	Repeatable
	32.2 Service delivery point	Agency location scheme	Optional	Repeatable
	32.3 Location date	ISO 8601	Optional	Repeatable
Default value	None.			
Conditions of use	The function location element should not be used alone, but in conjunction with at least one of its qualifiers. Business activity area identifies the physical location or address where a business function, activity or transaction is performed. Service delivery point identifies the physical location or address where a function, activity or transaction can be accessed or provided. Location date can indicate the date from which the location address is valid.			
Source	Most function location data is user-defined but can be established in setting up a system.			
Comments	In addition to a physical address/location, the location of a service delivery point could be a URL or virtual location.			

33. Function mandate

Definition	This element identifies and provides information about : <ul style="list-style-type: none"> the administrative or legal basis for the function or the business activities or transactions within it, and the date when a particular mandate came into effect. 			
Purpose	This element : <ul style="list-style-type: none"> identifies and documents the authority for a function demonstrates compliance with legislation, regulation and standards, and provides date specificity for accountability or evidential reasons. 			
Obligation	Optional.			
Repeatability	Repeatable.			
Scheme/values	QRKMS mandate type scheme (Appendix G12).			
Applicability	Applicable at all levels of aggregation, in particular the business function level.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	33.1 Mandate type	QRKMS mandate type scheme (Appendix G12)	Conditional – mandatory if element is used	Repeatable
	33.2 Mandate title	-	Conditional – mandatory if element is used	Repeatable
	33.3 Mandate identifier	-	Optional	Repeatable
	33.4 Mandate description	-	Optional	Repeatable
	33.5 Mandate date	ISO 8601	Optional	Repeatable
	33.6 Mandate jurisdiction	-	Optional	Repeatable

Default Value	None.
Conditions of use	<p>The function mandate element should not be used alone, but in conjunction with at least its mandatory qualifiers.</p> <p>Mandate type identifies the scope of the mandate and the category or type of mandate – see example in Appendix G12.</p> <p>Mandate title documents the name of the resource or reference that contains the functional or recordkeeping requirements; for example, <i>Corrective Services Act 2006</i>.</p> <p>Mandate identifier provides a unique identifier by which the mandate is known. It can also be used to specify the particular part or section of the legislation or other instrument that forms the mandate for the function.</p> <p>Mandate description provides an optional free text description of the mandate.</p> <p>Mandate date specifies the date the mandate came into effect and/or the proposed date/s of review.</p> <p>Mandate jurisdiction indicates the area in which a mandate has effect. This may be a business group (domain), an audience or a particular geographic area; for example, all of Australia, Queensland, or a particular local government area.</p>
Source	-
Comments	Some mandate information may be duplicated in function description .

34. Function event history

Definition	This element provides information about events or actions relating to business functions, business activities or transaction groups.			
Purpose	This element: <ul style="list-style-type: none"> • provides a history of management and control activities performed on a business function, business activity or transaction group over time • provides an auditable trail of changes to the business functions, and • contributes to the authenticity of records created within a function by detailing changes to the function/transaction group that required the records to be created. 			
Obligation	Conditional - mandatory if function entity is implemented.			
Repeatability	Repeatable.			
Scheme/values	May be derived from records management or business system audit log.			
Applicability	Applicable at all levels of aggregation.			
Element qualifiers	Element qualifier name	Scheme	Obligation	Repeatability
	34.1 Event ID	-	Conditional – mandatory if entity is implemented	Repeatable
	34.2 Event description	-	Conditional – mandatory if entity is implemented	Repeatable
	34.3 Event date/time	ISO 8601	Conditional – mandatory if entity is implemented	Repeatable
	34.4 Action officer	-	Conditional – mandatory if entity is implemented	Repeatable

Default value	<p>Event date/time – current system event/date time.</p> <p>Action officer – derived from system logon.</p>
Conditions of use	<p>The function event history element should not be used alone, but in conjunction with its qualifiers.</p> <p>Event ID is a unique identifier that is allocated to the event.</p> <p>Event description is a free text description of the event that occurred on the function metadata and may provide a rationale for the event.</p> <p>Event date/time captures the date of the event.</p> <p>Action officer indicates the individual responsible for the event.</p> <p>The element qualifiers must be managed as a linked set of related information for each event.</p>
Source	<p>The majority of events can be captured automatically from system audit logs, including event ID, date/time and action officer.</p>
Comments	<p>The majority of events recorded for functions will be changes to metadata; for example, a new relationship when a new activity is related to a function, a change of description because the scope of an activity has changed slightly, etc.</p> <p>As ‘events’ relating to functions are less frequent and less varied than ‘record’ entity events, this element does not contain an ‘event type’ element qualifier, as is included for record event history.</p>

PART 3: APPENDICES

Appendix A: Mapping to other industry metadata standards

This appendix provides a mapping to other recordkeeping and industry metadata standards. These are:

- National Archives of Australia (1999) Recordkeeping Metadata Standard for Commonwealth Agencies (RKMSCA)²⁰
- AS 5044 - 2002: AGLS Australian Government Locator Service AGLS Metadata Standard (AGLS)
- Monash University SPIRT Research Team (2000) *Australian Recordkeeping Metadata Schema* (SPIRT)

Record entity

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
1. Record category type	12. Aggregation level	DC type: category DC type: aggregation level	RKMS33.Records. Category RKMS33.Records.Type
2. Record identifier	14. Record identifier	DC Identifier	RKMS34.Identifier
2.1 Domain	18.4 RKS ID	-	-
2.2 Barcode	-	-	-
3. Record title	3.3 Title words	DC title	RKMS35.Records title
3.1 Alternative title	3.4 Alternative	DC title alternative title	RKMS35.Records title alternative
3.2 Abbreviated title	-	DC title abbreviated title	RKMS35.Records title abbreviation
4. Record description	5. Description	DC Description	RKMS41.Records abstract
5. Record date	10. Date	DC Date	RKMS36.Records date
5.1 Creation date/time	10.1 Date/time created	DC date created	RKMS36.Records date contents authored

²⁰ Please note: in 2010 National Archives released a new *Australian Government Recordkeeping Metadata Standard*, to replace the RKMSCA. As QSA previously endorsed the 1999 RKMSCA, a mapping has been provided to the RKMSCA rather than the new standard.

