

# RECORDS MANAGEMENT POLICY AND PROCEDURE



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## 1 PURPOSE

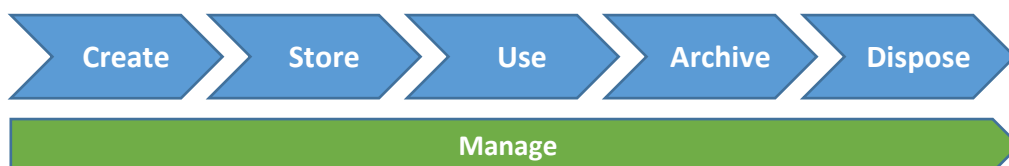
- 1.1 This policy and procedure provides a framework for records and information management within CQUniversity, and outlines the principles for appropriate management of the University's information throughout the information lifecycle.

## 2 SCOPE

- 2.1 This policy and procedure relates to all University information, and applies to all staff and contracted service providers who work for, or on behalf of, the University.

## 3 POLICY STATEMENT

- 3.1 CQUniversity's information is a valuable corporate asset to be captured, managed and used effectively to advance the University's core business and strategic priorities. The University is committed to the strategic and operational management of its information throughout the information lifecycle:



- 3.2 CQUniversity is committed to a culture of best-practice records and information management, compliant with the relevant legislative and regulatory requirements and underpinned by the principles in the Queensland Information Standards, throughout the information lifecycle.
- 3.3 Records and information are captured, managed and used in the most efficient and appropriate format, with a preference for the creation and maintenance of digital only records wherever possible. Information is not un-necessarily duplicated, and the creation, storage and management of irrelevant, un-necessary or ephemeral information is kept to a minimum.
- 3.4 The University maintains a robust information security environment which supports transparent, open and efficient access to information commensurate with the nature and content of that information, while protecting University information from unauthorised access, use, disclosure, modification, loss or damage.
- 3.5 Personal information is collected lawfully and fairly, and is safeguarded from unauthorised access, use, disclosure, modification or loss in accordance with the [Information Privacy Act 2009](#) and the University's [Information Privacy Policy and Procedure](#).

## 4 PROCEDURE

### Identifying records

- 4.1 All staff are obliged to create, capture, manage and retain full and accurate records of the University's business activities and decisions. All information is to be captured, managed and used in the most appropriate format.
- 4.2 A University record is any form of recorded information, received or created, that is of historical significance to the University, or which provides evidence of the decisions and actions of the University while undertaking its business activities. The University's business encompasses all forms of its teaching and learning, research, engagement, organisational, commercial and cultural activities.
- 4.3 University records serve to:
  - protect the rights and interests of individuals at the University
  - provide evidence of the full spectrum of business undertaken by the University
  - explain and justify the actions of the University and its employees
  - document and explain the decision-making of the University
  - provide the context of an activity
  - preserve the history of the University, and
  - determine that the policies and procedures of the University were followed during the conduct of that business.
- 4.4 A full and accurate University record will show what occurred, when it occurred, how it occurred and who participated.
- 4.5 The University conducts its business as "digital by default", wherever possible, with records created in digital format. Information received and records created digitally are to be maintained in digital format throughout the information lifecycle. Hard copy records are to be created only when absolutely necessary.
- 4.6 Staff should consider the purposes of University records to evidence the University's business activities when determining whether a written note of a conversation should be made. A conversation only becomes a University record when a written note (in any form) has been made of that conversation.
- 4.7 The following are not University records:
  - a) documents that are not related to the University or its business activities and decisions
  - b) documents or messages of short-term temporary informational value, or otherwise designated as "ephemeral", "transitory" or "normal administrative practice" in an approved Retention and Disposal Schedule

- c) copies or duplicates of University records, provided that the record has been captured appropriately elsewhere in the organisation, and where:
    - nothing has been added, annotated, changed or deleted on the copies
    - the copies have been created, distributed and used only for reference purposes, and
    - the copies are not the subject of or associated with further business activity
  - d) documents or messages (whether in physical or electronic form) that have been created but not transmitted, submitted, used or otherwise relied upon
  - e) drafts not intended for use or reference (ie. incomplete drafts), and drafts of any type of record, provided they do not contain significant or substantial changes or annotations that provide insight into the evolution of the final version.
- 4.8 Records that contribute to the history of the University, state or nation will be retained permanently. All such records should be transferred to the University Archives for long-term storage and preservation.
- 4.9 All business areas, records owners and process owners are responsible for developing, documenting and implementing processes that ensure efficient and compliant management of University records within their area. Business processes should be regularly reviewed by process owners, and optimised to integrate and/or automate records and information management requirements, reduce inefficiencies, and improve service levels.

