

**Records Management 103:**  
Classification and Files Management

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- Welcome to the Classification & Files Management Workshop.
- This workshop will help you:
  - Better manage your files
  - Enable you to organize your department's records more efficiently
  - Implement records retention policy more effectively
  - Improve records retrieval

**Welcome and Introduction**

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- Main goals of classification and files management:
  - Divide Information into manageable segments
  - Browse and retrieve records easily and efficiently
- Topics to be covered:
  - Overview of Classification Systems
  - What are Classification Systems
  - Basics to Classification/File Plan Building
  - Maintenance of Classification Scheme/File Plan

**Overview**

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- Record
- Non-Record
- Classification
- Classification Scheme
- Classification System
- File Plan
- Filing System
- Taxonomy
- Thesaurus
- Metadata

**Vocabulary**

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**Exercise 1**

Film:	Genre:
The Da Vinci Code	Mystery
The Notebook	Romance
Pirates of the Caribbean	Action & Adventure
March of the Penguins	Documentary
Casablanca	Classics
Napolean Dynamite	Comedy
Pan's Labyrinth	Foreign
Casino Royale	Action & Adventure

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**Why do we create classification systems?**

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### Time Spent – Six IM Activities

(Syncercon Survey)

<u>Professional Class</u>	<u>Time Spent (hours)/week</u>
Executive	6.50
Senior Professional	15.00
Professional	11.48
Professional Support	18.54
Senior Support Specialist	14.50
Support Specialist	16.70

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- Proper care and maintenance of the University's records efficiently and economically
- Find the record you need quickly and economically (regardless of format)
- The average worker spends 20% of his/her day looking for documents or information that is misplaced or lost
- Major corporations lose a document every 12 seconds

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- **Benefits:**
  - Faster filing and fewer misfiles
  - Less likelihood of litigation losses or unfavorable audit findings
  - Compliance with legal and audit requirements and open records requests
  - Less costly recovery of vital records
  - Easier training of new personnel
  - Efficient management of records and their disposition
  - Improved service to staff and the public

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**What are classification systems?**

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**Filing Revisited**

- Historical systems
- Dedicated positions (e.g., file clerk, department secretary)

Example: Departmental Subject File  
Example: Cross References Card File/Box Listing

Current practices:

- Similarities
- Differences



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**Principles of Classification**

- Act of analyzing and determining the subject content of a document and then selecting the subject category under which it will be filed and/or indexed. (ARMA Glossary)
- Grouping things into categories; placing them with the things they are like and separating them from which they are different
- Applied to all kinds of media: paper, electronic records, and web sites
- Flows from the general to the specific

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### Records Classification Scheme

- Hierarchical
  - Function → Activity → Topic → Subtopic
  - E.g., Financial Management – Acquisitions – Requisitions
- Often depicted as a directory or folder structure
- Controlled vocabulary
- May be represented as a functions thesaurus
  - Alphabetical & hierarchical
  - Includes related, broader, narrower and non-preferred terms when applicable

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### Classification Schemes

- Library of Congress
  - <http://www.loc.gov/catdir/cpso/loc.html>
- Dewey Decimal
  - <http://www.tnrdlib.bc.ca/dewey.html>
- North American Industry Classification Scheme (NAICS)
  - <http://www.census.gov/epcd/www/naics.html>
- ACM
  - <http://www.acm.org/class/1998>
- Patient Classification System
  - <http://icsinternational.org/>
- List of classification schemes
  - <http://www.invista.com/society/education/info/classif.htm>

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### Online Thesauri

- Library of Congress Subject Headings
  - <http://authorities.loc.gov/>
- Art & Architecture
  - [http://www.oettv.edu/research/conducting\\_research/vocabularies/aar/](http://www.oettv.edu/research/conducting_research/vocabularies/aar/)
- Curtin University of Technology, Australia
  - [http://records.curtin.edu.au/records\\_management/documents/2008-02-26FileClassificationSchemeV2.01.pdf](http://records.curtin.edu.au/records_management/documents/2008-02-26FileClassificationSchemeV2.01.pdf)
- Agris Subject Categories
  - <http://www.fao.org/scripts/agris/c-ateg.htm>
- Medical Subject Headings (MESH)
  - <http://www.nlm.nih.gov/mesh/>
- Taxonomy Warehouse
  - [http://www.taxonomywarehouse.com/querybyvoc\\_search\\_include.asp?](http://www.taxonomywarehouse.com/querybyvoc_search_include.asp?)

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### What's the difference between a classification scheme, file plan, and a filing system?

- A file plan is a type of classification scheme that "describes different types of files maintained in an office, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the approved disposition for each file." (ARMA Glossary)

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### Differences cont...

- A filing system is the "systematic indexing and arranging of records based on established procedures." (ARMA Glossary)
- Most filing systems are arranged alphabetically, chronologically, numerically, or alpha-numerically.

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### Relationship to Records Schedules

- Classification is used in records management to create file plans, filing systems, and records retention schedules.
- Records retention schedules are a type of classification.
- In most cases, records are classified by function (e.g., payroll functions, accounting, personnel).

