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Responsible Officer
Chief Information Officer

Approved by
Chief Information Officer

Approved and commenced
May 2014

Review by
May, 2017

Relevant Legislation, Ordinance, Rule and/or Governance Level Principle the Standard supports
Archives Act 1983 (Tas)
Records Management Policy
| Responsible Organisational Unit | Records Management Unit |
1 Executive Summary

The University of Tasmania is committed to continuously improving metadata descriptions to aid retrieval of records and information stored in TRIM. This standard describes the properties which represent various aspects / attributes of a record. These properties are recorded as metadata attached to the record. The quality of metadata describing records improves the visibility and accessibility of records in TRIM, as well as the ability for searches to retrieve all available information on a given subject.

Some metadata fields are automatically set by the system or pre-filled with default values, depending on the settings for the fields in TRIM. For example, default date fields (e.g. date registered) are set to default to the date of registration. Other fields require the user to input the appropriate data.

This Standard may also be used across UTAS in areas that do not use TRIM, but would like a standard method for creating metadata to organise and provide consistent access to resources such as electronic information, documents, images and records.

The Standard provides description and examples to be used when populating metadata fields in the Electronic Document and Records Management System (TRIM), to provide meaningful and consistent information to help facilitate retrieval at a later date. It is essential that TRIM data entry methods are both effective and consistent, and that they are systematically applied throughout the University.

2 More Information

For further information, contact the Records Management Unit.

Email: RMU.Staff@utas.edu.au
Web URL: http://www.utas.edu.au/it/records/contact

3 General Rules for Data Entry

To avoid duplication, first ensure that the document, folder, contact or location has not already been entered into TRIM by another user.

Select key words which provide a meaningful description of the content of the folder or document and distinguish it from similar or related records. For example, titling a document 'Draft Policy' is not very useful for retrieval purposes if there are 15 other documents also called 'Draft Policy'. Define the name of the policy and its purpose, e.g. 'Privacy Policy - for comment'.

Use key words other users are likely to use as search terms and avoid overly broad words such as 'miscellaneous' and 'various', as these are almost useless for searching purposes.

Keep the description to a reasonable length. The free text field will take up to 254 characters, but be mindful when exporting or attaching documents in an email that the file extension may be dropped off if names are too long.

Staff must adhere to the Standard set out here when entering information into TRIM.
3.1 Punctuation

TRIM does not recognise punctuation in its search parameters, so punctuation marks such as commas, semi-colons, apostrophes, question marks and exclamation marks are not useful inclusions when populating the title fields.

- Do not use punctuation including commas, inverted commas, apostrophes, exclamation marks, semicolons etc. in titling unless absolutely necessary. Full stops can be used if required. Forward slashes (i.e. /) can be used to separate words.
- For consistency and ease of viewing, keep all text in normal prose format, (also known as sentence case), i.e. only capitalise proper nouns, acronyms and the first word in each sentence. Do not use all upper or lower case for any entry. Do not use title case, i.e. do not capitalise every word or all the 'important' words in a sentence.

3.1.1 Hyphens

To enable consistent retrieval please take note of the following rules:

- Hyphenated words, such as "co-ordination", "co-operate", "data-base", etc. should not have the hyphen inserted, i.e. the words become "coordination", "cooperate", and "database".
- Hyphens must be used to separate different components of a free text title rather than the use of “filler” words such as: and, or at. For example: Project Number 65432 - Project Name. Please note that it must have a space before and after the hyphen.
- Hyphens can be used in TRIM:
  - in Ordinal numbers, e.g. twenty-first
  - when omitting a hyphen changes the meaning of the word
  - when nominating compass points, e.g. North-West
  - in Proper Nouns, e.g. business names or first names and surnames such as In-Tellinc, Mary-Louise, Al-Haddad
  - in number series, e.g. project equipment numbers

3.1.2 Abbreviations, Acronyms and Symbols

The use of abbreviations, acronyms and symbols must be managed in a consistent manner to ensure that their meaning is clear to unfamiliar readers and remains clear over time.

Acronyms in particular may mean something to us now, but may be associated with something quite different or be meaningless to readers in the future. This may make it difficult to retrieve the relevant information in a timely manner.