### **Capture, storage and management of records**

- 4.10 All business areas, records owners and process owners are responsible for identifying what records need to be created or captured within their area of responsibility to establish a full and accurate account of the University's business activities and decisions.
- 4.11 All University records should be created and/or captured in a timely and efficient fashion in a well-managed system with appropriate recordkeeping functionality and security, as befits the nature and minimum retention period of those records, and commensurate with the level of business-risk associated with those records. This includes physical systems (such as filing cabinets or archive boxes) as well as electronic systems.
- 4.12 All University records, irrespective of their format and the systems they are captured in, should be captured, managed and classified in a methodical and logical way, according to the University's Business Classification Scheme, that allows for records to be related to discrete disposal classes with a minimum of effort. Indiscriminate and un-managed grouping of University records (eg. into "miscellaneous" or "general" files) is to be avoided.
- 4.13 Digital source records (ie. records that were received or "born" in a digital format) should be captured, managed, used and retained in their original digital format wherever possible. Conversion to another digital format should only be undertaken after consideration of the records management requirements, and any conversion between digital formats that results in a loss of context or degradation of the record (such as converting an email message to a PDF file) is to be avoided. The conversion of digital source records to a paper format (eg. print-outs for inclusion in a paper file) is not permitted, except where such records are required for further business action or for legal purposes.
- 4.14 The conversion of paper source records to digital formats is subject to, and governed by, the [Digitisation and Early Disposal of Paper Source Records](#) procedures below.

### **Corporate information systems**

- 4.15 The University uses and maintains records in a variety of corporate information systems, including business enterprise systems and a dedicated records management system.
- 4.16 Digital records must be captured and managed within an approved corporate information system (refer to [Appendix A](#) for a list of approved corporate information systems).

- 4.17 The development and implementation of corporate information systems and the business processes for those systems, and any subsequent changes to those systems and processes, must include due consideration of the records management requirements. The consideration of such requirements should form a timely and integral part of the development and implementation process.
- 4.18 Updates to software also require consideration of the accessibility of formats into the future, to ensure records remain accessibility throughout their retention period.
- 4.19 The disposal of University records within a corporate information system is subject to the requirements detailed in [Retention and Disposal of University records](#) procedures below.
- 4.20 The migration of University records from one corporate information system to another, and the subsequent decommissioning of any corporate information system, is subject to the requirements of the [Retention and Disposal of University records](#) procedures below.

#### **Use of email**

- 4.21 Email applications are transactional and facilitative in nature. Email applications and email archives are not approved corporate information systems, and are not appropriate systems for the storage and management of University records.
- 4.22 Where an email comprises a University record (ie. provides evidence of the University's business activities and decisions), staff are obliged to capture that email and/or its attachments into the relevant approved corporate information system in a timely fashion.

#### **Use of TRIM**

- 4.23 The University maintains HP TRIM as its dedicated electronic document and records management system (EDRMS).
- 4.24 Only University records are to be registered into TRIM.
- 4.25 Digital source records with a permanent retention period must be stored in TRIM, except where the "record" is comprised of structured data and metadata elements in a business enterprise system (eg. summary student data in the University's student management system).
- 4.26 Digital records with a temporary retention period under an approved Retention and Disposal Schedule must be stored in TRIM if they are not stored in another approved corporate information system.
- 4.27 All business areas, records owners and process owners are responsible for registering into TRIM all relevant University records within their area, where resources permit. The University will provide business areas with sufficient access and training to support the timely and efficient registration of the relevant records into TRIM.
- 4.28 Access to TRIM is subject to initial approval by a staff member's supervisor, and subject to final approval by the Manager, Corporate Governance. Requests for TRIM access must be forwarded to the Records Team by the relevant supervisor.
- 4.29 To ensure the integrity and security of the University's information, access to TRIM will be reviewed in a regular and systematic manner. Individual staff members' access to TRIM may be amended, suspended or terminated as a result of staff movements, or changes to contract dates and other employment conditions.

#### **Use of shared network drives and SharePoint**

- 4.30 Shared network drives and SharePoint should be used primarily as collaborative workspaces, or as temporary repositories for reference material, short-term transitory documents and other "ephemeral" documents.
- 4.31 Shared network drives and SharePoint are not approved corporate information systems, and are not to be used for in-place records management, as they do not possess appropriate recordkeeping functionality.

- 4.32 Where a document or file in a shared drive or SharePoint evolves into (or is likely to evolve into) a University record, that document or file should be captured into an approved corporate information system at the earliest opportunity.

### **Naming of digital records**

- 4.33 The ability to find, access and preserve these records depends largely upon where digital records are saved, how they are named, and the additional metadata attached to them. The University has adopted general naming conventions for its digital records (refer to [Appendix B](#)).
- 4.34 All business areas, records owners and process owners are responsible for developing and documenting specific naming conventions for records within their area of responsibility, in consultation with the Records Team and in accordance with the University's general naming conventions.
- 4.35 All digital records, irrespective of their source and format, are to be assigned a meaningful and consistent title at the time they are captured, consistent with the relevant naming conventions.

