ARC magazine

www.archives.org.uk

Archives & Records Association
UK & Ireland
No: 323
ISSN: 1745-2120
July 2016

Records Management Special Issue

Reflections on working with the Section's Executive Committee and an invitation
Page 17

Call for Core Training Co-ordinators

The ARA training group is looking for a number of new members to contribute to the Core Training offer for ARA members. We believe that the provision of quality, inexpensive, accessible training is one of the key roles for ARA. As a group we oversee training across the Association, designing and delivering regional and specialist training events. In the last two years we have developed the new Core Training events.

Can you help us to further develop our training provision? Are you looking to spread your wings and broaden your horizons from your current job? Do you have something to offer?

We are particularly looking for people to take on the roles of Core Training Co-ordinators. These are people who look after specific Core Training courses and take responsibility for their structure and administration. This is an excellent opportunity to develop your skills and show a commitment to your continuing professional development.

We are looking for enthusiastic people who can make a minimum two-year commitment to the role. We meet three times a year with discussions in between by teleconference and email. Travelling, telephone and other expenses are met by ARA. For an informal discussion or to express an interest contact the chair of the training group.

Lizzy Baker, ARA Training Group Chair

Email: lizzy.aratraining@outlook.com

The ARA's Core Training programme is supported by Link 51.

ARC magazine

Contents

Welcome to **ARC Magazine** July 2016

Welcome to the July issue of *ARC*, which this month focusses on records management. The issue contains a range of articles from implementing new EDRMS systems to reaching out to businesses to emphasise the importance of good records management. The articles are from a wide range of businesses from local government to the Bank of England, showing that although the organisations may be very different, they have in common many of the issues that face records managers across the sector. It is clear from the articles that systems are tailored to meet individual needs in a rapidly changing legislative and digital landscape.

The articles demonstrate the great work of the Section for Records Management and Information Governance and shows how they are actively listening to and taking on board the suggestions and ideas of their members. This shows how important it is that we all keep discussing, keep sharing best practice and ensuring that we are adaptable to a changing environment.

I hope you enjoy the issue!

Sophie Stewart
Editor

ARC Magazine is the monthly publication that is published by the Archives & Records Association (UK and Ireland)
Prioryfield House
20 Canon Street
Taunton
Somerset
TA1 1SW
Tel: 01823 327030

ARC Magazine advertising enquiries to:
sam@cabbell.co.uk
or phone Sam Rogers on
0203 603 4950

Send articles/comments to:
arceditors@archives.org.uk

ARC Magazine design by Glyder www.glyder.org

Front cover: Reflections on working with the Section's Executive Committee and an invitation


Records Management at the South West Spring Meeting 2016

Lessons learnt in designing file plans


Records Management Over Lunch!

Reflections on working with the Section's Executive Committee and an invitation

opening lines

For the past year, Daniel Scott-Davies and I have been on a mission to change an unsatisfactory draft of the revised NHS Code of Practice on Records Management. This was to prevent the inappropriate destruction of records which could affect patient outcomes plus clinical and historical research.

The initial draft, and in particular the retention schedule, was far from best professional practice. We had serious concerns about the blanket retention action of 'destroy', the lack of consideration for records which should be reviewed for long term archival retention and inconsistencies with legislation. Daniel and I submitted a substantial number of recommendations to the Information Governance Alliance (IGA, the group responsible for updating the Code of Practice), and attended a teleconference with other reviewers of the code. However, despite receiving assurances that our comments would be taken into account in the next version of the code which went to public consultation they were not included, nor were they even addressed.

Once we digested all this, we realised it was time for a more targeted approach from the ARA. We asked for comments from members of the sections Daniel and I are officers for, the Section for Records Management and Information Governance and the Section for Specialist Repositories, and received useful feedback in support of our arguments. This was a great opportunity for two sections of the ARA to work together, particularly as members of each would approach the schedule from different perspectives.

We asked John Chambers if he would send a letter to the Chief Executive of the IGA (December 2015), also sending copies to MPs, the Department of Health, Dame Lowell Goddard and Dame Fiona Caldicott. We needed to ensure that senior stakeholders with an interest in how the NHS manages information were made aware that the code was not fit for purpose and to prevent its publication in its current form. We emphasised the links between record keeping and recent inquiries such as Savile, failures at Mid Staffordshire Trust and the on-going Goddard enquiry into historical child abuse, demonstrating the importance of getting records management right.

The letter was well pitched, to the point. It certainly drew the attention of the IGA, and we held a face-to-face meeting with the IGA project team. Whilst IGA demonstrated more interest and engagement with the ARA, we still had to persuade the team that records retention goes beyond internal compliance. We were able to draw upon our experiences working within a large NHS Trust to show how particular types of records were used by others, often long after the records were created. Along with the arguments that it may not promote the best image of the NHS to have a retention schedule filled with the word 'destroy', we were able to persuade the IGA to highlight categories of records requiring further review before destruction.

This engagement definitely felt like progress to us, and IGA accepted several of our recommendations. But some elements of the draft code remained unsatisfactory. It became clear that we would need to persist further, adapt our strategy, and argue consistently in defence of professional best practice. We would also need to prioritise and focus on several key issues rather than critiquing everything. After several more exchanges, we decided the ARA would have to send another formal letter to the same recipients as previously. However, the tone of the second letter was to be less critical, recognising the progress that had been made in the previous months but still setting out what needed to be agreed upon before the ARA could endorse the code.

In response, the IGA sent us a positive letter, and we arranged a teleconference to discuss outstanding issues. Real progress then followed more constructive discussions, and we reached conclusions satisfactory to both parties. One issue which remained contentious was the retention period of only two years which had been given to birth registers. The IGA argued that the information held within these registers was held elsewhere in national datasets and they did not want an additional burden to be placed on NHS organisations to create new records at great cost. We argued that the birth register is a significant **cross-organisational** record, being the place where all births that occurred in the hospital are recorded, and often used many years afterwards in legal cases and by historians. It was important to reach a compromise and work together with the IGA to identify the right language for birth registers. We finally agreed that the schedule would advise that, where such birth registers are kept, they should be reviewed at the end of their retention period for transfer to a Place of Deposit and retained indefinitely.

The latest version of the code (although at time of writing not fully finalised) is not perfect, but it is at a stage where it can be endorsed by the ARA and is a much stronger document than the draft we saw back in July 2015. The relationships developed between the ARA and the IGA can also be built upon in the future developing professional recordkeeping practices within the NHS. This achievement really was a true team effort requiring the support of the ARA and our colleagues from within different ARA sections.