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
5.2 Registration date/time	10.3 Date/time registered	-	RKMS36.Records date captured
5.3 Transfer date		-	RKMS36.Records date transferred
5.4 Date declared record	10.3 Date/time registered		RKMS36.Records date captured
6. Record subject	4. Subject	DC Subject	RKMS43.Records subject classification
7. Record coverage	8. Coverage	DC Coverage	RKMS38. Place
7.1 Jurisdiction	8.1 Jurisdiction	DC Coverage jurisdiction	-
7.2 Spatial	8.2 Place	DC Coverage spatial	RKMS38. Place
7.3 Period name	8.3 Period name	DC Coverage temporal	-
8. Record language	6. Language	DC Language	RKMS42.Records language
9. Record type	11. Type	DC Type documentary type	RKMS44.Records. document form
10. Record format	13. Format	DC Format	RKMS47.Preservation
10.1 Data format	13.2 Data format	-	RKMS47.Preservation RKMS48.Retrieval
10.2 Medium	13.3 Medium	DC Format medium format	RKMS47.Preservation
10.3 Extent	13.4 Extent	DC Format extent	RKMS47.Preservation
10.4 Original creating environment	-	-	RKMS47.Preservation
11. Record relation	7. Relation	DC Relation	RKMS40.Records relation
11.1 Related Entity Identifier	7.1 Related item ID	-	RKMS40.Records relation related to
11.2 Relationship type	7.2 Relation type	DC Relation qualifiers (partial)	RKMS40.Records relation type
11.3 Relationship date	-	-	RKMS40.Records relation date
12. Record Access	2. Rights management	-	RKMS49.Records. Access
12.1 Security classification	2.1 Security classification	-	RKMS49. Records access restrictions

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
12.2 Caveat	2.2 Caveat	-	RKMS49.Records access restrictions
12.3 Access rights	2.5 Access status	DC Rights	RKMS49.Records access rights
12.4 Use conditions	2.6 Usage condition	-	RKMS50.Records conditions
12.5 Access statement	-	-	RKMS49.Records access statement
12.6 Determination date	-	-	RKMS49.Records access date
12.7 Review due date	-	-	RKMS49.Records access date
13. Record disposal	19. Disposal	-	RKMS45.Records. Appraisal
13.1 Disposal Authorisation	19.1 Disposal Authorisation	-	RKMS45.Records. Appraisal Disposal
13.2 Disposal sentence	19.2 Sentence	-	RKMS45.Records. appraisal sentencing
13.3 Disposal status	19.4 Disposal status	-	RKMS45.Records. Appraisal
13.4 Date sentenced	15.1 Event Date/Time	-	RKMS45.Records. Appraisal Date
13.5 Disposal action due	19.3 Disposal action due	-	RKMS45.Records. Appraisal Date
13.6 Authorising officer	1 Agent (used in conjunction with 15.Management history)	-	RKMS45.Records. Appraisal destruction (or through relationship to agent entity)
13.7 Destruction notification	15 Management history	-	RKMS45.Records. Appraisal destruction
13.8 Disposal statement	-	-	RKMS45.Records. Appraisal statement
14. Record location	18. Location	DC Availability (partial)	RKMS38.Records. Place
14.1 Current location	18.1 Current location	-	RKMS38.Records place repository location
14.2 Store location	18.2 Home location details	-	RKMS38.Records Place store location

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
14.3 Location date	15.1 Event date/time	-	RKMS38.Records Place date
15. Record event history	15. Management history 16 Use history 17 Preservation history	-	RKMS51.Records Event History (also RKMS 46.Control, RKMS 47.Preservation, RKMS 50.Use)
15.1 Event ID	-	-	RKMS51.Records Event History Event ID
15.2 Event type	15.2 Event type 16.2 Use type 17.2 Action type	-	RKMS51.Records Event History Event Type
15.3 Event description	15.3 Event description 16.3 Use description 17.3 Action description	-	RKMS51.Records Event History Event Description
15.4 Event date/time	15.1 Event date/time 16.1 Use date/time 17.1 Event date/time	-	RKMS51.Records Event history event date
15.5 Action officer	1 Agent	-	RKMS51.Records event history action officer
16. Record classification	9. Function	DC Function	RKMS39.Records. Functional classification
16.1 Function descriptor	9.1 Function descriptor	DC Function	RKMS39.Records functional classification functional descriptor
16.2 Activity descriptor	9.2 Activity descriptor	-	RKMS39.Records. Functional classification activity descriptor
16.3 Transaction descriptor	9.3 Third level descriptor	-	RKMS39.Records. Functional classification transaction descriptor
17. Record agent	1. Agent	-	See agent entity
17.1 Record creator	1.1 Agent type (partial)	DC Creator	-

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
17.2 Record recipient	1.1 Agent type (partial)	-	-
17.3 Record registrar	1.1 Agent type (partial)	-	-
17.4 Organisation responsible	1.4 Corporation name	DC Creator	-
35. Record integrity check	-	-	-
35.1 Hash function	-	-	-
35.2 Message digest	-	-	-

Agent entity

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
18. Agent category type	1 Agent (partial)	-	RKMS23.Category type
19. Agent identifier	1.3 Corporate ID 1.5 Person ID	-	RKMS24.Agents identifier
19.1 Domain	-	-	-
19.2 Digital signature	1.11 Digital Signature	-	-
20. Agent title	1.4 Corporate Name 1.6 Personal Name 1.7 Section Name	DC Creator DC Publisher DC Contributor	RKMS25.Agent Title
20.1 Alternative title	-	-	RKMS25.Agent Title Alternative
20.2 Abbreviated name	-	-	RKMS25.Agent Title Abbreviation
21. Agent date	-	-	RKMS26.Agent Date
21.1 Agent date commencement	-	-	RKMS26.Agent Date Established

QRKMS element / element qualifier	RKMSCA	AGLS	SPIRT
21.2 Agent date cessation	-	-	RKMS26.AgentsDate Disestablished
21.3 Agent date operational period	-	-	RKMS26.Agent Date Operational Period
22. Agent relation	-	-	RKMS30.Agent Relation
22.1 Related entity identifier	-	-	RKMS30.Agent Relation Related To
22.2 Relationship type	-	-	RKMS30.Agent Relation Type
22.4 Relationship date	-	-	RKMS30.Agent Relation Date
23. Agent location/address	1.9 Agent Contact Details 1.10 Agent Email	-	RKMS28.Agent Place
23.1 Business address	1.9 Agent Contact Details 1.10 Agent Email	-	RKMS28.Agent Place Business Address
23.2 Contact address	1.9 Agent Contact Details 1.10 Agent Email	-	RKMS28.Agent Place Contact Address
23.3 Location date	-	-	RKMS28.Agent Place Contact Date
24. Agent event history	-	-	-
24.1 Event ID	-	-	-
24.2 Event description	-	-	-
24.3 Event date/time	-	-	-
24.4 Action officer	-	-	-