### **Additional metadata**

- 4.36 The ability to find, access and preserve records is enhanced by the application of additional metadata. Appropriate metadata elements must be assigned to records at the time they are captured, as befits the nature of those records, and in compliance with the requirements of [Information Standard 34: Metadata \(IS34\)](#) and the [Queensland Recordkeeping Metadata Standard and Guideline](#).
- 4.37 As a minimum, digital records of incoming, outgoing and internal correspondence between parties should include the following metadata elements: author, addressee, and date/time of issue/receipt.
- 4.38 As a minimum, hard copy records of incoming correspondence should be stamped with the date/time of receipt, the receiving officer's location or functional area, and the receiving officer's initials.

### **Access and security of University records**

- 4.39 Staff are to only access those files and records which are necessary for the proper fulfilment of their duties, or that they are lawfully requested to access.
- 4.40 The access, use and disclosure of University information and access to corporate information systems is subject to the requirements of the University's [Information Privacy Policy and Procedure](#), [Code of Conduct](#), [Information Security Management Policy and Procedure \(FMPPM\)](#), and [Acceptable Use of Information and Communications Technology Facilities and Devices Policy and Procedure](#).

## **Retention and disposal of University records**

### **Storage and management of hard copy records**

- 4.41 Active records (ie. records still in frequent use and required for current business) should be stored and managed within the business area that uses and/or relies upon those records. Active records may be sorted and stored in whatever manner best facilitates their use. However, in deciding how active records will be stored, consider the ease with which those records can be prepared for storage once they become inactive
- 4.42 Inactive records (ie. records not subject to frequent use, nor required for current business), should be assessed prior to archiving to determine if the minimum retention periods for those records have been met (refer to [Disposal of University records](#)). Where the minimum retention period has been met, the records may be disposed of as per the [Disposal of University records](#) requirements instead of being archived.
- 4.43 Inactive records that have not met their minimum retention period should be prepared for storage as follows:
- group like records together based on subject, activity and/or process
  - remove all extraneous materials from the records, including rubber bands, paperclips, bulldog clips, nail clips, plastic sleeves, lever arch folders, ring binders and display folders. Staples do not need to be removed

- where batches of records need to be distinguished from one another within an archive box, use string, cardboard folder dividers, manila folders and/or cardboard document wallets only
  - place the records into archive boxes. Only archive boxes approved by the Records Team may be used. Boxes may be ordered through the Records Team at the record owner's cost. Each box is to contain only records with similar retention periods and disposal classes, and must weigh no more than 15kg
  - complete the Archive Box Contents List (available through the Records Team), and contact the Records Team for a box number
  - affix the fully-completed contents list to one end of the box, ensuring that the handles of the box are not covered.
- 4.44 Inactive records with less than 12 months remaining on their retention period should be stored and managed within the record owner's business area. Inactive records with 12 months or more remaining on their retention period should be transferred to the University's archives (see [Transferring physical records to the University's archives](#)).
- 4.45 Inactive records that have been assigned a status of "permanent" or "agency permanent" under an approved Retention and Disposal Schedule must be transferred to the University's archives.

#### **Transferring physical records to the University's archives**

- 4.46 Physical records that are deemed to have continuing value, either permanently or temporarily, should be transferred to a University archive facility subject to the following requirements.
- a) Transferral of records is subject to prior approval by the Records Team; please contact the Records Team before transferring any records.
  - b) Records with less than 12 months remaining on their retention period will not be accepted for transfer, unless exceptional circumstances apply.
  - c) Records that do not comply with the [Storage and management of hard copy records](#) requirements will not be accepted for transfer, except where necessitated by business needs and resourcing requirements.
  - d) Where records transferred to a University archive have been misrepresented, and do not comply with the [Storage and management of hard copy records](#) requirements, the record owner is responsible for making those records compliant.
  - e) Any and all costs associated with the collection and transportation of records to a University archive are the responsibility of the transferor and/or the record owner. There are usually no costs for re-locating records to a University archive on the same campus.

#### **Retrieval of records from the University's archives**

- 4.47 Access to the University's archives is restricted. Unauthorised access to the University's archives, and the unauthorised access, use and/or removal of records therein, is not permitted.
- 4.48 All requests to retrieve records from a University archive are to be forwarded to the Records Team. Upon receipt of a retrieval request, the Records Team will conduct a search for the records, and will arrange appropriate access to the records. There are no costs for retrieving records and arranging access, except where off-site delivery of archive boxes is required.
- 4.49 Access may be provided in the form of (i) original documents, or (ii) electronic copies of documents, as befits the types of records, the nature of the request, and the resources available at the time.
- 4.50 Except where approval has been granted for permanent removal, all records retrieved from a University archive must be returned once they are no longer required. Contact the Records Team to arrange the collection and return of the records.

