

Electronic Records Management System (ERMS)

ERMS Process Guide 1

How to Identify a Record

1. Purpose

This Process Guide describes the process for determining if ANU business information is to be considered a record to be included within the University's Electronic Records Management System (ERMS). ERMS is introduced for University-wide use to replace the current paper-based Central Records System (CRS).

2. Introduction

ANU staff are required to retain records of the business activities undertaken on behalf of the University. The ANU policy on 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 relevant records be 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 documents and information

The following provides summary information about records.

A record is all material that is created, sent and received in the course of carrying out business for ANU is potentially a record. The definition of a record is provided below:

Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.

(AS/ISO 15489 Australian Standard: Information and Documentation Records Management)

Records are essentially recorded information that provide evidence of work activities and transactions at the ANU. Records may be received by the ANU (e.g. email enquiry received from a student) or created by the ANU (e.g. an area's budget).

Records provide history and provide evidence of events, decisions, and advice provided.

Records may be in any format, including email, documents, web and intranet content, data, photographs, audio-visual materials. It is the message or content of the record that is important, not the medium.

A document is a record when:

- it is created or received by staff in the process of conducting University business, and
- documents decisions and actions taken on behalf of the University, and
- provides evidence of an outcome or decision.

Questions to ask to determine if a document or piece of information is a record:

- Does the record capture decisions, reasons, actions, that may be required as evidence of ANU business processes?
- What are the implications or risks if this record is not kept?

