

The Development of Records Classification Schemes in Universities of Thailand

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Abstract

The development of Records Classification Schemes based on important Records management theory, Records life cycle and Records Continuum Model. The Principle of the two theory focusing on the significant of current use of the record had been progressed the decision on the work, the supporting for evidence-based policies, including awareness support the understanding of organizational history for people in their organizations (Shepherd and Yeo, 2003).

This research proposal is the development of Records Classification Schemes for Universities Record Management in Thailand based on the two important theories at mention above. However this study is in the initial state of proposal development, therefore the content of this paper is focusing on review of principle of two theories and in use in previous research as well as review the related paper and other research report.

Keywords: Record Management; Record Classification Schemes; Records Continuum Model

Background and Rationale

Under the changing business and technology development, the competition is more competitive so the information technology is supported to achieve corporate governance plays an important role. This will help the managers make decisions quickly and accurately. It makes the organization develop and achieve the goals and strategies. Therefore, the systematic management of information and the security of the right to access information such as Confidentiality, Integrity and Availability, so it is an important goal to lead to Information Governance in the organization that develop from Records Management which is a data management system from start to destruction including the risks of management compliance, and work processes.

ARMA (2009) developed a development framework of information governance by taking into account the principle of records management, 8 key factors such as Accountability, Transparency, Integrity, Protection, Compliance, Availability, Retention, and Disposition that considered by relevant law, budget and agency policies.

John Wiley & Sons (2014) explains that Retention schedule and Legal hold. These are the two main components that are the basis of the IG Program. In the development must use the record inventory and classification Schemes. This led to the development of the Metadata Taxonomy. For current electronic records management that consistent with Kelvin Smith (2007) states that Retention & Disposition is a metadata element associated with the records since the beginning of the electronic record login. Therefore, the retention schedule storage and destruction of records. It is very important and indispensable of all record management systems.

Classification is necessary for creating the retention schedule. To create the retention schedule must understand the path of the information or record. In such a survey must rely a tool that called Record Inventory or Survey. In the record survey in the workplace or the organization. Then the next step must be categorized classification of the records. This is an important process in records management. It is a tool that supports the information management process by destroying records since the creation of the record clearly (National Archives of Australia, 2012).

ISO15489 (2016) has proposed that in the government agency should be a department in charge of records management program to publish policies and procedures, responsibility, create the participation of people in the agency, create procedures and guidelines for records management and dissemination, design records management system lead to appropriate action and function in the work process in the agency. From that role, it can be developed in the traditional record and collaborate or collaborate with the building of annals to keep the record in accordance with the record cycle.

Currently, the situation of records management in government sector in Thailand according to the Office of the Prime Minister on the Official Record of 1983 (No. 2) BE 2548 using the word "Records Keeping" refers to the work related to records management from the preparation, delivery, storage, borrowing to destruction. Focusing on the record working is not consistent with the work process and it cannot be defined as a policy or determined the management system as the meaning of the Records Management Program.

In order to organize the Records Management System, the Business Classification Schemes must be created, that is the basis for organizing important record systems since the process before the record is created (Pre-Creation) until the record retention process that allows the management of records in the system by studying the context and structure of the organization, regulatory and operational framework, System Analysis, Functional Analysis, Business Process Analysis, and Document Survey. To study the current state of the record and its procedures.

The determining the classification of record management in government agencies in Thailand according to the regulations of the Office of the Prime Minister on official records in 1983 (revised in 2005) and the National Archives Act of BE 2556, divided into 10 categories of the Fine Arts Department. It is not yet possible to efficiently use the current record layout, which has a variety of formats that are not the same in the past. Therefore, it is important to develop a classification scheme by emphasizing on higher education institutions. It has a clear function in academic, research and provide academic services to society, management and control activities In general management, academic administration, Human Resources Management, Budget and Property Management and directed checked by the campus mechanism. Under the framework of the 15-year longitudinal study plan, No. 2 (BE 2551-2565) states that "Governance and Management are key factors that have a direct impact on the development of universities and higher education. Therefore, higher education institutions are the case study in this research to guide for the development of tools that will help to organize effective record management systems and apply to agencies that are close to.