Function entity

QRKMS element /element qualifier	RKMSCA	AGLS	SPIRT
25. Function category type	-	-	RKMS01.Business Category Type
26. Function identifier	-	-	RKMS02.Business Identifier
26.1 Domain	-	-	RKMS09.Abstract
27. Function title	9. Function	DC Function	RKMS03.Business Title
27.1 Alternative title	-	-	RKMS03.Business Title Alternative
27.2 Abbreviated title	-	-	RKMS03.Business Title Abbreviation
28. Function description	-		RKMS09.Business Abstract
29. Function date	-	-	RKMS04.Date
29.1 Date implemented	-	-	RKMS04.Date Implemented
29.2 Date valid	-	-	RKMS04.Date Valid
30. Function relation	-	-	RKMS08.Business Relation
30.1 Related entity identifier	-	-	RKMS08.Business Relation Related to
30.2 Relationship type	-	-	RKMS08.Business Relation Type
30.3 Relationship date	-	-	RKMS08.Business Relation Date
31. Function access	-	-	RKMS11.Business Rules
31.1 Security classification	-	-	RKMS11.Business Rules
31.2 Caveat	-	-	RKMS11.Business

QRKMS element /element qualifier	RKMSCA	AGLS	SPIRT
			Rules
31.3 Use conditions	-	-	RKMS11.Business Rules
31.4 Access statement	-	-	RKMS11.Business Rules Description
31.5 Determination date	-	-	RKMS11.Business Rules Date
31.6 Review due date	-	-	RKMS11.Business Rules Date
32 Function location	-	-	RKMS06.Business Place
32.1 Business activity area	-	-	RKMS06.Business Place Business Activity Area
32.2 Service delivery point	-	-	RKMS06.Business Place Service Delivery Point
32.3 Location date	-	-	RKMS06.Place Date
33 Function mandate	20. Mandate	AGLS Mandate	RKMS05.Mandate
33.1 Mandate type	20.1 Mandate Type	AGLS Mandate Qualifiers (partial)	-
33.2 Mandate title	20.3 Mandate Name	-	RKMS05.Mandate Title
33.3 Mandate identifier	20.4 Mandate Reference	-	RKMS05.Mandate ID
33.4 Mandate description	20.5 Requirement	-	RKMS05.Mandate Description
33.5 Mandate date	-	-	RKMS05.Mandate Date
33.6 Mandate jurisdiction	-	-	RKMS05.Mandate Jurisdiction
34 Function event history	-	-	-

QRKMS element /element qualifier	RKMSCA	AGLS	SPIRT
34.1 Event ID	-	-	-
34.2 Event description	-	-	-
34.3 Event date/time	-	-	-
34.4 Action officer	-	-	-

Appendix B: List of mandatory elements

As outlined in [section 2](#) of the guideline, the implementation of only certain elements and element qualifiers within the records entity is mandatory. This appendix provides a summary of the mandatory elements and element qualifiers.

Reference number	Element/ element qualifier	Comments
1	Record category type	
2	Record identifier	
3	Record title	
5.1	Creation date/time	
5.2	Registration date/time	
10.1	Data format	For digital records only.
10.2	Medium	
11.1	Related entity identifier	See record relation element for information on what relationship types are required.
11.2	Relationship type	
12.1	Security classification	
12.6	Determination date	
13.1	Disposal authorisation	
13.2	Disposal sentence	
13.5	Disposal action due	
13.6	Authorising officer	For temporary records only, once destroyed.
13.7	Disposal notification	For temporary records only, once destroyed.
14.1	Current location	
14.2	Store location	
14.3	Location date	

15.1	Event ID	
15.2	Event type	
15.3	Event description	
15.4	Event date/time	
15.5	Action officer	
16.1	Function descriptor	These element qualifiers are required if the function entity is not used.
16.2	Activity descriptor	
17.1	Record creator	These element qualifiers are required if the agent entity is not used.
17.3	Record registrar	
17.4	Organisation responsible	
35.1	Hash function name	These element qualifiers are required if integrity checks are performed.
35.2	Message digest	

Appendix C: Template for checking metadata

To assist checking compliance with metadata requirements, a simple template is provided below. This can be adapted by public authorities

Element/element qualifier	Obligation	Purpose	Met? Y/N	Comments
Identify each element and element qualifier in line with organisational implementation decisions. Must include all mandatory elements from this standard.	In general, this should reflect the obligations in this standard. However, a public authority may wish to make some optional metadata mandatory.	Include a succinct explanation of the purpose of the element or element qualifier.	Indicate whether the metadata requirement is met.	Indicate how the metadata is met, or if not met, potential approaches to change this.

Appendix D: Metadata required to be maintained after the destruction of records

After a record has been destroyed in accordance with an authorised retention and disposal schedule, it is necessary to maintain some metadata about the record to demonstrate that accountable processes have been followed.

This appendix clarifies the application of *General Retention and Disposal Schedule for Administrative Records* to master control records.²¹

The following metadata elements and element qualifiers must be retained for files, where disposal was implemented at the file level:

- Element 2: record identifier
- Element 3: record title
- Element 5.1: record creation date/time
- Element 11: record relation, where the relationship type is 'documents' (to show the function the record relates to)²²
- Element 13: record disposal (including all mandatory element qualifiers), and
- Element 15: record event history, where the event type is 'closed' (to show the date the record was closed).

Queensland State Archives recommends that disposal is usually implemented at the file level. If disposal is implemented at another level of aggregation, for example, in a business system where a file or similar aggregation is not used, then the same metadata at that level of aggregation should be retained.

Other metadata can be disposed of in accordance with the *General Retention and Disposal Schedule for Administrative Records* version 6 class 9.3.5, which requires secondary control records to be retained until administrative use ceases. In practice, most of the metadata will be retained for the life of the record to which it relates.

The public authority may also wish to retain some limited metadata of the items comprising the file, such as:

- Element 2: record identifier
- Element 3: record title
- Element 5.1: record creation date/time
- Element 11: record relation, where the relationship type is 'is created by' or 'is received by' (to show the author and recipient of items).

²¹ The GRDS from <https://www.qld.gov.au/gov/search-retention-and-disposal-schedule>.

²² If the function entity is not implemented, then records classification should be used and retained.

This item level metadata should be persistently associated with the relevant file level metadata.

If possible, metadata of destroyed items should not be routinely presented in search results to users, but must be accessible to authorised staff including records managers, Right to Information officers and system administrators.

Appendix E: Metadata for digitised records

Queensland State Archives' *Digitisation Disposal Policy toolkit – metadata guidance* acknowledges that specific technical imaging metadata related to the digital imaging production process should also be generated and captured at the point of digitisation.

Imaging process metadata, at a minimum, should include:

- date of digitisation
- equipment used, and
- action officer.

This metadata is in addition to the requirement to capture standard recordkeeping metadata in accordance with the QRKMS.

Technical imaging metadata can be captured as part of the event history , using the event type 'digitised'; the action officer qualifier, and noting the digitisation equipment in the event description element qualifier. In addition, other elements such as data format (to indicate the format of the digitised record) will capture information relevant to the digitisation process.

