

How to Lodge a Legal Document with Records Services

Purpose

All staff are required to lodge signed contracts and agreements as legal documents with Records Services to form the University of Adelaide's legal document register in Content Manager (CM).

Scope

This ensures that all legal document metadata is available within Content Manager and that all active agreements are managed and accessible by the relevant parties for the University to meet its compliance obligations.

Responsibilities

Under the Contracts and Agreements Policy and Information Management Policy all staff are required to lodge legal documents with Records Services for registration in Content Manager.

Procedure

1. The legal document lodgement form is available to download from Records Services webpage. Legal documents can be lodged electronically or in hard copy with Records Services accompanied by the completed legal document lodgement form.
2. Complete the lodgement form fields which will become searchable metadata fields in CM.

* Title of LD: Key Word Title of agreement (this will become the searchable Free Text title in CM)	
* Business owner responsible for LD: Area of the university responsible for negotiation of the LD e.g University Library	
* LD Type (see code from Tier 1): ____	LD Subtype (see code from Tier 2): ____

Please select legal document type and subtype (if applicable) from the list.

Legal Document Types and Subtypes

TIER 1 (LD Types)	TIER 2 (LD Subtypes)
a. Bank Guarantee	1. Collaboration

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b. Certificate	2. Confidentiality
c. Contract/Agreement	3. Consultancy
d. Deed	4. Facilities
e. File Note	5. Funding/Grant
f. Letter of Intent	6. Gift
g. Licence	7. Human resources (HR)
h. MOU	8. Information Technology (IT) Services
i. Non-Disclosure Agreement	9. Intellectual Property (IP)
j. Purchase Order	10. International
k. Sub-contract	11. Learning & Teaching
l. Title	12. Partnership
m. Other	13. Procurement (non-IT)
	14. Procurement (IT)
	15. Property & Leasing
	16. Release & Indemnity
	17. Research
	18. Scholarship
	19. Services
	20. Sponsorship
	21. Student Placement / Internship
	22. Other

***Records Services related **file number** (e.g. **2023/1234**)

Records Services will place the legal document in a file of your choosing (electronic or hard copy), please provide the relevant file number.

If you are unsure if there is an existing file to place the agreement, please contact the Record Services team for assistance records.services@adelaide.edu.au

If there is no existing file for your legal document and associated information, a new file needs to be requested for creation by completing the [New File Request Form](#).

It is important to register in Content Manager a complete record of the negotiation and associated documents.

Does this agreement include any International Party?

☒ Yes

☐ No

It is important to identify if the agreement is with or includes any international party(ies) and what country(ies) they are from. This provides the University with a central repository of all its formal engagement around the world and the nature of that engagement at both country and individual levels.

If you tick “yes” to international party, further details will need to be provided under section 4b of the form - Other party contacts. Once completed, you will be able to search and report on all agreements within the University with a particular country or a particular organisation e.g., Canada or the University of British Columbia.

Is it classified as a “significant contract” under the Contracts & Agreements Policy ☒ Yes ☐ No

To determine if your contract is considered “significant”, please go to the Contracts & Agreements Policy and Legal Services website for further information.

adelaide.edu.au/policies/2964/?dsn=;dsn=policy.version;field=data;id=;id=36965;m=login;m=view

FOI Confidentiality Clause added? ☒ Yes ☐ No

To determine if a Freedom of Information (FOI) confidentiality clause is required for the agreement, please [refer to the Legal Services briefing note regarding FOI Confidentiality Clauses](#).

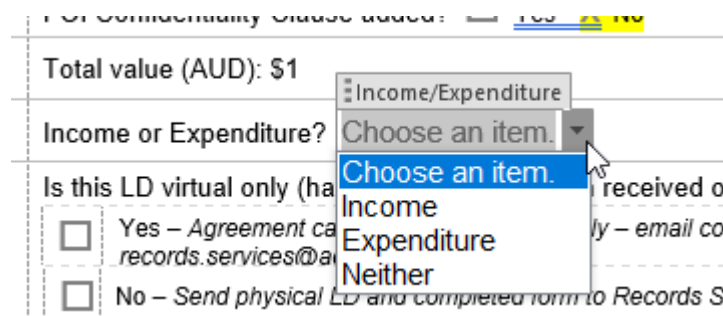
Total value (AUD): \$1

If known and applicable, please add the total value of the agreement in AUD.

