



Overview

The University is legislatively required under the State Records Act 1997 to create, capture, classify, retain, preserve, dispose of, and manage information assets for specific periods identified in approved disposal schedules. Our aim is to make sure these information assets, including their metadata, are accurate, complete, and reliable. This standard should be used in line with the University's Records and Information Management Policy and is targeted towards the Library, Information and Digital Services (IDS), business system owners, and staff considering the introduction of new business systems into Flinders University.

Metadata is data describing the context, content and/or structure of information assets and their management over time. Examples of metadata include the date a document was received or captured, the author of the document, who has accessed the document, security applied to the document, etc.

Staff must be responsible and accountable for the accurate capture of metadata where manual input is prompted by business systems.



Contents

Overview	1
Benefits of Standardised Recordkeeping Metadata	3
Metadata Standards	3
Metadata Requirements	4
Metadata Entities	4
Metadata Elements	4
Recordkeeping Metadata Aggregation	6
Records	6
Agents (Locations)	6
Functions (Business)	6
Recordkeeping Metadata Elements	7
Incorporating Minimum Mandatory Recordkeeping Metadata	8
Entities	8
Elements and Qualifiers	8
Inheritance of Metadata	9
Location of Metadata	9
Extensibility of Metadata	9
Metadata Monitoring and Evaluation	10
Metadata Application	10
Implementation Standards	10
Planning Metadata Implementation	10
Business Requirements Analysis and Implementation Sets	11
Compliance Assessments	11
Business System Configuration	11



Benefits of Standardised Recordkeeping Metadata

In line with the State Records of South Australia <u>minimum recordkeeping metadata</u> <u>requirements standard</u>, the University must capture information in a structured manner to describe the identity, authenticity, content, structure, context, and essential management requirements of business content. Such descriptive information will ensure that reliable, meaningful, and accessible content that satisfies business needs, evidential requirements and broader community expectations are kept.

To comply with these principles, University staff must capture adequate metadata and information across all department business systems in accordance with the mandatory elements described within this standard. In meeting these requirements, a common set of core principles will be applied to all recordkeeping metadata schema. These include:

Reliability	Metadata will be consistently available and delivered as genuine, accurate and trustworthy.
Accessibility	Metadata will be consistently structured as discoverable within all business systems, including accessibility to practical discoverability tools, such as search and aggregation.
Retrieval	Metadata will act as a facilitator for retrieval of information over time and will maintain its readability and discoverability.
Maintenance	Metadata will be scrutinised over time within business systems, ensuring consistent completion and application over time.
Security	Metadata will maintain integrity over time to ensure reliability. Appropriate access controls and security conventions will be maintained across business systems to enforce integrity.

Metadata Standards

Recordkeeping metadata conventions relevant to University requirements are reflected within the below standards and are based upon AS/NZS 5478 recordkeeping metadata property reference set (RMPRS):

- Standard Minimum Recordkeeping Metadata Requirements (State Records of South Australia)
- Australian Government Recordkeeping Metadata Standard (AGRkMS National Archives of Australia)
- AS ISO 23081 Information and documentation Records management process Metadata for records

The University will adopt the Standard - Minimum Recordkeeping Metadata Requirements as the defined authority for recordkeeping metadata to be applied/utilised across all business systems.



Recordkeeping metadata entries are information assets in their own right. Metadata describe the actions that may be undertaken within/against a particular information asset, and as such, their disposal must be managed as information assets in line with the Records and Information Management Policy.

Metadata Requirements

Metadata Entities

In line with the AS/NZS 5478 RMPRS, University recordkeeping metadata is to be captured across three entities. Entities define the data objects captured within a business system and are refined using multiple levels of aggregation.

Entity	Definition
Records	Any information created, received, and maintained by an organisation or person as information or evidence of business conducted. Records typically document, or are documented in Functions, and create, manage, or are used by Agents (Locations).
Agents (Locations)	People, positions, groups, and/or organisations. Agents typically perform Functions (Business) and create Records.
Functions (Business)	Business functions, activities, and transactions. Functions typically document, or are documented in Records, and are performed by Agents (Locations).

Metadata Elements

Metadata Elements form the basis of Metadata Schemes. Each element specifies the individual units of information that require capture for an entity to be appropriately described. Common elements occur across multiple entities, and others are unique to a specific entity.