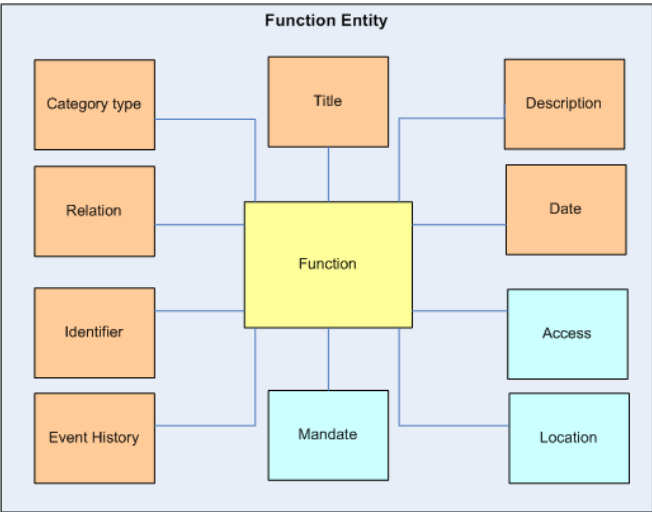
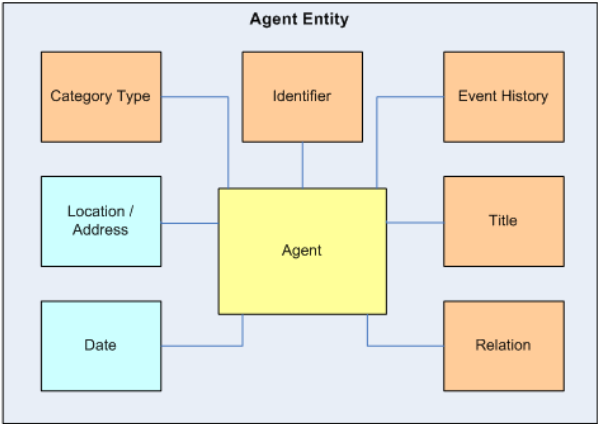
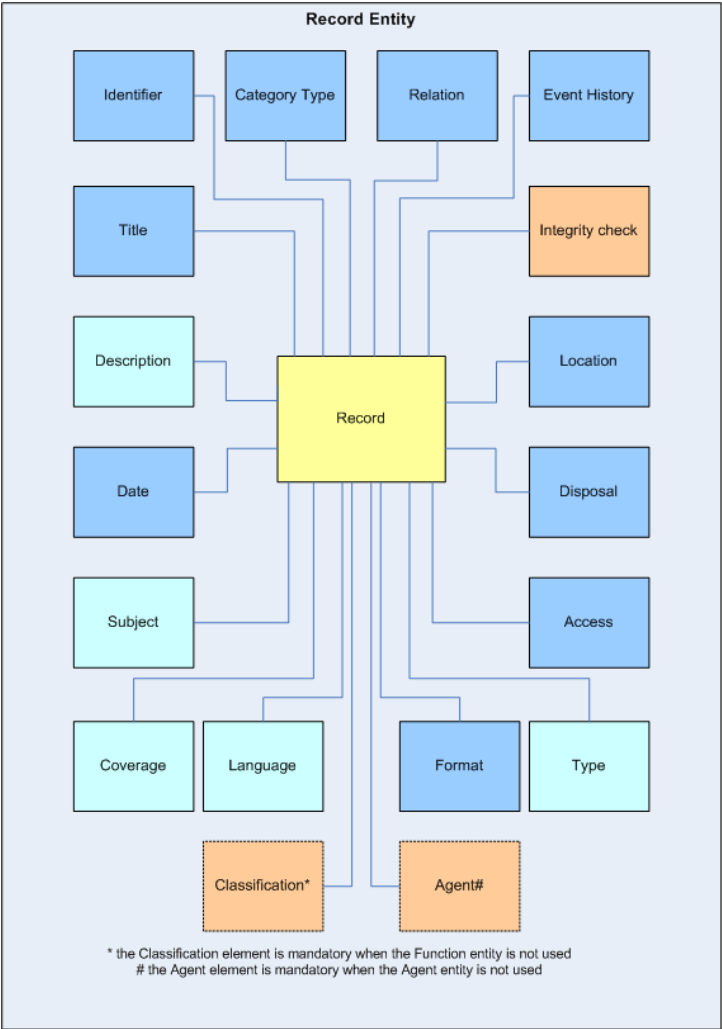
Metadata should also record the use of any image manipulation (for example de-speckling). This could also be captured through the event history element.

Queensland State Archives' *Digitisation of Paper Records Toolkit – metadata guidance* provides further implementation advice on the capture of digitisation metadata.²³

²³ Available from <https://www.qld.gov.au/gov/recordkeeping>

Appendix F: Queensland recordkeeping metadata model

This diagram provides a high-level representation of the entities and elements.



Legend

This diagram represents obligation levels, but excludes information on repeatability of elements

- Mandatory
- Optional
- Conditional

A larger image of this diagram is available on Queensland State Archives' website

Appendix G: Schemes

Metadata elements can source their values from encoding schemes. There are two common types:

- vocabulary encoding schemes, that define values with which to populate specific elements or element qualifiers
- syntax encoding schemes, that define the structure or syntax of the expression of the value.²⁴

For example, ISO 8601 defines how a date should be expressed, and is therefore a syntax encoding scheme.

[Part 2: Technical standard](#) refers to a number of encoding schemes, either external authority sources or vocabulary schemes developed for this standard. Schemes developed for the technical standard are contained in this appendix. The table below contains information on external schemes that are referred to in the technical standard.

All schemes identified in the technical standard are recommended only. Public authorities may wish to adapt the recommended schemes, or develop their own schemes based on established practices.

Scheme name	Scheme description	Reference	Applicable element /element qualifiers
ASGC – Australian Standard Geographical Classification	The <i>Australian Standard Geographical Classification (ASGC)</i> is maintained by the Australian Bureau of Statistics (ABS) for the collection and dissemination of geographically classified information.	www.abs.gov.au	7.2: Record coverage spatial
ISO 8601 – International Date Encoding Scheme	The standard format for numerical representation of dates, times and date/time combinations. Local time and Coordinated Universal Time (UTC) are supported. For example: Date: YYYY-MM-DD Time: HH:MM+SS:SS	W3C Technical Note www.w3.org/TR/NOTE-datetime (Provides a summary of ISO Standards for date formats.)	5: Record date 13.4: Date sentenced 13.5: Disposal action due 14.3: Location date 15.4: Event date/time 21: Agent date 22.3: Relationship date 23.3: Location date 24.3: Event date/time 29: Function date 30.3: Relationship date 31.5: Determination date 31.6: Review due date 33.5: Mandate date

²⁴ Standards Australia (2007) AS ISO 23081.2-2007 Information and Documentation: Records management processes - Metadata for records – Part 2: Conceptual and implementation issues section 10.3.3.