Income or Expenditure? [Choose an item.](#)

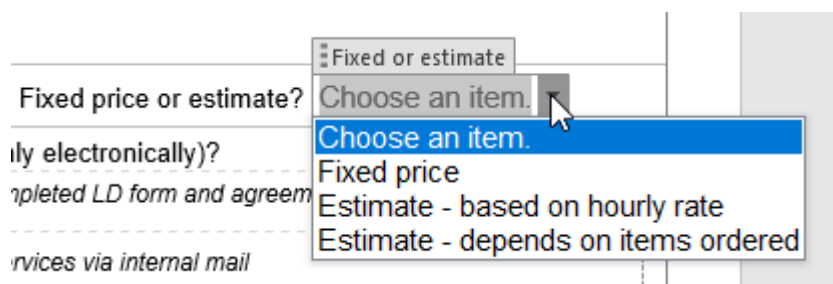
Fixed price or estimate? [Choose an item.](#)

Income or Expenditure can be selected from a drop-down menu on the lodgement form – please see below



The screenshot shows a section of the lodgement form. It includes a field for 'Total value (AUD): \$1'. Below this is the 'Income or Expenditure?' field, which has a dropdown menu open. The dropdown menu lists three options: 'Income', 'Expenditure', and 'Neither'. The 'Income' option is currently selected. To the right of the dropdown, there is a partially visible field labeled 'received o'.

Fixed price, Estimate – based on hourly rate or Estimate – depends on items ordered can be selected from a drop-down menu on the lodgement form – please see below



The screenshot shows another section of the lodgement form. It includes a field for 'Fixed price or estimate?' with a dropdown menu open. The dropdown menu lists three options: 'Fixed price', 'Estimate - based on hourly rate', and 'Estimate - depends on items ordered'. The 'Estimate - based on hourly rate' option is currently selected. Below the dropdown, there is a partially visible field labeled 'Completed LD form and agreement'.

Is this LD virtual only (has the agreement been received only electronically)?

- ☐ Yes – Agreement can be lodged electronically – email completed LD form and agreement to records.services@adelaide.edu.au
- ☐ No – Send physical LD and completed form to Records Services via internal mail

Agreements can remain entirely electronic with both the lodgement form and the agreement being sent to Records Services via email records.services@adelaide.edu.au.

Hard copy agreements and lodgement forms can be completed and sent to Records Services via internal mail to be added to physical files. If agreements have been sent through for lodgement before sending the physical copies to Records Services, please include the LD reference number on the top right of the paper to assist the Records Services team.

Are there supporting LDs relating to this document?	<input type="checkbox"/> Yes – continue below	<input type="checkbox"/> No – go to Section 2
List related LD numbers or attach new related LDs (with separate lodgement form):		
Does this new LD replace existing LDs currently lodged with Records Services?	<input type="checkbox"/> Yes – continue below	<input type="checkbox"/> No – go to Section 2
Existing LD numbers being replaced:		
Can these existing LDs be closed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Supporting or related legal documents can be noted for Records Services to close, replace and better manage the University Contracts Register.

2. Security *(Once lodged, to view the LD electronically you must be a member of the relevant security group)*

Name of security group: Research Legal Group

Legal Document group and FOI group is applied by default to all agreements.

Records Services adds security to legal documents by security group. Anyone who is a member of the security group can view the legal document record (attachment eg PDF). All staff can view the metadata but not the agreement itself.

3. Dates

*Contract start date:

*Contract expiry date:

Review dates (inform date and what revision is required):

Milestones (inform date and description):

Contract start and expiry dates need to be included. Please add review dates or any milestones if required for the management of the legal document. "Milestones" is a free text field and still searchable within Content Manager but should be approached with consistent language that will allow you or your team to access it in the future.

4. *Contact Details *(List below or attach additional page)*

a) Contract / internal contacts:

	Primary contact / contract manager	Secondary contact
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Name	Danna Slessor-Cobb	
Position	Team Leader Records Services	
School / branch	University Library	

b) Other party contacts:

	Party 1	Party 2
Name		
Organisation	University of British Columbia	
Phone number		
Email		
Country	Canada	

Contract manager is the individual who is responsible for the management and review of the LD, not the business area. There is no limit for the number of parties you can add. If over three parties, please see section 6 notes to add the additional information.

5. Obligations

University's obligations (inform dates and description):

Other parties' obligations (inform dates and description):

A non-mandatory field to offer description of the University's or other parties' obligation(s). Free text field which can be searched within CM.

6. Notes/Comments

Additional notes/comments you may want to add to this record:



Any additional notes or comments you may want to add including additional parties.

When your document has been registered in Content Manager

Once the Records Services team has completed the lodgement and the agreement has been captured to CM as LD, the LD number in Content Manager will be emailed to you to confirm lodgement.

Searching for your LD's in Content Manager

Lodging your legal documents with Records Services ensures that they are created as a legal document record type (LD). LD's have a unique reference number that differs from normal documents and files within Content Manager.