Research Objectives

1. To investigate managing record in Universities in Thailand term of collecting, organizing, and classifying of records.
2. To inquire the record user behavior in the universities of Thailand.
3. To collect, the used records and analyze them according to the mission, the process and activities in each function of the universities.
4. Development record classification schemes for record management in universities in Thailand.

Literature Review

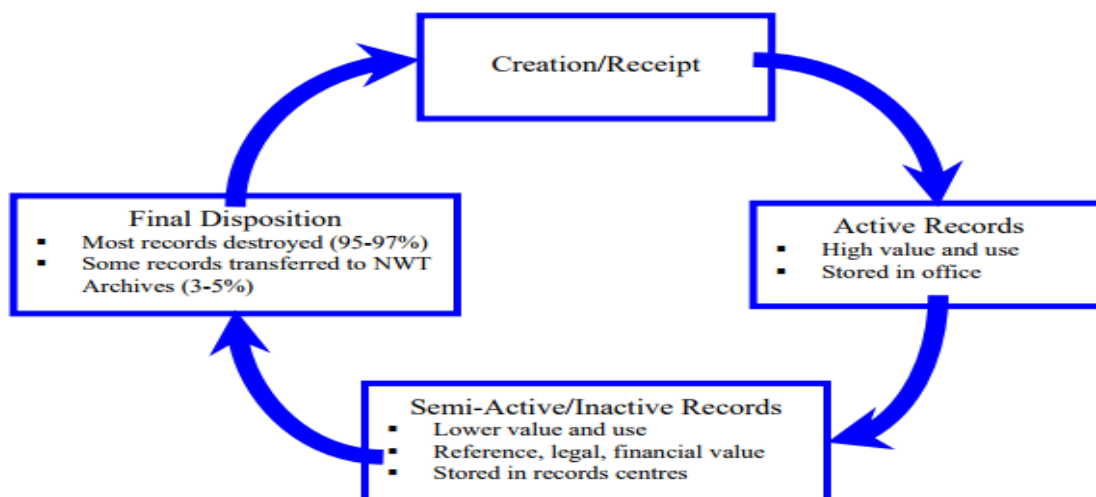
The purpose of the study in studying on the development of records classifications schemes which are based on the academic principles or records management theories such as Records life cycle concept, Records Continuum Model, ISO15489-Information and Documentation-Record management International Standards Organization and Information governance.

1. Records Life Cycle Model

The life cycle of records is an important concept in records management. It is a way of looking at how records are created and used. The life cycle is based on the idea that records become less important as time passes. 90 percent of the use of a record takes place during the first 90 days after it is created. This short period of high use is followed by a longer period of low use. The records only need to be looked up occasionally during this second phase.

Eventually, even this limited use will end and the records will have no further value to their creator.

This process is known as the life cycle of a record. In other words, records have a life similar to that of a biological organism: It is born (creation phase), It lives (maintenance and use phase), It dies (disposition phase).



The life cycle is the starting point for creating a records management program. Without it, records management programs would not be as cost effective or well run. Tools, systems, and procedures are developed to manage each phase of the life cycle. For example, file plans and tracking systems help manage active and semi-active records. A retention schedule is a tool that manages the movement of records from one phase to the next. The life cycle of records are four phases to the life cycle of records.

Creation: Records begin the life cycle when they are created or received.

Active Records: Active records are needed frequently. They are retrieved at least once per month, so they are stored in readily accessible office spaces.

Semi-Active/Inactive Records: Semi-active records are not needed for day-to-day business. Organizations need to keep them for reference, for legal reasons, or for financial reasons. They are not used often enough to justify their being stored in prime office space and equipment. Semi-active records are often stored at a lower cost in a records center. Semi-active records are sometimes called “inactive records”.