Acting through the ARA, rather than from within the NHS, for example by using our personal email accounts, gave us greater freedom to speak openly, as there would be no conflicts of interest with our employer. This helped to reduce some of my initial anxiety at being involved in this activity – a new experience for me – but it was necessary for us to act and challenge the initial draft of the code to protect professional practice as well as the records we as a profession seek to be custodians of. Personally I have developed my confidence in negotiation, persuasion and advocacy by going through this process as well as influencing the recommendations of a significant guidance document that will be used by many professionals for the benefit of large numbers of patients. I hope that our experiences can help others dealing with challenging situations and to remember the impact that the ARA can have.

Laura Hynds

Registration **news**

Mentor's Reference

One of the duties of a candidate's mentor is to write the mentor's reference. The reference should support the candidate's application for Registered Membership of the ARA. It should demonstrate knowledge and an appreciation of the candidate's development over a period of time, citing, in support, examples from the candidate's portfolio.

The guidance for writing the mentor's reference has recently been updated and can be viewed on the ARA's website at http://www.archives.org.uk/training/registration-scheme/guidance-for-mentors.html

The guidance contains a suggested structure for the reference and some sample texts. We would encourage all mentors to familiarise themselves with the document as soon as possible.

Blitz-It Workshop

A Blitz-It workshop will take place at Heritage Quay, Huddersfield, on Monday 26 September 1pm-4.30pm

This FREE half-day workshop is for candidates who have been working on their portfolio for several years and who would welcome some extra support to get their portfolio ready for submission before the final submission date for the old-style Registration Scheme in October 2017. Mentors of candidates in this position are also welcome. For more information about the changes to Registration, see the ARA website at http://www.archives.org.uk/training/registration-scheme.html

This surgery style workshop will provide a brief reminder of the key components of the Registration Scheme. In addition there will be opportunities for candidates and mentors to have a one-to-one discussion about their portfolio with an experienced Assessor.

To get the most out of the workshop, candidates should bring their draft portfolio with them for their own reference. Examples of successful portfolios and Learning Outcomes Forms will also be available.

To reserve a place for the workshop (max. 12) and receive further location details, or for further details of how to apply for a bursary for travel to the workshop, please contact regschemeevents@archives.org.uk

Contacts:

General Registration Scheme Enquiries:
registrar@archives.org.uk
Registration Scheme Events Enquiries:
regschemeevents@archives.org.uk
Registration Scheme Admin and Bursaries:
regschemeadmin@archives.org.uk
Registration Scheme Communication:
regschemecomms@archives.org.uk
Registration Scheme Mentor Queries and Advice:
regschemementors@archives.org.uk

Richard Wragg
Communications Officer,
Registration Sub-committee

"Don't forget: Existing candidates have 15 months to submit their portfolio under the existing Registration Scheme."

Collecting **matters**

Back in March, delegates to the UK Archives Discovery Network (UKAD) Forum were treated to a day of 'dirty data' and a 'chaotic abyss' of digital records and archive management:
http://blog.nationalarchives.gov.uk/blog/author/cwilliams/

Responding to the theme of DATA MATTERS! speakers explored what it means to adopt a data-centric approach to collections management; and how having a data mindset can help us manage and make available our increasingly digital collections.

For the British Museum, the British Library, Jisc or the BBC, thinking from a data perspective provides opportunities to connect collections across cultural heritage boundaries and to reach diverse global audiences. But only where it is underpinned by standards supporting the sharing, searching and reuse of many and varied types of data from individual records to databases and extensive datasets.

And this Big Data shift is happening right across the records management, library, archive and museum professions.

Students in Higher Education can now train to become data scientists at iSchools, learning techniques built on business, IT and computing, information and collections management principles.

From data analytics to data-mining, there are ways to make data 'work harder' both for records managers and archivists, and users of their collections.

Increasing your data awareness and recognising the significance of the data you hold, could mean improving discoverability, access and reuse; extending your reach through aggregators and portals; understanding your audiences and demonstrating the value of your service.

So however you define yourself, perhaps it's time to embrace digital change and think about becoming a 'data professional'?

Cathy Williams
Head of Collections Strategy
The National Archives

www.nationalarchives.gov.uk

ARA London Conference 2016

Global Futures

This year's theme for the ARA Conference in London is 'Global Futures', and the response to our call for papers was an exciting demonstration of how the conservation profession is also looking outwards and forwards. Innovation is a recurring theme within the conservation stream at Conference, typified by the exploration of new technologies, the discovery of new materials, and the celebration of collaborative working.

The conservation stream at Conference is a friendly, supportive environment for conservators to ask questions and exchange ideas. For conservators who work alone or in a team, it is an ideal opportunity to communicate with colleagues from different workshops and backgrounds, and to return to your own studios with fresh inspiration and motivation.

Participating in Conference also enables conservators to keep up to date with current affairs as they affect our sector. For example, on Wednesday morning (31 August) Chris Woods will introduce the new European standard and revised British standard that replace current environmental guidelines for storage and display of archival material. Elsewhere in the programme, Athanasios Velios and Professor Nicholas Pickwoad will discuss the development of the Language of Bindings Thesaurus and Annika Erikson will explore advances in digital condition reporting.

Attending Conference also gives conservators the opportunity to speak directly to global experts in associated fields; for example, Dr Anne Lama is working at the Institute for Creative Leather Technologies, and recently published an article on her research into treatment for acid-deteriorated leather; Anita Chowdry is an artist, educator and researcher who has studied Indian manuscript painting techniques under a hereditary master in Jaipur.

The range of papers and speakers offers an accurate reflection of the archive conservation profession today, and the overall programme takes us on an engaging journey into the conservation profession of tomorrow. We hope that you find our speakers and programme as inspiring as we do, and look forward to welcoming you to Wembley!

To register for all three days of Conference or as a day delegate, please go to this address:
www.archives.org.uk/ara-in-action/the-ara-conference.html

Catherine Dand

ARA app – a new addition to the family

As many members will know, ARA has launched an app for members. The app can be downloaded easily and works on Android and Apple devices as well as on Kindle Fire tablets.

We envisage that the app will soon become your main gateway to everything on the ARA website, giving you greater flexibility of access, so that you are not tied to a desktop or laptop. Initially, it will just contain major communications. Over time, more content will be added. Eventually, the app will develop into a mobile hub for members to access information and, hopefully, audio/video content and webinars. Our goal is to improve member experiences and deliver added value, including in terms of the immediacy and flexibility with which members can receive and share information.

What's on the app right now?

- ARC magazine
- ARC recruitment
- ARA today
- News from the website
- Conference details and handbook.

Why do we need an app?

There are a few good reasons why we need the app.

Firstly, like any membership organisation and professional body, we need to keep abreast of technology and enhance our offering to members. Mobile apps are also now commonplace, with many people now using them on their smart phones; so having an app is just part of the 'new-normal'. So we decided to do that alongside developing the app, which will bring resources like ARC Magazine, section news and other items to your smartphone and (thereby) closer to your fingertips, as well as helping you share more information, more quickly, with each other.