- Do not abbreviate words unless the abbreviation appears in these Standards. For example: mtg, rev, Jan, Conf.
- Only use acronyms in conjunction with the full name, for example: Australian Maritime College (AMC).
- Do not separate the letters comprising an acronym with full stops, e.g. C.S.I.R.O.

It is acceptable to utilise the symbol of an ampersand (&) for "and". Other symbols such as @ for “at” are discouraged unless they are a recognised part of a trademark or title of an organisation or product.
3.1.3 Dates

- Use the Australian standard date format in text, i.e. dd/mm/yy.
- Where the name of a month needs to be used, do not abbreviate.
- For financial years use convention YYYY, with space, hyphen, space, between years i.e. 2000 - 2001.
- Date fields in TRIM are predetermined. Date fields default to the initial creation date identified in the document properties maintained in Microsoft Office, Adobe Acrobat and other software applications. It may be necessary to change the date to the actual date stated in the letter or memo.

3.1.4 Numbering

- When referring to numbers use a digit format, except where a number forms part of a Proper Noun, e.g. Seven Mile Beach, or when writing ordinal numbers, e.g. first, twenty-third.
- Where Ordinal Numbers are used include the digital number in brackets, e.g. twenty-fourth (24th)
- Where Roman Numerals are part of a title include the number in brackets, e.g. (4).

4 Record Titling

4.1 Documents

Document titles should be sufficient to identify the nature of the content and the context, without having to read the document itself. Whilst excessively wordy titles should be avoided, sufficient information should be supplied to enable other users to gain an appreciation of what a document is about. Record titles for documents should not contain the name of the author, recipient, relationship to other documents, file number etc, as that information is captured elsewhere. All that should be entered in this field is a concise description or summary of the document contents without excessive use of the positive article (the) and other "noise words" that clutter a précis without adding any value.

Avoid the use of filler words such as re, response re, letter to, letter from, email to, email from, "memo about", "letter re", or "email regarding" and remove automatic populated words from email headers, such as Re: or Fwd.

Abbreviations must be avoided as other users cannot be expected to guess how someone may have abbreviated a word or name. Acronyms may be used for document titling only if the name is stated in full in the folder title in which it is contained.

Refer to Appendix 1 for recommended Naming Conventions for specific types of documents.

Organisational units may have their own internal naming conventions which should be applied in conjunction with these standards. Where they conflict, the organisational unit's conventions should take precedence, as they may reflect circumstances specific to the unit.
4.2 Folders (free text field)

New folders are created by nominated officers of organisational units to ensure that the appropriate file classification structure is followed. Folders are created at the request of users if a suitable folder is not available. All folders will be titled using the University's Business Classification Scheme (BCS), which forces the first 2 – 3 levels of a title. A free text area is required to enable titles to include specific transactional information. As the free text level is the most commonly searched field when looking for a file, it is essential that free text titling is in accordance with appropriate data entry standards.

General rules when titling folders:

- Always include project identifiers in the title where applicable.
- Punctuation must not be used, as it affects the ability to search for documents at a later date.
- Acronyms and abbreviations where possible must be written out in full and can be placed in brackets after the term. Spaces are not required between the bracket and the acronym/abbreviation.
- Avoid the excessive use of the hyphen
- When referring to numbers use a digit format, except where a number forms part of a Proper name, e.g. Seven Mile Beach or when writing ordinal numbers, e.g. first, twenty-third.

5 Locations

5.1 Contacts

With a central database, data such as the contact details of individuals and organisations are entered once, but can be used many times.

Use the name of the person supplied on the correspondence or listed as the document's author as the contact. Where a name has not been supplied, it is acceptable to use the organisation's name. You should search the database for the organisation's name, as it will likely already be there and TRIM will insert it in the contact field.

Accuracy of information entered in this database is vital, as it forms the basis of validation lists from which other users can make selections.

The Contacts Register is the central database that maintains details of all people and organisations whose communication with the University is registered in TRIM. As many University staff will use this contact and organisation register, we need to ensure the accuracy of data being entered and avoid duplication of entries.

To view the details of the contacts in TRIM, organise your Locations screen in TRIM so that it displays the fields: Contact Name, Position, Organisation, Job Title, Active From and Active To. This should be applied by selecting Global Settings.
• Contacts should be searched for initially by surname only - if a surname consists of more than one word, or is hyphenated, then use only the first word. This will bring up a list of all contacts with that surname, allowing users to select the correct one. If you are unsure of the correct spelling, enter the first three letters of the surname and use the KwikSelect button to reveal a listing of surnames, or alternatively use the wildcard (*). If the correct contact is not revealed in the search, then a new location should be created.

