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1. Introduction

This guide is designed to provide practical guidelines for effective management of records and information at the University. The guide outlines:

- What is a record,
- Benefits of good records management,
- Records and Information Management Policy,
- Recordkeeping responsibilities,
- Recordkeeping guidance and advice,
- University of Newcastle Official Recordkeeping System (TRIM9 / Content Manager),
- Legislation relating to records and information management, and
- Disposal of records.

2. What is a Record?

The State Records Act 1998 defines a record as:

"Record" means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means.

Records:

- provide evidence of business activities of an individual staff member, School, College, Division or Unit, or of the University as a whole,
- record decisions, decision-making processes, advice and/or direction; support the corporate memory of an individual area, a College or Division, and/or the University as a whole.

University records are one of its major assets that have value beyond the local or immediate. They represent the tangible product of the work of staff. To recreate them in the event of a total loss would cost millions of dollars. The loss of the University's records, or even a part of them, could destroy the evidence of students' achievements, staff entitlements and jeopardise the University's rights and interests. Therefore, it is vital that records are managed appropriately from creation to disposal.

Record Checklist

If you are not sure whether something is a record, ask yourself the following questions.

If you answer 'yes' to ANY of these questions, then the information is a record:

Does this provide significant evidence of a business activity?
Is this something I have used to make a decision?
Is this information or communications that relates to approval or authorisation of actions?
Is this communication that contains advice or provides guidance / direction to staff, students, contractors, community etc.?
Is this something that commits the organisation to an agreement or business deal?
Is this something that is likely to be reviewed or audited?
Could I or others need to refer to this in the future? (Either for reference, re-use, or evidential purposes) E.g. if you left your job tomorrow, could your successor need this information?

Note: When using the above questions to determine if something is a record, they don't just apply to formal correspondence. These questions apply to all University business / transactions / activities you conduct by any means, including but not limited to:

- Meetings in Teams and notes you create as a result of a Zoom meeting,
- Important decisions, approvals and instructions provided in email, Teams chat channels, Zoom, SMS, phone calls or face-to-face discussions,
- Business conducted and information stored within business systems,
- Social media posts created or received in the course of carrying out a University function or activity.

Essentially, records are information created and received by an organisation in pursuance of legal obligations or in the transaction of business.

University Records are any records and information in any format that is created, received or maintained by the University, that document research, deliberation, advice and actions undertaken in the course of carrying out a University function or activity.

Keeping and maintaining this information as evidence enables you to explain or justify what you have done, show the extent of your responsibility for decisions taken, and show the order of events and your role in them.

3. Why is Good Recordkeeping Important?

The creation of detailed and accurate records and the exercise of good recordkeeping practices are important elements of good governance. They help promote consistency of practice, retention of organisational memory and institutional accountability. They also help institutions to maintain descriptions of their processes, decisions, activities, and responses to critical incidents, providing a level of transparency and evidence of practices that can be relied on in the future.

The speed of communication and the volume of electronic documents created by information technologies make it imperative that proper procedures are in place to capture, preserve and make available those records of corporate value. The nature of electronic documents is such that they must be captured into a system at the point of creation if they are to be of any value to the University as evidence of its functions and activities.

Good Recordkeeping:

- Contributes to the smooth operation of the University by making information readily available when it is needed for decision-making and operational activities,
- Provides precedent and background information and analytical material for staff or colleagues working on similar projects,
- Creates a complete record of actions that will remain with the University for future use and may later be transferred to the University Archives as a historical record,
- Ensures accountability,
- Ensures integrity of information,
- Ensures that records are available to all authorised personnel, and
- Protects records from inappropriate and unauthorised access.

4. Failure to Create Records

Without records the quality of the University's decision making could be impaired. It can also impact on the University's ability to sufficiently protect its rights and those of its students and staff, and of organisations and people affected by its actions and decisions.

Failure to create and maintain proper records is therefore a risk management concern and a University governance issue, which can lead to increased exposure of the University to liability and penalties. Furthermore, an inability to provide records that substantiate the University's activities may be seen as a major failure in organisational accountability.

