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Title: Ideas for new system / BDB changes

Categorisation
Records Management\ERMS / BDB
Refresh\10 First Thoughts

Originator: [REDACTED] on 03/02/2015
Status: **Default**
Last Modified: 11/02/2015 14:56:57 by [REDACTED]

These things are a given:

1. Documents are created in a BDB
2. Those documents will exist in an editable state for a period of time
3. After a period of time, those documents will **either** become records (whether manually or automatically) and from that point will not be editable **or** be deleted automatically
4. After another period of time, those records will be reviewed and either deleted or retained (whether manually or automatically) until a further review
5. Any record retained will be not be retained for longer than the legal limit without Records Management involvement

Records

Suggestion 1 - Option to Decide Document's Fate at Point of Creation

At the creation of a document, users are asked to choose one of four answers to the question "Is this going to be a record?" The options will be "Yes", "No", "Not sure" or "Declare Now".

- o If the answer is "Yes", they will have the opportunity to select how many months will pass from creation before the document is declared automatically - default 15, minimum 1, maximum 18.
- o If the answer is "No", they will have the opportunity to select how many months will pass from creation before the document is deleted automatically - default 15, minimum 1, maximum 18.
- o If the answer is "Not sure", they will be told the document will be notified to them after 15 months and they will need to make a decision at that point or it will be deleted.
- o If the answer is "Declare now", the document will be declared when the close it.

And because a picture's worth a thousand words, I'm thinking of something like so:

Title: Ideas for new system / BDB changes

Category
Records Management

Originator
[Redacted]
Document Status
Last Modified:

Document Date
03/02/2015
Default
09/02/2015 13:17:36 by [Redacted]

- Is this going to be a record?
- Yes This will be automatically declared after
 - No This will be automatically deleted after
 - Not sure This will be notified to you after 15 months
 - Declare now This document will be declared a record

If we go down this road, either one of those options needs to be selected before the document can be saved or the "Not sure" option is selected by default.

Of course, if the document is edited at a later stage, the options can be amended which allows users to declare something at that time rather than wait for the system to do it.

A question occurred to me as I was typing this - if declaring, when do they select record types? Will clicking "Yes" or "Declare now" offer them the chance to select types?

Suggestion 2 - Set Declaration Options at Category Level

Rather than do the above or any version of what we currently have, why not choose whether documents are to be declared or records to be retained at a **category** level? The options mentioned above could be incorporated into the Category / Sub-Category documents like so:

Valid Main Category
Description of Main Category:
Valid Sub-Category
Description of Sub-Category:
Are the documents in this category going to be records?

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- Yes Documents filed in this category will be automatically declared
- No Documents filed in this category will be automatically deleted
- Not sure Documents filed in this category will be notified to their

Questions remain about how existing categories would be affected and what happens to documents that have been filed under categories where the category document has since been deleted?

The categories could also replace the Record Types and Sub-types - anything filed under **Meetings > Weekly Briefings** in Library and Records Management BDB could be set to be deleted after 12 months, but anything filed under **Meetings > Weekly Briefings** in the Private Office BDB could be set to declare after 12 months.

A potential selling point to the ONS could be that people would no longer need to review individual documents - they would review at a category level instead.

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A combination of 1 and 2 could be that decisions are made at a category level but when creating / editing documents, the option to accept the default category retention is given alongside the opportunity to apply a different option to one or more documents.

Suggestion 3 - Remove Existing Record Sub-types

If record types are retained in some way, rather than have a Type and Sub-type, we simply have a Type and a standard retention period for all records within that type.

When declaring, instead of being offered a pick list with no information in there, users see a table with the list of types, examples, and a radio button to select like so:

Record Type	Examples
Administrative	Business plans, correspondence, meeting papers, guidance...
Commercial	Contract management and procurement
Financial Records	Accounts, audits, budgets, salaries...
Legislation	Bills, policy papers, subordinate legislation
Programme & Project Records	PIDs, meeting papers, business cases, logs, reports...
Property Records	Buildings, contractual papers, health and safety...
Staffing/Personnel Issues	Conditions, disciplinary matters, employment, training, welfare...
Statistical	Enforcement, guidance, methodology, surveys...
Systems	Hardware, software, security...

The retention periods are not editable and would be controlled by Records Management.

It may be that we combine the above table with either of the first two suggestions as well.

There's always the threat that people will choose the type with the longest retention period, though that risk exists in the current system as well. It may be just as easy **not** to display the retention period to take that temptation away from them.

Suggestion 4 - Remove All Record Types

Abandon all record types and have a flat retention period.

Whether at document/record level or at category level, we simply retain everything for a set period - eg 7 years to cater for financial records - in a similar way to what we've done for registered files. A review would still need to take place by the users who would need to decide whether to retain or delete the information.

The further review by Records Management would have to simply consider the BDB and/or category structure that the record has been reviewed within.

Documents

Suggestion 1 - Change Length of Time Document is Editable

Currently a document can be edited for 12 months before a decision needs to be made to either declare or delete it.

However we implement the change (whether one or other of the above suggestions) that period should alter to a minimum of 15 months (to allow for those documents people want to edit for more than a year) but no more than 18 months.