Scheme name	Scheme description	Reference	Applicable element /element qualifiers
			34.3: Event date/time
Keyword AAA Thesaurus of General Terms	<i>Keyword AAA</i> is a thesaurus of common administrative terms, covering functions common to many public authorities such as personnel, strategic management and financial management. Public authorities using <i>Keyword AAA</i> will need to develop a business classification scheme or thesaurus to cover their unique business functions, and merge this with <i>Keyword AAA</i> .	Available to public authorities from Queensland State Archives.	16: Record classification 27: Function Title 28: Function Description
Keywords for Councils	<i>Keywords for Councils</i> is the local government equivalent of <i>Keyword AAA</i> . Unlike <i>Keyword AAA</i> , it is intended to encompass all the functions performed by local authorities, such as public health and water supply, in addition to administrative functions. This means that local authorities generally do not need to add their own specific function terms to the list in <i>Keywords for Councils</i> .	Available to public authorities from Queensland State Archives.	16: Record classification 27: Function title 28: Function description
QKey	<i>QKey</i> is a derivative of <i>Keyword AAA</i> that has been developed under licence by the Shared Service Solutions' Document and Records Management sub-program as part of the Queensland whole-of-Government eDRMS project. <i>QKey</i> is available under similar licence conditions as <i>Keyword AAA</i> .	Contact CorpTech or Queensland State Archives for more information.	16: Record classification 27: Function title 28: Function description
Queensland Information Security Classification Framework (QISCF)	The QGISCF specifies a schema for the security classification of information, and related controls which are in accord with the Commonwealth Government Protective Security Manual (PSM).	http://www.qgc.io.qld.gov.au/02_infostand/downloads/qg_is_cf.doc	12.1: Record access security classification 31.1: Function access security classification
RFC 4646 – Tags for Identifying Languages	RFC 4646 provides a syntax for constructing language descriptions using ISO639 for language codes, ISO 3166 for country codes, and ISO 15924 for language script codes.	http://ietfreport.isoc.org/idref/rfc4646/	8: Record language

Appendix G1: QRKMS record category type scheme

The record category type scheme is used as a controlled vocabulary for the [records category type](#) element. The values defined reflect the levels of aggregations or groups of records that are managed within Queensland Government systems.

These category types align to AS ISO 23081.2-2007 Information and documentation – Records management processes – Metadata for records – Part 2: Conceptual and implementation issues as outlined in the table below.

Record category type	Definition
Item	A single record item such as a letter, report, minute, photograph, object or email. AS ISO 23081.2 - Item
Transaction sequence	A sequence of items, physically or virtually linked, which document one coherent transaction. AS ISO 23081.2 – Transaction Sequence
File	A group of related records usually documenting the same group of transactions based on business function, activity and subject. The group may or may not be physically co-located. AS ISO 23081.2 – File
Series	A group of record items or files maintained in the same filing system, resulting from the same business function/activity processes and/or existing in similar format. AS ISO 23081.2 – Series
Recordkeeping system	A system that captures and keeps records of a public authority's business activities. Please note: a recordkeeping system can be a purely digital system or a system that manages physical records. Its main purpose may be to manage records, such as an eDRMS, or a business system with recordkeeping functionality. AS ISO 23081.2 – No equivalent

Appendix G2: QRKMS record type scheme

The record type scheme has been developed for use in conjunction with the [record type](#) element.

It is based on the document types developed by CorpTech for use in the whole-of-Queensland Government eDRMS.

It is an example only and can be amended to include document types specific to certain organisations; for example, applications, licences, etc.

Record type	Definition
Agreement	Contract, formal agreement, operating licence, tender documentation.
Correspondence	Scanned rendition, email, fax, memo, letter, briefing note etc.
Form	Documents with blank spaces to be filled in: for example, leave, application, etc.
Visual aid	Visual depiction of something: chart, graph, drawing, photo, video, multimedia.
Legal opinion	Legal advice provided to the organisation by external and internal sources.
Media release	Formal releases and statements to the media.
Meeting document	Committee and meeting agenda, minutes, file note, meeting papers.
Plan	Budget, business, project, strategic, performance, operational, disaster.
Policy/procedure	Procedure, policy, work instruction, role statement, guideline.
Presentation	Poster, newsletter, presentation, brochure, pamphlet, promotional material.
Report	Feasibility, investigation, research, audit, status, annual, performance etc.
Submission	Proposal, business case, Cabinet, project proposal, formal proposal to undertake an action.
Technical	Standards, specifications, plan (architectural), map (survey, topographical).

Appendix G3: QRKMS data format scheme

The data format scheme has been developed for use in accordance with the [record format](#) element. The data format element qualifier is only relevant for digital records.

It is an example only, and should be extended or amended to cover all formats in use within a public authority.

Data format	Definition
Text files	
.doc	Microsoft Word document
.log	Log file
.msg	Mail message
.rtf	Rich Text Format
.txt	Text file
.wpd	WordPerfect document
.wps	Microsoft Works Word Processor document
Data files	
.123	Lotus 1-2-3 spreadsheet
.csv	Comma Separated Values file
.dat	Data file
.db	Database file
.dll	Dynamic Link Library
.mdb	Microsoft Access database
.pps	PowerPoint slide show
.ppt	PowerPoint presentation
.sql	Structured Query Language Data
.wks	Microsoft Works spreadsheet
.xls	Microsoft Excel spreadsheet
.xml	XML file

Data format	Definition
.pst	Personal Information Store (Microsoft Outlook/Exchange Server)
Image files	
.mng	Multiple Network Graphic
.pct	Picture file
Raster image files	
.bmp	Bitmap image
.gif	Graphical Interchange Format file
.jpeg	JPEG Image file
.jpg	JPEG Image file
.png	Portable Network Graphic
.psd	Photoshop document
.psp	Paint Shop Pro image file
.tif	Tagged Image file format
Vector image files	
.ai	Adobe Illustrator file
.drw	Drawing file
.dxf	Drawing Exchange format
.eps	Encapsulated PostScript
.ps	PostScript file
.svg	Scalable Vector Graphics
3D Image Files	
.3dm	Rhino 3D model
.3dmf	QuickDraw 3D metafile
Page layout files	
.indd	Adobe InDesign file
.pdf	Portable Document format file

Data format	Definition
.qxd	QuarkXpress document
.qxp	QuarkXpress 6 project file
Audio files	
.aac	Advanced Audio Coding file
.aif	Audio Interchange file format
.iff	Interchange file format
.m3u	Media Playlist file
.mid	MIDI file
.midi	MIDI file
.mp3	MP3 Audio file
.mpa	MPEG Audio file
.ra	Real Audio
.ram	Real Audio Media
.wav	Windows WAVE Sound file
.wma	Windows Media Audio file
Video files	
.3gp	3GPP multimedia file
.asf	Advanced Systems format file
.asx	Microsoft ASF Redirector file
.avi	Audio Video Interleave file
.mov	Apple QuickTime movie
.mp4	MPEG-4 Video file
.mpg	MPEG Video file
.qt	Apple QuickTime movie
.rm	Real Media file
.swf	Macromedia Flash movie

Data format	Definition
.wmv	Windows Media Video file
Web files	
.asp	Active Server page
.css	Cascading Style Sheet
.htm	Hypertext Markup Language file
.html	Hypertext Markup Language file
.js	JavaScript file
.jsp	Java Server page
.php	Hypertext Preprocessor file
.xhtml	Extensible Hypertext Markup Language

Appendix G4: QRKMS medium scheme

The QRKMS medium scheme has been developed for use in conjunction with the [record format](#) element.