Secondly, the app means better value for money. Putting more information into digital and reducing our print costs enables us to redirect resources to front-line priorities and keep your membership subscriptions as low as possible.

Additional benefits

The launch app is just the first step. Once we've got the basics right, the technology will allow incremental developments and benefits.

What's being considered for future development?

- An easy-to-use facility to renew your membership and update your contact details. This is due in 2017.
- A simple link to finding and booking training, and development opportunities – via the website.
- Recruitment opportunities – through job adverts and early notification for some interesting vacancies.
- Webinars and more audio/video content going forward.

We know that many members will choose not to use the app. That's fine: you'll still be able to access ARA publications and services as you do now.

Operating systems

The ARA app is available for three types of devices:

1. iOS – that's Apple devices, such as the iPhone and iPad. [Must be version iOS version 7 or above.]
2. Android – the Google operating system that runs just about every other smart phone and tablet. [Android software needs to be version 4.0.3 or above.] There's a huge range of Android-compatible products available, with phones and tablets starting from less than £50.
3. Kindle Fire – uses a custom version of the Android system.

How to download

If you are familiar with downloading apps, then the ARA app will be easy to find and install – go to the Google Play Store, Apple App Store or Amazon (for Kindle Fire) and search for "Archives and Records". A more detailed, step-by-step guide for the relatively (or totally) uninitiated is available via the Publications page on the ARA website.

You'll need your existing ARA website user name and password to log in to the app. If you have forgotten one or both, or have never had a user name and password, you'll need to reset/apply via the ARA website.

We will also ask members to revalidate their app details every three months – as a basic security precaution.

The benefits

Members that download the app will benefit from (or contribute to) greater:

- Efficiency – faster communication; you'll get (and be able to share) information more quickly.
- Mobility – information – eg, on job opportunities - will reach your device wherever it is (and you are).
- Convenience – you can keep in touch wherever and whenever it suits you, ie wherever there's a mobile connection.
- Web-enabled access – when we publish new documents and information with the app, it can be web enabled, with links taking you straight to the website or hyperlink connection being referenced.
- Engagement - the app enables ARA to better engage with members, and enables members to better engage with each other.
- Value for Money – the app helps us reduce publication printing costs and offers another platform for possible advertisers: all this helps us redirect resources to front-line priorities and keep ARA membership subscriptions as low as possible.
- A better environment - by reducing the amount we print, we use less paper and materials associated with packaging and distribution, and emit fewer greenhouse gases.
- Professional development - we hope that the app will open up new opportunities to hold webinars and other video/audio content.
- Things we haven't thought of yet! - we'll welcome members' ideas on how the app can grow and develop in the coming years.

We need your feedback

We'd love to hear what you think, so please send us through your ideas on how we can improve the app, make it more user-friendly or develop new services. We might not be able to do everything at once, but we'll want to do as much as we can as often as we can. Please send your feedback to app@archives.org.uk

John Chambers
CEO, ARA

Welcome to the Records Management Special Edition

Welcome to this records management special edition of *ARC*. In this edition we will hear how a number of organisations are dealing with common issues facing records managers, and some of the recent events and work being done by the Section for Records Management and Information Governance.

This year has seen the Section for Records Management and Information Governance deliver a number of events across the country and undertake an investigation into what members want from the Section.

Our EDRM themed mini conference started off our year's work in May with an array of speakers providing case studies on a variety of EDRM implementations. Speakers from both local government and the private sector provided case studies on how they are managing electronic records, whilst Preservica provided a demonstration of how their software can integrate with a variety of electronic recordkeeping solutions.

In July we ran a joint event with the East and West Midlands and heard a fascinating array of speakers on a variety of recordkeeping themes including speakers from the Bank of England and the Department of Communities and Local Government. In March we also ran a joint session with the South West region which allowed attendees to hear about recordkeeping practice at the Environment Agency and Bristol City Council, as well as an update on the Public Records Act from The National Archives.

As well as these events members of your Section's committee have been working on a variety of areas of best practice and professional engagements. We have attended meetings of the IM Alliance which seeks to create a platform to measure the benefits of good recordkeeping and look forward to seeing how this work progresses. Our committee has also been heavily involved in commenting on the revised NHS Code of Practice on Records Management, ensuring that our professional concerns are heard and appropriate changes are suggested where needed.

I will be standing down as Chair this year after three years in the role. I would like to take this opportunity to thank everyone who has volunteered and contributed to the work of the Section. I would also like to thank members who have attended the variety of events that we have held over the last few years. Your involvement has provided great networking opportunities for all. I would also like to particularly thank committee members past and present for all their hard work. You have all made it a rewarding and enjoyable three years. Best wishes for the future!

David Jenkins
Chair, Section for Records Management and Information Governance

You told us and we've listened: Feedback from Section's membership survey

The results of the 2015 survey from the Section for Records Management and Information Governance

Towards the end of 2015 the Section for Records Management and Information Governance circulated a membership survey to establish how members of the Section felt we were doing, and what the priorities for the coming year should be. The survey also gave us a useful indication of the background of Section members (i.e. the particular sector they represent). This survey has provided us with a great opportunity to take stock of how the section operates and where we should best focus our efforts. The results of the survey will help inform what events the Section holds and what areas need to be prioritised.

This article provides a brief overview of the headline results of the survey broken down into sections. The full report on the survey can be found on the SfRMIG pages on the ARA website (under News and Events).

A bit of information about you: The majority of respondents were from the London and South East areas, who were typically relatively new members (under 2 years) or had been members for more than

Archives & Records Association
UK & Ireland

Section for Records Management and Information Governance

2015 Membership Survey Report

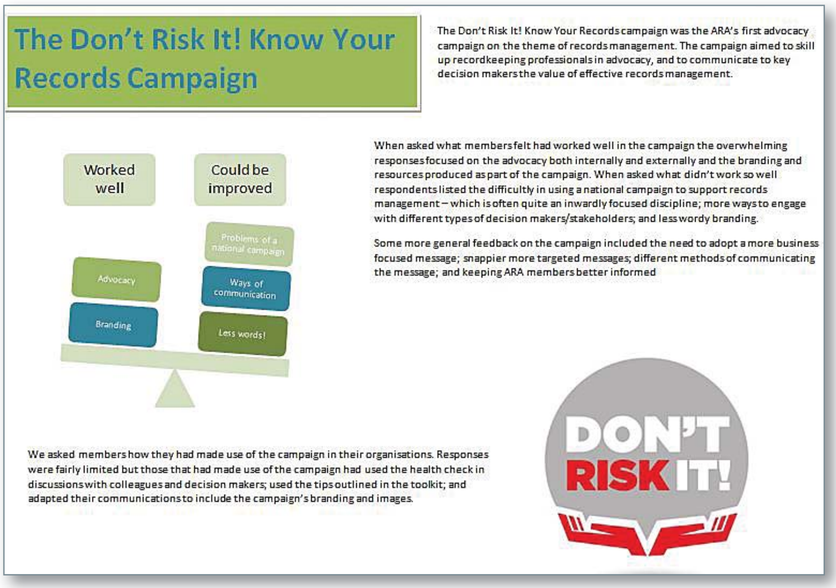
Foreword

It is vital for us, as your Section committee to know what you want from us to help inform our planning. I would like to thank everyone who participated in the 2015 membership survey. You have provided us with some very useful information on which to base our plans for 2016. I hope you find the results of the survey an interesting read. Rest assured your comments will be at the core in all our planning going forward and when we reflect on previous actions and initiatives.

