

DFP Record NI (EDRM) Procedures Manual



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1. INTRODUCTION

Records management is the term used to describe an administrative system by which the organisation seeks to control the creation, retrieval, storage, preservation or disposal of its records. A record can be described as: 'recorded information, in any form, created or received and maintained by an organisation or person in the transaction of business or conduct of affairs and kept as evidence'. Given the substantial volume of information produced by government departments, an effective system of records management is essential.

There are a number of pieces of legislation which impose the need for effective management of all departmental records, both paper and electronic.

- The records of the Department of Finance and Personnel, like those of other Departments, are public records under the terms of the **Public Records Act (NI) 1923**. It is therefore a legislative requirement for the Department to implement a records management programme as set out in this Act and in the **Disposal of Documents Order (S.R & O. 1925 No.167)**. The legislation lays down the procedures both for the destruction of records deemed to have no long-term value and for the preservation and transfer to PRONI of records selected for permanent preservation.
- **Freedom of Information Act 2000 (FOI)** provides a statutory right of access to information held by public authorities (subject to exemptions). Public authorities are obliged to comply with the Lord Chancellor's Code of Practice on Records Management which is intended to support the objectives of the FOI legislation by outlining the management practices that should be followed by public authorities in relation to the creating, keeping, managing and disposal of their records.
- The **Data Protection Act 1998 (DPA)** entitles individuals to access their personal information, which is being processed by another on request. Records should be managed in compliance with the procedures under the DPA audit policy.
- **Environmental Information Regulations (EIR)** stems from European rather than national legislation. EIR's provide the public with a statutory right of access to environmental information held by public authorities.

In order to streamline business processes, modernise information practices and ensure compliance with these pieces of legislation, a record management project known as Records NI is in operation throughout the Northern Ireland Civil Service. The record management system which has been implemented in each department is called TRIM. This system will establish a single, virtual repository to file all corporate and operational electronic information in e-mail accounts, network devices and hard disks thus enabling departments to meet their statutory obligations in relation to records management.

This Records NI Procedures Manual provides guidance and procedures for the management and storage of departmental information, including e-mail, and seeks to comply with the DFP Records Management Policy Statement.

2. Legislation and Standards

Details of legislation, standards and policy that govern records management within DFP have been provided in the links below.

2.1 Legislation

The Copyrights, Designs and Patents Act 1988
www.cla.co.uk

Public Records Act (Northern Ireland) 1923
www.proni.gov.uk/NIRMS/1923%20act.pdf

Freedom of Information Act 2000
www.dca.gov.uk/rights/dca/foidcaintro.htm

Environmental Information Regulations 2004
www.informationcommissioner.gov.uk/eventual.aspx?id=36

Data Protection Act 1998
www.informationcommissioner.gov.uk/eventual.aspx?id=34

The Re-use of Public Sector Information Regulations 2005
www.opsi.gov.uk/si/si2005/20051515.htm

2.2 Standards

Northern Ireland Records Management Standard
www.proni.gov.uk/NIRMS/NIRMS3.pdf

ISO15489 Records Management Standard
www.iso.ch/iso/en/CatalogueDetailPage.CatalogueDetail?CSNUMBER=319008&ICS1=1

ISO7799 Information Security Management System
www.bsi-global.com/News/Releases/2005/November/n4368cedc60947.xalter

British Standards Institution BIP 0008 Code of Practice for Legal Admissibility & Evidential Weight of Information Stored Electronically
www.bsi-global.com/ICT/KM/bip0008.xalter

Guidance on Electronic Records and Metadata
www.nationalarchives.gov.uk/electronicrecords/reqs2002/

- 2.3 The organisation must be aware of the potential for legal challenge when documents are presented in evidence to a court of law. If the integrity or authenticity of a record is called into doubt in court by suggestions of tampering, incompetence, improper system functionality or malfunction,

the evidential weight or value put on the document by the court may be lost, or at least reduced, to the detriment of the case.

It is therefore vital that staff are aware of, and comply with, the legislation, policies and procedures relating to record keeping which are in operation within the department

3. DEFINITIONS

3.1 Access Controls

A feature of TRIM Context's (3.26) security system, that allows the creator of documents to specify who has access to these.

3.2 Author

The person who composes a document. TRIM automatically captures this detail from a user's login details.

3.3 Containers

Containers (equivalent to Folders in a windows environment) are opened within classes in the File Plan and hold all the documents and records relating to that activity. This would be similar to opening a Registered File and the subsequent filing of any relevant documents or correspondence into this File.

