

Taxonomy and Functional Classification for RIM

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3:30 - 4:45 PM

Review: Definition of Core Concepts

- Taxonomy:
 - *“the rules or conventions of order or arrangement”*
(Lambe)
- A taxonomy exists when:
 - a set of information has a rule to its arrangement that is known or knowable
- Classification:
 - A system of organizing things or concepts into groups or categories using established criteria
 - The act of organizing or ‘filing’ information according to an existing schema.

Review: Classification

- A Classification Schema (CS) has three purposes:
 - Provide a structure that guides how to organize records
 - Provide a means to easily find and use records
 - Provide a means to manage records over time

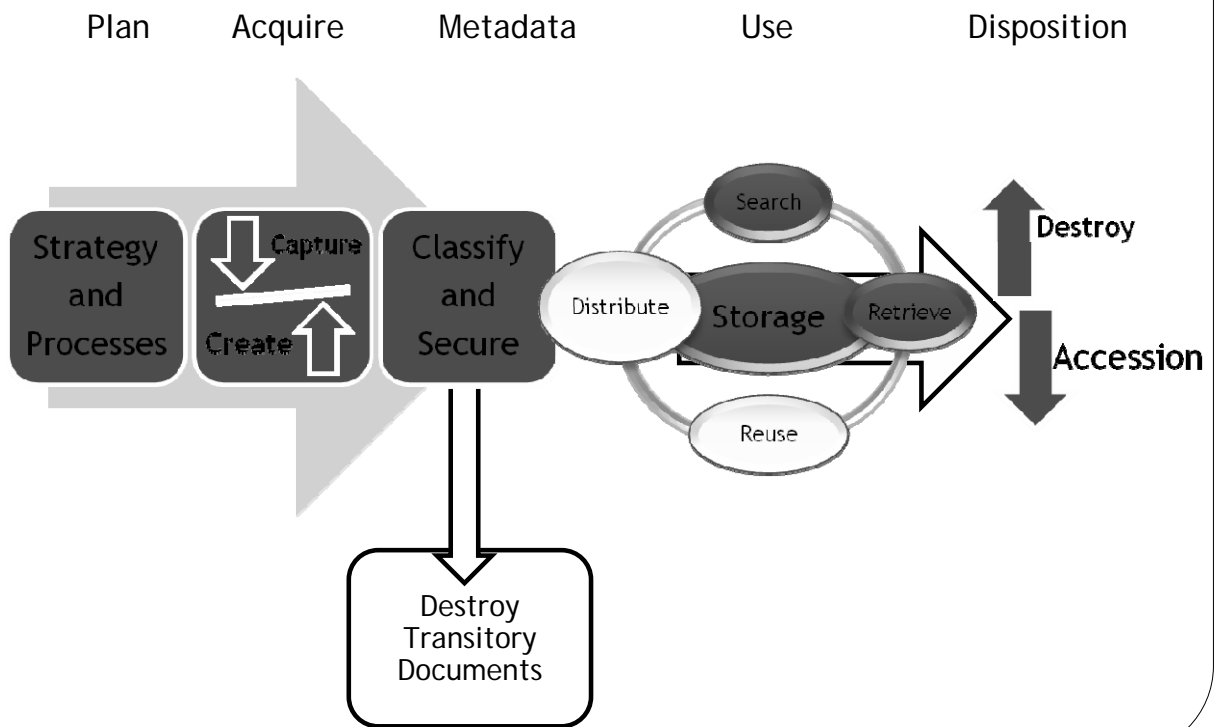
- Characteristics of a Good CS:
 - Knowable
 - Consistent
 - Predictable
 - Flexible

Why do we Classify?

- Aggregation
- Discovery
- Access/security
- Filtering
- Reporting
- Disposition management



Lifecycle of Information



Phases of Record Lifecycle

Taxonomy
Classification

1. Declaration and classification
2. Active use and search

Retention
Schedule

3. Cutoff
4. Retention
5. Disposition

Business Process Analysis

- Function
 - The means by which an organisation or system fulfils its purpose
- Activity
 - What an organization does and how it does it
- Transactions
 - Defines the business processes undertaken by users (Workflow)



Functional Classification

- Classification based on the business activity context
 - Theory: records are a natural result of business activity/process
- FUNCTION -> ACTIVITY -> (SUB-ACTIVITY) -> TRANSACTION
- Why?
 - Stability of FUNCTIONS and Activities (unlike Org Chart)
 - Connects activity to information flows
 - Provides a means to connect activities and records in the larger context
 - Allows for application of retention at point of records creation, not at 'retirement'
 - Reduces the effort in the development, revision and management over time of retention schedules

