**Office for National Statistics**

### _Library and Records Management BDB on FA1APP003_

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## Title: Ideas for new system / BDB changes v2

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

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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

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.

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

## 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
████████████ ▼
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**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 mon
- ○ 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 - 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.

## 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

### 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 - ████ 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.

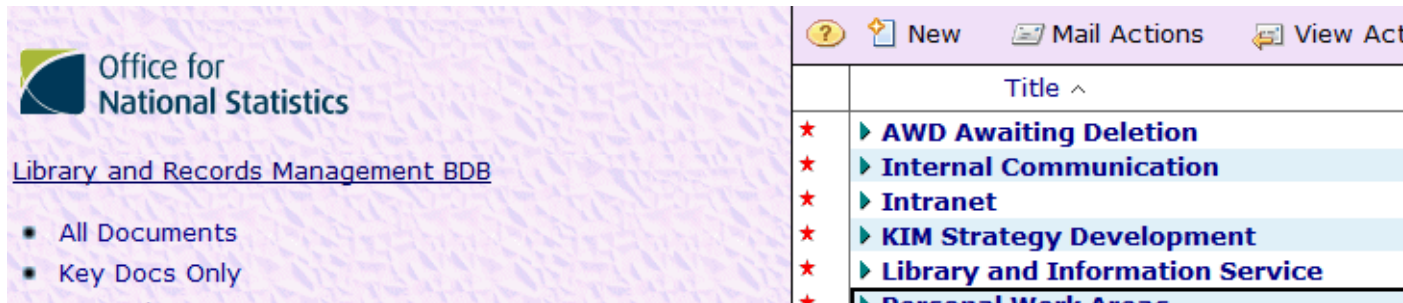### Suggestion 6 - Rename and Refresh Review Cycle

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.
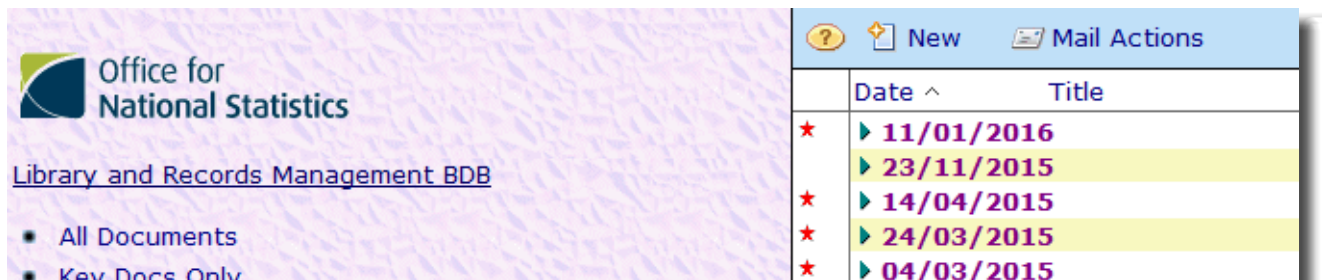
### Suggestion 7 - Consistent View Colours

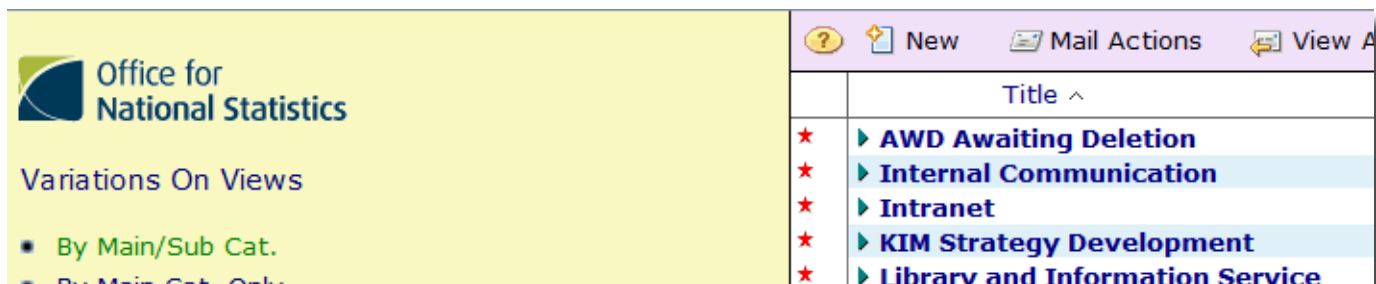Couple of quick examples:

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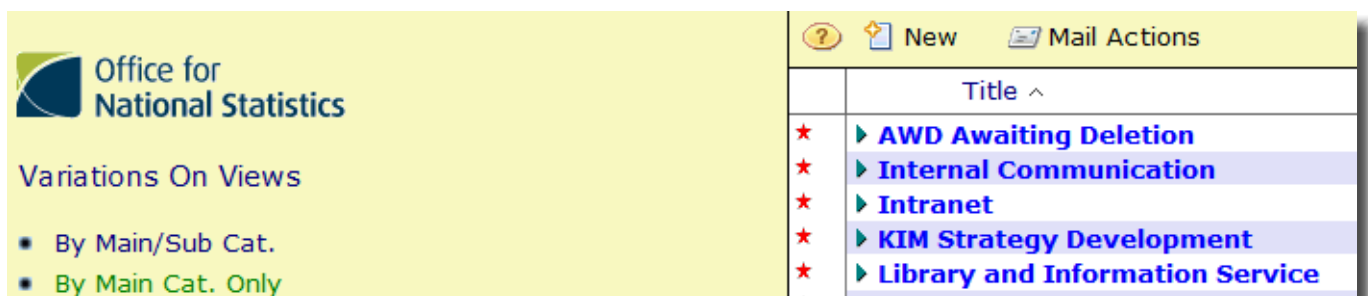


B/F Documents view: pink Navigator Panel, blue tool bar, yellow and white alternating stripes in view.



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

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