3.4 Creator

This is the person who creates a document or record into TRIM. If you compose a document and then save into TRIM you will be author and creator. However if you save a received email into TRIM, you will be the creator and the sender of the email will be the author. TRIM will automatically capture the creator details.

3.5 Disposal

The word disposal, when used by PRONI can mean any of the following:

- ◆ Destruction of records
- ◆ Records to be appraised (if paper, to be reviewed)
- ◆ Records transferred for permanent preservation at PRONI
- ◆ Transfer of the ownership of records
- ◆ Damage, alteration or rearrangement of records
- ◆ Separation from or disturbance to contextual information, software, hardware or other equipment on which records depend.

3.6 Disposal Schedules

Disposal schedules determine the retention, destruction or transfer of records after a specified time period and are managed by Departmental Information Branches in conjunction with PRONI.

3.7 **Document**

The term “document” in TRIM is used to describe any document created, edited and stored by an end user prior to being finalised as a “record”, for example Emails, word documents, powerpoint presentations, PDFs, TIFs, etc.

3.8 **File Plan**

A structured classification of records providing a full representation of the business of an organisation. The top levels of the file plan are referred to as ‘classes’ within which ‘containers’ are opened to hold documents and records relating to particular activities, tasks and transactions.

In a paper filing system this would be similar to looking at your **File List (Level 1-2)** going to the relevant **Filing Cabinet (Level 3)**, selecting the relevant **Drawer (Book Level)** within that cabinet and identifying the relevant **Paper Folder/File (Container)** in which you need to access or file information.

3.9 **Hybrid System**

The NICS EDRM will, in effect, be a hybrid system – allowing for the registration of electronic containers and documents within TRIM, as well as holding reference information about any physical paper file created. There are three aspects to this:

- In some cases only electronic documents will exist and these will be filed within the appropriate container in the File Plan.
- Another case is if there are electronic documents and an associated paper file (perhaps containing papers marked ‘confidential’) – in this situation, the electronic documents are filed directly into the File Plan as usual and the metadata on the container updated to indicate the relationship to a paper registered file.
- Finally, in some cases there will be no electronic documents for the container but only physical papers – in this case a paper registered file will be opened and a container in TRIM will be opened where the metadata indicates that a paper file exists.

It is important to ensure that details of paper files are marked on the TRIM container. This allows the same file reference to be applied and enables effective tracking of ownership and physical location of the file. It also ensures that the appropriate disposal action can be applied to both the electronic and physical documents at the same time.

3.10 **Locations**

Locations in TRIM are used to maintain the historical integrity of an organisation's record holdings. They are used to track certain administrative functions, track location changes (movements) and assign workflow responsibilities.

3.11 **Metadata**

This is information about documents or records. It is either automatically generated when a document is created or it may require the user to fill in some fields, for example, the metadata for a word document might include title, author, date created etc.

3.12 **Offline Access**

When users need to temporarily "Check Out" documents to enable them to work offline (eg laptop users who need to work on a document out of their normal office environment).

3.13 **Personal Information**

Non work related information eg letter to bank manager, note of dental appointments etc will be stored within a personal space in TRIM. Work related personal information e.g. PPAs, PDPs, PAs will be stored within EDRMS (TRIM) with appropriate security and access restrictions.

3.14 **Personal Container**

This is the storage area in TRIM where users can store personal information.

3.15 **Record**

A record is evidence of a business transaction or decision. TRIM describes the action taken to create a record as '**finalising**'. Once a document is finalised and becomes a record it can only be deleted from TRIM in accordance with the disposal schedule.

The equivalent in the traditional paper based filing system is putting a document on a registered file.

3.16 **Records Management**

Records Management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records. This also includes e-mail relating to departmental business. It includes processes for capturing and maintaining evidence of and information about business activities and

transactions in the form of records.

3.17 **Record Types**

Record Types are templates for the creation of an organisation's records. The Record Type dictates how records of that type will be numbered, titled, the default security etc.

3.18 **Redaction**

When dealing with requests for information under either the Freedom of Information Act or the Data Protection Act, it is important to note that in some cases, exemptions, which are contained in these Acts, may apply.

In practice, this could mean that portions of the information requested should not be revealed under the terms of the relevant Act and should be redacted (ie blanked out) to ensure this information is not released. Departmental Information Managers (DIMs) will be able to advise on when an exemption may apply. Information Management Branches (IMBs) will be able to provide guidance to staff on how redactions can be achieved, cross referenced and retained within TRIM.