4. Documents referred to in this Process Guide

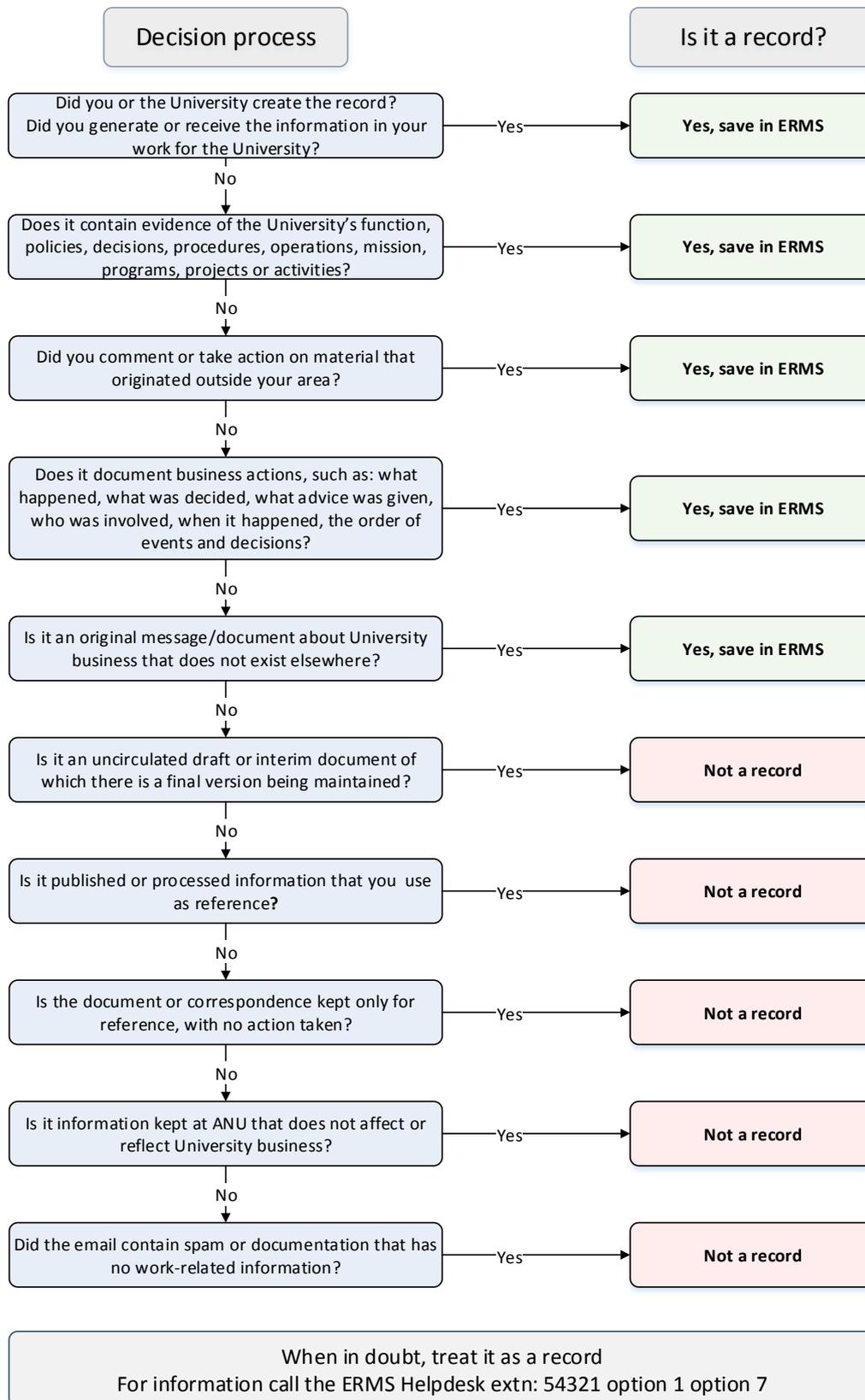
- ERMS Record Identification Checklist

5. Abbreviations used in this Process Guide

ERMS: Is an acronym for Electronic Records Management System

CRS: CRS refers to the University's paper based records management system called Central Records System. CRS paper files are either digitised and available in ERMS, or not digitised but information about them (metadata) is available in ERMS.

ERMS Record Identification Checklist



6. How to Identify a Record

Step	Action	Responsibility
1.0	Information Review	
1.1	ANU staff member receives or creates information in the process of managing University business	Staff member
1.2	The staff member refers to the Checklist if uncertain if the information should be considered a record.	“ “
1.3	The staff member reviews the information and takes action based on the criteria provided in the Checklist.	“ “
2.0	Stepping through the record criteria questions of the ANU ERMS Record Identification Checklist	“ “
2.1	Did you or the University create the record? Did you generate or receive the information in your work for the University?	“ “
2.2	If Yes meets record criteria save in ERMS If No review the information against the next criteria	“ “
2.3	Does it contain evidence of the University’s functions, policies, decisions, procedures, operations, mission, programs, projects or activities?	“ “
2.4	If Yes meets record criteria save in ERMS If No review the information against the next criteria	“ “
2.5	Did you comment or take action on the material that originated outside your area?	“ “
2.6	If Yes meets record criteria save in ERMS If No review the information against the next criteria	“ “
2.7	Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events and decisions?	“ “
2.8	If Yes meets record criteria save in ERMS If No review the information against the next criteria	“ “
2.9	Is it an original message or document related to University business that does not exist elsewhere?	“ “
2.10	If Yes meets record criteria save in ERMS If No review the information against the next criteria	“ “
2.11	Is it an uncirculated draft or interim for which a final version is being maintained?	“ “
2.12	If Yes does not meet the record criteria do not save into ERMS If No review the information against the next criteria	“ “
2.13	Is it published or processed information that you use as a reference?	“ “
2.14	If Yes does not meet the record criteria do not save into ERMS If No review the information against the next criteria.	“ “
2.15	Is the document or correspondence kept only for reference, with no action is taken?	“ “

2.16	If Yes does not meet the record criteria do not save into ERMS If No review the information against the next criteria	“ “
2.17	Is it information kept at ANU that does not affect or reflect University business?	“ “
2.18	If Yes does not meet the record criteria do not save into ERMS If No review the information against the next criteria.	“ “
2.19	Did the email contain spam or documentation that has no work-related information?	“ “
2.20	If Yes does not meet the record criteria do not save into ERMS	“ “
3.0	When in doubt, treat as a record! If there is still uncertainty as to whether the information is a record, a conservative approach is recommended and the information saved into ERMS as a record	“ “
3.1	For information call the ERMS Helpdesk extn: 54321 option 1 option 7	“ “
3.2	The ERMS Helpdesk, managed by the University Records Team, provides assistance in determining records	ERMS Helpdesk
End of Process		