File Plan Design

- Function / Activity / Transaction Model
 - Build plan no more than 3 or 4 layers deep
- Use Categories
 - Similar transactions in one category
 - All with same disposition
- Use Folders and Volumes
 - Organize by time period
 - Dispose of folders / volumes at same time

Exercise: Functional Classification

Observations

- Common, Major Activities present a dilemma - is it a FUNCTION, or an activity under many FUNCTIONS?
- 'Pure' Functional arrangement isn't always most useful
 - Practical exceptions are typical: Forms, Ad hoc entities such as Projects, Case Files, Committees
- As schema deepens, the top levels become more general and less useful
 - The goal is to reduce classification levels
- To be more useable, successful schema need to adapt their structure and assist users with added information or
 - 'Poly-Hierarchy': Terms can be repeated in the classification
 - Example: 'Contracts' under Projects, Legal, Finance
 - Thesaurus, Facets (metadata)

Impact of Technology

- The technology you use to manage records governs what you are able to do with classification
 - File Shares: Folder driven; little metadata
 - ECM: Folder driven (mostly) or metadata driven (few); metadata rich
- Reality 1: Content is/will be managed in many 'places' (technologies)
- Reality 2: ALL Content technology allows only a 'segmented' view of the whole, because of security and access controls

Classification in ECM

Class vs Classification

	Class	Classification
What it does	Determines record properties	Determines record disposition
What user chooses	One of the classes available on that object store	Location in the file plan
Who creates it	Content engine administrator	Records manager

Record Class Example

- Employee Record Class
 - Properties (metadata)
 - Employee ID
 - Employment Status
 - Trigger: the value that initiates a disposition action
 - 'Not Employed' Trigger
 - Internal event that activates when the Employment Status property is not "Active" or = "Term Date"
 - Actions
 - Cut Off
 - Transfer to X
 - Destroy

Metadata

User Defined Date	6/30/2009
Description	Forward Financial Report Q1 2009
Subject	Financial Statements
Author	
Source/Path	H://Finance/QuarterlyStatements
Format/Application	Microsoft Word
Declared by	S Jones
Date Filed	7/30/2009 11:05:32 AM
Media Type	Electronic File

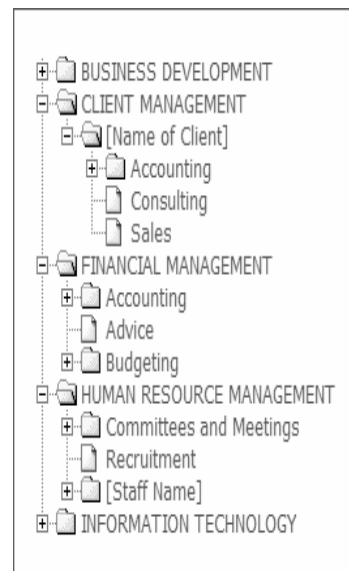
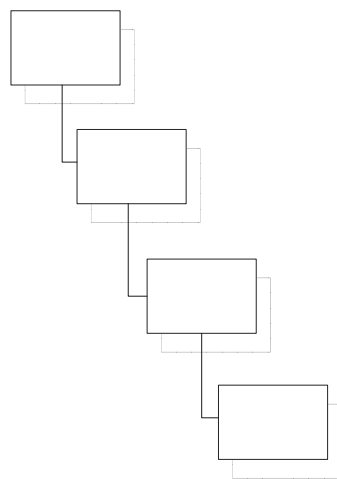
Mapping Retention to Classification in ECM

Record Series to Classification

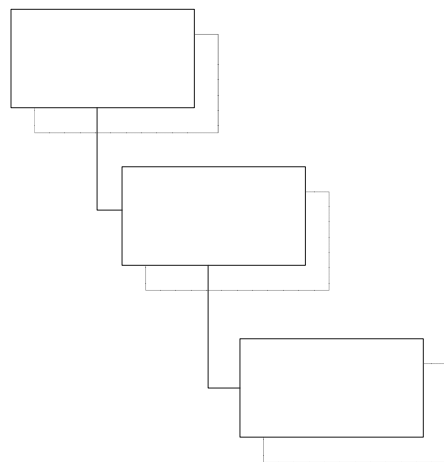
- Record Series
 - Groups of records with similar characteristics and retention requirements
- Disposition Classes
 - The disposition instruction set for each Records Series in an ECM/RM system
- Classification
 - Grouping of business activities and/or records into categories