#### **Disposal of University records**

- 4.51 The retention and disposal of University records is governed by the relevant Retention and Disposal Schedules issued by the Queensland State Archivist. These schedules specify the minimum period that certain classes of records must be retained, and the conditions under which they may be disposed of. Disposal of University records in contravention of these schedules is not permitted, and is a breach of the University's compliance requirements.
- 4.52 The University may elect to retain certain classes of records for longer than the minimum retention period, and any such extensions will be specified in the relevant policies and procedures. Disposal of University records in contravention of these policies and procedures is not permitted.
- 4.53 The disposal of University records, irrespective of their format, source and/or location, is not permitted, except where authorised by the Records Team and subject to the following requirements.
- a) Identify records ready for disposal by grouping like records together based on subject, activity and/or process. Ensure that the records are no longer required for reference purposes and are not subject to any current legal matters.
  - b) Refer to the relevant Retention and Disposal Schedule, or University policy and procedure, to determine if the minimum retention period for the relevant class of records has been met.
  - c) Complete a Request to Dispose Form (available through the Records Team). It is the requester's responsibility to ensure the accuracy and completeness of the Request to Dispose Form, so that the appropriate level of metadata is captured in relation to the disposal of University records.
  - d) Email the completed form to the Records Team via [records@cqu.edu.au](mailto:records@cqu.edu.au). The Records Team will evaluate the request against the relevant schedules, legislation and University requirements. The records must not be disposed of until a determination is made and approval is provided to the requester.
  - e) Following approval, disposal of the relevant records should be completed as soon as possible. The disposal of physical records must be effected by secure cross-cut shredding, or the use of secure confidential bins from a registered provider, or by another secure means as befits the type of record. Digital records should be deleted in such a manner that the contents of those records cannot be recovered and/or reconstructed. The Records Team can advise on appropriate disposal methods.
  - f) Once disposal of the records has been completed, confirmation of disposal must be forwarded to the Records Team via [records@cqu.edu.au](mailto:records@cqu.edu.au).
  - g) If the request to dispose is denied, the records must not be disposed of. Appropriate storage of the records will need to be arranged, in consultation with the Records Team, until such time as the issue is resolved.
- 4.54 Staff are accountable for their records disposal activities, and for the disposal of University records within their area of responsibility.

#### **Disposal of ephemeral documents**

- 4.55 Ephemeral documents (and other non-records) may be disposed of without requiring authorisation from the Records Team. However, if there is any uncertainty as to whether particular documents or information constitute University records, staff should contact the Records Team for advice prior to disposal.
- 4.56 Ephemeral documents in the public domain (eg. promotional material, third-party publications etc) do not require secure disposal, and should be disposed of into a standard waste or recycling bin.
- 4.57 Ephemeral documents containing personal and/or confidential information must be disposed of securely, as per 4.53 above.

#### **Digitisation and early disposal of paper source records**

- 4.58 Staff must not engage in the digitisation and early disposal of paper source records, except where such activities comply with Queensland State Archives' [Digitisation Disposal Policy](#) and this Policy and Procedure.
- 4.59 The following paper source records are not eligible for digitisation and early disposal:
- records that have been assigned a permanent retention period under an approved Retention and Disposal Schedule, or

- records that are subject to a current disposal freeze.
- 4.60 Digital copies of permanent records may be made for reference use only, provided that the paper source records are stored and managed appropriately in their original form (refer to [Storage and management of hard copy records](#)). In all such cases, the paper source record remains the official record of the University.
- 4.61 Paper source records other than those excluded under 4.59 are eligible for digitisation and early disposal, subject to approval by the University's Records Team and the following requirements:
- a) the records are listed as temporary in a current approved Retention and Disposal Schedule
  - b) the records have been subjected to a risk assessment, have been determined to be suitable for digitisation and early disposal (ie. assessed as "low risk"), and the risk assessment has been granted final approval by the Manager, Corporate Governance (contact the Records Team for the risk assessment template)
  - c) where the records were created before 1950, Queensland State Archives has been consulted for advice prior to the digitisation and early disposal of any such records, and due regard has been given to any such advice
  - d) work instructions have been documented and implemented by the relevant process owners and/or business areas regarding:
    - the types of records to be digitised
    - the capture and management of digitised images and metadata, and
    - quality assurance of digital output (including the proportion of digitised images subject to inspection, the retention period for paper source records after digitisation, the re-imaging of poor-quality images, and the roles and responsibilities for checking digital output and approving the disposal of paper source records)
  - e) the system intended for the storage and management of the digitised images has been assessed as being well-managed and having appropriate recordkeeping functionality, to ensure that the digitised images will be managed as records for as long as they are required to be retained in accordance with an approved Retention and Disposal Schedule, and
  - f) the system intended for the storage and management of the digitised images is covered by internally-approved business continuity and disaster recovery plans, and a migration strategy is in place to ensure that the digitised records are not placed at risk of loss through technological obsolescence.
- 4.62 While in certain circumstances the digitisation and early disposal of paper source records may be considered necessary or desirable, due consideration should first be given to:
- a) the true costs associated with the digitisation of the records
  - b) improving business processes in order to maximise efficiency and reduce the resources expended on digitisation of the records, and
  - c) the benefits derived from digitising collections of existing paper source records (ie. back-capture projects).
- 4.63 Where the records to be digitised are inactive or infrequently-used, and depending on the quantity of records to be digitised, storage of the paper source records in a University archive may be more appropriate than digitisation.
- 4.64 The University has adopted technical standards for the digitisation of paper source records. Deviation from these standards is not permitted, except where alternative standards have been authorised by the Manager, Corporate Governance via an approved risk assessment (refer to 4.61(b) above).
- 4.65 Paper source records that have been digitised must be stored and managed appropriately in their original form, and may not be destroyed or disposed of until:
- a) the quality of the digitised images has been verified under an approved quality assurance process developed as per 4.61(d) above, and any quality issues have been resolved, or
  - b) the minimum retention period of the paper source records, as specified by the relevant Retention and Disposal Schedule, has been met.



