



Version	Approved by	Approval date	Effective date	Next full review
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	December 2020
Guideline Statement				
Purpose	This Guideline details how University records should be titled, and how the UNSW Business Classification Scheme is applied to records captured in an Electronic Document and Records Management System (EDRMS), RAMS.			
Scope	All staff, contractors and consultants engaged in work for the University across all of its sites, including Controlled Entities of UNSW.			
Are Local Documents on this subject permitted?	<input checked="" type="checkbox"/> Yes, however local Documents must be consistent with the University-wide Document		<input type="checkbox"/> No	
Guideline				

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1. Background

All staff and contractors of the University are required to make and keep full and accurate records of their activities, as detailed in the University's Recordkeeping Policy.

For records to be accessible and discoverable, and to support University decision-making, they should have a title that accurately describes the content.

A meaningful title supports better recordkeeping, reduces duplication and allows UNSW information to be located by staff that require access to it, when they need it.

2. Principles

An accurate title describes the record's content and provides context to the record. A record title may be free-text, follow a naming convention, and/or incorporate a set of defined terms as part of a Classification Scheme.

An accurate title is essential for records at all levels, whether container-level (subject-matter files or folders) or individual documents. It may include:

- Names of organisations, individuals, projects
- Dates or date ranges
- Item or document codes
- The type of document (if applicable), for example an Offer Letter or Agenda

- A version number

Appropriate titling of records allows for:

- Better managed evidence of business activity
- Improved discoverability of records through searching or browsing
- Improved accuracy, relevance of search results and identification of the right information
- Identification of records of high value/business significance
- Reduced duplication of records

3. Titling a Record

A free-text title is an important part of the naming of both records and the files/folders that contain them. The title provides detailed information on the content of the record using terms that will aid retrieval e.g. names, actions or dates.

The titling of records describes information in the broader context of the University as a whole and, as such, ambiguous titles such as 'Final Report', 'Project Summary', with no further detail recorded, must be avoided.

3.1. Titling Documents

It is recommended that a naming convention be applied when creating a free-text document title, listing the type of document and a summary of the content, along with a date, separating all title elements with a space to aid in search retrieval. For example,

Document Type [to/from Author/Addressee] – Content Summary – Date (if applicable)

Email from A STUDENT, First Name – Exam Period S2 2017 – 23 October 2017

Agenda – *Committee Name* – 24 November 2018

Information Sheet A123 - [zNumber] - [SURNAME, First Name(s)]

3.2. Titling Containers ('Folders' or 'Files')

The title of a container defines the scope of the records contained within.

Recordkeeping systems, such as RAMS (the Records & Archives Management System), use the UNSW Business Classification Scheme (BCS) to classify container-level records (i.e. 'folders'). The BCS directly links records to the business activity that informed their creation and, in doing so, enables information management requirements to be identified from the moment of a record's capture. See the 'Applying Business Classification' section below, for further information. A free-text descriptor is then appended to the classification to form the title of the record.

The free-text descriptor lists the specific project, case file or other subject matter of the record. As with all titles, relevant keywords and dates should be used to aid in retrieval.

For projects that span multiple years and where the ending year is not known at the time of creation, list the starting year followed by 'to'. The ending year can be added to the title after it has been determined.

Records & Archives can work with business units and assist them to develop a standardised titling structure for their core activities and a Record Plan with suggested file titles.

3.3. Guidelines for record titles

The following are general guidelines for record titles:

General Text

- Punctuation (commas, apostrophes, quotation marks) should be avoided except where they form part of a proper noun (e.g. St Vincent's Hospital). Full stops can be used if required. Hyphens are used - to separate different components of free text titles - but must always be surrounded by spaces.

See for example, RAMS Training - Quick Reference Guide - Revising Records.

- Avoid the use of filler words such as "about", "also", "whom" etc.

- Limit text - essential words - aid retrieval - summarise content.
- Text must be entered in normal prose format. For the purpose of consistency and ease of viewing, use capitals for proper nouns and avoid the use of ALL CAPITAL or all lower case.
- Acronyms should be contained within parenthesis and directly follow the unabbreviated name of the body or project
 - e.g. Vice-Chancellor's Advisory Committee (VCAC)

Dates

- Dates should be entered as *dd month yyyy* - e.g. 29 March 2014.
- Do not abbreviate the month or year. Always include the full date, or month, or year where applicable.
- For date ranges, separate dates by space *to* space - e.g. March 2015 to June 2017.

Names

- Student names must use the format: SURNAME, First Name(s) - e.g. ALBURY, Denise
- All other names may be entered as INITIAL(S) Surname - e.g. J Rodriguez

4. Applying Business Classification

Business classification describes the business functions of UNSW in relation to the activities being performed, not the organisational structure or the perceived strategic importance of any specific activity, which will both vary over the course of time.

This focus on business function means the record will be classified according to:

- why it exists – i.e. its function, rather than what it is about - i.e. its subject.

Business classification consists of **Keywords** and **Activity Descriptors**. A Keyword is a broad based business function, such as *Financial Management* or *Research Management*. An Activity Descriptor is a particular business activity performed as part of the business function, such as *Compliance* or *Planning*.