David Jenkins,

Chair, Section for Records Management and Information Governance.

Cover Page From Survey



The Don't Risk It! Know Your Records Campaign

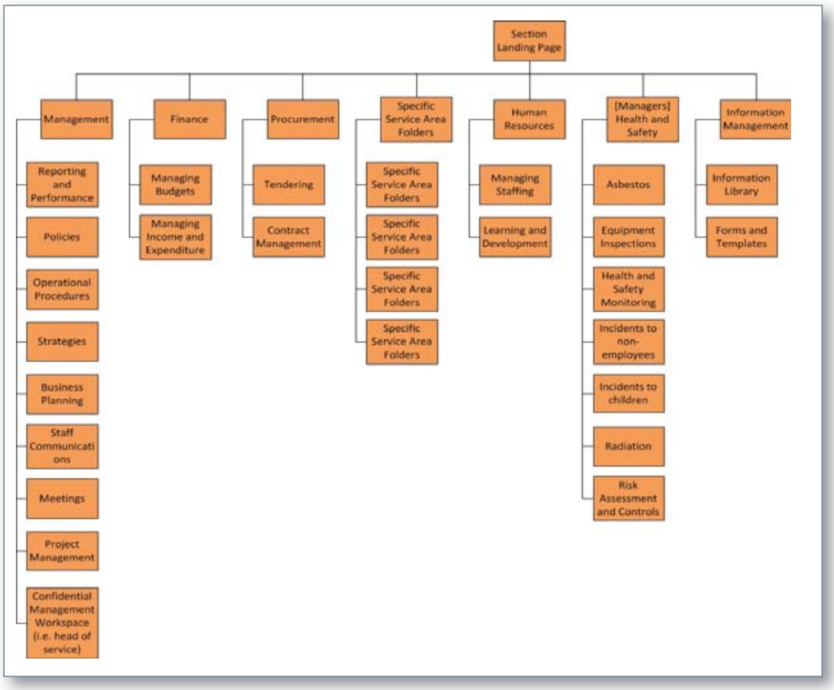
The Don't Risk It! Know Your Records campaign was the ARA's first advocacy campaign on the theme of records management. The campaign aimed to skill up recordkeeping professionals in advocacy, and to communicate to key decision makers the value of effective records management.

When asked what members felt had worked well in the campaign the overwhelming responses focused on the advocacy both internally and externally and the branding and resources produced as part of the campaign. When asked what didn't work so well respondents listed the difficulty in using a national campaign to support records management – which is often quite an inwardly focused discipline; more ways to engage with different types of decision makers/stakeholders; and less wordy branding.

Some more general feedback on the campaign included the need to adopt a more business focused message; snappier more targeted messages; different methods of communicating the message; and keeping ARA members better informed

We asked members how they had made use of the campaign in their organisations. Responses were fairly limited but those that had made use of the campaign had used the health check in discussions with colleagues and decision makers; used the tips outlined in the toolkit; and adapted their communications to include the campaign's branding and images.

Additional Page From Survey



Simplified Classification Scheme Diagram

4 years. The two sectors which were most heavily represented amongst the respondents were the local government and education sectors.

Training and Events: We asked our members what their priorities were for training and events, and they came back with a strong steer to focus on areas such as digital recordkeeping and old favourites such as retention and disposal.

Communications: Communication forms a key part of how any Section engages with its membership, and we asked for feedback on how we were doing. Respondents were keen to ensure that plenty of notice was given prior to events, and that communications should focus on advertising events and sharing information on best practice and legislation.

General Feedback: We asked respondents what works well as a Section and what could be improved. The overwhelming successes that respondents highlighted were advocacy and delivering engaging training and events. On the flip-side respondents felt that we could provide more practical support for members and to hold more events outside of London.

Don't Risk It! Campaign: We ended our survey by asking members about the Don't Risk It! campaign, particularly on their views on the campaign as a whole, and how they felt it has been useful to them. Most respondents praised the campaign as the first of its kind within the ARA, and one which has certainly raised the profile of the Section. However some felt that it had proved difficult to tie in any 'local' advocacy to a very broad national campaign. Our branding and resources were positively received, though some felt that some of the literature was slightly too wordy.

Over the next few months, taking on-board the feedback from the survey, we intend to do the following:

- Continue to hold events outside London (since our AGM we have so far held two such events)
- Hold our annual 'mini conference' on the theme of digital recordkeeping
- Prepare for phase 2 of the Don't Risk It! campaign focussing on a key theme which engages with decision makers
- Continue to regularly communicate to section members via our newsletter and general email messages.

We would like to thank everyone who took the time to complete the survey. It is only with feedback from section members that we can put on events which are of value and meet all of our needs. The survey will be run again in the future to ensure we keep addressing your requirements.

The Executive Committee
Section for Records Management and Information Governance.

Records Management at the South West Spring Meeting 2016

Laura Hynds talks about subjects discussed at a joint conference in Bristol.

In March 2016 the Section for Records Management and Information Governance held a joint meeting with the South West Region at the University of Bristol Theatre collection. The event was well attended and had several talks with a focus on records management.

The first presentation of the day was given by Simon Ayre and Darren Thompson who are records managers at the Environment Agency. The Environment Agency works across England and is an environmental regulator, a government advisor and a responder to environmental emergencies. One of the main areas of work is to raise the profile of records management within the organisation, and this is done by embedding a 'risk and reward' culture. Emphasis is placed on the personal responsibility for recordkeeping, advising staff on how to protect themselves from disciplinary action and their organisation from reputational damage and fines. This is balanced with the benefits that come from having good records management.

The pair also demonstrated how they tie their records management annual action plans to the plans of the business. There is a team of records officers who work throughout the organisation that ensure records management is carried out and which enable progress to be measured. It was beneficial to see the ways in which the team measured progress to be able to demonstrate the tangible benefits of records management. Statistics were gathered on activities such as teams completing the information risk assessments for their departments and how many departments had identified their records in line with the retention schedule. There were also huge cost savings from more active management of offsite storage.