 Record Number	Title
 LD22470	Agreement - Records Services - Test - 27 June 2023

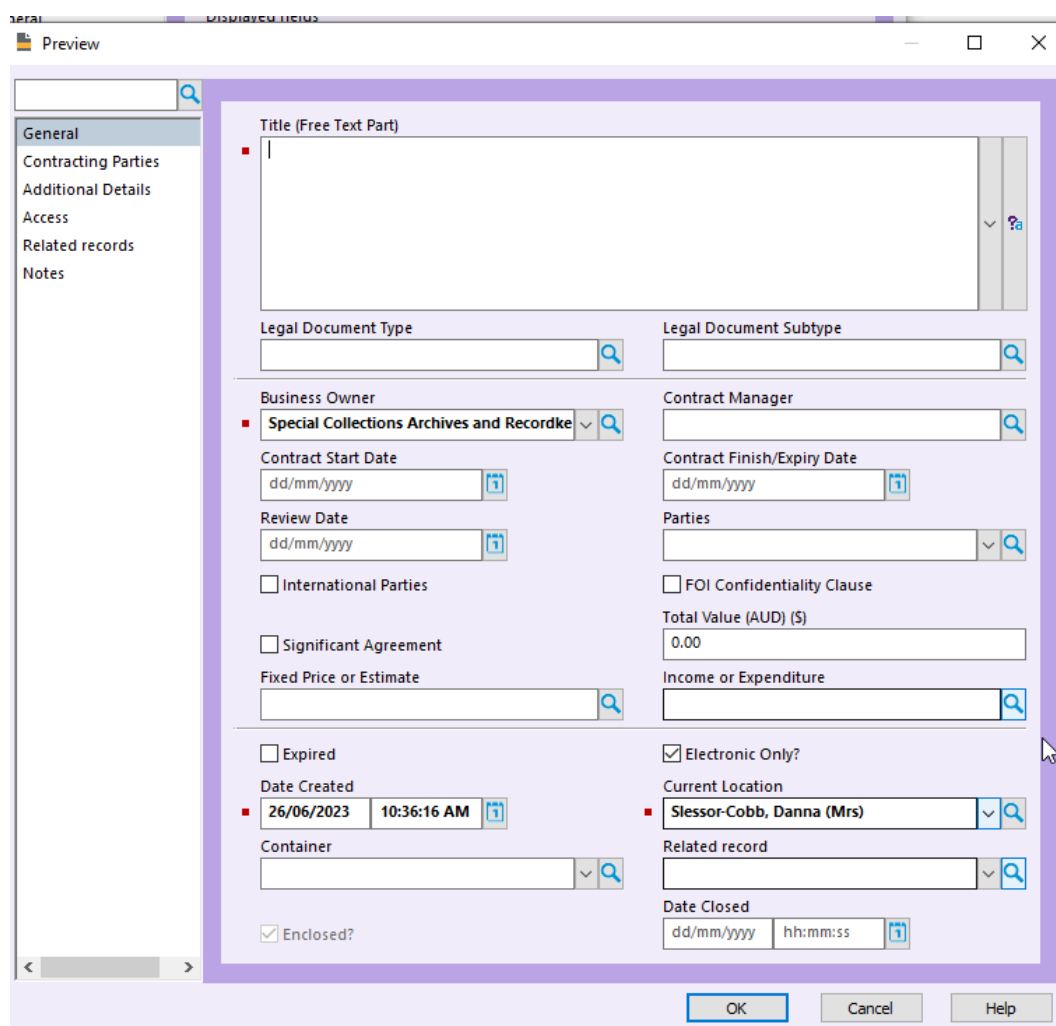
All Information about a signed legal document is available to all University of Adelaide Content Manager users. This can help other teams with reporting and understanding what agreements the University has in place. Only the people in the nominated security groups are able to view the document.

✓ Access To	Details
View Document	People in (Legal Document Group)
View Metadata	<Unrestricted>

If you need to view an expired agreement or an existing agreement that you are not able to access, please contact records.services@adelaide.edu.au

The legal document record type has all the metadata (or information) provided on the lodgement form and can be searched by any of those fields. It also allows users from all areas to report on any of the fields that might be relevant to their area. An example would be all the agreements the University has with international parties.

Below is an example of what the LD and all the information from the lodgement form looks like in Content Manager.



