

Electronic Records Management System (ERMS)

ERMS Process Guide 9

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## Instructions for Titling, Securely Storing and Retrieving Physical Contracts and Agreements

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### 1. Purpose

This guide describes the procedure for titling contracts and agreements to ensure standardised contract titling convention. It also provides a guide on how to securely store contracts.

### 2. Introduction

ERMS was introduced for University-wide use to replace the current paper-based Central Records System (CRS). ANU staff are required to retain records of the business activities undertaken on behalf of the University. The ANU [Policy - Records and Archives Management](#) states that staff will:

- document activities performed and decisions made on behalf of the University, and
- incorporate records created and received into the University's recordkeeping systems.

In order to comply with legislation and ANU policy it is essential that the University's records are held within ERMS. Further information relating to what constitutes official University records, their importance and our legislative requirements can be found on the [University Records website](#).

### 3. Related Information

Executed and signed contracts and agreements are considered vital records as they document the University's legal obligations in relation to various projects, intellectual property rights, property ownership etc. Refer to the ERMS Folder Framework to identify the correct folder location for contracts in the University's Business Classification scheme (BCS).

An ERMS Power User can arrange to have the original paper document securely stored with University Records in a safe envelope.

### 4. Documents referred to in this Process Guide

- ERMS BCS
- ERMS User Reference Guide
- ERMS Folder Framework

## 5. Abbreviations used in this Instruction sheet:

**CRS:** CRS refers to the University's paper based records management system called Central Records System. Paper files created were recorded in CRS. These paper records are either digitised and available in ERMS; or not digitised and information of the record (metadata) only available in ERMS.

**ERMS:** Is an acronym for Electronic Records Management System. ERMS is an ANU enterprise system used in managing the University's information over time for the purpose of meeting business needs, evidence, compliance with legislative and governance requirements, and ensuring good administration.

**BCS:** Is an acronym for Business Classification Scheme. The BCS is a standard set of terms used in ERMS to structure folders and categorise ANU records in a consistent manner, ensuring control over the way that information is stored.

**SERVICENOW:** Is the ANU Service Desk which provides IT support for all ANU staff and students. It allows ERMS enquiries to be logged and tracked.

## 6. Titling Contracts and Agreements

ANU Legal Office has developed a contract/ agreement titling convention for individual contracts/ agreements. It is for use by University staff when contributing contracts/ agreements into ERMS.

The titling convention for a contract / agreement is:

**<ANU party>-<other party>-<date of execution (signed)> –<content description>- <type of agreement>**

The titling convention includes the following elements which are separated by dashes:

- **<ANU party>:** The name of the University organisation/ individual who is entering into a contract/ agreement
- **<other party>:** The name of the organisation/ individual who is entering into a contract/ agreement with ANU or an ANU organisation/ individual
- **<date of execution (signed)>:** Enter the date the contract/ agreement was signed (executed) expressed in international date format YYYY-MM-DD
- **<content description>:** Enter the name or content of the contract/ agreement
- **<type of agreement>:** Select and enter the contract/ agreement type from the list below

### Type of Contract /Agreement List

Agency  
Commercial Joint Venture  
Commercial Law  
Commercialisation (*Incl. of ARC and NHMRC research*)  
Competition T & C  
Confidentiality  
Consortium (*Use for multi-institutional collaborations*)  
Consortium  
Contract  
Contractor (*use for external contractor engaged by ANU*)  
Conveyancing  
Employment (*Do not use for contractors or consultancy*)  
Endowment Funding (*Do not use for research grants or funding*)  
Hire (*Use for equipment, buildings etc. but not people – use Employment*)

Incorporation  
Insurance  
International Institutional Collaboration (*Do not use where main focus is research, student exchange or MOU*)  
Intellectual Property Rights (IP) Assignment by ANU  
Intellectual Property Rights (IP) Assignment by Staff Member  
Intellectual Property Rights (IP) Assignment by Student  
Intellectual Property Rights (IP) License  
Information Technology (IT) Procurement  
Lease  
Linkage Grant  
Loan/Gift  
Material Transfer  
Memorandum of Understanding (MOU) (*Do not use for Student MOUs*)  
Non-Disclosure Agreement  
Non-Research Consultancy Services  
Non-research Services  
Novation  
Occupier License  
Property License  
Publications  
Publishing  
Research Collaboration (*e.g. where both parties are participating in the research*)  
Research Consultancy (*e.g. for fully funded commercial research*)  
Research Grant (*Including ARC, HMRC etc.*)  
Research Joint Venture  
Research Services  
Residential Halls & Colleges (*Do not use where falls into another specific category e.g. hire*)  
Review  
Sale/Purchase  
Scholarships  
Shareholder  
Software Agreement  
Sponsorship  
Student Exchange  
Student Memorandum of Understanding (MOU)  
Student Placement  
Term Sheet  
Termination  
Testing Agreement  
Trademark or Brand

## 7. Secure Storage and Retrieval of Executed Contracts

Executed and signed contracts and agreements are considered vital records as they document ANU's legal obligations in relation to various projects, intellectual property rights, property ownership etc.