• If a contact is internal to the University, i.e. a staff member, and their name does not appear in the initial contact search by surname, you may create the location as an external location (red), but it is vital that you advise your TRIM Liaison Officer or the Records Management Unit so they can change it to reflect that they are an Internal Location (green).

• Where possible, supply details in full. Details such as organisation, position, addresses, phone numbers etc. assist in differentiating between two contacts with similar names.

• Where a single person has multiple roles or changes roles in an organisation or several organisations, you will need to create a new contact for each of those roles.

• Where a person’s name is not supplied, but an organisation’s name is identified, use the organisation’s name as the contact. Search for the organisation and either select the correct one or create a new Organisation.

• If correspondence is received from or sent to multiple contacts, a single contact should be selected for the Author/Signatory field in the New Record Document entry form and where practical, list others in the Contacts tab in the entry form.

• Where the contact is a Minister of the Crown, their surname and first name must be entered in the contact fields, not the word "Minister". "Minister" is the position/job title name.

• Never use non-definitive terms as “Various”, “Various Departments”, ”Various Deans” etc.; enter each individual or organisation as a separate contact or if not practical list key recipients.

5.2 First Names and Surnames

• All first names and surnames are to be spelt in full and must be in title case, not all upper or lower case, e.g. John Smith.

• Names containing punctuation are to be entered as they are spelt, meaning that apostrophes must be entered where necessary, and hyphenated surnames are entered as they appear: e.g., McDonald, O’Brien, Fitz-William etc.

• With Asian names, the first name that appears should be treated as the surname, e.g. Feng Sui is entered with the surname of Feng and the first name of Sui.

• Initials should be separated by a space, e.g. B G O’Brien, B G Jones Pty Ltd

5.3 Titles

• Titles are to be used in names (e.g. Mr J Smith, Prof D O’Brien) and entered in the Location’s Title field in the New Person form. Titles can be selected from the drop down arrow in the Details tab.

Note: Do not make up your own title abbreviations. Title abbreviations must be used from the Title Standard List. Refer to Appendix 2.
5.4 Organisations

- Entering the first word of the organisation’s name should provide the correct search result. If a negative result is achieved it may pay to refine the search (F7) to a wildcard search (e.g. “Community”) and filter the search for organisations only. This will bring up a list of all organisations whose name contains that word, allowing users to select the correct one. Always use the name of the organisation that is used in the email or correspondence for searching; if the name of the organisation is not in TRIM, then create a new entry.

- Where possible, always supply details in full.
- Do not use person or position names in the Organisation field.
- Where the contact is a Minister of the Crown, the organisation should be entered as the portfolio responsibility they are communicating under, e.g. Hon Nick McKim would have Education & Skills as his organisation, not Minister for Education & Skills, Office of the Minister, Ministers Office or any other derivation of the same. His position name is Minister.

Organisations should be entered along the following lines:
- Brown Brothers Pty Ltd
- Trevor & Co
- P T Smith Inc

- Do not use the prefix "Department" or "Dept" prior to naming a Section of the University or Government Department; the correct, unabbreviated name is sufficient, e.g. Rural Health, Premier & Cabinet, Education Science & Training, Treasury, etc.

- Do not use the prefix “The” prior to naming organisations such as “The Mercury”, “The Australian Newspaper”, “The Ombudsman Office”. The name is sufficient, e.g. Mercury, Ombudsman Office, Australian Newspaper.

Note: Do not make up your own Organisation abbreviations. Refer to Appendix 2 - Organisation Standard List.

5.5 Addresses

- All addresses must be entered in title case.
- No punctuation is to be used in addresses, i.e. no commas or full stops.
- Address Conventions - Road, Street, Crescent etc. can be abbreviated in accordance with standard abbreviations shown in the Street/Road Standard Abbreviations. Do not abbreviate the names of towns, suburbs, cities etc. under any circumstances.

Note: Refer to Appendix 2 - Street Standard List for Street abbreviations.