3.19 **Reference Material**

Reference material refers to information created by another department, branch or organisation and kept as a reference source.

3.20 **Renditions**

A rendition is part of the same document and is similar to a revision except that it is the document presented in another format, usually for accessing in a different way or for displaying different information. For example, instead of releasing a word document as part of an FOI request you could release the rendered copy of the document (eg. in a TIF format) possibly with sections redacted. The rendered copy would still be part of the original record.

3.21 **Revisions**

Any editing of a current document will automatically create a new revision of that document. TRIM provides the functionality to view the revision history of documents/records.

3.22 **Secure Remote Access**

When Departmental networks are accessed from outside of the office eg. departmental laptop or departmental PC located in the home.

3.23 **Security Caveats**

A component of TRIM Context security system that allows specific restrictions to be set within TRIM at document and container level. Administrators set and operate these.

3.24 **Security Levels**

A component of TRIM Context security system that enables access controls to be established within TRIM. System Administrators set and operate these.

3.25 **Storage Devices**

A device capable of storing data. Some examples include USB Pen, CD, and Floppy Disk.

3.26 **TRIM Context (more commonly referred to as TRIM)**

TRIM Context is the EDRM product developed by Tower Software that has been chosen by the NICS. TRIM stands for Tower Records Information Management.

TRIM Desktop is the interface which general end users will use to manage their documents and records, and provides the ability to save, search for and retrieve information and manage emails.

3.27 **Versions**

A version is created manually by the user and a new record is generated for the document. Therefore versions are different documents – with the same title etc whereas revisions are successive alterations to the same document.

3.28 **Workflow**

Automation of business processes, in whole or in part, during which documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules.

4. ROLES AND RESPONSIBILITIES FOR RECORDS NI

Within DFP, the Director of Departmental Personnel has overall responsibility for the organisational function of records management. Most of these functions have been devolved to the Departmental Information Manager supported by Business Area Information Managers who co-ordinate the management and monitoring of the Records Management Policy throughout the department. The Information Management Unit can provide further advice and guidance on any issues regarding Records NI which arise.

4.1 Roles

Each individual automatically logs onto TRIM, as an end user, power user or administrator, has a specific user profile and will only be able to carry out certain tasks within the system. Staff should also ensure awareness of the roles and responsibilities of all DFP staff which are outlined in 4.2.

An individual's profile will be determined when their account is created, and amended as necessary through the System Administrator or relevant nominated individual. The roles can be summarised as follows.

4.1.1 End User

An end user will be able to:

- Open and read all documents and records to which they have access within the file plan;
- Create, save and edit documents in agreed areas of the file plan;
- Search for documents (and save these searches if required);
- Finalise documents as a corporate record.
- Request deletion of a document (nominated personnel will review all deletion requests to ensure that the request is appropriate or if it is necessary to retain it as a record).

4.1.2 Power User/LIM

Power Users who have been identified within each business area/branch will provide local user support. They will have received additional training to supplement the standard TRIM end user training.

Power Users should:

- Provide initial user support within the branch/office.
- Ensure that staff are aware of their responsibilities regarding records management.
- Provide guidance on the use of the system, where to file documents etc;
- Provide advice on the creation of file plan structure and containers at a local level (initially creation of containers will be carried out by Information Management Branch but some responsibility will be delegated to Power Users).
- Approve file plan requests and forward to Business Area Information Manager. Ensure that container request forms are completed correctly.
- Monitor file plan and ensure that documents are filed in appropriate area.
- Take responsibility for assisting in the management of the disposal process.
- Remove documents from the system (not delete but remove content which leaves the metadata stub).
- Move documents between containers.
- Provide guidance on when, and how, to apply access controls to documents and containers.
- Provide guidance on appropriate records management and Freedom of Information obligations.
- Provide initial awareness of records management and TRIM prior to training.

4.1.3 System Administrator

There are 2 separate roles involved in the administration of TRIM EDRMS:

- Day to day administration.
- Information management.

Day to Day Administration – activities associated with this role would typically include:

- Location management (creation of locations, i.e. user accounts, resolution of 'ghost' locations, activation of temporary locations)
- Security implementation (assigning security levels and caveats, to file plan and locations)
- Report running (creation and maintenance of reports).

Information Management - activities typically associated with this role would be:

- TRIM Configuration (configuration of systems options to reflect NICS and Departmental policies and any updates to these).
- File Plan management (creation and maintenance of all levels of the file plan)
- Monitoring of good naming conventions
- Security management (decisions on the creation and maintenance of caveats, security levels and user types)
- Record type management (creation and maintenance of record types).
- Disposal Scheduling Management.
- Management of document deletion (if appropriate).