The second presentation of the day looked at how the archives and records managers work together at Bristol City Council given by Shona Dunning and Graham Tratt. Both teams sit within the same directorate which has been beneficial for both. This has been most apparent with the disposal process which is carried out quarterly, where the records managers will obtain approval for disposal and the archivists will review all boxes prior to them being destroyed/transferred.

Elizabeth Richmond and James Button gave the next presentation, providing some anecdotes on how they have dealt with some challenges they have faced within archives, records management and Freedom of Information at Bath University. Challenges faced included how to manage records for those who have had a gender reassignment in order to be compliant with legislation. They also explained some of the difficulties faced when small campaign groups were using FOI to uncover research being done at the university related to the effects of tobacco.

At business meetings in the afternoon the sections discussed what they had been working on and offered attendees the chance to discuss any record keeping successes or problems they were encountering. Kevin Mulley of The National Archives (TNA) gave the final talk of the day advising on the transition to a 20 year rule under the Public Records Act. Kevin reported on TNA findings that, on average, transfers from the NHS to Places of Deposit were quite low, and they were often ad hoc and driven by organisational change as opposed to being part of an established process. He highlighted the guidance the TNA could provide on which organisation should be transferring to which Places of Deposit and what the balance of work should be between the transferring body and the Place of Deposit.

The day was well rounded and provided a good opportunity for archivists and records managers to network and to learn from others about what has and hasn't worked in different organisations.

Laura Hynds
Training Officer, Section for Records Management and Information Governance

Lessons learnt in designing file plans

File plans: powerful tools for managing an organisation's information. A file plan tells you where to file a given record and how that record relates to the rest of your files. It is a set of categories to arrange records by - essentially, a filing structure or system. Whether you are working in a paper or electronic environment and no matter how big your organisation, if you regularly create documents and need to share them: you should have a file plan.

File plans come in many shapes and sizes. A file plan can tell you in which file, on which shelf, in which team's office, a piece of paper belongs. It will also tell you in which folder, on which shared drive, for which project, a spreadsheet belongs or, which classification in your content management system you should tag a blog post with. All file plans have the same purpose: to structure and classify your records so that you can ensure they are captured, retrievable and shared. File plans support the ability to manage retention of your records, answer Freedom of Information requests, manage personal data appropriately and maintain information security.

In short, file plans are awesome and as a records manager, I am not ashamed to say that designing (and implementing) them is one of the things I enjoy most about my job. After some years of doing this, I thought I'd share what I've learnt about designing file plans.

"In short, file plans are awesome."

Know the records and their creators

There's no point designing file plans in isolation. You need to know who you are designing your file plan for, what they do and how they do it in order to create a structure which supports their work. For process-driven teams, it can be useful to map out their work processes as a first step in the design of a file plan. While it's usually better if one person (preferably the Records Manager!) takes control of designing the structure, get your colleagues involved in giving you their requirements and feedback and get them to test and work through the structure before you implement it.

Develop design rules

Different designs work for different organisations and while there are no hard and fast rules when it comes to designing file plans, here are a few things I would recommend:

- Avoid structuring file plans according to a department, team or job roles which are liable to change. Instead, organise them according to the functions or work of your organisation – these are less likely to change and are the basis of a stable file plan.

- Design the file plan so that it is as accessible as possible. It's got to be easy for your users to use, otherwise they might find alternatives to using it. Keep it simple and shallow (not too many levels deep). Think about how easy it is for your users to navigate and even how you initially present the file plan to them – you don't want users to be put off by its complexity before they even try to understand it.

- Think carefully about how you name the components (classifications, folders) of your file plan. Use plain language which can be understood by anyone and avoid acronyms and unofficial names. You may even want to establish naming conventions for your file plan.

- Minimise ambiguity in your file plan. To reduce the potential for misfiling of information, design it so that every record has a clear place in it, and only one place.

- Consider how you will manage records retention when designing the file plan. For instance, you might want lower levels of the file plan to be arranged by a category of time (year, month, date) to help you manage date-based retentions.

You will never achieve perfection and you don't need to.

There are no right and wrong answers when it comes to designing file plans: there are many different ways of organising information and everyone will have a different idea of how the file plan should be designed. You could spend hours going round in circles, trying to design the perfect user-friendly and records management compliant file plan – don't bother: it isn't necessary (or even possible?), it just has to work.

> *"Keep it simple, keep it relevant and keep it working!"*

And even if you do, it won't stay perfect for long!

Everything I've said so far is concerned with the design of file plans prior to implementation. It's worth bearing in mind that once you implement the file plan, no matter how carefully you have designed it, you will probably need to make adjustments to it to ensure it is fit for purpose as a working tool. And as a tool designed to support the work of your organisation, as the work of your organisation grows, changes and evolves, you'll need to make further changes to keep it relevant.

So, in a nutshell: keep it simple, keep it relevant and keep it working!

Katie Espley, Records Manager
The British Library

EDRMS Mini Conference - a year on

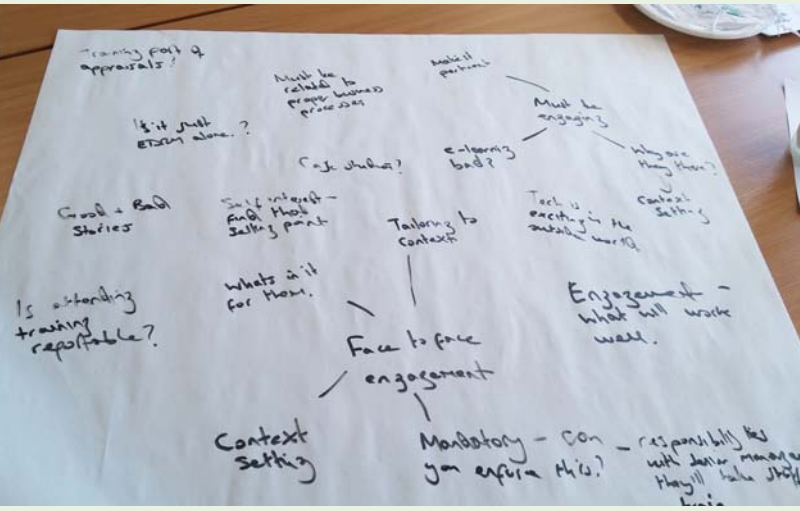
In May 2015, the Section for Records Management and Information Governance held an EDRMS Mini Conference, at the London Borough of Hackney. The event was attended by around 30 participants from a variety of organisations across the UK and included a lunch kindly sponsored by Preservica.