The University is required to meet stringent governance standards expected by the Auditor General and Parliament and be able to respond effectively to requests under the Government Information (Public Access) Act 2009 (which has replaced the Freedom of Information Act), and any internal or external investigative inquiry such as by the Ombudsman or ICAC. A failure to create records is a breach of the State Records Act 1998 and a formal investigation by NSW State Records can attract unwanted adverse publicity to the University.

Poor recordkeeping practices contribute to inefficiencies and poor or ill-informed decision-making. It may also result in crucial evidence being destroyed, or the records being inadequate to meet accountability requirements.

5. Recordkeeping Responsibilities

The University operates in an environment which demands high levels of accountability and records provide a basis for this accountability.

The NSW State Records Act 1998 requires public offices, which includes Universities, to *'make and keep full and accurate records'* of their activities and to *'establish and maintain a records management program'* in conformity with standards and codes of best practice.

i. **All Staff:** All staff are responsible for the management of University Records in University Approved Information Systems in accordance with the Records and Information Management policy. Additional responsibilities for certain staff are listed below.

ii. **Vice Chancellor:** The Vice Chancellor is ultimately responsible for the management of information and records within the University.

iii. **Senior Management** are responsible for the visible support of, and adherence to, a culture of compliant records and information management within the University.

iv. **Records Governance Services** is responsible for overseeing the management of records and information at the University consistent with the requirements described in the Records and Information Management policy.

v. **Chief Information Officer:** the CIO is responsible for maintaining the technology for the University's business records and information systems in accordance with State Records legislation and the Records and Information Management policy.

vi. **Managers and Supervisors:** Managers and supervisors are responsible for ensuring staff including contract staff, are aware of, and are supported to follow the records and information management practices defined in State Records legislation and the Records and Information Management policy.

vii. **Business/System Owners:** As part of the development and implementation of new systems; business/system owners must ensure that records and information management requirements are identified and managed (prior to any preservation/implementation) in accordance with State Records legislation and the Records and Information Management policy.

viii. **Contract Staff:** Contract staff should create and manage records and information in accordance with the Records and Information Management policy to the extent specified in the contract.

Members of the public, staff and students have rights of access to University records. Access to personal information may be sought under the Government Information (Public Access) Act 2009, Privacy and Information Protection Act 1998 and the Health Records and Information Privacy Act 2002. University records may also be accessed by external agencies, and so should reflect the highest standards of professional behaviour by all staff.

Hint: Determine who is responsible for keeping the official record. Many areas may hold copies of this information, but is your area responsible for keeping the official record? Are you responsible, or is your supervisor responsible?

Generally, if you are the originator of the records or your area is responsible for the functions the records support, create an official file and store these records in TRIM9. If the records pertain to two or more areas, it is often helpful for those areas to communicate so that responsibilities and business process pertaining to recordkeeping can be ascertained.

6. Records and Information Management Policy

This [policy](#) seeks to ensure compliance with standards for recordkeeping and records management set down in State legislation and Australian Standards. Relevant New South Wales legislation includes, but is not limited to:

- State Records Act 1998,
- Privacy and Personal Information Protection Act 1998,
- Health Records and Information Privacy Act 2002,
- Government Information (Public Access) Act 2009,
- Electronic Transactions Act 2000,
- Evidence Act 1995,
- Limitations Act 1969,
- Government Sector Audit Act 1983,
- The relevant Australian Standard is: AS ISO15489.

The Records and Information Management Policy identifies the principles which will govern the University's management of records and information. Those principles will ensure that records are created, protected and disposed of appropriately.

The policy applies to any record in any format, created, received or maintained by University staff or anyone performing work on behalf of the University (including contractors and consultants), in the course of carrying out a University function or activity.

7. University of Newcastle Official Recordkeeping System

The University of Newcastle utilises an Electronic Document and Records Management System (EDRMS) called TRIM9 (Content Manager) as its official recordkeeping system, to support both its corporate recordkeeping obligations and protect UON intellectual property.

