

Administrative Procedure 185 – Appendix D

Appendix D – ELECTRONIC DOCUMENTS RECORDS NAMING STANDARDS AND RECORDS CLASSIFICATION

Electronic Documents and Records Naming Conventions

The Division has identified the need for consistent naming practices for electronic content items, specifically documents in directories. Establishing naming conventions that are used consistently across an organization or an organizational unit will improve access to information management applications. Although there are many methods to electronically search for documents or records, users still tend to browse through directory structures looking for the documents they require.

Implementing good document names can support the following objectives:

- Facilitate better access to and retrieval of electronic documents
- Allow sorting of documents in logical sequence (e.g. version #)
- Help users to identify the items they are looking for easily and support the ability to recognize the content of a document from a list
- Help keep track of versions of documents

The naming practices included in this guide apply to electronic documents created in a desktop environment and stored in shared or common directory structures. They are meant to assist Departments and school sites to develop coherent and consistent approaches for naming their electronic documents.

Naming records

Identifier_Year_Version

For example: **AlbertaEducation_2021_Draft.pdf**

Explanation:

- **Identifier:** This could be a short abbreviation that represents the department, group, contractor, or project related to the document, like ABED for Alberta Education.
- **Year:** This denotes the year the document is related to or was created in.
- **Version:** If needed, this could be "Draft", "Review", or "Final". It's advised to avoid detailed version numbers unless necessary. If required, use Revision Number, like Rev 1 to denote revision for "Draft", "Review", or "Final".

Remember:

- Keep the name short but meaningful, ideally less than 25 characters.
- Avoid repetition, redundant words, and special characters.
- Use hyphens for readability and improved search results.

- Avoid acronyms or abbreviations unless commonly understood.
- Exclude filler words like “the”, “if”, “but”, “so”, “for”, etc.
- Be cautious of including personal identifiable information due to privacy concerns.

Example using the suggested naming convention: a draft of the Government of Alberta's capital plan for 2023 could be named **CapitalProjectsFinancing_ABED_2023_Draft.pdf**

Electronic Workspaces

1. Collaborative Sites (Active Records)

- 1.1 The Division considers each Department's SharePoint sites and Google Workspace to be a collaborative environment where active records are uploaded electronically.
- 1.2 Active records here are uploaded and are considered to be the latest revision of a particular record type. i.e. Agreements, Contracts, and Reports
- 1.3 Active Records stored in the Collaborative Sites are live records that may be amended or revised.
- 1.4 Active Records will become a record for retention after it has been obsolete or superseded. (Refer to AP 185 – Appendix A - Records Retention Schedule or Google Workspace Label List)

2. Records Centre (Record in Retention Repository)

- 2.1 An electronic repository where records for retention will be kept according to the Division's Records Retention Schedule is located in the Division's Records Centre.
- 2.2 Electronic records for retention can be submitted to the Records Centre Drop-Off Library and is considered an evidence of a change in the version of an Active Record which was obsoleted or superseded.
- 2.3 Electronic records submitted for retention and filed into the Records Centre are considered **records** and may not be amended or revised.
- 2.4 All electronic records submissions are reviewed and approved by the Electronic Records Advisor before they are filed into the secured libraries of the Records Centre.
 - 2.4.1 If the records classification (Record Type) is incorrect the Electronic Records Advisor will contact the submitter to resolve the issue.
- 2.5 Electronic Records for retention will be retained for the period of time that has been set by the Division and Industry Standards from an Event Date. (Refer to AP 185 – Appendix A - Records Retention Schedule)
- 2.6 Electronic Records for retention will have the disposition applied once the retention period has been reached. The disposition of a record will be according to the Division and Industry Standards. (Refer to AP 185 – Appendix A - Records Retention Schedule)
 - 2.6.1 Records (Electronic or Hard Copy) that are required to be retained for longer than its retention period will need a retention exemption approval from the Electronic Records Advisor and Associate Superintendent,

Business and Finance or designate; to have the records be retained in the Archive Records Repository.

3. Archive Records in the Records Centre (Archive Records Repository)

- 3.1 An electronic repository where records that have obtained approval to be kept permanently passed their retention or records that have a permanent retention will be kept permanently in the Division's Archive Records Repository located in the Division's Records Centre.
- 3.2 Electronic records submitted for permanent retention and filed into the Records Centre are considered records and may not be amended or revised.

Records Classification

Classification and categorization of record types are means of working with records: these classifications assist in functions such as creation, organization, storage, retrieval, movement, and disposal of records.

Procedures

1. Information Classification (Privacy)

All records (irrespective of its format) owned, created, received, stored and processed by the Division will be classified according to the sensitivity of its contents. Classification controls need to take into account our need to share or restrict the information we process and the associated impacts and risks. All information owned, created, received, stored or processed by the Division will be initially classified into one of the following categories:

1.1 Public

- 1.1.1 Applies to information assets that will not result in injury to individuals, governments or to private sector institutions; and financial loss will be insignificant.

Examples: Job postings, staff meeting agendas and minutes, business contact information, research and background papers (without copyright restrictions).

1.2 Internal

- 1.2.1 Applies to information assets that, if compromised, could cause injury to an individual, organization or government.

Examples: home addresses, date of birth, applications, other personal information

1.3 Confidential

- 1.3.1 Applies to information assets that, if compromised, could cause serious injury to an individual, organization or government.

Examples: personnel evaluations and investigations, provincial grade 12 exams, financial records, solicitor-client confidence, and third party business information submitted in confidence

1.4 Restricted

1.4.1 Applies to information assets that, if compromised, could cause extremely grave injury to an individual, organization or government.

Examples: Criminal Offence Declarations, Criminal records, General employee records

1.5 All records must have the proper Information Classification to ensure that the proper access or restrictions to view records uploaded into the Division's Records Centre is applied.

2. Records Classification (Record Series and Record Types)

2.1 The Records Classification will be the Division's guide to classifying and metadata tagging for records that are submitted to the Division's Records Centre. The approved records classification can be found in AP 185 – Appendix A - Records Retention Schedule.

2.2 Division Staff will supply the metadata required for each records submitted into the Records Centre's Drop-Off Library. Refer to the Records Centre Manual for proper submissions of records.

2.3 The required metadata are as follows:

2.3.1 Record Name (Name of record using the naming standards in the above section)

2.3.2 Record Type

2.3.3 Event Date

2.3.4 Name of Submitter

2.3.5 Department

2.4 In the event where the Division Staff cannot determine the classification (Record Type) of a record within the list of approved classification (AP 185 – Appendix A – Records Retention Schedule, the Electronic Records Advisor, Associate Superintendent, Business and Finance or their designate will be contacted to resolve the issue of classification.

2.4.1 If records are submitted in the Records Centre Drop-off library with incorrect classification (Record Type), the submitter will be contacted by the Electronic Records Advisor to ensure proper classification is applied to the record before it is retained.