Having recently upgraded our EDRMS it was a topic close to our hearts at Hackney, and we were happy to host, and to open the case studies with our own. We had chosen a rather ambiguous title 'Taming the Beast' as our existing system already held over 6 million documents and 2 million folders. Our presentation stepped through our recent experiences of upgrading from OpenText eDOCS DM 6 to OpenText eDOCS DM 5.3 – just one project of a corporate desktop upgrade programme that culminated in Hackney ICT upgrading all of our 3,500 users from XP to Windows 7, Office 2002 to 2007, 300 lines of business applications and our upgraded EDRMS (with 13 integrations) on to a Virtual Desktop environment over one 'big bang' weekend in December 2014.

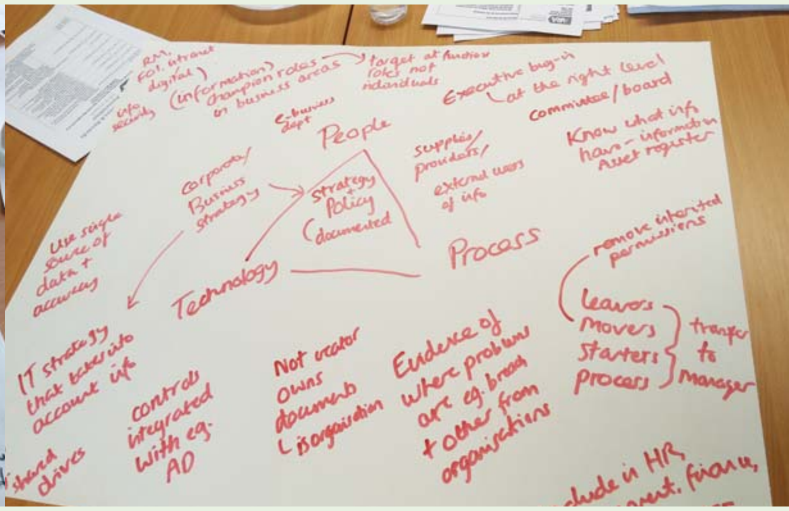
Our presentation focused on how we tried to map our requirements from one version to the other. As the install was going to be bespoke to our organisation, we took the opportunity to change functionality to match our policies, for example not allowing a user to save into 'personal' areas as they had been able to previously and often did accidentally. We made sure that any messages popping up were user friendly, and that we were automating as much as we could. For example this version remembered the last save locations to make the user's life much easier.

We touched upon our next steps, which will be to implement a module to apply retention within the system using OpenText Records Manager. In conclusion, we reminded the group of some of the questions they may want to consider in advance when implementing a system – is there a known upgrade path? Do people know their responsibilities? Are you documenting what you are doing so that those upgrading the system in 5 years' time will understand? Does functionality reflect your policies?

David Jenkins, Corporate Records Manager and Chair of the Section, then presented to us on Derbyshire County Council's deployment of OpenText Content Server. It was being deployed to 10,000 users – very impressive given David is the sole Records Manager! The deployment included applying retention which brought its own challenges, including having to enable staff not from a Records Management background to undertake records management tasks. He talked through configuration of the out of the box system – how it becomes adapted to your own organisation through setting up the folders, classification and retention rules that are in place. In terms of standards, David explained that originally they had been rather rigid in adhering to the Local Government Classification scheme, but that using this made it more difficult for the users to relate to the system, and led to some confusion about where



Ideas from the 'Advocacy, awareness and training to support EDRM' breakout session.



Ideas from the 'What's needed aside from the technology' breakout session.

> *"We had chosen a rather ambiguous title 'Taming the Beast' as our existing system already held over 6 million documents and 2 million folders"*

to store information. The approach was adapted to suit the user needs and now is more flexible and simple – they provide each business area with a key set of folders that they need as a starting point, and develop each area a 'landing page' that appears to bring together all of the team's folders.

Jason King from the Department of Communities & Local Government gave a refreshing overview of the challenges facing them – which I think a lot of people can relate to. Even with an EDRMS in place, there are still file shares, not to mention heavy use of email. His presentation served as a helpful reminder; that implementing an EDRMS is not the end, there will always be other challenges; other 'beasts to tame' alongside EDMRS work. The presentation by Mike Quinn and Martin Springell from Preservica served as another reminder; that the challenges we face today are only the beginning. Ensuring your users have access to documents and records today is only one part of the challenge and we all need to be mindful of the future challenges we will face if we do not have a strategy for digital preservation. They demonstrated how the Preservica software can link into an EDRMS, and stressed that the key aspect of any strong digital preservation programme is good information governance.

The breakout sessions were a fantastic opportunity to discuss some of these topics in a more in-depth way in our groups, and to see and hear about the work other organisations had underway, and planned for the future. Overall, I and the rest of the team at Hackney found it refreshing to know that others in the room had similar experiences and challenges. The atmosphere was supportive and encouraging and we were given details for case studies for our next steps. We have since been in contact with some of these people, and even to visit others working on a similar project.

Sarah Palmer-Edwards
Corporate Information & Knowledge Manager, London Borough of Hackney
Treasurer, Section for Records Management & Information Governance

Implementing SharePoint

Jason King talks about the challenges of implementing a new EDRMS.

After a previous attempt to implement an EDRM system, my organisation is now embarking on a corporate deployment of SharePoint. The reason for choosing SharePoint was the result of a specification in our new IT contract for a collaboration platform.

So we now have out-of-the-box SharePoint 2010 and we need to do something with it. In true Civil Service fashion, we asked other organisations what their experiences of deploying SharePoint were like. We did lots of visits, spoke to lots of people (organisations and suppliers) and read as much as we could (including a paper from The National Archives[1]).

The result were mixed but the same advice kept popping up – 'Try to work with SharePoint, not against it'. In other words, like a lot of EDRM systems, SharePoint has its advantages but also its limitations.

We have now decided what we would like to do and, following a small scale pilot, can now see how we can get there.

Of course, there are lots of challenges ahead. As with any out-of-the-box product, customisation is costly, and we all have to live within a tight budget. So we are looking to see what we can achieve with the minimal amount of spend. Having learnt from the experiences of others, my organisation is keen to support users by giving them the best EDRM system possible. However, as we all know, gaining customer buy-in whilst balancing good RM practice is never easy. We are all familiar with the difficulty people have in understanding why we cannot keep something forever.

Also, we are aware how quickly SharePoint sites can grow and multiply without some sort of central governance of the SharePoint eco-system. So we are trying to juggle the needs to the users with our needs of correctly manage the lifecycle of their information.

Our concern is also about the future. We currently have SharePoint 2010 but what about SharePoint 2013? How will we migrate data to future versions, particularly Cloud-based versions such as SharePoint 365? What happens if we need to export the data out of SharePoint somewhere else? Who will own and manage the data in SharePoint? Are we going to migrate all the current data from the Shared Drives into SharePoint?