Departments will have the discretion to define the specific roles taking account of resources, circumstances, needs and make up of their Department.

The number of administrators with full control over the system should be kept to an absolute minimum. Although the 2 roles indicated above

may all have full control of the system, it is essential that the roles are assigned to different members of staff.

4.2 Responsibilities

It is the responsibility of every member of DFP staff to ensure that the work they carry out on behalf of the Department is correctly saved and maintained within TRIM. **Whilst each individual is responsible for filing documents and information, branches should agree procedures at a local level.**

All staff in the department are responsible for:

- Creating documents and records as required and saving them correctly within TRIM to the appropriate area of the file plan (i.e. relevant container).
- Naming documents and records properly to ensure they can be retrieved easily (in conjunction with naming convention guidance).
- Providing guidance to staff regarding the location in which documents should be filed.
- Capturing records which authentically document activities in the course of which they were produced.
- Managing emails properly within TRIM.
- Ensuring that e-mail delegation is provided to relevant staff in your area to ensure that e-mail is addressed during leave or absence.
- Declaring documents as records (called finalising).
- Ensuring they have a clear understanding of records management and demonstrate commitment to duties relating to record keeping.
- Ensuring records are consistent, accurate, reliable and complete to maintain legal integrity.
- Determining, from the outset, the protective marking of the document and more importantly the sensitivity of the document in line with the NICS protective marking scheme.
- Applying security and access controls to records where appropriate.
- Identifying and applying appropriate disposal and retention periods to records.

5. FILE PLAN

5.1 Overview

5.1.1 The file plan is a mandatory corporate filing system throughout the Northern Ireland Civil Service. A file plan is a functional approach to file management. It reflects the functions, activities and transactions of the department rather than an organisational structure. Organisational structures are subject to change, whereas underlying business functions remain relatively constant, therefore providing greater business continuity.

5.1.2 In the DFP File Plan there are currently 7 corporate functions and 13 operational functions.

5.2 Corporate Functions

5.2.1 Corporate functions are those common to every NICS department and include all the general management activities and internal administration processes that keep departments running and support the business programmes and services.

5.2.2 The use of the NICS corporate functions are mandatory at level one and highly desirable at levels two and three. Please see section on File Plan Guidance (5.4) for more detail.

5.2.3 The seven corporate functions which form the first level (or classification) of the file plan are:

- Accommodation & Services
- Audit & Accountability
- Financial Management
- Human Resource Management
- Information & Communication
- Strategic Management
- Technology & Telecommunications

5.3 Operational Functions

5.3.1 The first level of the file plan will also contain the department's main 'operational' functions. In this context 'operational' is used to describe those business functions that are not generally found in other departments but fall uniquely within a particular department's remit. These areas of the file plan, as well as the corporate functions, will be developed as and when required and will be quality assured by PRONI.

5.4 File Plan Guidance

- 5.4.1 The file plan is a structured classification of records which provides full representation of the business of an organisation.
- 5.4.2 The top levels of the file plan, levels 1 – 3 are called 'Classifications', the levels below these classes are called 'Book Levels' and 'Containers'. The container is placed at the lowest level of the file plan and represents the file into which documents are placed.
- 5.4.3 When creating and filing information, staff will need to consider if the information is corporate or if it is directly related to their business function. A document providing guidance on the appropriate areas of filing for commonly produced corporate documents can be found in **Appendix C**. Some examples of corporate information and where it should be filed are as follows:

Example 1

Personal Performance Agreement

Human Resource Management – Employee Performance – Personal Performance Agreements – (the document should be filed in the appropriate business area container).

Example 2

Stationery Orders

Accommodation and Services – Supplies and Services – Acquisition – Stationery

Example 3

Parliamentary Questions

Information and Communication – Government Liaison – Parliamentary Questions

Example 4

IT Work Request

Technology and Telecommunications – Application and System Support – Work Requests

Example 5

Policy on Term Time Working

Human Resource Management – Policy Work life Balance – Flexible Working Arrangements – Term Time Working

5.4.4 Documents, or policy and procedures which are specific to a given area should be filed under the **operational function**. For example, while a policy on Term Time Working should be placed under Human Resource Management as it relates to all staff in the department, policy relating to Rating Reform should be placed under Rating and Valuation as it relates only to that operational area.