It is an example only, and should be extended or amended to cover all media on which records are kept within a public authority.

Medium	Definition
Album photographic	An album for storing photographic prints.
Aperture card	A card with a micrographic film image fixed within it.
Box <specify type>	A physical box or carton for storing files or record items. Note: box type to be specified.
Card <specify size>	A physical index card for indexing records.
CD-R	Recordable compact disk – an optical storage medium, which can be written to once only.
Cinefilm	Photographic film in roll form either (16 or 35mm) used for storing and displaying moving images.
Cylinder <specify size>	A physical cylinder for storing maps and plans etc.
DAT	Digital Audio Tape – a digital magnetic tape.
DVD <specify>	Digital Versatile Disc.
Envelope <specify>	A physical envelope box used for storing company/technical reports etc.
File folder	A physical file folder for holding record items.
Film <specify size>	Photographic film in roll form either (16 or 35mm) used for storing and displaying still images. See also Cinefilm.
Floppy disk	A removable magnetic computer disk, with limited storage capacity.
Hard drive - network server	A fixed computer disk attached to a network.
Hard drive - local	A local fixed computer disk.
JAZ drive	A removable disk drive.
Microfiche	Film in sheet form (usually 105 x 148 mm in size) used for storing reduced images of text and graphics.
Microfilm	A film in roll form (16mm or 35mm) used for storing reduced

Medium	Definition
	images of text and graphics.
Paper <specify size>	Self-explanatory. Medium for storing primarily text and fixed images/drawings.
Photographic images	Hard copy photographs. Excludes those kept in an album.
Slides 35mm	Photographic film – 35 mm format with one photograph per slide.
Videotape <specify type>	Magnetic tape for recording and storing video moving pictures and audio. VHS, Beta.
Volume	A bound book, commonly used for registers.
Zip drive	A removable, portable disk drive.

Appendix G5: QRKMS relationship type scheme

The QRKMS relationship type scheme is to be used in conjunction with the relationship type element qualifier in the [record relation](#), [agent relation](#) and [function relation](#) elements. This scheme provides a definition for every possible relationship type for each entity.

Definitions have been adopted from:

- National Archives of Australia, *AGLS Metadata Element Set Usage Guide*, January 2002.
- State Records NSW, *NSW Recordkeeping Metadata Standard – Technical Specification*, June 2001.

Certain relationship types are mandatory for different levels of aggregation as indicated:

- indicates mandatory relationships for records at the item level of aggregation
- # indicates mandatory relationships for records at the file level of aggregation

These mandatory relationships are sufficient to capture the following information:

- the creator of an item
- the recipient of correspondence-type items
- the contents of a file
- the function a file documents, and
- the business owner of a file.

When the function entity is implemented, the relationships indicated by ^ are mandatory, to show the hierarchical relationship between business functions, activities and transactions.

Further information on mandatory relationship types is included in the relevant relation elements.

Relationship type		Definition
Record relationship definitions		
Record to record	#Contains	One record contains a physical or logical part or aggregation of another record. For example, a file may contain many items.
	Controls	One record controls and directly determines rules affecting another record. For example, a system for registering record series attributes record series numbers and therefore controls government record series.
	Has format	A record derived from one record by reproduction or reformatting techniques, which is not fundamentally an interpretation but is intended to be a representation. For example, an item may have an MS Word 95 format as well as another representation in PDF format.
	Has version	A record may have another earlier version in a separate record. For example, a policy document may have an earlier version of the policy stored as a separate item.

	Relationship type	Definition
	Is controlled by	One record is directly controlled by another system. For example, a series of files may be controlled by the registration system that allocates their unique identifiers.
	Is format of	A record that derives another record by reproduction or reformatting techniques that is not fundamentally an interpretation but is intended to be a representation. For example, a record in PDF format may have been originally derived from a record in MS Word 95 format.
	*Is part of	One record is a physical or logical part of another record. For example, many items may be part of a file, many files may be part of a series.
	Is referenced by	A record may be referenced by another record. For example, a letter may be referenced by its letter of reply. A procedure or guideline may reference a policy document.
	Is required by	A record may be required by another record for its functioning, delivery or content and cannot be issued without the related record being present.
	Is superseded by	Indicates when one record is replaced by another, where the replacement is not because of a simple sequential relationship. For example, a policy is replaced by a new policy.
	Is version of	A record may be an earlier version of another record authored by the same agent. For example, a policy document may be a (previous) version of the current policy document
	Precedes	Indicates a previous sequential relationship between records.
	References	A record may reference another record. A procedure may reference a related policy statement.
	Requires	A record may require another record for its content and cannot be used without the related record being present.
	Succeeds	Indicates a succeeding sequential relationship between records. For example, an item may succeed another; a file part may succeed a previous file part.
	Supersedes	Indicates when one record replaces another, where the replacement is not because of a simple sequential relationship. For example, a contract may supersede a prior agreement.
Record to agent	Is authorised by	A record may be authorised by a particular agent, separate to its creator.
	Is contributed to by	Allows for the capture of metadata regarding agents that contributed to a record, without being primarily responsible for its creation.

	Relationship type	Definition
	Is controlled by	The rules affecting a record are directly determined by the rules affecting the agent who uses the records. For example, access to a report may be controlled by the security classification or caveat applied to a record.
	*Is created by	A record has a creator, which may be an individual, workgroup or organisation.
	#Is owned by	A record may be 'owned' by an agent. For example, a business submission may be owned by the workgroup or business group that created the submission.
	*Is received by	Correspondence-type records have a recipient.
Record to function	#Documents	A record may document functions, activities or a group of transactions.
	Is referenced by	A record may be referenced by a function. For example, licence applications may be referenced to perform a transaction group. For example, the group of transactions required to issue a licence to undertake work as a gas fitter.
	Is required by	A record may be required by a function for its delivery and cannot be undertaken without the record being present. For example, case files are required to perform processing of cases in a medical centre.
Agent relationship definitions		
Agent to agent	Contains	Indicates a level of aggregation between agents. An agent can contain a physical or logical part of another agent. For example, an organisation contains workgroups, and a workgroup contains individuals.
	Controls	One agent controls and directly determines the rules affecting other agents. For example, a supervisor (individual) controls a subordinate (another individual).
	Is controlled by	One agent is controlled by another agent, which directly determines the rules affecting it. For example, a subordinate is controlled by a supervisor.
	Is part of	Indicates a level of aggregation between agents. An agent can be a physical or logical part of another agent. For example, a workgroup is part of an organisation and an individual is part of a workgroup.
	Precedes	Indicates a previous sequential relationship between agents. For example, an individual may precede another individual, or one organisation can precede another.
	Succeeds	Indicates a succeeding sequential relationship between agents. For example, one workgroup can succeed another.