Final Disposition: Final disposition is the action that takes place when records have no more value to an organization.

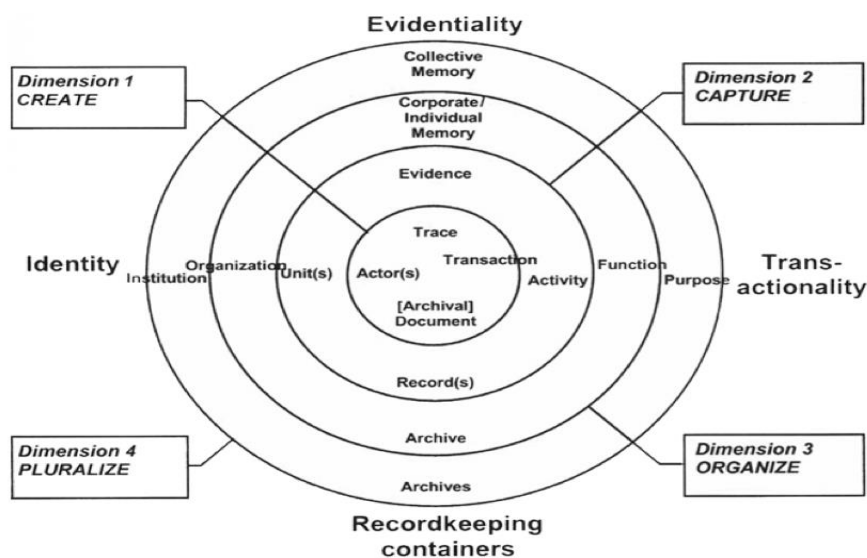
2. The Records Continuum Model

The earliest view of the continuum concept came from Australian national archivist Ian Maclean in the 1950s. He said records managers were the true archivists, and that archival science should be directed toward studying the characteristics of recorded information, recordkeeping systems, and classification processes. His view promoted the search for continuity between archives and records management.

According to Atherton, all stages of records are interrelated, forming a continuum in which both records managers and archivists are involved, to varying degrees, in the ongoing management of recorded information. She explained how the lifecycle stages that records supposedly underwent were in fact a series of recurring and reverberating activities within both archives and records management (An, Xiaomi.,2003). The underlying unifying or linking factor in the continuum was the service function to the records' creators and all users. Atherton's view pointed out the weakness of separating records management and archives administration under the lifecycle model.

The records continuum as a model concept was formulated in the 1990s by Australian archival theorist Frank Upward based on four principles:

- 1) A concept of "record" inclusive of records of continuing value (archives) stresses their uses for transactional, evidentiary, and memory purposes, and unifies approaches to archiving/recordkeeping, whether records are kept for a split second or a millennium.
- 2) There is a focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form.
- 3) Institutionalization of the recordkeeping profession's role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes.
- 4) Archival science is the foundation for organizing knowledge about recordkeeping. Such knowledge is revisable but can be structured and explored in terms of the operation of principles for action in the past, the present, and the future.



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Managing records is therefore an important activity as it reflects their value in relation to their usefulness and the contribution they make in an organization. The issue of managing records as articulated by Ryan (2006) is that essentially, well managed records make a fundamental contribution to accountability and transparency. Evidently due to the usefulness of records, all records should be managed irrespective of their nature, environment of creation and use, location and other relevant factors. Medical records are therefore no exception to these important processes of records management.

While it is appreciated that records play a significant role in fulfilling organizational mandate, they cannot be retained for good. If records are retained unnecessarily their retrieval processes will be difficult and resources wasted. Increasingly according to Shepherd and Yeo (2003), organizations are recognizing the benefits of well managed records and are implementing programs to ensure that the right records are created and retained. An effective records management program should be seen as a positive means toward ensuring that records are available for use when needed, privacy and confidentiality are maintained and that redundant records are destroyed.