Example 1

Rating Reform Implementation Policy

Rating and Valuation Services – Policy – Rating Reform – Rating Reform Implementation Policy.

Example 2

Policy on EU Programmes relating to Finance

Government Finance Services – Policy – European Structural Funds – Building Sustainable Prosperity – EU Programmes Criteria.

Staff should ensure that guidance and direction is provided on the location that information should be filed in.

For example – a project team working on a Remote Working project should advise staff that all relevant documentation should be filed under the classification of DF07/007/007/003 and its associated containers.

5.5 File Plan Administration

Responsibility for the administration of the departmental file plan will ultimately be assigned to DFP Information Management Unit.

Area of administration should include:

- Addition of containers
- Central monitoring on naming conventions for classifications, book levels and containers
- Central monitoring of categorisation of documents and naming conventions

Local administration will be carried out by Business Area Information Managers (BAIM's), Local Information Managers (LIM's) and Power Users who should monitor the use of the file plan within their business area and provide advice and guidance on naming conventions and requests for containers and book levels. On occasion, Business Areas may request containers to be created which are specific to their Line of Business. Should BAIM's identify documents which may have been inadvertently stored within

such containers, they should liaise with individuals requesting them to be saved in a more appropriate location.

5.6 Requesting Containers

To submit a request for the addition of a container to the DFP File Plan:

- Staff should contact their Business Area Information Manager (BAIM) with a request for a container. The BAIM is responsible for approving the container. The BAIM should scrutinize the request to ensure that a similar container is not available; that the container is being requested in the correct area of the file plan and that suitable naming conventions are used for the creation of the container.
- Additions or amendments to Classes 1-3 of the corporate area of the file plan will be subject to approval of the Change Management Board. Book levels can only be added by Administrators.
- If the BAIM is satisfied with the container request they should submit the request on the appropriate form (see Annex A) to the file plan category mailbox fileplan.category@dfpni.gov.uk. IMU staff will monitor the mailbox regularly throughout the day to ensure that containers are added to TRIM as soon as possible. If a list of containers requests is received from a business area, IMU will approve the requests and return them to the Power User to be added to the file plan.

5.7 Completing Container Request Forms.

When the Business Area Information Manager or Power User needs to submit a request for a container or book level for the file plan the following procedure should be adhered to:

- On the DFP Intranet under Forms – Information Management, download a Container Request Form (see Annex A)
- Complete the form providing the appropriate file plan and indicating if a container or book level should be added.
- Access to containers should be open. If it is imperative that access is applied then group access should be applied. To set up a group a work request should be submitted via the Touchpaper system. <http://itassistportal/ServicePortal/desktopdefault.aspx>
- Once completed the container request form should be submitted to fileplan.category@dfpni.gov.uk. When the request has been actioned an e-mail response will be sent to the Business Area Information Manager or Power User.

5.8 Deletion of classifications, book levels and containers

Deletions of categorisation within the file plan are carried out by Systems Administrators. If a deletion is required a work request should be submitted via the Touchpaper system (link in 5.7). IMU should also be made aware of changes to file plan structure.

5.9 Monitoring File Plans

There will be a need to retain some central control over the file plan and the creation of containers within it, to ensure they are correctly named and positioned in the appropriate area of the file plan. Each business area should establish methods of monitoring the file plan on a regular basis and should provide guidance and training on the categorisation of documents as required.

6. NAMING CONVENTIONS AND STANDARDS

Meaningful naming of documents is essential. Poorly named documents cannot be easily retrieved and will cause confusion. As there will be greater reliance on the 'Search' facility within TRIM, staff should give greater care and attention than ever in naming documents.

For those staff who will have responsibility for creating and naming Containers, the same principles will apply.

6.1 Building a Name

Names must be concise and meaningful. They must be descriptive of the **content** of the document.

6.2 Elements needed in a Document Name

The following naming convention is likely to be able to describe a document uniquely and therefore make it easier to find in any search. There are five elements to consider but not all elements will be appropriate for every document. However, a document name is more likely to be unique if more elements are used.

The five elements are:

Recipient Name – The name/position of the person, group or organisation to whom the document is to be sent. For example, the addressee of a letter or memo or a branch, directorate or organisation to whom a report is to be issued. It may prove more useful to record the person's position than their name – people are more likely to change or move on.

Recipient Address – The location of the recipient. For example, the street address, building name, town or city where the recipient is located. The choice of which to use will be determined in conjunction with the recipient's name/position.