	Relationship type	Definition
Agent to record	Authorises	An agent may directly authorise or approve a record. For example, the staff member responsible for endorsing a briefing note.
	Creates	The agent primarily responsible for creating a record.
	Contributes to	Agents that have substantial input into the contents of a record.
	Controls	An agent may directly determine the rules affecting a record. For example, the security classification (clearance level) of an individual may control the access restrictions on a record.
	Owns	An agent may be the 'owner' of and have ultimate responsibility for a record or a group of records. A business group may 'own' a group of files.
	Receives	The agent identified as the recipient of a correspondence-type record.
Agent to function	Controls	An agent may control, but not necessarily own particular functions. For example, the control of an outsourced function may reside with a particular business group responsible for setting the parameters on which particular actions are done, without exerting a direct ownership of actions.
	Owns	An agent may own particular functions, e.g. a workgroup may 'own' a function. For example, a human resources branch may own a particular business function of personnel, even though other staff (such as supervisors) may be involved in progressing different activities.
	Performs	An agent may undertake particular functions. For example, an individual or workgroup performs a particular business function or transaction group.
Function relationship definitions		
Function to function	^Contains	Indicates a level of aggregation between functions. A function may contain a physical or logical part of another function. A function (e.g. human resources management) may contain many business activities (e.g. recruitment, pay & conditions, training & development, compensation & rehabilitation etc).
	^Controls	One function directly determines the business rules affecting the way another function is performed. For example, the finance function may directly control the way purchasing transactions are carried out without directly owning the group that undertakes purchasing.

	Relationship type	Definition
	Is controlled by	One function is directly controlled by another function by determining the business rules (systems) affecting the way a function is performed. For example, purchasing transactions are controlled by the finance function.
	Is part of	Indicates a level of aggregation between functions. A function may be a physical or logical part of another function. For example, the business activities of recruitment, pay & conditions, training & development etc. may be part of the broader function of human resource management.
	Precedes	Indicates a preceding sequential relationship between functions. For example, the telephone communications function may have preceded the technology and telecommunications function.
	Succeeds	Indicates a succeeding sequential relationship between functions. For example, the telephone and telecommunications function succeeded the computing function.
Function to record	Is documented by	A function is defined, explained or expressed in related records. For example, a transaction group (paying claims for payment), business activity (finance operations) may be documented by a group of items such as invoices, or files such as vendor files.
	References	A function may reference records. For example, to perform purchasing business activities, orders, requisitions and specifications may need to be referenced.
	Requires	A function may require records for its delivery or content and cannot function without the related records being present. For example, particular case files may be required to perform certain transactions or business activities.
Function to agent	Is controlled by	A function may be controlled but not necessarily owned by an agent. For example, an outsourced function may be controlled by a particular business group which has no direct ownership of the actions or how they are performed.
	Is owned by	A function may be “owned” by or be the responsibility of a particular agent. For example, a function of financial management may be ‘owned’ by a particular workgroup.
	Is performed by	A function may be performed or undertaken by a particular agent. For example, a business activity – providing reference services to clients may be performed by a particular workgroup – public access of Queensland State Archives.

Appendix G6: QRKMS caveat scheme

This scheme provides a controlled vocabulary for the **caveat** element qualifier of the [record access](#) element. It can be applied with the **security classification** element qualifier to limit access to records with special sensitivities. It should not be applied to records in the public domain.

This scheme has been adapted from the Supplemental Markings values defined by CorpTech for the whole-of-Government eDRMS.

It is not an exhaustive list and organisations may develop additional identifiers according to their business needs.

Caveat	Definition
Audit	Information related to audit activities where access would be restricted to officers of the audit department or nominated authorised staff. For example, audit and risk reports which identify security and control weaknesses.
Budget	Information relating to official budget records associated with submissions and financial transactions where access would be restricted to budget personnel, finance personnel and nominated authorised staff. For example, budget submission papers and proposals.
Cabinet	Information related to cabinet activities where access would be restricted to officers of the cabinet department or nominated authorised staff. For example, briefing notes and sensitive reports being prepared for cabinet submission.
Commercial	Information relating to procurement/contract or other commercial information such as sensitive intellectual property where access would be restricted to procurement/contracts personnel and nominated authorised staff. For example, a draft request for offer information, tender responses, tender evaluation records, designs and government owned research.
Council	Only applicable to Local Governments. Information related to the deliberations of a Local Council that would normally be restricted to authorised staff and Council members. For example, minutes of closed Council meetings.
Executive	Information associated with executive management of an organisation that would normally be restricted to the executive and nominated authorised staff. For example, sensitive financial reports, strategic plans, Government matters, staff matters.
Finance	Information relating to official financial records associated with financial transactions where access would be restricted to financial personnel and nominated authorised staff.
Personnel	Information relating to official staff records where access would be restricted to human resources personnel and nominated authorised staff. For example, personnel files, recruitment information, grievance or disciplinary records.

Appendix G7: QRKMS access rights scheme

The QRKMS access rights scheme has been developed for use with the **access rights** element qualifier in the [record access](#) element. It identifies the public access status of records and may be adapted by public authorities based on their particular business needs.

This scheme is based on identified values for the record status element qualifier from the National Archives of Australia *Recordkeeping Metadata Standard for Commonwealth Agencies* Version 1.0.

Access Rights	Definition
Not for release	The record is not to be released or published.
May be published	The record may be published.
May be released under FOI	The record contains no information which might preclude it from being released to an individual or party under an FOI request.
Limited release	Due to particular sensitivities of a security, privacy, business or other nature: <ul style="list-style-type: none"> the record may be released to a limited (agency-defined) audience only, or limited parts or sections only of a record may be released.
Open after <x> years	The record may be open for public access after a specified number of years, in accordance with the <i>Public Records Act 2002</i> or other requirement.
Embargoed	The record may not be released until a specific event has occurred. For example, until after a public announcement by a Minister or proclamation of legislation.

Appendix G8: QRKMS disposal status scheme

The QRKMS disposal status scheme may be used as a drop-down list for the element qualifier disposal status in the [record disposal](#) element.

Disposal status provides management information about the number of records within a specific disposal status that may be used for storage planning or other needs.