6 Glossary

<table>
<thead>
<tr>
<th>Term/Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Addresses</td>
<td>The street and/or postal addresses of contacts and organisations with whom the University corresponds or conducts any other business.</td>
</tr>
<tr>
<td>Contacts</td>
<td>Refer to Locations</td>
</tr>
<tr>
<td>Term/Acronym</td>
<td>Definition</td>
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<tr>
<td>----------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Free Text</td>
<td>The title fields where vocabulary controls from the business classification scheme are not enforced, allowing a user to summarise in their own words, but within the parameters of this standard.</td>
</tr>
<tr>
<td>KwikSelect button</td>
<td>The yellow drop down folder used in TRIM to enable users to choose from a listing, shown by the following icon 📊.</td>
</tr>
<tr>
<td>Locations</td>
<td>A listing of people and organisations both internal and external to the University. These are split into the following categories: Internal, External, People, Positions, Organisations, Groups, Committees, Project Team, Workgroup, and Venue.</td>
</tr>
<tr>
<td>Noise Words</td>
<td>A list of words that will not be indexed if they are used in record titles, notes etc., and therefore are not searchable terms. Common Noise Words include: &quot;about&quot;, &quot;and&quot;, &quot;of&quot;, &quot;that&quot;, &quot;the&quot;, etc.</td>
</tr>
<tr>
<td>Organisational Unit</td>
<td>College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.</td>
</tr>
<tr>
<td>Organisations</td>
<td>Government departments and agencies, non-government organisations, private companies and businesses with whom the University corresponds or conducts any other business.</td>
</tr>
<tr>
<td>Record Title</td>
<td>The field in TRIM where the title of a folder or document is created. This can be broken into two categories: Classification (structured part) and Title (free text). For example, in the case of a folder, the field is populated using authorised terms from the University’s Business Classification Scheme. In the case of a document, this field is populated by a free text summary of the document subject matter.</td>
</tr>
<tr>
<td>TRIM</td>
<td>The University’s Electronic Document and Records Management System (EDRMS).</td>
</tr>
</tbody>
</table>

7 References:

ISO 15489-1 International Standard on Information and Documentation Records Management - Part 1: General


Australia Post Address Presentation Standards incorporating (AS4590-2006 Interchange Client Information)

UTAS Web Services Editorial Style Guide

UTAS Council Speak

8 Versioning

<table>
<thead>
<tr>
<th>Former Version</th>
<th>Version 1</th>
<th>Trim Data Entry Standards, approved June 2003</th>
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</table>

<table>
<thead>
<tr>
<th>Former Version</th>
<th>Current Version</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version 2</td>
<td>Version 3</td>
</tr>
<tr>
<td>Trim Data Entry Standards, approved November 2008</td>
<td>Trim Data Entry Standards, approved May 2014. Amended in December 2016 to incorporate Colleges.</td>
</tr>
</tbody>
</table>
### Appendix 1 – Naming Conventions