We are trying to consider these questions (and more) as part of our implementation plan. We have already completed an 'Alpha Phase' pilot and are looking to move to the 'Beta Phase' whereby we build a model office and have a chance to try different ideas and approaches out. That will be when we consider all the questions and try to incorporate the answers into the build.

Whatever happens, I am certain that we will be in a better state then we are now, with the lifecycle of our data being better managed leading to reduced electronic storage costs in the future.

I'll let you know how we get on…

Jason King
Head of Records Services and Deputy Departmental Records Officer
Department for Communities and Local Government

[1] http://www.nationalarchives.gov.uk/documents/information-management/review-of-records-management-in-sharepoint-2010.pdf

Records Management Over Lunch!

To bring about greater awareness of Records Management and promote best practice in using internal EDRM software, Kieran Carne, Deputy Team Leader of the Records & Information Administration Team at the Bank of England, established a Records Management Roadshow, hosting a series of workshop based events in 2015 at the Bank's Restaurant facilities.

'Why the Restaurant?' people asked. My answer was simple: it is where you are most likely to find groups of staff in one place at one time and in a relaxed environment. I also strongly believe that one should reach out to the business, rather than wait for them to come to you. Hosting the Roadshows in a relaxed environment encouraged staff to ask questions, even those they may have thought were silly, in their own time.

I planned the Roadshows to take place at the end of September and mid-October, ensuring they followed the holiday season and moving towards the end of year, a period in which staff tend to focus more on housekeeping activities for themselves and their teams.

There were three key elements to the Roadshows that made them successful in meeting the needs of staff attending them. Firstly, I created a complete new set of best practice guidance and hand-out sheets so that staff could browse and take what was relevant for them (including a complete pack). Secondly, the availability of Records Management staff and laptops on the stand on the day, to provide one to one advice and demonstrations to staff who asked questions relevant to using the EDRM software, and thirdly, providing sweets and cakes to enhance any visitors' lunch breaks!

A great amount of planning work was needed to ensure the Roadshow content was useful for staff. For example, hand-outs are always useful for staff, but only if they cover subjects that are relevant at the time. As part of the preparation, I formed a small group to discuss and plan for the events. This included gathering feedback, including deciding on the key topics that staff would want advice on. Acting on this feedback, hand-outs were produced on seven key subjects, ranging from how to carry out searches or applying the correct metadata, right up to advice on declaring records and key Records Management standards and policies.

I realised that a well-executed internal advertising campaign for the event would be crucial to making it a success. This was carried out extensively by organisation-wide news articles, local departmental newsletters, posters placed at advertising boards near photocopiers and drinks machines, plasma screens and promotion through divisional and management team meetings. The digital screens in the lifts also carried a promotional advertisement during the week before the event. Support from senior management was something I wanted to achieve early, to signal to staff the importance of the event and the subject itself. This was achieved through promoting the event to a range of senior managers and team managers through the course of normal business. However, it was when the Bank agreed to publish the event to the whole organisation via the Bank-wide staff Newsletter, reaching over two thousand staff in the process, that serious interest and preparation began.

Two events were held on separate days, for three hours over the lunch hour period. They proved very popular. Almost 200 people attended the stands to ask specific questions, with additional footfall to browse the guidance sheets.

Among the visitors was the Governor of the Bank of England, Mark Carney.

Staff who asked questions at the stand were asked to complete a visitor list and evaluation form. A follow up survey was sent to welcome any further feedback to help shape future Roadshows. The evaluation sheets provided a greater picture of those specific questions and topics of current interest. For example a line manager asking for key messages they should give to staff or administrators asking how to edit meta data to a batch of documents. Again, using such feedback, existing hand-outs have been updated or new examples created.

Since the Roadshows were held, demand for the guidance packs has been high,e it on an individual basis or teams looking to address records management at a local level. The guidance has also been published on the Records Team Intranet site to reach the widest audience possible.

'And was that the end of the Roadshows?' I hear you ask…. far from it. They were so popular that a new Roadshow is currently planned for May 2016 at an external Bank site, and the Roadshow is also being scheduled to return to the Bank itself later in the year.

Kieran Carne
Deputy Team Leader - RIA Team
Bank of England

Speaking at a Committee Event

The 'Don't Risk It' Team

Reflections on working with the Section's Executive Committee and an invitation

We have our AGM coming up in July and we are keen for new blood to join the Section's Executive Committee. This issue of ARC Magazine seems a good opportunity to share my experience of being a Committee member and hopefully inspire some readers to take a more active part in ARA's Records Management and Information Governance community. I joined the Committee in January 2013, having been in my first qualified post for a year. Working in a very small records management team (and many of us even work alone in our organisations) made me feel isolated from my records management peers. A fellow records manager suggested I might get something out of joining the Executive Committee for the Section. As a result I attended the AGM, stayed on for the Committee meeting and knew that I had found my people.

In my time on the Executive Committee I have seen our Section develop in response to its membership. Back in 2013 our name even changed from the 'Records Management Section' to the 'Section for Records Management and Information Governance', a title which better represents the remit of many of us. My membership of the Executive Committee contributes significantly to my continuing professional development. As a volunteer, it does not always feel easy to find time for Committee work, but my employer is accommodating as they know they are getting a well-rounded, more skilled employee out of my involvement with the ARA. Being on the Committee has enhanced my sense of being a 'professional' rather than someone just doing a job. I have attended many events that have also allowed me to network, give presentations to my peers and learn from others who remind me that there are many ways to approach what we do.

I particularly enjoyed the opportunity to work on the Don't Risk It! Know Your Records advocacy campaign and try to find ways to 'educate' key decision makers with responsibility for records management and


The 'Don't Risk It' Team

information governance in their organisations. As Web Officer, I also got to set up the campaign's webpages.

And these are just my experiences. Other members of the Committee have all made varied and valuable contributions to the work of the ARA. For example in his role as Secretary for the Section, Edward really enjoys communicating with ARA members and helping them by answering any questions they may have. It's a great chance to hear from people working in different organisations, and hearing how records and information management is being co-ordinated.

If you would enjoy the opportunity to meet like-minded people and ensure records management and information governance are well represented by and within the ARA, we invite you to get in touch with the section (rms@archives.org.uk) attend our AGM if you can and get involved.

Bryony Leventhall
Web Officer, Section for Records Management and Information Governance

Will one size fit all? The role of a business classification scheme as a basis for an EDRM system

It can be argued that organising and effectively managing information is a key aspect of the work of a recordkeeping professional. Historically, staff working in recordkeeping roles have worked to develop schemes to manage the information which they hold and will need to regularly access. In the paper world this may have taken the form of a well organised file registry, and developing later (with the growth of electronic records) into the business classification scheme. Today we can read many scholarly and professional articles welcoming (or warning of) the growth of the 'big bucket' approach to managing information. This article doesn't attempt to explore the value (perse) of a business classification scheme, but does attempt to discuss how implementing such a scheme as the basis of an EDRM system might be approached.