3. ISO15489-Information and Documentation-Record management, International Standards Organization

The International Standard Organization ISO 15489-1, 7.1 outlines the principles of records management programs. According to the (ISO 15489-1, 2003: 6) records are created, received and used in the conduct of business activities; to support continuing conduct of business; comply with the regulatory environment and provide necessary accountability, organizations should create and maintain authentic, reliable and useable records, and protect the integrity of those records for as long as required. To this effect, organizations should carry out a comprehensive records management program which includes: i) Determining what records should be created or captured, and the technologies to be used. ii) Deciding in what form and

structure records should be created and captured and the technologies to be used. iii) Determining what metadata should be created with the record through records processes and how that metadata will be persistently linked and managed. iv) Determining requirements for retrieving, using and transmitting records between business processes and other users and how long they need to be kept to satisfy those requirements.

v) Deciding how to organize records so as to support requirements for use. vi) Preserving records and making them accessible over time, in order to meet business requirements and community expectations vii) Complying with legal and regulatory requirements, applicable standards and organizational policy. viii) Ensuring that records are maintained in a safe and secure environment

ix) Ensuring that records are retained only for as long as needed or required and x) Identifying and evaluating opportunities for improving the effectiveness, efficiency or quality of its processes, decisions and actions that could result from better records creation or management. It is therefore necessary that all records regardless of type be managed and guided accordingly by the ISO 15489-1 standards on records management.

4. Information governance

The Principles of Information governance

Principles of information governance (IG) are evolving and expanding. Successful IG programs are characterized by ten key principles, which are the basis for best practices and should be designed into the IG approach. They include:

- 1) Executive sponsorship. No IG effort will survive and be successful if it does not have an accountable, responsible executive sponsor. The sponsor must drive the effort, clear obstacles for the IG team or committee, communicate the goals and business objectives that the IG program addresses, and keep upper management informed on progress.
- 2) Information policy development and communication. Clear policies must be established for the access and use of information, and those policies must be communicated regularly and crisply to employees.
- 3) Information integrity. This area considers the consistency of methods used to create, retain, preserve, distribute, and track information. Adhering to good IG practices include data governance techniques and technologies to ensure quality data.
- 4) organization and classification. This means standardizing formats, categorizing all information, and semantically linking it to related information. Information, and particularly documents, should be classified according to a global or corporate taxonomy that considers the business function and owner of the information, and semantically links related information. Information must be standardized in form and format. Tools such as document labeling can assist in identifying and classifying documents. Metadata associated with documents and records must be standardized and kept up-to-date. Good IG means good metadata management and utilizing metadata standards that are appropriate to the organization.
- 5) Information security. This means securing information in its three states: at rest, in motion, and in use. It means implementing measures to protect information from damage, theft, or alteration by malicious outsiders and insiders as well as no malicious (accidental) actions that may compromise information.

- 6) Information accessibility. Accessibility is vital not only in the short term but also over time using long-term digital preservation (LTDP) techniques when appropriate (generally if information is needed for over five years). Accessibility must be balanced with information security concerns.
- 7) Information control. Document management and report management software must be deployed to control the access to, creation, updating, and printing of documents and reports. When documents or reports are declared records, they must be assigned to the proper retention and disposition schedule to be retained for as long as the records are needed to comply with legal retention periods and regulatory requirements.
- 8) Information governance monitoring and auditing. To ensure that guidelines and policies are being followed and to measure employee compliance levels, information access and use must be monitored.
- 9) Stakeholder consultation. Those who work most closely to information are the ones who best know why it is needed and how to manage it, so business units must be consulted in IG policy development.
- 10) Continuous improvement. IG programs are not one-time projects but rather ongoing programs that must be reviewed periodically and adjusted to account for gaps or shortcomings as well as changes in the business environment, technology usage, or business strategy.

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