Business Classification Scheme

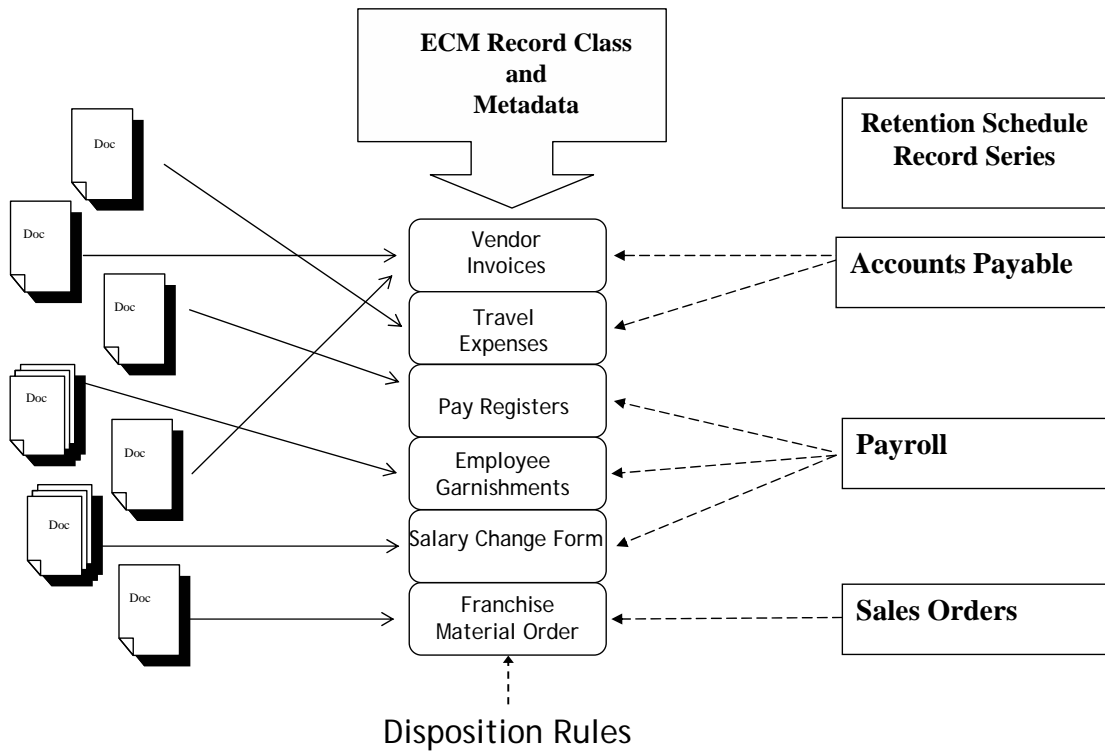


Records Retention Schedule

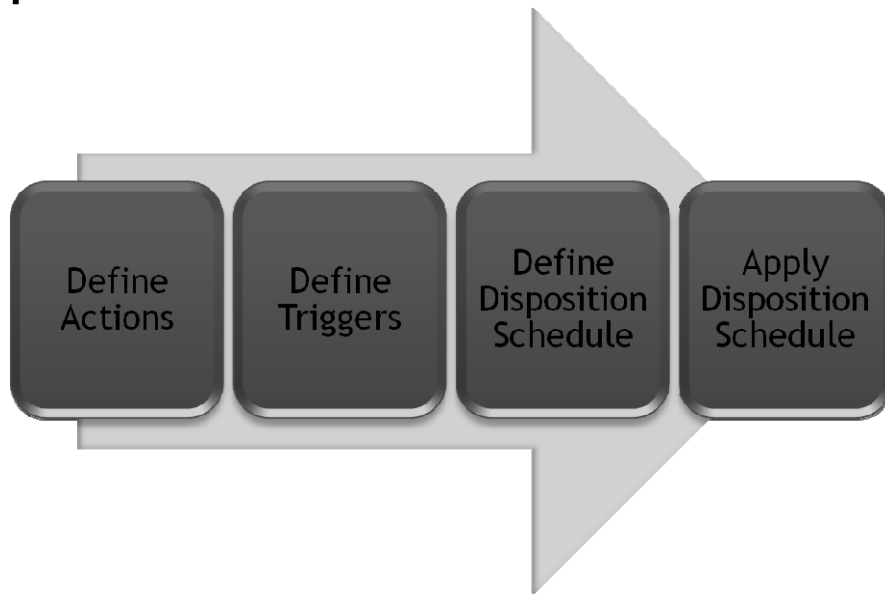


- [-] BUSINESS DEVELOPMENT
- [-] CLIENT MANAGEMENT
- [-] FINANCIAL MANAGEMENT
 - [-] Accounting
 - [-] FM 001
 - [-] Asset Register
 - [-] Budgeting
 - [-] Committees and Meetings
 - [-] Reporting
 - [-] Superannuation

