

Records Classification: Do Big Buckets = Big Headaches?



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Introduction

- Definitions
- Examples
- Exercises
- Departmental / Functional RRS
- RRS Demo



Definition - Classification

- The process of systematic arrangement into groups according to established criteria.

(Webster's 9th New Collegiate Dictionary, 1987)



Definition - Classification

- The process of devising and applying schemes based on business activities which generate records whereby they are categorized in systematic and consistent ways to facilitate their capture, retrieval, maintenance, and disposal.

(AS 4390.1-1996, Section 4.8)



Definition - Classification

- Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system. (*ISO 15489-1:2001E*, Section 3.5)



Classification Summary

- A process – arranging (classifying) things
 - Into a structure (framework, scheme)
 - Categories, groups, “buckets”
 - Following rules
 - Systematic
 - Consistent
 - Categories must be:
 - Mutually exclusive
 - Singularly exhaustive



Purpose of Classification

- To facilitate:
 - Storage
 - Retrieval
 - precision and recall
 - Maintenance
 - Disposition
- Essential to managing electronic records.



Examples

- Supermarket
- Video Store
- Records Retention Schedule



Example - Supermarket

Shopping List:

- Apples
- Cheese
- Chicken (cooked)
- Chicken (raw)
- Cough Drops
- Raisins

Location:

- _____
- _____
- _____
- _____
- _____
- _____



Example - Supermarket

Shopping List:

- Apples
- Cheese
- Chicken (cooked)
- Chicken (raw)
- Cough Drops
- Raisins

Location:

- Produce
- Deli case
- Service Deli
- Meat Counter
- Personal Care
- Snacks



Example – Video Store

Movie:

- *Little Miss Sunshine*
- *Gone with the Wind*
- *Star Wars*
- *Lord of the Rings*
- *Hairspray*

Genre:

- _____
- _____
- _____
- _____
- _____



Example – Video Store

- Movie:
 - *Little Miss Sunshine*
 - *Titanic*
 - *Gone with the Wind*
 - *Star Wars*

 - *Lord of the Rings*
 - *Hairspray*
- Genre:
 - Comedy
 - Romance
 - History? Romance?
 - Adventure? Science Fiction?
 - Adventure? Fantasy?
 - Musical? Comedy?



Business Examples

- Chart of Accounts
- Job Classifications
- Standard Industry Classifications



Classification in RM

- Used for:
 - Filing Systems / File Plans
 - Records Retention Schedules



Definition – Record Series

- A group of related records, filed / used together as a unit, and evaluated as a unit for retention purposes.

(ARMA International, Glossary of Records and Information Management Terms, 2000)



Definition – Appraisal

- The process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement and relationship to other records.

(ARMA International, Glossary of Records and Information Management Terms, 2000)



Definition – “Big Bucket”

- The application of appraisal criteria to multiple similar or related groupings of information across one or multiple agencies to establish a uniform retention period.

(NARA, “Flexible Records Scheduling: Strategies for Analysis”, 2003)



Developing a RRS

- Departmental RRS
- Functional RRS
- “Big Bucket” RRS



Departmental RRS

- Advantages:
 - Easy to understand
 - Easy to train
 - Uses familiar record names
 - Mirrors the organization chart
- Disadvantages:
 - Many records series and RRS to maintain
 - Redundant entries
 - Conflicting retention periods
 - RRS must be revised each time there is a re-organization
 - Cannot use the same RRS at multiple offices / locations



Functional RRS

- Advantages:
 - Consistent retention periods
 - Eliminates duplicate records series
 - Matches legal citations more accurately
 - Fewer records series to maintain
 - More closely reflects business processes
 - Supports EDMS, RMA
 - Promotes standard naming conventions
 - Best Practice / ISO 15489 compliant



Functional RRS

- Disadvantages:
 - More time-consuming development process
 - Must analyze business processes
 - Requires additional training – new way of thinking about records



“Big Bucket” RRS

- Advantages:
 - Eliminates scheduling backlog
 - Schedule less likely to change
 - Improves consistency
 - Simplifies ERMS system requirements
 - Simplifies classification for user
 - Mitigates risk



“Big Bucket” RRS

- Disadvantages:
 - Leads to an increase in retention periods
 - Results in more storage needs
 - Increases migration of e-records
 - Increases e-discovery risks
 - May be counter-intuitive



RRS Types:

Departmental, Functional, "Big Bucket"

- Departmental:
 - Retention Schedules = Many
 - Record Series = 100s – 1,000s
- Functional:
 - Retention Schedule = 1
 - Record Series = 50 – 200