The key objectives of TRIM9 are to:

- Ensure records that are full and accurate are authentic, reliable, accessible, useable and are secure against unauthorised alteration and destruction,
- Provide access to the "un-structured" (email, documents) data required to enable evidence based decisions,
- Support workflow systems that provide robust back-end records management functionality to support University business,
- Provide a central repository for documents that need to be displayed on the University website,
- Meet statutory and reporting obligations,

- Capture, manage, and secure all University business records; electronic and physical, in a consistent structure that best meets the needs of the institute and State Records Act,
- Manage evidence of University activities and decisions in context with the business,
- Enable the authenticity, reliability, integrity, and usability of University records and information,
- Deliver compliance with policy and State regulations,
- Improve productivity by simplifying information discovery, enabling secure remote and mobile access,
- Reduce the cost of legal discovery, investigation and audit,
- Reduce storage and operational cost through retention and disposal policies,
- Provide document management, collaboration, revision and version control.

Other Business / Information Systems

There is a process for other business / information systems to become a University Approved Information System. This requires the system to be assessed by Records Governance Services for suitable recordkeeping functionality, and Digital Technology Solutions for acceptable security functionality.

Records Governance Services uses a tool developed by NSW State Records to assess a system's recordkeeping functionality. This tool is the ['Business Systems Recordkeeping Assessment'](#). It provides a checklist against which an existing or new business system may be assessed to determine:

- Whether the business the system supports is subject to any recordkeeping requirements,
- How well the system is currently functioning as a recordkeeping system,
- What action (system re-design, integration with TRIM9 (Content Manager), manual export of records into TRIM9 (Content Manager) or development/amendment of associated policy or business rules) may be required to enable the system to meet recordkeeping requirements.

If a system hasn't been assessed by Records Governance Services for suitable recordkeeping functionality, and Digital Technology Solutions for acceptable security functionality, then it isn't deemed to be a University Approved Information System, and therefore shouldn't be used to store University records.

8. Examples of University Records

The University has a wide and diverse range of functions. Below is a list of some examples of University records that are an asset and as such must be managed appropriately:

Please note that this not an exhaustive list

- Strategic management records,
- Contracts and contract variations,
- Finance records,
- Establishment records,
- Policies and procedures,
- Exams, course and course outlines,
- Student records and student administration records,
- Personnel records and personnel administration records,
- Research and research administration records,
- Legal matters,
- Community relations records,
- Committee records,
- Intellectual property,
- Titles, deeds, shares and lease agreements,
- Building plans, maintenance and conservation records,
- Awards, prizes and scholarships records,
- Asset register,
- Software licenses,
- IT system implementations,
- Application / system development and management.

9. How to Determine if you have Records that need to be Maintained in TRIM9

Consider the following criteria in conjunction with the Record Checklist table on page 2 when determining whether a record needs to be managed in the recordkeeping system TRIM9:

- **Originality of the records** – Determine whether or not the records are elsewhere. If it is already captured as an official record, then your copy is not required.
- **Responsibility** – Determine who is responsible for keeping the official record. Are you responsible, or is your supervisor responsible? If you are responsible then you should manage the records in the recordkeeping system.
- **Evidence** – Determine whether the records are evidence of transactions that the University, your area or you could be accountable for. If so, they must be managed in the recordkeeping system.

Records that do not need to be maintained in TRIM9 include:

- **Duplicates** – Records already held elsewhere in the recordkeeping system or records that do not have any role in providing an explanation of functions or activities carried out by you or by the University.
- **Working files** – Background notes and reference materials used to prepare other documents.
- **Facilitative** – Records of little value and of a routine instructional nature. The exception to this is if they are required as evidence to support information in the official document.
- **General reference material** – The exception may be if a decision was made in relation to the document, and reproduction of the document would be difficult in the future.
- **Personal emails** – Not related to your work.
- **Draft documents** – Except where they are a legal or policy document and evidence is required to show how decisions were made.

Note: Some of the above-mentioned records may not need to be maintained in TRIM9, however it is important to note:

- if using TRIM9 as a working environment, draft documents can be captured automatically, and
- reference material and facilitative information may not need to be maintained in TRIM9, however it can be, providing that the appropriate retention schedule is applied. Records Governance Services can assist with this; and have processes in place to automate this where possible.

10. Legal Disposal of Records

The University of Newcastle is subject to the NSW State Records Act 1998. The records created by all areas must be managed as State Records in accordance with the Act irrespective of format (including digital records).