- 4.66 Disposal of paper source records that have been digitised in accordance with this procedure does not require the approval of the Records Team via a Request to Dispose Form, but may require the completion of quality assurance documentation specified under an approved quality assurance process developed as per 4.61(d) above. All other requirements of the University's Retention and Disposal Procedure must be adhered to when disposing of paper source records that have been digitised.
- 4.67 The University's Digitisation Disposal Compliance Declaration, which provides evidence of the University's compliance with Queensland State Archives' [Digitisation Disposal Policy](#) and enables the digitisation of the paper source records specified in 4.61, is to be reviewed whenever:
- a) a disposal freeze is issued which relates to any of the University's records
  - b) a new version of a Retention and Disposal Schedule is issued which relates to any of the University's records
  - c) a change is made to the status or disposal action of an existing disposal class identified in the Compliance Declaration and/or associated policies or procedures
  - d) a new disposal class and/or Retention and Disposal Schedule is created which relates to any of the University's records.
- 4.68 Approval for the digitisation and early disposal of paper source records may be rescinded or temporarily suspended, either in part or in whole, when:
- a) the University's Digitisation Disposal Compliance Declaration has been amended as a result of the triggers listed in 4.67
  - b) the circumstances informing an approved risk assessment of the digitisation of records have changed (eg. pending legal proceedings, pending Right to Information applications, changes to legislative requirements).

## 5 RESPONSIBILITIES

### Compliance, monitoring and review

- 5.1 All staff are responsible for creating, capturing, using, retaining and disposing of University information in accordance with this policy and procedure, and are required to familiarise themselves with their records management obligations and responsibilities. Staff are personally accountable for the correct management and use of University records and information in the course of performing their assigned roles and responsibilities. The University will ensure that training and resources are made available to staff, commensurate with their roles and responsibilities.
- 5.2 All business areas, records owners and process owners are responsible for documenting and implementing processes that ensure the correct management of University records within their area.
- 5.3 All line managers are responsible for the implementation of, and adherence to, this policy within their area of responsibility.
- 5.4 The University's Records Team, under the direction of the Director, Governance, informs the development and implementation of records management policies and procedures to ensure compliance with legislative and regulatory requirements. The Records Team is responsible for authorising the disposal of any and all University records. The Records Team is also responsible for administration of user accounts and the Business Classification Scheme in TRIM; education and training of staff in records management practices and the use of TRIM; management of the University's archives; and providing advice and assistance in relation to records management enquiries.
- 5.5 The Director, Governance has overall responsibility for the implementation of, and adherence to, this policy and procedure.
- 5.6 The Vice-Chancellor and President, as Chief Executive Officer, is responsible for ensuring that the management of the University's records and information complies with legislative and regulatory requirements.

### Reporting

- 5.7 The University must include details of its compliance with the [Public Records Act 2002](#) in its Annual Report each year.

## Records management

- 5.8 Staff must maintain all records relevant to administering this policy and procedure in a recognised University recordkeeping system.

## 6 DEFINITIONS

- 6.1 Terms not defined in this document may be in the University [glossary](#).

### Terms and definitions

**Active records:** records that are still in frequent use, regardless of their date of creation, and required for current University business.

**Business Classification Scheme (BCS):** a conceptual model of business activities, which identifies business functions and their associated activities and transactions.

**Customer:** an individual or organisation who transacts business with CQUniversity (including current, past and potential students, members of the public, external organisations and agencies, and “internal customers” dealing with other business units of the University).

**Digital first (or digital by default):** using digital channels as the primary or preferred means of communication, customer interaction and service delivery.

**Digital continuity:** the maintenance of digital information in such a way that the information is preserved, and will continue to be accessible, for as long as required despite changes in digital technology.

**Digitisation:** the practice of creating digital images from paper documents and other physical media by such means as scanning or digital photography.

**Disposal class:** a grouping of records that perform or record similar transactions, therefore having the same retention period and disposal action, and identified by a unique reference number in the relevant Retention and Disposal Schedule.