“Big Bucket” = 1 RRS 3 – 50 Records Series

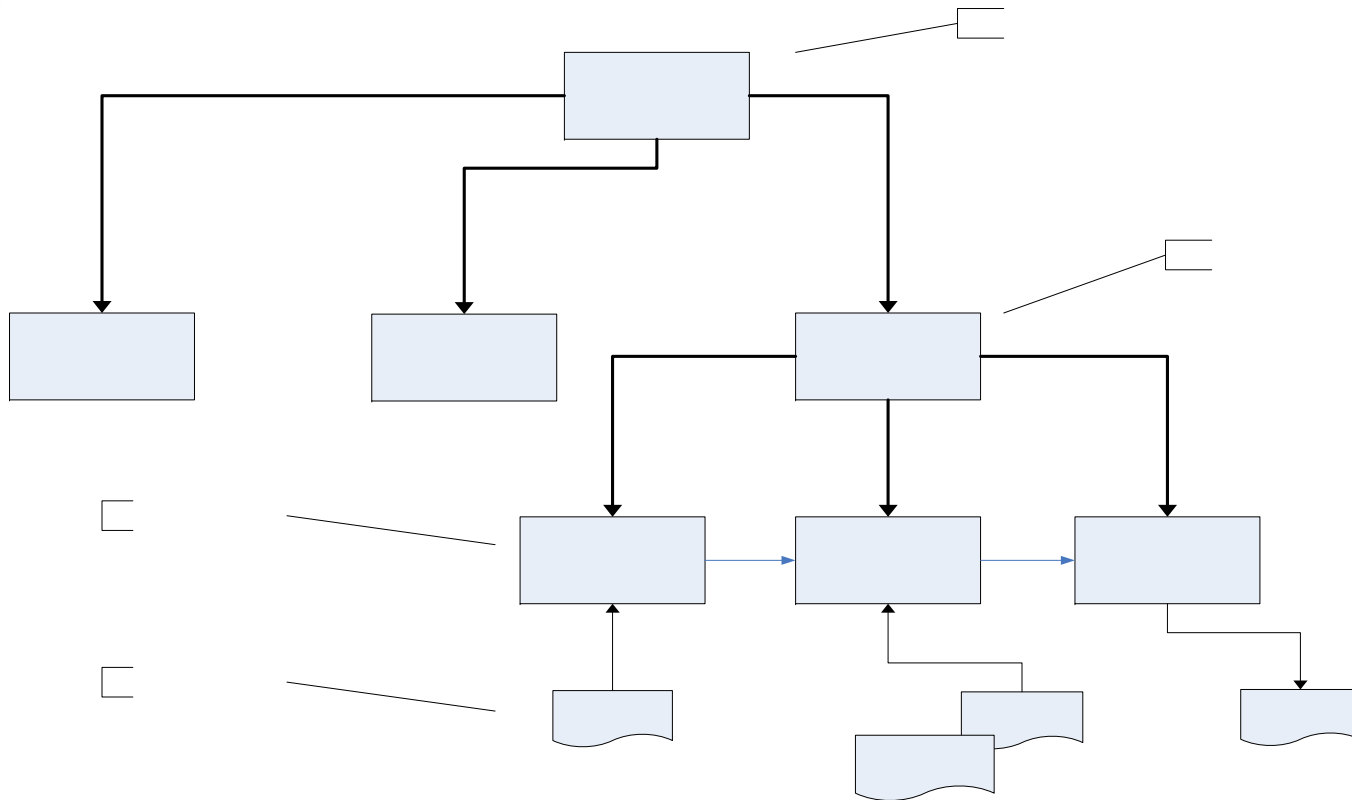




Developing Classification

- Identify functions
- Analyze functions to identify activities
- Analyze activities to identify steps
- Identify records

Functional Classification





Developing Classification

- Clear connection:
 - Function \Leftrightarrow Activity \Leftrightarrow Record



Sample Functions

Australian National Archives: Administrative Functions Disposal Authority

- Community Relations
- Compensation
- Equipment and Stores
- Establishment
- Financial Management
- Government Relations
- Industrial Relations
- Information Management
- Legal Services
- Occupational Health and Safety
- Personnel Management
- Property Management
- Publication
- Staff Development
- Strategic Management
- Technology and Telecommunications



Financial Management –

“The function of managing the organization’s financial resources.”

Sub-functions:

- Accounting
- Allocating Resources
- Maintaining Asset Register
- Auditing
- Authorizing
- Budgeting
- Funding Grants
- Making Donations
- Managing Risk
- Managing Treasury
- Preparing Financial Statements
- Reporting



Exercise – Classifying Records

Record:

- Budget
- Expense Report
- Personnel Evaluation
- Press Release

Location:

- Security Dept.
- Legal Dept.
- Accounting Dept.
- HR Dept.



Exercise – Classifying Records

Record:

- Budget
- Expense Report
- Personnel Evaluation
- Press Release

Function:

- Financial Mgmt.
- Accounting
- Personnel Mgmt.
- Community Relations



“Big Buckets” = Big Headaches?

- Yes?
- No?
- *You* decide for *your* organization



Summary

- Classification
- Appraisal
- Classic RM activities
- Electronic records impact



Thank you!

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Interactive RRS Demo