Under section 21(1) of the Act it is an offence to destroy, damage or transfer ownership of State records without authority.

University records and information should not be destroyed without the authorisation of the University Secretary as per the delegation schedule. University Records are any records and information in any format that is created, received or maintained by the University, that document research, deliberation, advice and actions undertaken in the course of carrying out a University function or activity.

Records and information must be assessed prior to being destroyed to determine their value to the University, the State of NSW, local and regional collections maintained in the University Archives and Cultural Collections.

State Records NSW has authorised several Disposal Authorities specifying how long certain records should be kept (retention periods) and whether upon expiry of the retention periods the records may be destroyed or are to become State Archives.

Section 21(2) of the Act established a number of mechanisms for the lawful destruction of State Records. The two most relevant to the University are:

(a) the disposal of records in accordance with documents known as Disposal Authorities. These are issued by State Records with the approval of the State Records Authority Board; and

(b) the destruction of records in accordance with what the Act terms Normal Administrative Practice (NAP).

10.1 General Disposal Authorities

The disposal of records is regulated through the General Disposal Authorities (GDA's) issued by State Records. There are a number of GDA's covering broad functional areas of administration relevant to the University, and one specific GDA for higher and further education records. The relevant GDA's current at the time of writing are:

- GA47 – Education: Higher & Further Education and Research Records
- GA28 – Administrative Records
- GDA17 – Health Services, Public: Patient/Client Records
- GA45 – Original or Source Records that have been Copied
- GA48 – Source Records that have been Migrated

The GDA's identify disposal actions related to the different functions, activities and types of records associated with each function. In this context, disposal does not equate with destruction. Disposal actions range from permanent retention as an archive, to stipulating a minimum period of retention prior to destruction.

10.2 Normal Administrative Practice (NAP)

It is possible to destroy records if it is in accordance with Normal Administrative Practice in the University. This does not mean that almost anything can be destroyed and then claimed to be normal administrative practice. State Records sets out some stringent guidelines as to what is and is not acceptable as NAP. In addition, State Records has the power to declare particular conduct or procedures to be unacceptable.

The legal destruction of records under NAP does not include actions which are corrupt, fraudulent, or for the purpose of concealing evidence of wrongdoing or for any other improper purpose. In general, the basis for destruction of records under NAP is that they have no ongoing value to the University, that they do not provide evidence of actions or decisions that must be retained, and/or that the content of the record is recorded or retained elsewhere in the recordkeeping systems.

Under the Regulation, 'NAP' records are defined below:

(a) **Ephemeral records** means records of little value that only need to be kept for a limited or short period of time. Ephemeral records have no continuing value to the organisation and, generally, are only needed for a few hours or a few days.

(b) **Facilitative records** means records of little value and of a routine instructional nature that are used to further some activity. Most facilitative records have no continuing value to the organisation and, generally, are only needed for a few hours or a few days.

10.3 Destruction Process

In order to seek clearance to destroy records (this includes records contained in information systems) a Record Destruction Authorisation Form must be completed and forwarded to Records Governance Services. The Destroying Records and Information page of the Records Governance Services website contains the below additional information and resources:

- Further information about the records destruction process,
- a link to the State Records NSW Disposal Authorities key to the University.

You can identify the minimum legal retention requirement of your records by using the Disposal Authorities listed on this Destroying Records and Information page. In addition, Records Governance Services staff are happy to assist with identifying the correct Disposal Authorities for your records.

11. Emails

An electronic message (email) can be a form of business communication. Sending an email that constitutes a business transaction is therefore a record and is governed by the State Records Act 1998.

Email messages can be accessed through Government Information (Public Access) Act (GIPA Act) requests and via legal processes such as discovery and subpoenas. Your records may also be required by Royal Commissions, the Courts, auditors and other entities.

Email messages have three components:
- Message envelope (addressee, sender, date/time),
- Message body (text of the message),
- Header information (transmission details such as date and time of sending).

The integrity of email records depends on these three components being maintained as a whole. Do not delete header information or body text as these give context to the email messages. Deleting this information will also mean that the message is incomplete and it will fail to act as reliable evidence of the business activity/transaction it is documenting.