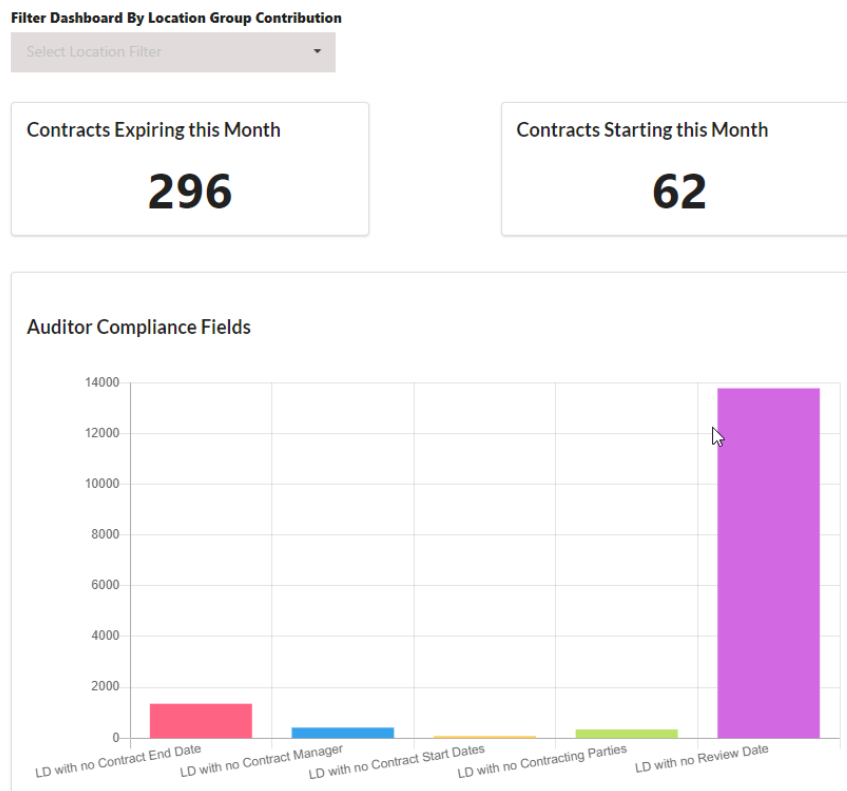
The screenshot shows a 'Preview' window in the Content Manager. The left sidebar contains a navigation menu with the following items: General, Contracting Parties, Additional Details, Access, Related records, and Notes. The main area displays a form for a Legal Document. The form includes the following fields and sections:

- Title (Free Text Part):** A large text area for the document title.
- Legal Document Type:** A dropdown menu.
- Legal Document Subtype:** A dropdown menu.
- Business Owner:** A dropdown menu with the selected value 'Special Collections Archives and Recordke'.
- Contract Manager:** A dropdown menu.
- Contract Start Date:** A date field with the value 'dd/mm/yyyy'.
- Contract Finish/Expiry Date:** A date field with the value 'dd/mm/yyyy'.
- Review Date:** A date field with the value 'dd/mm/yyyy'.
- Parties:** A dropdown menu.
- International Parties:** A checkbox.
- FOI Confidentiality Clause:** A checkbox.
- Significant Agreement:** A checkbox.
- Total Value (AUD) (\$):** A text field with the value '0.00'.
- Fixed Price or Estimate:** A text field.
- Income or Expenditure:** A text field.
- Expired:** A checkbox.
- Electronic Only?:** A checked checkbox.
- Date Created:** A date and time field with the value '26/06/2023 10:36:16 AM'.
- Current Location:** A dropdown menu with the selected value 'Slessor-Cobb, Danna (Mrs)'.
- Container:** A dropdown menu.
- Related record:** A dropdown menu.
- Date Closed:** A date and time field with the value 'dd/mm/yyyy hh:mm:ss'.
- Enclosed?:** A checked checkbox.

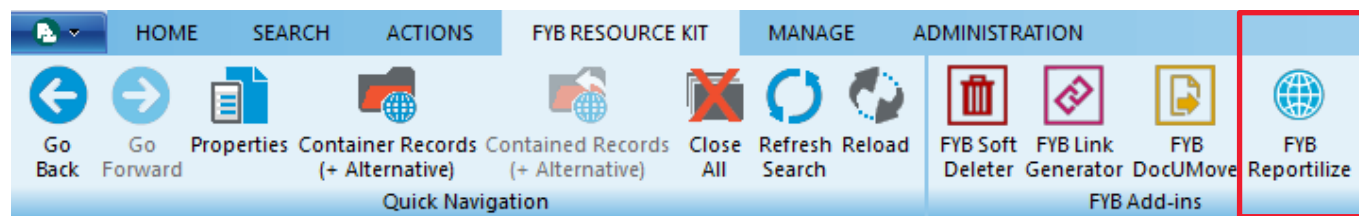
At the bottom of the window are three buttons: OK, Cancel, and Help.

Reports from Content Manager

Records Services can assist with setting up regular searches for areas as well as creating dashboards using our reporting tool, Reportilize. (Example below)



To access reportilize go to the FYB resource kit tab in Content Manager and Select FYB reportilize



Access to Content Manager and restrictions

All University staff can have access to Content Manager by requesting a Content Manager licence - [Licence Application | Online Requests \(adelaide.edu.au\)](#)

Security Groups required to restrict access to lodged legal documents can be requested for creation by completing the Security Group Application form - [Security Group Application Form | Online Requests \(adelaide.edu.au\)](#)

Definitions

- CM – Content Manager
- LD – Legal Document

Version: 1

Date of creation/review: