

# Records Management Naming Standard and Procedure

## Purpose

The purpose of this Standard is to detail the protocols to be followed in naming any University records. The standard is intended as a performance measure against which staff activity relating to the naming of university records will be monitored and audited using JCU's recordkeeping tool.

Meeting this standard will assist JCU in meeting its compliance obligations, more effectively manage the University's electronic documents and records and provide for more consistent description of files, folders, documents and records. Consistent description leads to better availability, retrieval, integrity, accessibility and in some cases confidentiality.

## Scope

The Records Management Naming Standard applies to:

- all employees and any other persons acting in their official capacity for, on behalf of, or in the name of, the University including contractors and third parties; and
- all University records, including teaching and learning, research, student administration and services, governance and corporate/administrative records.

This Standard is a component of the Records Management Framework and compliments the 'Records Management Business Classification Scheme', which will be progressively implemented and evolve over time.

**NOTE:** The naming and management of some records types such as research data or legal records are subject to additional policy and procedural requirements – please refer to the Policy Library or contact Corporate Information Services if you are unsure what the requirements are or what policies relate to the record types you are responsible for.

## Definitions

Refer to the Records Management Glossary on JCU's Records Management Webpage. (link to be added and linked to QSA's glossary. Webpage under development).

# Standard

## Introduction

All records need to be well organised and named or labelled correctly, whether they are physical or electronic records. This ensures records are identifiable and accessible to all employees.

Naming records according to the 'Naming Standard' will:

- Ensure record titles are consistent, logical and predictable.
- Distinguish similar records from each other at a glance and by doing so, will facilitate the storage and retrieval of records, which will enable users to browse file names more effectively and efficiently.
- Make file naming easier, because users will not have to 'rethink' the process each time.
- Provide quicker search and retrieval, as users do not need to think about which words may have been used to describe a document/record when conducting a search and in turn this assists in responding to access requests (e.g. Right to Information, Privacy etc.).
- Ensure disposal of records are in line with the *Queensland State Archive Disposal Schedule*.

Consistent naming also assists in improving the integrity of the record collection, as it ensures that like records are captured (stored) with like records and assists in the movement, conversion and migration of records in the future.

As JCU uses a variety of operating systems, different versions of a system and different software, it is important to follow the Standard to ensure that the file may be recognised by as many different environments as possible.

The keys to successfully naming documents or records (including emails):

**AVOID:**

Lengthy titles and duplicating words or phrases.

Abbreviations, jargon and truncating words.

**REMEMBER:**

Naming and file capture/storage is done so that records/documents can be found in the future.

It is about being able to find it later.

**ENSURE:**

The title is meaningful to all staff

The file title is sufficient to describe the document/record

Titling is consistent and specific

Are easily distinguishable to others

You follow the standards set out specifically for JCU

## Records Management Naming Procedures

All records are subject to a destruction assessment under *Queensland State Archives Retention and Disposal Schedule*. Deciding how long to keep records, will depend on the schedule, which is set out under specific heading and sub headings.

Naming or titling records in accordance with the schedule is better achieved by 'Classifying' records. 'Classifying' is the act of grouping records together based on the business activities to which they relate, allowing public authorities to find records when needed.

Queensland State Archives recommends the classification of public records according to the business functions and activities of JCU. This approach helps to:

- Identify records and retention requirements
- Determine access and security restrictions
- Provide a simple and consistent way to title files

The following 'Business Classification Scheme/Retention Titles' table **example** has been created to assist you with titling your records. The Title and Subtitle are listed as they appear in the Queensland State Archives 'University Sector Retention and Disposal Schedule'. This assists with not only titling records consistently, but ensures records are retained for the life of the record as deemed by Queensland State Archives.

- **Title:** These represent the major responsibilities that are managed by JCU to fulfill its goals. For example. "Asset Management" is a function of the Estate and Financial offices.
- **Subtitle:** These are the tasks performed by JCU to accomplish each of its functions. For example. 'Equipment and Stores" are activities that are performed under the function of 'Asset Management'.
- **2<sup>nd</sup> Layer of Subtitle:** More specific layer to the title. Ie "Significant Personnel"
- **Free Text:** Is the unique title to explain the transaction that took place. For example, 'Allocation (Asset Register)'.

Combine the four together and you have a structured record title which is easy to locate and has a retention schedule attached to it for destruction:

*'Asset Management, Equipment and Stores, Allocation (Asset Register), 2013*

**Note:** When titling records, the way the title looks should also be consistent. For example. You will notice in the above example, (,)s were used in between words, as well as a space. This should be consistent for all record titling for ease of relocating records. It is important to also note, the above title was for a physical record.