Elements are presented in a uniform layout per Scheme, and display the same information for each element required, including:



Element Number	The number of the specified element
Entity and Element Name	The name of the element and the potential entity to which it relates
Definition	Describes element and objectives it is designed to fulfil
Purpose	Indicates business and functional/recordkeeping processes an element facilitates
Obligation	Indicates minimum requirements to implement an element, i.e. Mandatory, Optional or Conditional
Repeatability	Indicates whether an element can be used more than once to describe or refine description of a particular entity
Scheme/Values	Identifies any schemes or values recommended for use with the element (Schemes can be located within the Appendices of this document)
Applicability	Indicates level of aggregation element can be applied
Element Qualifier Name	The name and number of the qualifier
Element Qualifier Scheme	Scheme recommended for use with qualifier
Element Qualifier Obligation	Identifies requirements for use of the qualifier
Element Qualifier Repeatability	Identifies if the qualifier can be used more than once
Default Value	Indicates default value to be used for an element or element qualifier, including what default value is
Conditions of Use	Outlines conditions to be considered when using element (defines element qualifiers)
Source	Indicates where the information to populate an element qualifier may be sourced
Comments	Additional information regarding definition or implementation of element/qualifier



Recordkeeping Metadata Aggregation Each entity utilises multiple levels of aggregation for each entity. The University defines these levels as per below.

Records			
Aggregate Level 1	Aggregate Level 2	Aggregate Level 3	Aggregate Level 4
Recordkeeping Platform	File	Transaction Sequence	Item
Agents (Locations)			
Aggregate Level 1	Aggregate Level 2	Aggregate Level 3	Aggregate Level 4
Organisation	College/Portfolio	Position	Person
Functions (Business)			
Aggregate Level 1	Aggregate Level 2	Aggregate Level 3	
Business Function	Activity	Transaction	



Recordkeeping Metadata Elements The University defines the following elements as minimum for each recordkeeping metadata entity:

Record Entity	Agent (Location) Entity	Function (Business) Entity
Aggregate Type	Aggregate Type	Aggregate Type
Identifier	Identifier	Identifier
Title	Title	Title
Description		Description
Date	Date	Date
Subject		
Coverage		
Language - Content Type		
Format		
Relationship	Relationship	Relationship
Access		Access
Disposal Criteria		
Location	Location	Location
Event (Audit) History	Event (Audit) History	Event (Audit) History
Integrity		
*Classification		Mandate
*Agent		
Integrity Check		



Incorporating Minimum Mandatory Recordkeeping Metadata

Entities

The implementation of a Record entity is mandatory for all business systems.

While it is desirable that all three entities are implemented it is understood that not all business systems will have this capacity. Where business systems cannot utilise Agent or Function entities, two additional elements must be included in the Record entity scheme, **Record Classification* and **Record Agent*. These elements bridge the gap to ensure consistent capture for minimum mandatory metadata capture and retention.

Where business systems contain recordkeeping elements, all three entities should be implemented to ensure compliance and fully leverage benefits of recordkeeping metadata.

Elements and Qualifiers

Within each entity, elements can be Mandatory, Optional or Conditional. Each element and element qualifier have one of the following:

- Mandatory: must be implemented to capture minimum metadata
- Optional: may be implemented depending upon business system requirements. Optional elements can improve retrieval and distribution of records, particularly for significant and/or complex information assets that require retention over long periods of time
- Conditional: may or may not be required dependent upon distinct factors, i.e. the condition may be that the element is mandatory for physical information assets.

Most elements include several element qualifiers that further refine the meaning of the element. Some element qualifiers are stand-alone, with other element qualifiers comprising a set of linked metadata that needs to be retained as a sequence of interdependent elements i.e. in the record event history element, the element qualifiers of event ID, event type, event description and action agent together describe a single event and must be maintained as a linked set of information for accountability and integrity purposes.

It is not necessary for element names to match this guideline to be deemed compliant, however it is vital to ensure consistent information is being captured.



Inheritance of Metadata

Metadata can be inherited across multiple levels of aggregation within a single entity. This can occur in both directions, providing opportunities for:

- Documents to inherit metadata from aggregate parents (including security conventions), and/or aggregate parents to inherit highest security convention associated to a single document
- Classification activities to inherit metadata from functions (business)
- Individual agents (locations) to inherit metadata from parent agents (locations).

Requirements for inheritance of metadata between entities must be assessed on a per element basis. Specific elements will be unique to individual records (dates created, modified etc.), whilst others may be inherited directly from their aggregate parent (security conventions, classification etc.)

All entities, across all aggregation levels within business systems must maintain a unique identifier to ensure unique discoverability and integrity over time.

Location of Metadata

Metadata can be collected from one or more business systems. The University uses different systems to perform various transactions related to different business functions and activities. In these systems, there are entities that either:

- Have basic metadata about their creation and purpose, with detailed recordkeeping metadata stored in the EDRMS, Content Manager, through duplication or association
- Have basic metadata about their creation and purpose, with detailed recordkeeping metadata conventions documented in system documentation and/or application governance.