A digital copy of all executed and signed contracts and agreements should be uploaded to a relevant ERMS contribution folder that contains records documenting the process of developing, negotiating and agreeing to the terms of the contract. The ERMS folder and the digital copy of the contract should be titled in accordance with ERMS contract/agreement naming conventions.

Once the contract or agreement has been finalised and signed a Power User can arrange to have the original paper document securely stored with University Records in a safe envelope. Carry out the following actions to have an original paper document stored in a safe envelope:

### Request Secure Storage of an original Contract:

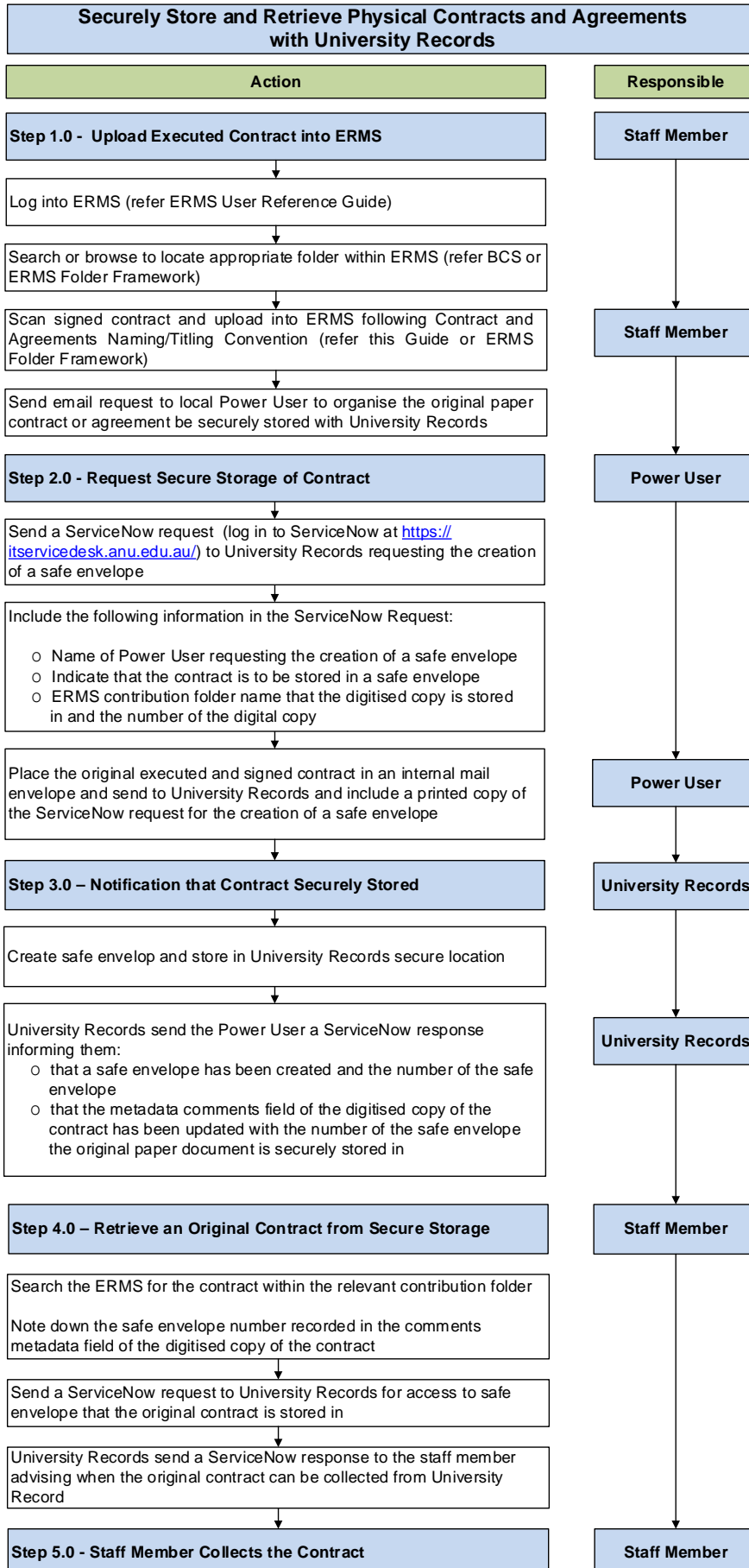
- a. Send an ServiceNow request (log in to ServiceNow at <https://itservicedesk.anu.edu.au/>) to University Records requesting the creation of a safe envelope and include the following information:
  - Name of Power User requesting the creation of a safe envelope
  - Indicate that the contract is to be stored in a safe envelope
  - ERMS contribution folder name that the digitised copy is stored in and the number of the digital copy
- b. Place the original executed and signed contract in an internal mail envelope and send to University Records along with a printed copy of the ServiceNow request for the creation of a safe envelope
- c. Once the safe envelope has been created, University Records will send the Power User a ServiceNow response informing them that:
  - that a safe envelope has been created and the number of the safe envelope
  - the metadata comments field of the digitised copy of the contract has been updated with the number of the safe envelope that the original paper document is securely stored in