**Disposal freeze:** the temporary cessation of the destruction of public records in relation to a specific topic or event, as issued by the State Archivist.

**Early disposal (or early destruction):** the practice of destroying original paper records after digitisation and before the authorised retention period for that class of record has expired.

**Ephemeral document (or ephemeral information):** information of short-term temporary value, and which is not required to be registered into a public authority’s recordkeeping system; these are essentially non-records.

**Inactive records:** records that are no longer required to be readily available for the University’s current business.

**Metadata:** data that provides context or additional information about a record.

**Paper source record:** a record originally received or created by the University in a physical hard copy paper format.

**Personal information:** information or an opinion, including information or an opinion forming part of a database, whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion ([Information Privacy Act 2009](#), s.12).

**Process owner:** a staff member or business unit who has the ultimate responsibility for the performance of a process; a process owner is the party responsible for ensuring that a process realises any and all of its objectives, and has the authority to make any changes necessary to in order to enhance and improve the process.

**Record (or business record, public record, University record):** any form of recorded information, received or created, that is of historical significance to the University, or which provides evidence of the decisions and actions of the University while undertaking its business activities. University records may be in any form including, paper, electronic, audio, video, data within business systems, photographs, etc.

**Records owner:** a staff member or business unit who has overall responsibility for a particular record.

**Retention and Disposal Schedule:** a document issued by the State Archivist which (a) defines the status, retention period, disposal triggers and disposal actions of public records, and (b) authorises the disposal of public records.

**Transitory document (or transitory information):** refer to “Ephemeral document”.

**TRIM:** the University’s dedicated electronic document and records management system.

## 7 RELATED LEGISLATION AND DOCUMENTS

[Acceptable Use of Information and Communications Technology Facilities and Devices Policy and Procedure](#)

[AS ISO 15489 Australian Standard on Records Management](#)

[CQUniversity website privacy statement](#)

[Digitisation Disposal Policy](#) and toolkit (Queensland State Archives)

[Education Services for Overseas Students Act 2000](#)

[Electronic Transactions \(Queensland\) Act 2001](#)

[Evidence Act 1977](#)

[Financial and Performance Management Standard 2009](#)

[General Retention and Disposal Schedule for Administrative Records](#) (Queensland State Archives)

[General Retention and Disposal Schedule for Original Paper Records that have been Digitised](#) QDAN 656 (Queensland State Archives)

[Higher Education Standards \(Threshold Standards\) Framework 2015](#)

[Information Privacy Act 2009](#)

[Information Security Management Policy and Procedure \(FMPPM\)](#)

[Information Standard 18: Information Security](#)

[Information Standard 31: Retention and Disposal of Public Records](#)

[Information Standard 34: Metadata](#)

[Information Standard 40: Recordkeeping](#)

[Judicial Review Act 1991](#)

[Public Records Act 2002](#)

[Public Sector Ethics Act 1994](#)

[Responding to Police Presence and Police Enquiries Procedure](#)

[Right to Information Act 2009](#)

[Standards for Registered Training Organisations \(RTOs\) 2015](#)

[Technical and Further Education Institutes Disposal Authority](#) QDAN 588 (Queensland State Archives)

[University Sector Retention and Disposal Schedule](#) QDAN 601 (Queensland State Archives)

## 8 FEEDBACK

8.1 University staff and students may provide feedback about this document by emailing [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 9 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Vice-Chancellor and President
Advisory Committee to Approval Authority	Vice-Chancellor's Advisory Committee
Administrator	Director, Governance
Next Review Date	16/08/2020

Approval and Amendment History	Details
Original Approval Authority and Date	Vice-Chancellor and President 10/03/2005
Amendment Authority and Date	Executive Director (Corporate Services) 26/09/2007; Vice-Chancellor and President 12/12/2011; Related documents updated 13/03/2012; Vice-Chancellor and President 26/06/2014; Vice-Chancellor and President 16/08/2017.
Notes	

## 10 APPENDICES

### Appendix A: Approved corporate information systems:

System	Record types
ACQUIRE	Research publications
AIMS	Curriculum management records
Alesco	Personnel records
Archibus	Property/facilities management and maintenance records
EDNA	Engagement activities
FinanceOne	Financial records
HP TRIM	Student records, personnel records, agreements and contractual records, administrative records, corporate records
Moodle	Learning and teaching records
Moodle (VET)	Learning and teaching records
Research Master	RHD student records
Sonia	Work integrated learning records
StudentOne	Student records
SugarCRM	Customer relationship records
TaSAC	Information technology management and maintenance records

#### Notes:

- The suitability of any corporate information system (including the above systems) for the in-place management of any particular type of University record must be given due consideration before adopting that system for such purposes.
- Email applications, email archives, shared network drives and SharePoint are not approved corporate information systems, and are not approved for the in-place management of University records. Emails and other documents that constitute University records should be captured into an approved corporate information system at the earliest opportunity.

