Electronic Records Management System (ERMS)

ERMS Folder Creation and Titling Conventions 2015

Contents

1. Introduction

The Australian National University has developed an Electronic Records Management System (ERMS) to facilitate effective records management and improve efficiencies in administrative work practices.

ERMS is designed to electronically store and manage University records through a series of folder structures that mirror the Business Classification Scheme (BCS).

BCS provides a process for capturing and maintaining evidence of and information about business activities and transactions in the form of records. These records can take many forms, including word processing documents, spreadsheets, emails and images.

The purpose of ERMS Folder Creation and Titling Conventions is to provide guidelines to ensure that folders are appropriately created, titled, managed and easily retrieved.

Records Titling Conventions
The ERMS Naming Conventions Guidelines provide information for naming records within ERMS to ensure that records are appropriately titled, managed and easily retrieved. They are available on the ERMS page in the University Records website.

Business Process Naming Conventions
Specific conventions for titling Student, HR, Finance and Research records are provided in the naming convention guides created for each business process. They are available on the ERMS page in the University Records website.

2. ERMS Folders

ERMS uses a Business Classification Scheme (BCS) to provide a logical hierarchy of named folders based on the business of the University (Function) and business processes (Activities) within each of the functional categories.

FUNCTION Folder   - Describes the broadest level of business
ACTIVITY Folder   - Describes a specific business process

Within an activity folder, the ERMS Administrators in University Records and ERMS Power Users have to ability to create contribution folders. These contribution folders are available for authorised individuals to contribute records.

CONTRIBUTION Folder   - Contains a collection of records that relate to a specific subject or business process

The BCS provides a guide to what type of contribution folders and records should be included within each Activity folder through scoping notes. (The BCS is available on the University Records website.)

A contribution folder sits within the classification hierarchy under BCS Functions and Activities. When a contribution folder is created the metadata fields are automatically updated to show the location of the folder. A contribution folder is used to store records, e.g. documents, information.

The following is an example of the location of a contribution folder:

FUNCTION	Assets and Facilities	Level 1
ACTIVITY	Maintenance	Level 2
Contribution Folder Title	Infrastructure Upgrade	Level 3
Record Title	Building 124 - Anthony Lowe 2015	

3. Creating an ERMS Folder

The following steps are undertaken in creating an ERMS folder.

1. Identify the BCS Function that reflects the type of records that need to be captured
2. Identify the Activity folder that is appropriate for the contribution folder
3. Identify the key terms that need to be applied to the folder that reflect the type of records to be contributed. Do not duplicate the function and activity folder titles as they are included in the contribution folder metadata.

   Referring to the example above, Maintenance does not need to be included in the contribution folder title.

4. Create the folder title following the naming conventions provided in the main body of this document.

4. ERMS Folder Creation Convention

ERMS is designed as a flat structure without multiple hierarchical layers of folders. Correct ERMS folder titling and using the ERMS search interface allows the easy location of folders, unlike shared or network drive folders which rely on subfolder structures.

The BCS Functions and Activities are Level 1 and 2 folders respectively. Contribution folders are Level 3 folders.

It is important to create only the folders that you require. Remember the ERMS has high quality search capabilities. Too many folders will mean that you need to visit different folders to ensure you have access to all relevant material.

In exceptional circumstances a Level 4 folder may be created. For example large and complex construction projects may need Level 4 contribution folders.

University Service Divisions are business owners of university wide processes e.g. HR, Student Administration, Finance and Research etc.. Service Divisions are responsible for creating the folder structure and record contribution process for their business processes and communicating these practices to the rest of the University. Any area outside of the Service Division (for this

document called 'local area') that is responsible for the function can only create folders in that function only with approval of the Service Division.

Local area business process owners are responsible for creating their own folder structures for the functions that they are responsible for and communicating the local area record contribution process to their staff. For areas where there is a different functional owner folders can be created with approval of the relevant Service Division.

In regard to security groups, restrictions on access can be applied to individual folders or documents. Power Users and Records Management Unit staff are able to set up security groups. Where it is necessary to restrict access to a folder, a security group can be used (either an existing group or one created on demand) to limit access to that folder.

For queries on folder creation please talk with University Records to obtain advice.

5. ERMS Folder Titling Conventions

Folder titling conventions relate to the construction of the title structure and placement of key terms within the title. They are used to provide a systematic approach to creating ERMS consistent and predictable folder titles.

These conventions recommend ways to effectively structure folder titles. ERMS Naming Convention Guidelines should be utilised when populating a folder title.

6. ERMS Folder Title Conventions List

Conventions for folder titling:

1. Create folders only where there is a genuine business need
2. Keep titles short and meaningful
3. Ensure that the title does not repeat the name of the BCS Function or Activity folder
4. Spell out abbreviations and acronyms
5. Only include the organisation or business unit in the title if it is critical to a particular process
6. Only include the year in the title to reflect an annual process or activity
7. Use specific dates for folders relating to events occurring on a specific date where there will be a significant amount of records for example annual reports or graduation ceremonies
8. For folders relating to a University person, use the University ID number followed by the surname then given name
9. For Committee folders, include the full Committee name, date and number of meeting where this is required because of the volume of records, if there are likely to be a small number of records date and number of meeting will not be required
10. For folders related to facilities, include the building number and name