BDB Changes

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Suggestion 1 - Automatic Population of Record Types / Help Documents When New BDB Created

When a BDB is created, Records Management have to set an agent to run to populate that BDB with Help Documents. Similarly, they have to push the Record Types over to the new BDB.

An automated process for both (if we're keeping the Record Types in some form or another) would be better.

Suggestion 2 - View Changes

2.1 - Last Modified Date as Column Header

Short and sweet - can we get the Last Modified Date to display as a sortable column header?

2.2 - Last Read View

Unsure if possible but can we get a new view that displays documents by the date they were last read?

2.3 - Document Only View

The Undeclared Documents by Owner view comes close but we're after a view like ERMS Records - one that maintains the Main / Sub-Category structure but only displays undeclared documents.

2.4 - More Sorting Within Views

Main view as an example - we can sort by Originator but we can't sort by Originator **within** a specific category. Would be nice to be able to do this on all column headers in all categories in all views.

Suggestion 3 - Removal / Renewal of Old Views

We'd suggest removing old view options such as the ability to open Word or Excel via Desktop Applications or The Daily from Database Links.

Rename options where appropriate - Sylvia mentioned "Edit ACL Setter" could become "Maintain ACL".

Similarly, the B/F function could be renamed as "Document Reminder" to make it clearer what a B/F actually is; the set B/F form could do with sprucing up as well.

Suggestion 4 - Document Locking

Set this on all BDBs by default to prevent replication / save conflicts.

Suggestion 5 - Document Sharing

Allow Notes documents to be edited by two or more people - update in real time rather than save conflicts being generated.

Suggestion 6 - Rename and Refresh Review Cycle

There's an already existing process called Review Cycle in the BDBs that doesn't appear to work.

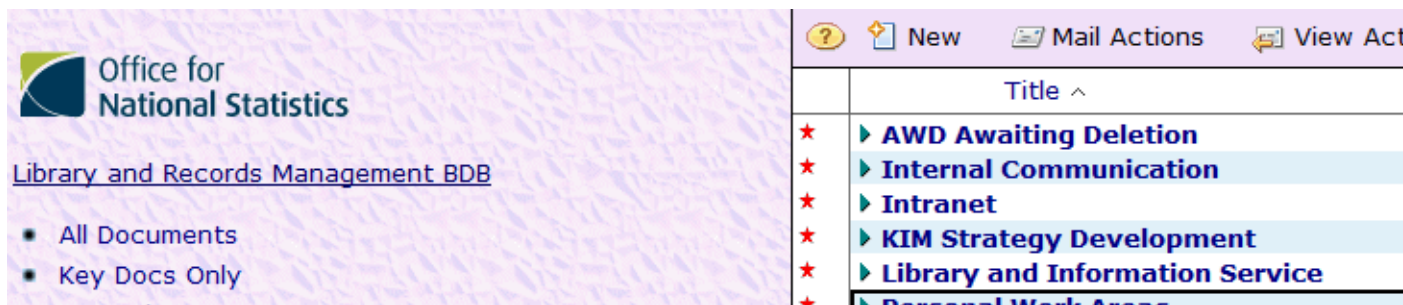
With a rename and some work, it could potentially act as a sort of workflow system, moving documents on in a chain of people.

Suggestion 7 - Consistent View Colours

Couple of quick examples:

All documents view: pink Navigator Panel, pink tool bar, blue and white alternating stripes in view.

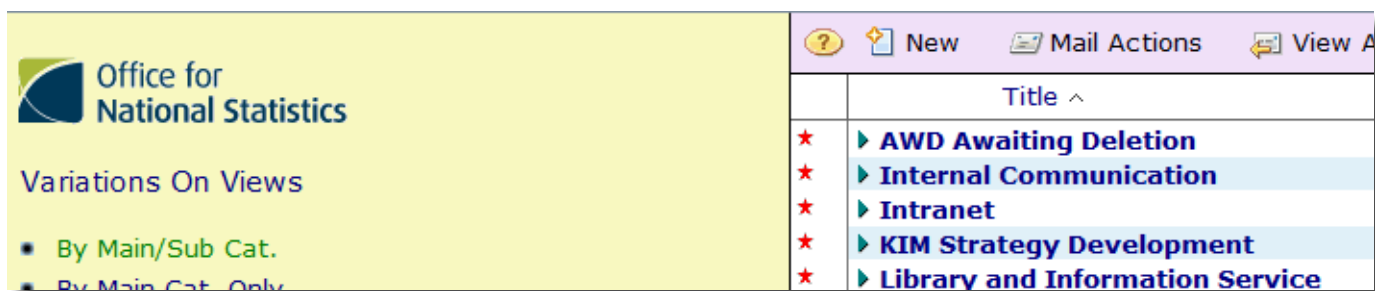
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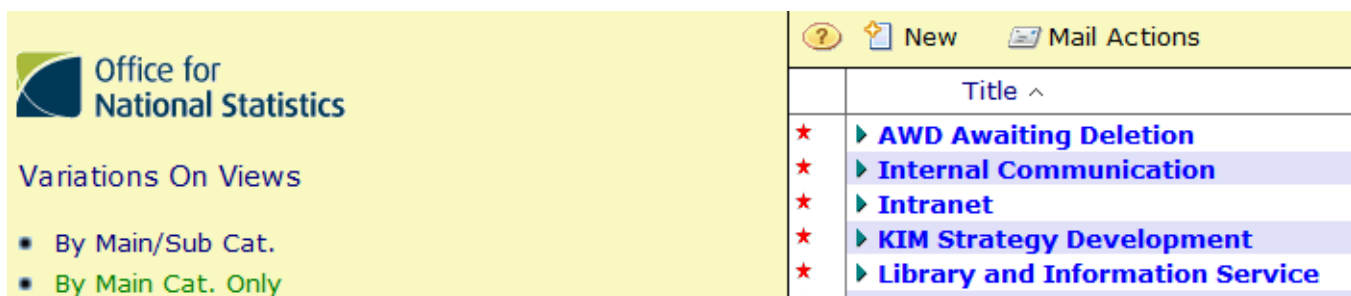
B/F Documents view: pink Navigator Panel, blue tool bar, yellow and white alternating stripes in view.