Which Emails Need to be Saved in TRIM9?

The same questions (from the Record Checklist on page 2) apply as with all other types of information. If you are not sure whether you need to keep an email as a record, ask yourself the following questions:

- Does this provide evidence of a business activity?
- Is this something I have used to make a decision?
- Is this information or communications that relates to approval or authorisation of actions?
- Is this communication that contains advice or provides guidance / direction to staff, students, contractors, community etc.?
- Is this something that commits the organisation to an agreement or business deal?
- Is this something that is likely to be reviewed or audited?
- Will anyone need this information in the future? E.g. if you left your job tomorrow, would your successor need this information?

If the answer was 'yes' to any of the above questions, you should save the email (record) in TRIM9.

Who Should Save the Email?

The responsibility for saving an email may vary according to the situation, but generally you can apply the following recommendations:

- If you sent it internally to someone who doesn't have TRIM9, save it,
- If you sent it externally, save it,
- If you received it internally from someone who doesn't have TRIM9, save it,
- If you were the only one who received it from someone outside the organisation, save it ,
- If many officers received it from someone outside of the organisation, the main recipient or the person with prime responsibility for the business documented in the email should save the message,
- If you sent it to or received it from someone who also has TRIM9 access, the person with prime responsibility for the business documented in the email should save the message (if in doubt, check with relevant colleagues about who will/should save the message).

The responsibility to capture emails into TRIM9 can be delegated to administrative support in line with agreed business processes.

For project teams, it may be beneficial to delegate the responsibility for capturing email to a particular project team member.

11.1 Email Tips

- Save important email records in TRIM9,
- Give emails a meaningful subject line to accurately describe the contents of the email,
- Simple thread messages can be saved when the thread is completed,
- If the thread is complex, goes on for some time, or contains attachments, you may need to save each email individually or at defined points in the thread,
- If you want to discuss a couple of different matters, break it into a couple of different emails, with appropriate subject lines. Each will be easier to read, understand, file, respond to and locate later.

12. Titling / Naming Convention

The name or title of a record should describe its purpose or "business" and assist in identifying and retrieving information at a later date.

While lengthy, wordy titles should be avoided, record titles must contain sufficient information and be meaningful enough to explain their content without the user having to physically open the record.

Note: Before capturing records in a system, you must undertake a thorough search to ascertain if the record has been captured previously.

Ask yourself:

Could someone unfamiliar with your business identify the content of the record based on the title alone?

When creating a title for a record consider the following:

Be precise yet inclusive

Titles should be specific. If the title is too general, unrelated material will be placed on the file, making it harder to find and retrieve the document you need.

Be consistent

Titling files on similar business consistently makes them easier to find. Use agreed terms in situations where there can be variations, for example use 'personnel' – not 'staff' or 'employees'.

Avoid jargon

Jargon tends to change over time making it difficult to find records when usage is no longer current.

Folder Titles

Generally it is best to avoid using acronyms on their own (please refer to the section titled 'Acronyms' on the next page). However, for any given folder, if there is an acronym that will be used frequently in the title of the documents to be contained within it, if you put the full term followed by the acronym in the title of a folder e.g. Records Governance Services (RGS), then you can use the acronym on its own in the title of all documents and emails placed in that folder (knowing that into the future the folder title will provide context as to what the acronym means).

Document and Email Titles

The name or title of a document/email should describe its purpose or "business" and distinguish the document/email from all others. Record titles should contain sufficient information and be meaningful enough to explain their content without the user having to physically open the record.

Please consider the following when titling your documents:

- Free text is used for titling documents in TRIM9. This means the future retrieval of documents is largely dependent on how well you title your records.
- When adding emails and documents into TRIM9, the title field in TRIM9 will automatically populate with the subject line of the email or the current title of the document. This title should be reviewed and updated to ensure the title is appropriate. In addition, ensure you remove "RE:" and "FW:" from the start of your email titles as these may affect search results.
- If records on similar issues are titled consistently, it makes them easier to retrieve. As mentioned earlier, make sure that you use an agreed term in situations where there can be variations (e.g. use 'personnel' – not 'staff' or 'employees', and use 'student' instead of 'pupil'). **It's a great idea to establish local business rules for business units.**

Student Records

A separate document titled 'Naming Convention for TRIM - Student Records' exists to provide guidance on how to title records that are filed within a student cabinet. This document is located on the Records Governance Services **Training and Support** page of the UoN website, but can also be accessed directly by clicking here.

