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**Title: Baseline Requirements for EDRMS / BDB refresh
v1**

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

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Anything in green needs to be agreed by RM before this goes to [REDACTED].

Documents

Trigger date for review of undeclared documents is to be a year from the Last Modified Date or two years from the Date of Creation, whichever comes first.

If a document is notified for review as it approaches one year from the Last Modified Date, the notification cycle should not be reset if the document is modified again following the notification - this is to prevent people simply changing something to avoid making a decision on a document.

Notification emails are to be sent out to users weekly as the documents approach either a year from the Last Modified Date or two years from the Date of Creation, whichever comes first.

The mails should be sent to the Last Modifier; if user not in ONS, they should go to the Creator; if user not in ONS, they should go to the BDB Registrar; if not assigned or not in ONS, they should go to ERMS Admins.

The notifications should list the document titles, who they were created by and when, include a link to the document and whether or not the document has any responses.

The list of documents is to be in date order with the oldest at the top.

Those documents that are within two weeks of being deleted should be displayed in red text; all others to be displayed in blue **OR with an adaptation of Andy's idea like so:** Those documents that are within two weeks of being deleted should be displayed in red text; those documents that are within three or four weeks of being deleted should be displayed in amber text; those documents that are within five or six weeks of being deleted should be displayed in green text.

The notifications are to be sent weekly so that they are delivered prior to 7am on a Monday for the six weeks prior to documents reaching either a year from the Last Modified Date or two years from the Date of Creation, whichever comes first.

Audit document action can be left as is - ie, display the Last Modified date, time and modifier at both the top and bottom of the document but no need to capture or retain anything else.

Deletion logs to be created in the BDB that capture per week both documents deleted by an agent because nothing has been done with the document **and** those documents that have been marked for deletion by a user. The log should clearly identify whether the agent deleted the document or it had been marked for deletion. In both cases, the following information should be captured:

Name of creator; created date; title of document; name of last modifier; last modified date; whether Main or Response Document.

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Notification logs to be created in the BDB that capture per week those documents that have been notified to users because they are approaching either a year from the Last Modified Date or two years from the Date of Creation. The following information should be captured:

Name of creator; created date; title of document; **name of last modifier**; **last modified date**; whether Main or Response Document.

Records

Record Types are to be reduced to single types - ie, we remove the need to choose a Sub-Types when making a document a record. The current Record Types and Sub-Types are in the following section:

Current Types

The 66 combinations listed in the section above can be whittled down to:

Administrative - Correspondence, Guidance, etc	2
Administrative - Reports	3
Administrative - Meeting papers (inc. agendas, minutes etc)	5
Administrative - Business Plans	7
Administrative - Private Office Papers	7
Administrative - Policy Papers	10
Commercial	7
Financial	7
Legislation	10
Programme & Project	7
Staffing & Personnel - Employment, Career, Health etc	3
Staffing & Personnel - Disciplinary Matters	5
Staffing & Personnel - Salaries	7
Statistical	10
Systems	5

When choosing a record type, a single list displaying **only** the type names (**not** the retention period) will be offered. When hovering over a record type, a pop-up box will display examples of the type of thing that could be fall into that record type.

Current Record Types need to be managed in the new system so that when reviewed and retained a record will map to one of the new record types and have a potentially new retention period applied. For example, anything currently declared with Programme & Project Records > Vision Statement has a retention period of 5 years; if retained, the new Programme & Project Records retention period of 7 years will apply. Similarly, anything with Programme & Project Records > Business Case has a retention period of 10 years; if retained, the new 7 years will be applied. Some records will thus gain a little longer before next review, others will lose a little.

Current Review Dates are to remain as they are - no recalculation should take place. At the point of review, as mentioned above, if they are retained then the new retention period will apply.

Declaration process to offer users the option to select one of three answers to the question "Will this document become a record?" at the point of creation:

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Yes - document will be automatically declared 1 year after the last modification or 2 years from the date of creation, whichever is soonest

No - document will be automatically deleted 1 year after the last modification or 2 years from the date of creation, whichever is soonest

Not sure - document will be notified to user 1 year after the last modification or 2 years from the date of creation, whichever is soonest

"Not sure" to be selected as default so that if users choose not to answer (because it will **not** be mandatory to make a choice), the notification process will start when appropriate.

New views in the BDB should show those documents that are due to be automatically declared (ie with the answer set to "Yes"); those that will be automatically deleted ("No"); and those that will be notified as normal ("Not Sure"). The views should be sorted by owner's name and then by Category / Sub-category. New columns should display the dates of declaration / deletion - ie, one year from Last Modified Date and two years from Creation Date.

Audit record actions need to be captured. A log should be kept of:

the date and time a record is declared

the name of the person declaring the record (or, if declared automatically, who set the option to "Yes")

the record type (and sub type)

the next review date

the actions carried out at all reviews by reviewers (eg date and time record was retained)

the actions carried out by administrators (eg moving a record from one database to another)

the actions carried out by ERMS Admins (eg restoring a previously deleted record or undeclaring a record)

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