### Retrieve an Original Contract from Secure Storage:

- a. Search the ERMS for the contract within the relevant contribution folder
- b. The safe envelope number is recorded in the comments metadata field of the digitised copy of the contract
- c. Send a ServiceNow request to University Records for access to safe envelope that the original contract is stored in
- d. University Records will send you a ServiceNow response informing you that the original contract can be collected from University Records

### Types of Original Records kept in Safe Envelopes:

- Property deeds
- Contracts
- Agreements
- Memoranda of understanding
- Deed of assignment of intellectual property rights
- Patents
- Co-tutelle agreements
- Licencing agreements
- Student exchange agreements
- Material transfer agreements
- Confidentially and non-disclosure agreements



## Process steps: Securely Store and Retrieve a Paper Contract with University Records

Step	Action	Responsibility
<b>1.0</b>	<b>Upload Executed Contract into ERMS</b>	<b>Staff Member</b>
1.1	Log into ERMS (refer ERMS User Reference Guide)	Staff Member
1.2	Search or browse to locate appropriate folder within ERMS (refer BCS or ERMS Folder Framework)	Staff Member
1.3	Scan signed contract and upload into ERMS following Contract and Agreements Naming/Titling Convention (refer this Guide or ERMS Folder Framework)	Staff Member
1.4	Send email request to local Power User to organise the original paper contract or agreement be securely stored with University Records	Staff Member
<b>2.0</b>	<b>Request Secure Storage of Contract</b>	<b>Power User</b>
2.1	Send a ServiceNow request (log in to ServiceNow at <a href="https://itservicedesk.anu.edu.au/">https://itservicedesk.anu.edu.au/</a> to University Records requesting the creation of a safe envelope	Power User
2.2	Include the following information in the ServiceNow Request: <ul style="list-style-type: none"> <li>○ Name of Power User requesting the creation of a safe envelope</li> <li>○ Indicate that the contract is to be stored in a safe envelope</li> <li>○ ERMS contribution folder name that the digitised copy is stored in and the number of the digital copy</li> </ul>	Power User
2.3	Place the original executed and signed contract in an internal mail envelope and send to University Records and include a printed copy of the ServiceNow request for the creation of a safe envelope	Power User
<b>3.0</b>	<b>Notification that Contract Securely Stored</b>	<b>University Records</b>
3.1	Create safe envelop and store in University Records secure location	University Records
3.2	University Records send the Power User a ServiceNow response informing them: <ul style="list-style-type: none"> <li>○ that a safe envelope has been created and the number of the safe envelope</li> <li>○ that the metadata comments field of the digitised copy of the contract has been updated with the number of the safe envelope the original paper document is securely stored in</li> </ul>	University Records
<b>4.0</b>	<b>Retrieve an Original Contract from Secure Storage</b>	<b>Staff Member</b>
4.1	Search the ERMS for the contract within the relevant contribution folder	Staff Member
	Note down the safe envelope number recorded in the comments metadata field of the digitised copy of the contract	

4.2	Send a ServiceNow request to University Records for access to safe envelope that the original contract is stored in	Staff Member
4.3	University Records send a ServiceNow response to the staff member advising when the original contract can be collected from University Record	University Records
<b>5.0</b>	<b>Staff Member Collects the Contract</b>	Staff Member
End of Process		