<table>
<thead>
<tr>
<th>Type of Document</th>
<th>Naming Convention</th>
</tr>
</thead>
</table>
| Committee Minutes & Agenda                            | Meeting Number (if applicable) - Committee Name – Define whether Minutes or Agenda – Define if Special Meeting if applicable - Date of Meeting (Date in full, e.g. 8 September 2013)  
E.g. 01/13 – Records Management Steering Committee – Agenda – 15 January 2013 |
| Committee Appendices / Late Papers                    | Meeting Number (if applicable) – Item Number / Appendix Number – Description of Paper  
E.g. 01/13 - Records Management Steering Committee – Late Paper – 15 January 2013 |
| Invitations                                           | Invitation – Name of invitee – date of function – type of function – Sponsor  
E.g. Invitation – John Smith – 05/05/13 – Dinner Party – Alphawest |
| Letter of Appointments                                | Letter of appointment – Type of appointment/position – Location of appointment – Date range specified 00/00/00 – Name in full  
E.g.: Letter of appointment – Honorary Associate – School of Business – 01/01/13 – 31/12/13 – John Smith |
| Recommendation of appointment                        | Type of appointment/position – location of appointment – date range specified dd/mm/yy to dd/mm/yy – name in full  
e.g. Recommendation of appointment – Honorary Associate – School of Business – 01/01/13 to 31/12/13 – John Smith |
| Student Complaints Request for review                 | Student Complaint Review – other names SURNAME – ID no. – Student Request  
E.g. Student Complaint Review – Jane SMITH – ID 123456 – Student Request |
<p>|                                                       | Student Complaint Review – other names SURNAME – ID no. - Acknowledgement |
|                                                       | Student Complaints Tribunal – other names SURNAME – ID no. – document name or description |
|                                                       | Graduate Research Complaints Committee – other names SURNAME – ID no. – document name or description |
| Complaints Appeals                                    | Complaint Appeal - other names SURNAME – ID no – Student Request |
|                                                       | Complaint Appeal – other names SURNAME – ID no. - Acknowledgement |
|                                                       | Complaints Appeals Committee – other names SURNAME – ID no. – document name or description |</p>
<table>
<thead>
<tr>
<th>Appeals Against Exclusion/Complaints Appeals (Specific to Academic Progress Reviews)</th>
<th>Appeal Against Exclusion – other names SURNAME - ID no. – Student Request</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Appeal Against Exclusion – other names SURNAME - ID no. – Faculty Determination</td>
</tr>
<tr>
<td></td>
<td>Appeal against Academic Progress Review Committee decision – other names SURNAME - ID no. – Student Request</td>
</tr>
<tr>
<td></td>
<td>Appeal against Academic Progress Review Committee decision – other names SURNAME - ID no. – Acknowledgement</td>
</tr>
<tr>
<td></td>
<td>Complaints Appeal Committee – other names SURNAME - ID no. – document name or description</td>
</tr>
<tr>
<td><strong>Student Discipline Academic Misconduct</strong></td>
<td>Academic Misconduct – other names SURNAME – ID no. – unit code – Examinations Office Report</td>
</tr>
<tr>
<td></td>
<td>Academic Misconduct – other names SURNAME – ID no. – unit code – School allegation</td>
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<tr>
<td></td>
<td>Academic Misconduct – other names SURNAME – ID no. – unit code – School allegation &amp; evidence</td>
</tr>
<tr>
<td></td>
<td>Academic Misconduct – other names SURNAME – ID no. – unit code –School determination</td>
</tr>
<tr>
<td></td>
<td>Academic Misconduct – other names SURNAME – ID no. – unit code –School determination &amp; referral to Academic Misconduct Committee</td>
</tr>
<tr>
<td></td>
<td>Academic Misconduct Committee – other names SURNAME – ID no. – unit code - advice to student of referral</td>
</tr>
<tr>
<td></td>
<td>Academic Misconduct Committee – other names SURNAME – ID no. – unit code –document name or description</td>
</tr>
<tr>
<td><strong>Academic Discipline Appeals</strong></td>
<td>Discipline Appeal – other names SURNAME – ID no – unit code – Student Request</td>
</tr>
<tr>
<td></td>
<td>Discipline Appeal – other names SURNAME – ID no. – unit code - acknowledgement</td>
</tr>
<tr>
<td></td>
<td>Discipline Appeals Committee – other names SURNAME – ID no. – unit code - document name or description</td>
</tr>
<tr>
<td><strong>Student Discipline General Misconduct</strong></td>
<td>General Misconduct – other names SURNAME – ID no. – allegation</td>
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<tr>
<td></td>
<td>General Misconduct – other names SURNAME – ID no. – allegation &amp; evidence</td>
</tr>
<tr>
<td></td>
<td>General Misconduct – other names SURNAME – ID no. – determination</td>
</tr>
<tr>
<td>Category</td>
<td>Description</td>
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<td>------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
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<tr>
<td>General Misconduct</td>
<td>other names SURNAME – ID no. – referral to Executive Director Finance &amp; Administration</td>
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<tr>
<td>Discipline Appeal</td>
<td>other names SURNAME – ID no – Student Request</td>
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<tr>
<td>Discipline Appeal</td>
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<td>Discipline Appeals Committee</td>
<td>other names SURNAME – ID no. – document name or description</td>
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<td>University Medals</td>
<td>University Medals Year YYYY – document name or description</td>
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<td>University Medals (Awarded to 13 exceptional students by Academic Senate &amp; Teaching &amp; Learning)</td>
<td>E.g. University Medals 2013 – Faculty of Health Science nomination – support for nominee</td>
</tr>
<tr>
<td>University Policy &amp; Procedures</td>
<td>Name of Policy, Guideline, Procedure or Standard</td>
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</table>