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**Records Schedules cont...**

- On campus there are generally two types of records schedules:
  - General campus-wide/system-wide
  - Departmental
- Advantages of general campus/system-wide schedules:
  - Consistent retention periods
  - Elimination of duplicate series
  - Maintenance of fewer series
  - Reflection of business processes
  - Promotion of standard naming conventions

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**Records Schedules cont...**

- Disadvantages of general campus/system-wide schedules:
  - Time intensive to analyze business processes
  - Additional training
- Example: [Faculty and Academic Staff – Personnel General Records Schedule](#)

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**Records Schedules cont...**

- Advantages of departmental schedules:
  - Departmental specific
  - Reflects organization of department
  - Finer detail
- Disadvantages of departmental schedules:
  - Proliferation of records series
  - Duplication across campus
  - Conflicting retention periods
  - Department use only
  - Revision due to reorganization

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**Records Schedules cont...**

- Example: Clinical Trials Records
  - [Department of Neurology](#)
  - [Department of Orthopedics](#)

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**Basics to classification-file plan building**

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**Basic Building Blocks**

- ASSIGN responsibility
- OBTAIN support
- IDENTIFY by inventorying records
- CLASSIFY by analyzing records
- DEVELOP a file plan
- IMPLEMENT the filing plan
- COMMUNICATE the plan to users & IT staff
- TRAIN users
- MONITOR implementation, follow-up and revise

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### Paper & Electronic Records

- Classification should be applied to both paper & electronic records and subject to the same retention and disposition.
- Email messages can be managed within the email client or outside of it.
- In a shared drive environment, folders and subfolders can be established and designated as the 'official files.'
- Close out year-end folders and create new folders.
- Remove, delete non-records and personal messages daily

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### Naming Conventions

- Alphabetical
- Chronological
- Numerical
- Alpha-numerical
- Abbreviation

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### Naming Conventions

- Example: EPA file plan

<http://www.epa.gov/records/tools/toolkits/filecode/>

Agency File Code		Title
Function	No. Item	
305		Public Affairs
305-109		Official Information Dissemination
305-109-02		Public Information and Outreach
305-109-02-04		Provide Public Information, Education and Outreach
	250	Publications and Promotional Items
	a	Publication or promotional items depicting EPA's environmental mission activities
	b	Routine publications or promotional items
	c	Working papers and background materials

function code  
schedule number  
disposition item

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### Naming Conventions cont...

- Use the file plan to label folders

**305-109-02-04 250b**  
Analysis of Management of Electronic Records  
4/1/2004 - 9/1/2004  
Recommended framework for policy development and dissemination and summary of final comments

Ellis, John  
EPA National Records Management Program

- Agency file code
- folder title
- folder date range
- folder description
- folder custodian

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### Naming Conventions cont...

- Use the file plan create an electronic folder structure

File Plan

- 305-109-02-04 — Provide Public Information, Education and Outreach
  - 250 — Publications and Promotional Items
    - b — Routine publications or promotional items
      - Analysis of Management of Electronic Records.doc

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### Metadata

- "Data about data"
- Conveys content, context & structure
- CONTEXT is the business activity at the time of creation
- CONTENT is the subject matter; the topics or matter treated in the work
- STRUCTURE is the form and relationships
- Creates a full & accurate record

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### Metadata: Dublin Core

- Simple Dublin Core (DC) is a widely used metadata standard with 15 elements
- Describes information resources (data about data) both analog and digital; although most often used to describe digital objects
- DC is often used as a basis for internal metadata schemas

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### Metadata: Dublin Core cont...

<http://dublincore.org/documents/dces/>

- Element set:
  - Title
  - Subject
  - Description
  - Creator
  - Publisher
  - Contributor
  - Date
  - Type
  - Format
  - Identifier
  - Relation
  - Source
  - Rights
  - Language
  - Coverage

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### Collecting Metadata

- Electronic Records Management System
- Microsoft Office Products
- PDF
- Other software products available

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**Maintenance of classification-file plan**

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**Maintenance**

- Keep in touch with users
  - Records creators and users may provide vital information
- Periodically update file plan as necessary
- Have you left enough room for growth? Some classification schemes/file plans are more easily updated than others.

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**Exercise 2**

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### Minnesota Recordkeeping Metadata Standard Example

- Based on Dublin Core
- Consideration before beginning:
  - What level should you apply the metadata?
- Example of schema using a University Record:
  - Agent
  - Rights Management
  - Title
  - Subject
  - Description
  - Language
  - Relation

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### Minnesota Recordkeeping Metadata Standard cont...

- Coverage
- Function
- Date
- Type
- Aggregation Level
- Format
- Record Identifier
- Management History
- Use History
- Preservation History
- Location
- Disposal
- Mandate

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- Topics covered today:
  - Overview of Classification Systems
  - Basics to Classification/File Plan Building
  - Maintenance of Classification Scheme/File Plan
- Classification & files management:
  - Important information management tool
  - Essential for the organization, storage and retrieval of University Records
  - Requires collaboration

### Summary

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- Questions & Comments?
- Upcoming Workshops:
  - July 9 – RM 104: Electronic Records Management
  - August 14 – RM 112: E-mail management
- For additional records management information, visit our web site at:  
<http://archives.library.wisc.edu/index.html>

**More information**

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