Mapping Records to Record Series



Disposition Rule Creation



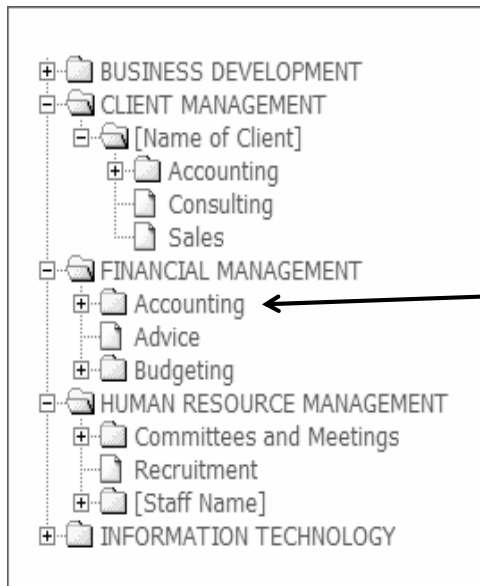
Disposition Classes

- Triggers
 - Payment Date
 - Date Created
 - Termination date
 - Expiration date ...
- Actions
 - Destroy after 3 years
 - Destroy after 5 years
 - Destroy after 7 years
 - Destroy after 10 years
 - Destroy after 30 years ...

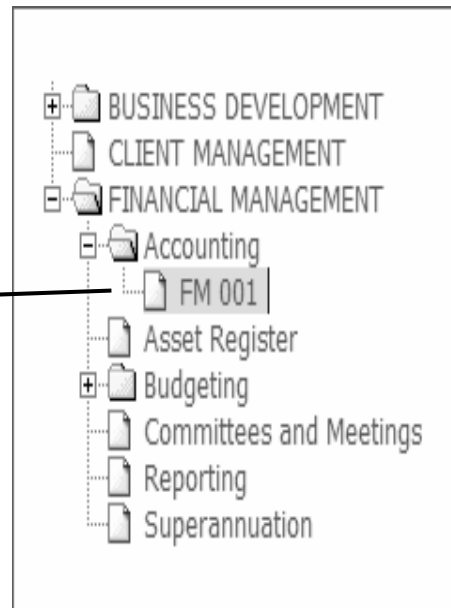
aka "Big Buckets"

Map Retention to Classification

Classification

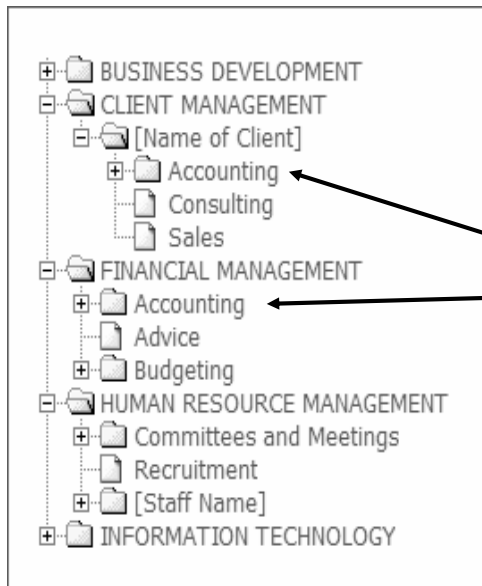


Retention Schedule

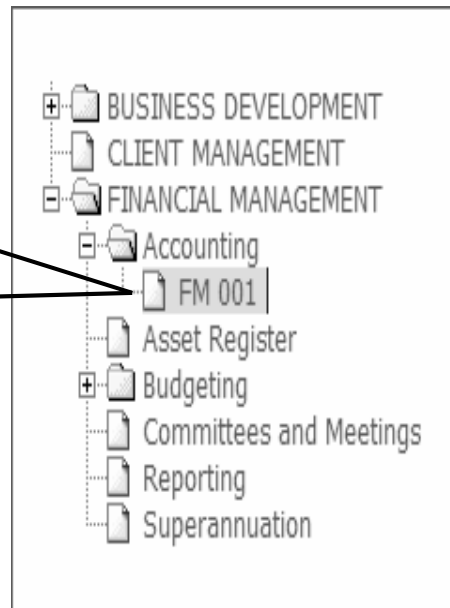


Map Retention to Classification

Classification



Retention Schedule



Best Practices

- 'Grow the Onion': You are setting out to build multiple small classification schema that will be managed as a larger whole
 - Smaller classifications are focused on their consumers and technologies
 - Example: the classification for your ECM might look different than that for your network shared files, but RETENTION will be linked to the same categories
- Look at Retention Policies: aim to align with Activities and add metadata requirements into the policies
 - Example: Vendor Invoice records must have an Invoice Date property



Thank You!