# Appendix B: General Naming Conventions and Data Entry Standards for Digital Records

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## 1 Purpose

The volume of digital records captured and managed by the University is increasing as more of its business is conducted electronically. The ability to find, access and preserve these records depends largely upon where they are saved and how they are named.

These conventions seek to ensure consistency in the naming of the University's electronic records, to facilitate the access, use and preservation of those records throughout the entire information lifecycle.

## 2 Scope

These conventions relate primarily to electronic records registered in TRIM, however they may also be useful when saving unstructured data (ie. documents and images) in other corporate information systems.

These conventions are broad and general in nature. Business areas, records owners and process owners are responsible for developing and documenting specific naming conventions for records within their area of responsibility, in consultation with the Records Team and in accordance with this document.

All staff are expected to adhere to these conventions when registering records into TRIM. Deviation from these conventions is not permitted, except where alternative naming conventions have been approved by the Records Team for use with particular record types and/or classes.

## 3 General rules

Record titles should be concise but meaningful. Excessively wordy titles should be avoided, but sufficient information should be supplied to enable other users to gain an appreciation of what the record is about.

Record titles should not include:

- Dates, the names of the author and/or recipient, format, file type/extension, etc (refer to *Dates* and *Names and Titles* for exceptions)
- "Noise" or "filler" words that don't contribute to the meaning, such as: "a", "the", "dated", "about", "re", "regarding", "to", "from" etc
- Overly broad words such as "miscellaneous" or "various"
- Email subject line elements such as "RE:" or "FWD:"

Incorrect Examples	Correct Examples
Letter from Office of Economic & Statistical Research to VC dated 5 August 2004 re survey to collect information on the volume and location of paper-based archival public records	Public Records Storage Survey 2004 (everything else goes into metadata fields)
RE: TRIM: FW: TRIM: RE: NZIC Agreement	Agreement – New Zealand International Campus – Teleconference arrangements

Record titles should be checked for correct spelling. Australian spelling should be used (as per the University's Writing Style Guidelines), except in proper nouns (eg. names of organisations, publications, etc).

Incorrect Examples	Correct Examples
Enrolment - Correspondance - Incoming	Enrolment - Correspondence - Incoming
Organization Extract 7-9-15	ASIC Organisation Extract - Redback Civil (Aust) Pty Ltd - ACN 166669085

The consistency and predictability of record titles aids in the location and retrieval of records, record titles should be consistent and predictable. As a rule, the individual elements in a record's title should move across the spectrum from **general** to **specific**, as follows:

GENERAL		⇒	⇒	⇒	SPECIFIC	
Status	Broad Category		Specific Matter		Individual Element	
DRAFT	Agreement					
APPROVED	RTI Application		Review of Water Usage Patterns		Charges Estimate Notice	
FINAL	Recruitment		VRN 30934 Senior Research Officer		Verbal Reference Report	
SIGNED	Declaration of Interest		University Council		Sally Citizen	

These elements may be separated by a hyphen (" - ") for clarity and ease of viewing, particularly in longer titles.

#### 4 Acronyms and abbreviations

Avoid using abbreviations and acronyms wherever possible. Abbreviations may not be used consistently by, or have the same meaning for, all users. Acronyms may change over the course of an organisation's history, may have more than one meaning, or may relate to more than one entity.

Do not abbreviate words (such as "Dept" for "Department", "Jan" for "January", "mtg" for "meeting", "conf" for "conference", etc), except where approved in these naming conventions.

Do not use acronyms, except in conjunction with the full name (eg. "Academic Board (AB)").

Where an acronym is used, do not separate the letters with full stops (eg. C.S.I.R.O.).

Incorrect Examples	Correct Examples
Minutes – Team mtg – 1 Jan 2017	Minutes – Team Meeting – 1 January 2017
AB – Minutes – 26 July 2017	Academic Board (AB) – Minutes – 26 July 2017
Asbestos Register – C.S.I.R.O. Supply Fan 6 - 3 November 2011	Asbestos Register - CSIRO Supply Fan 6 - 3 November 2011

## 5 Case (capitalisation)

For consistency and ease of viewing, titles should be formatted in “sentence case” (ie. normal prose format).

Only capitalise the first word, proper nouns and acronyms.

Do not use all upper-case or lower-case for title entries.

Do not use “title case” (ie. capitalise the first letter of every word) for title entries.

Incorrect Examples	Correct Examples
RTI APPLICATION – SALLY CITIZEN – DECISION LETTER	RTI application – Sally Citizen – decision letter
2016-2017 RTI And IP Annual Report – Request For Data	2016-2017 RTI and IP annual report – request for data

## 6 Dates

Dates should only be included in the title where they are related directly to the meaning and/or purpose of the record (eg. records pertaining to a particular committee meeting scheduled for a particular date).

The receipt and/or issue date of correspondence should **not** be included in the title, but should be captured in another metadata field instead.