General Titling Principles

Keyword:

When titling documents, include a keyword to identify what the record is. This will allow staff who are searching for records to know what a particular record is without having to view it. The keyword should generally go at the beginning of the tile, unless naming conventions dictate otherwise. Example keywords are Report, Business Case, Brief, Work Instruction, Procedure, Letter, Advice, Agenda and Minutes.

Hyphens

Apply hyphens with adjacent spaces to separate titles in to logical 'parts' and aid readability:

- Minutes – Records Governance Services Team Meeting – 21 April 2017
- Feedback – Information Management Strategy – Records Governance Services
- Smith to Jones – Approval for Conference Leave – Records Forum – May 2017

Note: Hyphens MUST always have a space before and after. The only exception to this is hyphenated words which must have the hyphen, for example co-operation.

Metadata

Information that is captured in the records metadata (e.g. information automatically captured by TRIM9 when you create a record, or information you populate when you fill out the Record Entry Form for a record), doesn't need to be included in the title e.g. author, record number, version, related record, date created, date registered.

Short and Sharp

Ensure the title isn't too wordy as it can become cluttered.

> **Before:** Email of 7 September 2016 from Joe Bloggs to Jane Doe regarding the removal of workforce office furniture from Building A to Building B

> **After:** Bloggs to Doe – Removal of Office Furniture – Building A to B – Workforce Department

Uppercase

Using UPPERCASE can make reading titles difficult. Use uppercase only when appropriate. Capitalisation may be used freely.

Symbols

Try to avoid using symbols in place of words as it can hinder searching. This includes common place symbols such as ampersand ('&' – standing for '*and*'). Symbols should always be spelt out in full. Punctuation such as apostrophes and inverted commas should not be used in record titles **(names of people, business units, schools, companies etc. are exempt from these rules).**

Names

Personal Names: Include any punctuation such as hyphens or apostrophes. E.g.

- Henry O'Grady (not Henry O Grady or Henry Ogrady)
- Jean Black-Smith (not Jean Black Smith or Jean Blacksmith)

Organisation/Company Names: Include any punctuation such as hyphens or apostrophes.

Dates

Dates are often not required in titles as the TRIM9 metadata captures this information automatically e.g. 'date created'. However, dates should be captured when they are vital for the record, for example, with meeting minutes/agendas, travel/conference records, contracts/agreements. The following formats for placing dates in titles should be followed:

- **Monthly Meetings:** September 2016, April 2017
- **Occasional Meetings:** 15 September 2016, 21 April 2017
- **Contracts/Agreements:** 1 July 2016 to 30 June 2017, 1 January 2017 to 31 December 2017
- **Calendar Year (and University Financial Year):** 2015, 2016, 2017
- **Financial Year:** 2014/15, 2015/16, 2016/17
- **Strategies/Plans:** 2012-2022, 2017-2021

YYYY.MM.DD is the only date format that will ensure your records can be sorted by chronological order. This format can be used when specified and authorised for use in Local Business Rules.

Shortening and Abbreviating Words:

It's best to avoid shortening or abbreviating words as this can hinder the ability to search on, and retrieve records in the future e.g. Mtng (Meeting), Re (Regarding), Org (Organisation).

Acronyms

Try to avoid using acronyms on their own as they can mean different things to different people. If you do need to use an acronym place it in brackets after spelling the acronym out in full, for example:

- Records Governance Services (RGS)
- Information Communication and Technology (ICT)

Hint: Common place acronyms such as NSW and UoN are acceptable.