Where business systems maintain recordkeeping metadata entities, direct relationships between recordkeeping elements must be persistent for as long as the record is required in line with the Records and Information Management Policy. This must be of consideration where migration strategies are undertaken to ensure the integrity of the record entity/agent over time.

Extensibility of Metadata

Additional metadata elements beyond recordkeeping metadata may be incorporated across business systems for varying purposes. These metadata elements enable the University to meet extended business and customer requirements whilst delivering key efficiency/productivity benefits to users. These elements may be specific to a particular business activity or may consistently apply across the University information architecture. Additional metadata elements may be defined, and these may be mandatory.



Metadata Monitoring and Evaluation

The University will utilise structured business processes and automation capabilities to drive monitoring and evaluation of metadata capture and management within business systems.

These evaluation practices will ensure consistent application of minimum mandatory requirements, whilst also maintaining integrity of metadata over time.

Metadata Application

Implementation Standards

Implementation of metadata requirements across business systems will differ based upon the functions an application is required to perform, and the circumstances under which it is being implemented.

Considerations include:

- Is it an upgrade/enhancement to an existing application or a new application?
- Is the application is being implemented to meet an existing or new business requirement?
- Will the application facilitate digital and/or physical record entities?

In all cases, the implementation of minimum mandatory metadata requirements is vital to ensuring compliance with this guideline. Addition considerations include:

- Ensuring adequate implementation planning and clarification of responsibilities is facilitated
- Ensuring application requirements for additional metadata elements beyond minimum recordkeeping metadata is established
- Ensuring compliance with mandatory metadata conventions as established by this guideline
- Ensuring application configuration incorporates development of appropriate governance
- Ensuring quality of the application deployed.

Planning Metadata Implementation

Appropriate implementation of metadata must be planned during any application development project and all metadata requirements must be identified within functional/design specifications for all business systems.

This planning must be facilitated as a mandatory aspect of the project management function, and will apply to all development projects, including the establishment of new business systems, or enhancement/upgrades of existing systems.

Where practical, it should be a key consideration to incorporate all recordkeeping metadata elements as a minimum. This will provide the University with flexibility wherever transactional information assets are managed across multiple business systems.



Business Requirements Analysis and Implementation Sets

Where new business systems are implemented, determinations are to be made surrounding implementation of minimum requirements for either:

- a single recordkeeping metadata entity to be implemented,
- two recordkeeping entities be implemented,
- the full three entity model is implemented, and/or
- additional recordkeeping metadata entities are incorporated.

In all scenarios, this guideline recommends a structured implementation analysis and development of a recordkeeping metadata implementation set to document:

- 1. Metadata elements to be mandatory and optional (taking direction from this guideline to consistently apply mandatory requirements)
- 2. Detail any mapping of elements to consistently apply standardised metadata labels over time
- 3. Detail structured schema, thesauri, or vocabularies to be used to support elements or element qualifiers
- 4. Determine levels of aggregation metadata to be captured
- 5. Determine any applicable default metadata values
- 6. Describe what metadata elements are to be captured automatically
- 7. Determine responsibilities for capture of identified manually populated metadata

This approach allows for reflection of varying metadata elements and controls between different business systems, and/or for consideration of appropriate sources of metadata where required to facilitate automation.

Compliance Assessments

To support compliance, it is a requirement to map proposed/current recordkeeping metadata captured within the proposed business system against this guideline. Facilitating mapping will create a defined understanding of what coverage is currently in place and align metadata elements similar in context that may be otherwise named differently.

It may also highlight where a business system already maintains minimum mandatory metadata within the single application scope. Mapping will complement the development of recordkeeping metadata implementation sets.

Business System Configuration

Following finalisation of business determinations and assessment/alignment of metadata compliance requirements, the proposed recordkeeping metadata schema can be implemented within the designated business system. Appropriate governance will also require establishment to formalise procedures for metadata capture.

During this period, business system configuration will be undertaken by all responsible parties, and governance relating to corporate processes in correct system utilisation must also be established/updated and conveyed to users.

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Quality Assurance

To ensure quality and integrity of both recordkeeping and structured business metadata, relevant quality assurance processes must be implemented to confirm automated and manually captured metadata is consistent with governance requirements.

Primary mechanisms to facilitate these assurance processes are reporting platforms that enable delivery of chronological changes/updates to metadata based on selected entity ranges across the business system.

Where common errors or inconsistencies arise, the responsible authorities can follow up with structured change management activities to support the alignment of business processes with operational governance.