My experience in local government has involved business classification schemes which are based on the Local Government Classification Scheme (LGCS) – developed a number of years ago by a panel of experts seeking to outline the key functions exercised by local government organisations (large and small). The LGCS has at its core the fundamental principle of organising records based on their function. This approach avoids the inevitable issues arising from organisational change (which are certainly not uncommon in local government organisations). The LGCS, for many records managers working in local government, represents a pre-created structure in which to store information. However, as is made clear in the introduction to the LGCS, it is designed to assist local government organisations in building their own organisational-specific business classification scheme. I would argue that failing to appreciate this key point would be a major error in developing a classification scheme as the basis for an organisation-wide scheme. To expect this 'off-the-shelf' model to suit everyone would certainly lead to disappointment, and even frustration. Those of us coming from a background of archives and records management should (hopefully) appreciate the logic behind the management of records in an organised and structured way. However, what about the often forgotten 'end-user' – that busy worker 'on the ground' doing their very important, and very busy job? Do they always welcome the introduction of a new way of organising their information, at the same time as having a new system to manage that information? I would argue that the normal reply would be 'no' and this has certainly been my experience when deploying a system based on a very rigid classification scheme.

At Derbyshire County Council we have been deploying an EDRM system (using OpenText's Content Server) for the last few years, and our approach to deploying this system has changed based on the user's response to the classification scheme. Our initial deployment of Content Server was based heavily on the LGCS with a somewhat customised lower level. This approach to organising information was a considerable cultural change to our end-users, at the same time as the requirement to use a new piece of software. Our particular approach to deploying our EDRM also included engaging the end-users to develop their own file plans, based on the LGCS.

The imposition of a file structure based solely on the LGCS caused a variety of issues for our end-users, and developing and agreeing file plans which worked for them took a considerable time. This user resistance and time delays led to a re-evaluation of our approach to rolling out the classification scheme. Propelled into action by a new strategic lead officer on the project, I and colleagues were asked to consider how we could ensure the deployment moved quicker. One obvious area to explore was our use of the LGCS as our business classification scheme and whether this could be improved.

To examine our use of the LGCS we began by establishing which folders were heavily in use by departments and which required specific access or retention controls. We established that some common folders which were required included managing income and expenditure, managing staffing issues, planning how services are delivered, and managing performance. As well as these fairly generic folders we acknowledged that there would also be function-specific folders required (which would likely have different retention periods), and these would probably be unique to each service area.

With this information we began creating a simplified folders structure comprising these generic folders which had an appropriate retention rule applied to them. The focus on these folders was that they should be very simple and not complex. For example in our old method, the Finance folders comprised over ten sub-folders; in the new simplified model there are just two: 'Managing Income and Expenditure' and 'Managing Budgets'. These new folders now serve as the starting point for each folder structure which is developed for a business area. This starting point then allows the EDRM team and the business leads to develop the section-specific folders with their unique retention rules.

So far this new approach seems to be yielding results – sections are going live a lot quicker because they have a fairly basic structure ready for them to use, which allows them to focus their energies on

"The moral of the story is that classification schemes can and do serve a purpose, but need to be tempered by an acknowledgement of the end-user's concerns to ensure they remain engaged and to avoid resistance."

developing their section-specific structures. With this approach a business classification scheme is still being used, which is broadly based on functions. However it has been simplified wherever possible to reduce user-resistance and to not overwhelm them with many disparate folders. The moral of the story is that classification schemes can and do serve a purpose, but need to be tempered by an acknowledgement of the end-user's concerns to ensure they remain engaged and to avoid resistance.

David Jenkins
Corporate Records Manager, Derbyshire County Council

Keeping Everything Forever and For Everyone – Research Data Management

The issue of Open Data in terms of Research Data Management has impacted the ways in which researchers and their funding bodies conduct research; it has ensured that researchers take care to document and record integral datasets. Open Data is not a new concept for researchers, but the application of Open Data by bodies such as Research Commission UK (RCUK), the European Commission and the Engineering and Physical Sciences Research Council (EPSRC) has recently required a new way of thinking for Research Data Management.

Different funding bodies have always held different requirements for the retention of research data – but the adoption of Open Data by some bodies has meant that data could be retained forever and should be open to access to external and internal researchers.

Research institutions are addressing this by applying policies of Open Data. Research data are by definition variable in terms of content, structure, format, subject, et al. Institutions are therefore looking at what systems and procedures they can implement to ensure that they are supporting researchers – both current and future – to have access to research data.

These changes in data retention have significant impact on Records and Information Management. There is after all a need to ensure that legislation such as Data Protection is enforced, as well as a need to conform to any ethical considerations. How the data are being captured and retained is a core question for records and information professionals, Research Data Managers and the researchers themselves.

Is the challenge here that we need to re-evaluate how we classify data? Or is it that we need to proactively communicate the need for Information Governance to researchers? The policies and procedures can only go so far in advising how researchers record and capture data into any given system; the integrity and surrounding metadata of research data is reliant on the user being complicit with these policies and procedures.

Provision of access to external researchers is part of Open Data. In April this year, the European Commission outlined its vision for a new European Open Science Cloud which will allow scientific research to store, share and re-use data. This may immediately ring alarm bells for records and information professionals – how such a cloud based system will ensure the integrity and authenticity of data remains to be seen. However, the release of this system is because we operate in a data driven economy – not just an information driven economy. Arguably, the development of Open Data is to allow the data to be structured and organised into an information system. The management of research data is – in terms of information – a bottom up approach.

Perhaps we also need to ignore some professional reservations about the terminology. Research data can be an output, in the same way that research publications are an output: they both document the activity that the researcher has undertaken. The data and metadata are an integral part and so we as records and information professionals need to work with research data managers to ensure that data is appropriately captured.

Like Open Data policies, the changes to Research Data Management are very much permanent. What is also permanent is the advocacy of records management to ensure that policies, legislation and ethics are complied with at all levels.

Edward Ratcliffe
Secretary, Section for Records Management and Information Governance

Calling all colleagues!

ARC is always seeking articles reflecting the issues that matter to you most. We would love to publish pieces that reveal the sector's opinion and showcase successful best practice.

If you would like to send something for inclusion in the magazine, please send articles to arceditors@archives.org.uk, or write and let us know what you'd like to read about. Guidelines for articles for *ARC* can be found on the Association's website: www.archives.org.uk.

ARCHIVES & RECORDS ASSOCIATION

CONFERENCE 2016

Archives & Records Association
UK & Ireland

HILTON LONDON WEMBLEY
31ST AUGUST - 2ND SEPTEMBER 2016