Dates should be written in full (eg. 26 July 2017), and ordinal numbers (eg. 1st, 2nd, etc) should not be used.

Incorrect Examples	Correct Examples
Academic Board – Minutes – 26/07/17	Academic Board – Minutes – 26 July 2017
Academic Board – Agenda – 2017-07-26	Academic Board – Agenda – 26 July 2017
Minutes – Team Meeting – 26 <sup>th</sup> Oct 2017	Minutes – Team Meeting – 26 October 2017

## 7 Years

Years should only be included in the title where they are related directly to the meaning and/or purpose of the record (eg. records pertaining to an annual report for a particular year).

Years should be written in full (eg. 2017).

Year ranges (eg. financial years) should be separated by a hyphen (eg. 2016-2017).

Incorrect Examples	Correct Examples
Queensland State Archives – email management survey '04	Queensland State Archives – email management survey 2004
16/17 RTI and IP annual report	2016-2017 RTI and IP annual report

## 8 Numbers

Numbers should be written as digits (ie. 1, 2, 3 and so on), except where a number forms part of a proper noun (eg. “Seven Mile Beach” or “Henry VIII”) or when writing ordinal numbers (eg. “first warning”).

Ordinal numbers should be followed by the digit in brackets (eg. “first (1) warning”).

Roman numerals should be followed by the digit in brackets (eg. “Star Wars IV (4): A New Hope”).

Version numbers should be preceded by a “v” (eg. “v1.0”).



Incorrect Examples	Correct Examples
Records Management Policy 1	Records Management Policy v1.0
Misconduct – Sally Citizen – 1st Warning	Misconduct – Sally Citizen – first (1) warning

## 9 Names and titles

Names, titles and position titles should only be included in the record title where they are related directly to the meaning and/or purpose of the record (eg. records pertaining to a particular student or staff member, records pertaining to a Information Privacy application for a particular individual, etc).

The names, titles and position titles of authors and/or addressees should not be included in the record title (except where they also meet the requirement above), but should be captured in other metadata fields instead.

Where the name of an external entity is to be included in the title, the name of the organisation (where applicable) should be included, rather than the name and/or title of an individual officer within that organisation (eg. “Office of the Information Commissioner” rather than “Information Commissioner Rachael Rangihaeata”), as officers and titles may change over time.

First names and surnames, where required in the title, should be in title case and spelled in full (eg. “Jonathon Smith” not “Johnny SMITH”).

Where a preferred or anglicised name is used in place of an individual’s full name, the full name should be followed by the preferred name in brackets (eg. “Indiana (Indy) Jones”).

Initials in company names should be separated by a space (eg. J F K Smith Pty Ltd).

Incorrect Examples	Correct Examples
Letter to Professor Scott Bowman fom Janet Prowse Executive Director and State Archivist Queensland State Archives regarding General Retention and Disposal Schedule for Administrative Records	General Retention and Disposal Schedule for Administrative Records – pending release March 2014 <i>(everything else goes into metadata fields)</i>
Privacy complaint – Ms. S CITIZEN – collection of personal information	Privacy complaint – Sally Citizen – collection of personal information
Invoice – J.J. Richards & Sons Pty Ltd	Invoice – J J Richards & Sons Pty Ltd

## 10 Spaces, punctuation and non-alphanumeric characters:

Titles words should be separated by spaces (as in normal prose) to facilitate accurate searching; title words should not be separated by underscores.

Do not use any of the following non-alphanumeric characters in record titles:

! @ # % ^ \* + = [ ] { } / \ < > | : ; ‘ “ ? ` ~ , \_

Hyphens (“ - “) may be used to separate title elements, particularly in longer titles, for clarity and ease of viewing.

Incorrect Examples	Correct Examples
RiskManagementAuditReport2013	Risk Management Audit Report 2013
2014_Honorary_Awards_Register	2014 Honorary Awards Register
RTI application Sally Citizen internal referral	RTI application – Sally Citizen – internal referral

## 11 Addresses

Addresses should only be included in the record title where they are related directly to the meaning and/or purpose of the record (eg. records pertaining to a particular site or location).

The addresses of authors and/or addressees should not be included in the record title (except where they also meet the requirement above), but may be captured in other metadata fields where required.

For University sites and locations, it may be sufficient to use the building number and/or campus rather than the actual address (eg. "Building 2 Rockhampton North campus" rather than "Building 2 Bruce Highway North Rockhampton").

Addresses, where required in the title, should include the unit and/or street number, street name and suburb; addresses should be entered in title case and spelled in full (eg. "10 William Street Perth").

<b>Incorrect Examples</b>	<b>Correct Examples</b>
Equity Study Supplement enquiry from Sally Citizen 1 Smith Street Smithville	Equity Study Supplement – enquiry <i>(everything else goes into metadata fields)</i>
Contract of Sale – Kent Street SYDNEY NSW 2000	Contract of Sale – 400 Kent Street Sydney
Asbestos Register	Asbestos Register – Gladstone City campus