This scheme was adopted from the National Archives of Australia *Recordkeeping Metadata Standard for Commonwealth Agencies* Version 1.

Disposal Status	Definition
Destroyed	The record has been destroyed in accordance with an approved disposal schedule or other approved action. Details about the disposal action will be available in the event history element.
Permanent	The record is of enduring value and has been sentenced for permanent retention.
Temporary	The record is sentenced to be destroyed at a future date.
Unknown ²⁵	The record has no disposal coverage, or is unsentenced, or not enough is known about the record to determine its status.

²⁵ Default value for records with no current disposal coverage.

Appendix G9: QRKMS record event type scheme

The record event type scheme has been developed for use in conjunction with the element qualifier event type in the [record event history](#) element.

This scheme has been kept as simple as possible. Most events recorded will be changes to metadata and recorded in the 'changed <specify element name>' event type. The other events are recordkeeping processes undertaken on the record itself.

Depending on the nature of the record, it may not be necessary to log every event. For example, 'printed' would only need to be tracked for tightly controlled records with a high security classification.

Event Type	Definition
Add <specify element name>	Additional metadata added to the description of the entity, followed by the name of the metadata element which has had specific values added to ensure a history of all metadata changes to specific values.
Archived	The process of archiving records for temporary or permanent archives in accordance with approved retention and disposal schedules issued under the <i>Public Records Act 2002</i> .
Backed up	The process of backing up records to secondary media. Usually applied at a recordkeeping system level of aggregation.
Booked	The process of booking out a record for reuse and/or editing and booking that record back into storage.
Changed <specify element name>	Any changes to any metadata element should be recorded using this value followed by the name of the metadata element changed to ensure a history of all metadata changes to specific values.
Closed	The process of closing a file part or the whole file.
Compressed	The process of compressing a record or group of records.
Converted	The process of transferring records from one medium to another or one format to another. See also 'digitised' or 'microfilmed' for those specific forms of conversion.
Deleted <specify element name>	Indicates an action that deleted (not changed) the values from a metadata element, followed by the name of the metadata element that had the value deleted to ensure a history of all metadata changes to specific values.
Destroyed	The process of physically destroying the contents of the record while maintaining some (or all) of the metadata about the record in accordance with approved retention and disposal schedules issued under the <i>Public Records Act 2002</i> .
Digitised	The process of converting a record into digital format for alternative use; for example, imaging a document or photograph or using OCR technology for online access. See also 'microfilmed' or 'converted' for other forms of conversion.
Distributed	The process of distributing/sending copies of a record to multiple recipients using a distribution list.

Event Type	Definition
Downloaded	The process of copying data from its storage location to a local drive (either within or external to the organisation).
Microfilmed	The process of microfilming a record for access and preservation purposes. See also 'digitised' and 'converted' for other forms of conversion.
Migrated	The process of transferring records from one records system to another while maintaining authenticity and without major conversion or inputting of data.
Printed	The process of rendering a record on paper.
Refreshed	The process of reading data and rewriting data to a new medium to compensate for the gradual loss of data quality over time.
Rendered	Processes required to enable a record to be read by specific equipment or software. For example, rendered in PDF rather than in the original storage format MS Word, rendered for presentation on a Palm Pilot rather than an A4 page etc.
Reviewed	The process of examining and evaluating the action to be taken. Specifically used in reviewing access and disposal provisions.
Transferred	The process of moving a record from one storage location to another – includes transfer to offline storage as well as to storage warehouses, which may be provided by a third party.
Uploaded	The process of copying data from a local PC hard disk (either within the organisation or external to it) to the records system.
Viewed	The process of retrieving information onto a screen (no copying or downloading).

Appendix G10: QRKMS agent category type scheme

The record category type scheme is used as a controlled vocabulary for the [agent category type](#) element. The values defined reflect the levels of aggregations or groups of agents.

These category types align to AS ISO 23081.2-2007 Information and Documentation – Records management processes – Metadata for records – Part 2: Conceptual and implementation issues as indicated in the table below.

Agent Category Type	Definition
Individual	Individual people who carry out business transactions. AS ISO 23081.2 – Person/Instrument
Workgroup	A formal or informal collection of people or positions grouped together for management purposes to achieve a business outcome. May include a project team established for a period to achieve an outcome. AS ISO 23081.2 – Work group
Organisation	A collection of business groups linked together with a mandate to carry out particular functions. AS ISO 23081.2 - Agency

Appendix G11: QRKMS function category type scheme

The record category type scheme is used as a controlled vocabulary for the [function category type](#) element.

These category types align to AS ISO 23081.2-2007 Information and Documentation – Records management processes – Metadata for records – Part 2: Conceptual and implementation issues as indicated in the table below.

Record Category Type	Definition
Transaction	The smallest unit of business activity performed within a public authority. For example, purchasing supplies, or responding to a client. AS ISO 23081.2 - Transaction
Activity	The major tasks performed by an organisation to accomplish each of its functions. An activity should be based on an aggregation of transactions that fit together in some logical way to achieve a business outcome. For example, a recruitment process or developing a policy. AS ISO 23081.2 – Activity/Process
Business Function	A major responsibility managed by an organisation to fulfil its goals: a logical grouping of business activities aimed at achieving an agency's mission. For example, provision of public transport, management of national parks. AS ISO 23081.2 – Function

Appendix G12: QRKMS mandate type scheme

The QRKMS mandate type scheme has been developed for use as a controlled vocabulary for the element qualifier mandate type to be used in conjunction with the [function mandate](#) element.

This scheme had been based on the 'control' domain of the *Information Portfolio Framework* developed and maintained by the Queensland Government Chief Information Office.

Mandate type	
Administrative	Law
Accountability	Common law
Convention	Court order
Directive	Legislation
Exception	Regulation
Guideline	
Policy	
Principle	
Procedure	
Rule	
Standard	

Appendix H: Acknowledgements

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- Department of Employment and Industrial Relations
- Department of Natural Resources and Water
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- Ipswich City Council
- Queensland Government Chief Information Office
- Queensland Health
- Queensland Transport
- Queensland University of Technology

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- State Records of New South Wales: *Recordkeeping Metadata Standard – Technical Specification* June 2001, available online at: <http://www.records.nsw.gov.au/>
- National Archives of Australia: *Recordkeeping Metadata Standard for Commonwealth Agencies*, Version 1.0 May 1999.
- National Archives of Australia: *Commonwealth Implementation Manual: Australian Government Locator Service (AGLS)* August 2002, available online at: <http://www.naa.gov.au>
- Public Records Office of Victoria: *VERS Metadata Scheme PROS 99/007 Specification 2* Version 1.0 April 2000.
- Monash University: *Records Continuum Research Group: Australian Recordkeeping Metadata Schema*. Release Version 1.0, available online at: <http://www.sims.monash.edu.au/research/rcrg/research/spirt/deliverables.html>