The Classification is created by listing a Keyword and an associated Activity Descriptor

(Keyword) – (Activity Descriptor)
 {-----(Classification)-----}

There are currently 29 Keywords used at UNSW. These Keywords, and the Activity Descriptors associated with them, are outlined in the [UNSW Business Classification Scheme \(BCS\)](#).

By using the BCS to classify documents, we are able to capture our records in a consistent manner across time and space and to enable the aggregation of records relating to business activities to gain deeper understanding.

Classification is applied to a record at the container level (i.e. the subject-matter file that contains records.) By capturing records to an appropriate container with classification already in place, everyday recordkeeping activities can be simplified and the record is assigned valuable context from its container.

4.1. Selecting a Keyword

Each Keyword includes a definition of the business function it describes (known as 'Scope Notes'.) When selecting a Keyword, determine the business function that is being documented by the record. When making this determination, it is important to identify why the record is being captured, to determine the Keyword to which it relates.

For example, registering for a conference could be part of FINANCIAL MANAGEMENT (the function of managing the University's financial resources) or STAFF DEVELOPMENT (the function of encouraging UNSW staff to develop their skills and abilities through activities, programs and events.) The Keyword indicates which is the primary function the record substantiates.

The scope notes of many Keywords list suggested alternatives to use for related functions outside this scope of that Keyword.

For example, COMMUNITY RELATIONS, EXTERNAL RELATIONS and GOVERNMENT RELATIONS are all functions dealing with the University's relationship with external organisations, however each relates to a different target sphere: Community, Professional Bodies, and Government, respectively. Their scope notes advise when it is appropriate to select each.

4.2. Selecting an Activity Descriptor

Each Keyword has a number of Activity Descriptors that list the business activities performed as part of the business function.

An example is the business function of managing the administration of assessments, which is covered by the ASSESSMENT MANAGEMENT Keyword. ASSESSMENT MANAGEMENT has the following Activity Descriptors:

- ASSESSMENTS
- CASES
- COMMITTEES
- EVALUATION
- EXAMINATIONS
- PLANNING
- POLICY
- PROCEDURES
- REPORTING

Select the Activity Descriptor that corresponds with the business activity being documented. Where similar activities are listed under the same function, the description will provide 'See also' suggestions for related use-cases.

The Classification is formed by selecting the Activity and listing it with the parent Keyword, i.e.:

ASSESSMENT MANAGEMENT – ASSESSMENTS
(Keyword) *(Activity Descriptor)*
{----- *(Classification)*-----}

A full list of Keywords and Activities is listed in the Business Classification Scheme. The Business Classification Scheme is designed to cover all UNSW activities and can be revised over time in response to feedback. If a business area performs a function that is not covered in the Business Classification Scheme, contact Records & Archives.

A free-text Title is then added to the completed Classification. The resulting format of a file title will be:

e.g.

{----- *(File Title)*-----}
(Classification) *(Free-text Title)*

ASSESSMENT MANAGEMENT – ASSESSMENTS – Faculty of Engineering – Final Exams – S2 – 2017
FINANCIAL MANAGEMENT – COMPLIANCE -
(Classification) *(Free-text Title)*

Accountabilities				
Responsible Officer	Manager, Records & Archives			
Contact Officer	Information Management Analyst, Records & Archives			
Supporting Information				
Legislative Compliance	<p>This Procedure supports the University's compliance with the following legislation:</p> <p><i>State Records Act, 1998</i> (NSW)</p> <p><i>Evidence Act, 1995</i> (NSW)</p> <p><i>Government Information (Public Access) Act, 2009</i> (NSW)</p> <p><i>Health Records and Information Privacy Act, 2002</i> (NSW)</p> <p><i>Privacy and Personal Information Protection Act, 1998</i> (NSW)</p> <p><i>Children and Young Persons (Care And Protection) Act, 1998</i> (NSW)</p> <p><i>Public Finance and Audit Act, 1983</i> (NSW)</p> <p><i>University of New South Wales Act, 1989</i> (NSW)</p> <p><i>Work Health and Safety Act, 2011</i></p>			
Parent Document (Policy and Procedure)	Recordkeeping Policy Recordkeeping Standard			
Supporting Documents	UNSW Business Classification Scheme (BCS) Record Appraisal Procedure Record Security Guideline Archives Access Guideline Archives Acquisition Guideline			
Related Documents	Data Governance Policy Email Policy IT Security Policy Procurement Policy			
Superseded Documents	Nil			
File Number	2017/25742			
Definitions and Acronyms				
Archive	A Record that the University has committed to retaining permanently for either the maintenance of a permanent record of the activities of the State of NSW (State Archives) and/or as a cultural, historical record of the University (University Archives.)			
Appraisal	The process of assessing records to determine the period of time for which they must be retained prior to destruction or deletion, or preservation in an archive.			
Record	Any recorded information made or received by a staff member of the university in the course of undertaking their duties. Records are evidence or information about university activities. They can be any format.			
RAMS	Records & Archives Management System. The University's corporate recordkeeping system, previously known as TRIM.			
Revision History				
Version	Approved by	Approval date	Effective date	Sections modified
1.0	Manager, Records & Archives	13 December 2017	13 December 2017	This is a new Guideline.