With regard to Staff and Student files, the 'Free Text' title should always be set out as follows: *Staff/Student ID number, SURNAME, First name, Middle name.*

## Business Classification Scheme/Classification and Retention Titles

Title	2 <sup>nd</sup> Title level	3 <sup>rd</sup> Title level	Free text
Asset Management	Equipment and Stores	<ul style="list-style-type: none"> <li>• Acquisitions (Stores, Requisition, Delivery dockets</li> <li>• Acquisitions (Unique pieces of Equipment)</li> <li>• Acquisitions (Lease-installment of equipment)</li> <li>• Acquisitions (Operating Manuals for equipment</li> <li>• Acquisitions (Operating manuals for unique equip)</li> <li>• Agreements</li> <li>• Allocation (Asset Register)</li> <li>• Allocation (Contract &amp; Tenders)</li> <li>• Allocation (Distribution of Equip &amp; Stores)</li> <li>• Disposal (Disposal of Equipment)</li> <li>• Disposal (Distribution of stores,exchange,sale,loan)</li> <li>• Distribution (Equipment Catalogues)</li> <li>• Installation</li> <li>• Inventory (Inventory of Equipment)</li> <li>• Leasing out (loan, lease, Hire of equipment)</li> <li>• Maintenance (maintenance of unique equipment)</li> <li>• Maintenance (maintenance of equipment)</li> <li>• Maintenance (maintenance of storage areas)</li> <li>• Stocktake (stocktake and valuations)</li> </ul>	<i>Unique title to separate each file</i>

## Good practices

Meaningful		Instruction
	Free text	As a minimum the free text should encapsulate the subject matter of the document.
	Generic terms	Never use generic terms such as 'general', 'miscellaneous', 'administration' etc. in a file title or in a file path.
	Subject and Date	Should include an indication of subject and date. If outgoing or internal a version number may also be added. For some correspondence, such as quarterly reports with the same headings, a date may be added to distinguish each one. Example: <ol style="list-style-type: none"> <li>1. <i>Recordkeeping Survey Qld State Archives March 2013.docx</i></li> <li>2. <i>Griffith University Qld, Disposal Authority 60 Review V01 July 2013.docx</i></li> </ol>
	Recurring events	Recurring events should include the date and a description of the record, except where the inclusion of either of these elements would result in redundant repetition. Examples of recurring events include meeting papers, minutes, reports, planning documents etc.  <i>For example, where a file path adequately describes the recurring event then the file name may be:</i> <i>MinutesV01_02072013.docx</i>
	Email Subject line	The email subject line and any attachments to the email should each reflect the content.
	Email string or thread	During an email string or thread the subject of an email may change. When the subject changes then a new string should be created and the subject line of the email should also change.
	Default Microsoft file names	The default file name for a Microsoft Word document consists of the first few words written on the first page which is often will not conform to this Standard and therefore must be changed.
	Default Image file names	The default file name for an image will often be a sequence of numbers which are meaningless and therefore must be changed.

<b>Requirements</b>		<b>Instruction</b>
<b>Separators</b>	Capital Letters	Capital letters should be used when a person's full name is in the Title. The Surname is typically in Capital letters, followed by first name and middle name. For example: SMYTH, Amanda, Lynne
	Space, ( _ ), (-) or (.)	Record titles will normally have a comma, followed by a space, such as the example above. All records requiring a separator should be limited to a space, underscore ( _ ), a hyphen ( - ) or when separating the file extension then a dot/full stop (.) may be used.
	Using (.)	Full stops should not be used within the title of a physical file. Digital records only allow a full stop to be placed to the file extension. For example: <i>Qld State Archives 2013 Recordkeeping Survey Incoming 20130207.pdf</i>
<b>Order</b>	Components	The components of a name should appear from the most important to the least important, with Staff or Student ID listed first. For example: JC11111, SMYTH, Amanda, Lynne
	Format	Avoid using the format of the record within a document, such as letter, draft, email at the start of the file name/path, unless doing so will make it easier to find the record. <i>For example: Records Management, Naming Standard, Approval Memo_V01 Internal 20130206.docx</i>
<b>Length</b>	File names	Free text file names should be kept as short as possible whilst also being meaningful. Ideally file names should be no longer than 30 characters.  Record names that are too Long: <ul style="list-style-type: none"> <li>• Mean long file path and long URL's which increases the likelihood of error,</li> <li>• increase difficulty remembering and recognizing; and</li> <li>• are more difficult to transmit in emails as they often 'break'.</li> </ul>
<b>Versions</b>	Numbers	Version numbers should always be included in the name of a file, except for incoming records. Version numbers should always be represented as a "V" followed by two digits for the version number. <i>For example, version 3 of a record will appear at V03</i>
	Subversions	If there are subversions then the separator must be an underscore followed by two digits for the subversion. <i>For example: version 3.5 will be V03_05</i>