Variations on View > By Main/Sub Cat: yellow Navigator Panel, pink toolbar, blue and white alternating strips in view.



Variations on View > By Main Cat Only: yellow Navigator Panel, yellow toolbar, grey and white alternating strips in view.



I can understand having different colour schemes if users are in different parts of the BDB but some sort of consistency would be good!

Suggestion 8 - Reporting / Exporting Facility

Over the years I've had occasion to bemoan the BDB's cack-handed exporting of documents - for example on more than one occasion I've been trying to help someone tidy up their BDB and wanted to work out what the latest date of a document was within each category which - currently - is an absolute mare of a job.

A reporting facility that allows people to pick and choose what fields they want reported on would be useful; however, I'm aware that any reports generated may take a while to run, particularly on larger BDBs and might involve an overnight session.

Better exporting to Excel would be a way round this - currently the Main Categories end up in one column, while all 2nd, 3rd and 4th level categories end up in a second one making it nigh on

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impossible to easily discover something as fairly straightforward as what was the date of the latest document.

Documents

BDBs should also be able to manage undeclared documents which have a limited life span; will be notified to staff as those documents approach the end of that life span; and be deleted from the BDB and transferred to a holding area if not declared as records.

All actions to do with declared or undeclared documents (declaration, undeclaration, review, etc) to be undertaken individually or in bulk.

Change document period from 12 months to 15? 18?

Version control on documents, not just records.

Management of documents kept live for longer than 12 months.

Identification of documents in a BDB which contain attachments.

Audit history on documents and records - who edited and when.

Notifications re documents approaching a year old automatically to line manager if document owner on sick or leave?

Records

When declaring, identifiers should be assigned which control the retention period which is the length of time that passes before that record is due to be reviewed.

Declared records to allow versioning to occur if needed.

Declared records to be undeclared by Records Management if required.

All actions to do with declared or undeclared documents (declaration, undeclaration, review, etc) to be undertaken individually or in bulk.

Records Management to be in control of those records that have been marked for deletion (either by user or system) to allow for secondary National Archives review to take place.

Changes to records (declaration, undeclaration, review etc) to be logged in an audit log.

No Record types - just keep everything for 7 or 8 years before review.

Only record types, no sub types.

Option to set declaration date x months ahead (default 12, up to max of 18) or Now.

Option to declare at creation.

Options when created include "Do you need to keep this?" Yes = declare in x months; Not Sure = notified to punters after x months; No = deleted after x months. [A couple of options on the BDB Profile doc could be set to either have one of these options as preselected **and/or** whether to display them at all. I'm thinking something like the Food Matters BDB could be set to No and then the options hidden so that people can't declare things. Might work, might not.]

Auto declare after x months if filed in particular category.

Still keep Record Types / Sub Types but keep everything for the same retention period.

Offer complete list of Record Types when declaring.

We don't do a review - anything under RT A goes in the bin, RT B goes to TNA.

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Review by BDB rather than RT - identify key databases (Census, National Accounts etc) and send those things to TNA.

Include description/example of what the RT could include - this might work better if we're only offering up the RT, not the ST.

Categorise BDBs to determine whether info is to be kept.

Clearer definition of what is a record.

Audit history on documents and records - who edited and when.

Review at category level, not document.

BDB template

Removal of outdated options from the BDB template.

Auto population of Record Types / Help docs when BDB created.

Include last modified date as a column header in all views.

Ability to view undeclared documents only but still in the category structure.

Last looked at view.

Everything that we come up with has to be compatible with previous declared/undeclared records and documents.

Document locking on all BDBs by default.

Allow Notes documents to be edited by two or more people - update in real time rather than save conflicts.

More sorting in views - eg stay in Main Cat/Sub Cat view but be able to sort by creator/date **within** that category.

View BDBs in a web browser.

Access Notes via iPads.

Get the already existing review cycle working - could this be a sort of workflow approach?

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