*In addition, a list of currently approved acronyms can be found by navigating to the Records Governance Services **Training and Support** page of the UoN website, or by clicking here.*

Examples of Naming Conventions for Common Documents

Record	Title Structure	Examples
Agendas and minutes	Agenda/Minutes – [Meeting Name] – [Area/Location] – [Date]	Agenda – Records Governance Services – March 2016 Minutes – Faculty Progress and Appeals Committee Meeting – April 2017
Agenda items	Item [Item number] – [Name of agenda item] – [Meeting Name]	Item 1.1 – Draft Recordkeeping Policy – Policy and Procedures Committee Item 1.2 – Review Terms of Reference – Work Health & Safety Committee
Briefs	Brief – [Title of Brief] – [Area/Location]	Brief – Evaluation of HP Records Manager (HPRM) – Office of the Chancellor Brief – Refurbishment of Hunter Building – Callaghan Campus
Business cases	Business Case – [Title of business case] – [Area/Location]	Business Case – SharePoint TRIM Integration – Resources Division Business Case – John Smith Records Forum Attendance March 2017 – Records Governance Services
Complaints	Complaint – [Complainant] – [Subject of Complaint] – [Area/Location] – [Date – if required]	Complaint – John Smith – Car Parking Availability – Callaghan Campus Complaint – Lisa Jane – Error in Unofficial Transcript – School of Engineering
Contracts/Agreements	Contract/Agreement – [Name of Contract] – [External Parties to Agreement] – [Date]	Contract – Credit Transfer Arrangement – University of New England – 1 September 2016 to 31 August 2019 Fully Executed Agreement – Lease of Printer MF546 – Fuji Xerox Australia Pty Ltd – 1 November 2016 to 31 October 2017
Letters	Letter – [Subject] – [Area/Location] – [Date – if necessary]	Letter – John Smith Offer of Employment – Administration Officer Resources Division – 3 June 2016 Letter – Feedback for Records Management Policy – NSW State Archives and Records
Emails	[Sender Surname] to [Recipient Surname] – [Subject] – [Date – if necessary]	Kennedy to McElhinney – Update on TRIM Implementation Project – March 2017 Brown to Smith – Outstanding Tasks – Graduation Ceremony – April 2017
Reports	Report – [Name of Report] – [Location]	Report – TRIM Usage – Student Central – 2016 Human Resources Support to Records Governance Services – Cessations List – April 2017

13. Versions and Revisions

Revisions are amendments to existing documents. All revisions occur under the same record number and are evidence of the evolution of a document until it is made final.

Versions are new copies of an electronic document that use the latest revision of that document. You can create multiple versions of an electronic document and each will be registered as a separate record.

Many documents require version control, such as; contracts, standard operating procedures, policies, externally visible documents, procedures, frequently asked questions, etc. Version control provides the ability to have a version that is current for general dissemination (current version) but you will still be able to have revisions and version control for a document not yet ready for general dissemination against the same record number version.

14. Scanning Records

Records that require scanning must be scanned as a readable format document (see table opposite).

Original paper documents/records must be maintained until it has been established that:

- The scanned copy is authentic, complete and accessible,
- The requirements for keeping originals have been assessed and fulfilled.

The table to the right outlines the required resolution, bit depth, file format and compression when scanning records:

Document Type	Resolution	Bit Depth	File Formats	Compression
Text only, black and white	Minimum 300ppi	1 bit (bi-tonal)	- TIFF - PDF, or - PDF/A [6]	Lossless compression
Documents with watermarks, grey shading, grey graphics	Minimum 600 ppi	8 bit greyscale	- TIFF - PDF - JPEG, or - PDF/A	Lossless compression
Documents with discrete colour used in text or diagrams	Minimum 600 ppi	Minimum: 8 bit colour	- TIFF - JPEG - PDF, or - PDF/A	Lossless compression
Black and white photographs	Sufficient to provide >3000 pixels across long dimensions	8 bit greyscale	- TIFF - JPEG - PDF, or - PDF/A	Lossless compression
Colour photographs	Sufficient to provide >3000 pixels across long dimensions	24 bit colour	- TIFF - JPEG - PDF, or - PDF/A	Lossless compression
Black and white negatives	Sufficient to provide >3000 pixels across long dimensions	8 bit greyscale or 24 bit colour	- TIFF - JPEG - PDF, or - PDF/A	Lossless compression
Colour negatives and transparencies	Sufficient to provide >3000 pixels across long dimensions	24 bit colour	- TIFF - JPEG - PDF or - PDF/A	Lossless compression