<b>Repetition</b>	Avoid repetition	<p>Words and phrases should not be repeated within the file path unless it would result in an inadequate description of the subject matter or another component of the file name. Repetition increases the file path length and does not add any value in searching for a record.</p> <p><b>Incorrect:</b></p> <p><i>Corporate Information Services Meetings Corporate Information Services Team Meetings Minutes Team Meeting Minutes V01_20130204.docx is incorrect as the words Corporate Information Services, team, meetings, minutes are all repeated.</i></p> <p><b>Correct:</b></p> <p><i>Corporate Information Services Meetings Team Minutes V01_20130204.docx or, utilizing an appropriate character to separate titles such as.....Corporate Information Services_Meetings_Team Minutes_V01_01042013</i></p>
<b>Abbreviations</b>	Avoid	Do not use abbreviations in a file title, unless these have been included in JCU's Records Thesaurus.
<b>Numbers</b>	Minimum requirement	<p>When using a number in a file name always use a minimum of two characters.</p> <p><i>For example, one would be 01</i></p>
<b>Dates</b>	Must be	Dates must be used in all file names as this will assist users in identifying the latest document.
	Do not use	Do not use words to represent dates, such as February, Feb or F.
	Order of date	<p>When putting a date in a file path always put the date in order of day, month and year. Documents are automatically created in reverse, however, for consistency, the date should be as it is used in your environment.</p> <p><i>For example, 01042013 is 1 April 2013</i></p>
	Format	<p>The format for the date must be ddmmyyyy.</p> <ul style="list-style-type: none"> <li>i. Followed by two digits for day, that is the format should be dd. <i>For example, the 8th would be 08</i></li> <li>ii. Followed by two digits for the month, that is the format should be mm. <i>For example, February will be 02</i></li> <li>iii. Four digits for year. That is, the format should be yyyy. <i>For example 2013</i></li> </ul>
	No day	<p>If there is no day then simply use mmyyyy format.</p> <p><i>For example, February 2013 would be 022013</i></p>



	No day or month	If there is no day or month then simply use the yyyy format. <i>For example, 2013 would simply be 2013</i>
	Date range	If a date range is to be included in a file path then use a hyphen as a separator (with no space in between). <i>For example, 2013-2015</i>
	Inward correspondence	For inward correspondence use the date on the letter or if the date of the letter is unknown then the date the letter was received.
	Outward correspondence	For outward correspondence use the date that the letter was signed or if that is not known then the date that it was sent.
	Internal correspondence	For internal correspondence use the date the letter was sent.

<b>Names</b>	<b>A person</b>	When using a person's name in a file path the surname or family name should always appear first and in capitals, followed by the first or given name. <i>For example, Robert Smith with appear as SMITH_Robert.</i>
	<b>Organisation</b>	The exact name of an organisation should be used. That is, do not remove organisational qualifiers such as company, Pty Ltd etc. from the end of a name, use abbreviations unless part of the registered name or remove words like 'the', 'a' etc. from the start of a name. <i>For example, The Tree Doctor should not appear as the Tree Doctor or Tree Dr and should appear as The Tree Doctor.</i>
<b>Characters</b>	<b>Avoid</b>	Avoid using characters that are not alpha or numeric in file names. Examples of non-alphanumeric characters are \$, @, #, ☺, etc. Some symbols have other meanings.
<b>Emails</b>	<b>Network drives</b>	Email records must be saved in the eDRMS (TRIM) or an approved business system <sup>1</sup> , not Network drives.
	<b>Subject line</b>	The text from the subject line of the email will automatically populate the file name. If this subject line is adequate and means the criteria above then there is no need to change the file name, however in allot of case the file name will need to be changed or supplemented to meet this standard.
	<b>Prefixes</b>	Remove any prefixes to the subject, such as 'FW', 'RE' etc. before saving the document.
	<b>After saving</b>	After saving the email to network drive and if it is a record in the eDRMS then delete the email from the email inbox/folder.

<sup>1</sup> In time all core corporate business systems that make, receive, manage or keep JCU records will be assessed against the relevant recordkeeping standards. Only those systems that meet the standard will be approved for the ongoing storage of records, where a system does not meet the standard then a strategy will be developed to address known gaps.

## Related documents, legislation or JCU Statutes

### Legislation

Public Records Act 2002 (Qld)  
Right to Information Act 2009 (Qld)  
Information Privacy Act 2009 (Qld)  
Evidence Act 1977 (Qld)  
Financial Accountability Act 2009 (Qld)

### Standards

AS ISO 15489 Information and Documentation – Records Management  
ISO/ITR 15801:2004 electronic imaging – Information stored electronically (Recommendations for trustworthiness and reliability)  
ISO 12653:2000 Electronic imaging (Test targets for black and white scanning of office documents)  
ISO 12641:1997 Graphic technology – Prepress digital data exchange. (Colour targets for input scanners)  
Information Standard 40: Recordkeeping  
Information Standard 33: Information Access and Use  
Information Standard 31: Retention and Disposal of Public Records  
Queensland State Archives Digitisation Disposal Policy Toolkit  
Archives New Zealand Digitisation Standard

### JCU Frameworks, Policy and Procedures

JCU Code of Conduct  
JCU Records Management Framework  
JCU Records Management Policy  
JCU Records Management Digitisation Standard

### Approval Details

Policy sponsor:	Director, Governance and Corporate Services
Approval authority:	Deputy Vice Chancellor, University Services
Version no:	1.0
Date for next review:	March 2014

### Modification History

Version no.	Approval date	Implementation date	Details
1.0	Feb 2013	2013	Initial version
2.0	March 2014		Revised version