Subject Matter – The topic of the document (ie. what it refers to). For example, minutes and memos it would be the heading, or for reports it would be the title, or for an agenda or minutes of a meeting it would be the title of the group meeting eg. Departmental Board.

Period Dates – The dates relevant to the document (ie. what period it covers). For example, the date may relate to the subject matter eg. the date the meeting took place, or the period covered by a report eg. a calendar year or a specific to and from date range.

Document Type – The format of the document (ie. what style the document is prepared in). For example, the document may be in the form of a letter, memo, minute, report, submission, guidance, business plan etc.

6.3 Elements Not Needed in a Name

The following information is not required in a name as it is normally automatically associated with the document:

- Author
- Date created
- Department i.e. DFP
- Container name

However, if the content of the document requires you to identify department, date, or author in order to describe it properly, then these elements should be included in the name.

6.4 Practices to Adhere to in Naming Documents

DO:

- use sentence case for document titles.
- name your document so that the name is meaningful to others.
- provide keywords to the content of the document to facilitate searching.
- remove all instances of “FW”, “RE” from email titles.
- if using a dash “ - “, include a space immediately before and immediately after the dash to enable proper searching within TRIM.

6.7 Practices to avoid in Naming Documents

DON'T:

- use capital letters.
- identify electronic file format information – for example e-mail, word document, Excel etc.
- include the date the document was created as this is automatically captured.
- use generic names like ‘Latest Version’; ‘Lecture’.
- base names on your ownership of the record, e.g. ‘Jenny’s documents’.
- use the words ‘Miscellaneous’ or ‘General’, as these encourage poor filing practice.
- compress two or more words into one word, e.g. ‘CorpSer’ or ‘RecordMan’. Always separate words with spaces and type out in full.

- avoid using special characters such as semi-colons, slashes or underscores as this can effect the quality of the search.
- automatically accept the e-mail subject as a name – it is likely that you will have to rename emails with an appropriate title.
- best practice would suggest that users should refrain from using the following characters in a name: \ / > < * ? “ ” ; : _
However there may be occasions were it is necessary to use such characters in the titling of documents i.e. to separate parts of a name for clarity. In such cases space-dash-space (-) should be used.

| 1 Examples of Bad Practice | 2 Examples of Good Practice |
|---|--|
| <ul style="list-style-type: none"> • Untitled • General docs • Jenny’s work • Excel spreadsheets • Mtg mins • Recommendations for new services in the Picture Library • Presentation on EDRM | <ul style="list-style-type: none"> • Archive Centre Proposal • Audit Committee – Risk Management Review • Highlight Report – Dec 2004 • Costings 1st Quarter 2006 • Management Committee Minutes – Jan 2005 • Picture Library – new services – recommendations • Electronic Document and Records Management – Benefits Presentation – Departmental Board |

6.6 Business areas will also need to agree local naming conventions following best practice guidelines. This may be necessary where the work of a business area is such that this should be reflected in the naming of the document.

E.g. FOI Requests – the document could be titled ‘Requester Name’ – ‘Topic’ or ‘FOI Case number’ – ‘Requester name’

It is important that business areas agree local naming conventions and that the agreed convention is documented and monitored for compliance over time. A separate record type may also be necessary. (See Section 12)

6.7 **Acronyms**

As much as possible avoid the use of acronyms. This will improve your search for a document and will assist users who are not familiar with the topic to understand what it refers to. Sometimes there are some acronyms which are indispensable and which are more recognisable than the full title, e.g. MLA, DFP, DARD, NISRA. Abbreviations such as NICS can mean Northern Ireland Civil Service or Northern Ireland Court Service. Where possible use the full title and err on the side of caution.

6.8 **Titling e-mails**

The subject line of e-mails should follow the guidance for document titling. The subject line of e-mails should be clear and concise and reflect the content of the e-mail. Sentence case should be used for titling purposes, not capitals. When receiving incoming e-mails it may be necessary to amend the subject title and to remove any Re: FW: or TRIM references before filing.

7. **CREATING CONTAINERS**

7.1 **Electronic Containers**

7.1.1 There is a need to retain central control over the file plan, and the creation of containers within it, to ensure they are correctly named and positioned in the appropriate area of the file plan. Control of classifications (i.e. the top levels of the file plan) will be the responsibility of Information Management Unit (IMU).

7.1.2 For records management purposes a container in TRIM will hold a maximum of 300 documents. When the 300 limit is reached TRIM will automatically close the container. A "Part 2" container will be created by using a 'rule' within the TRIM permissions. TRIM automatically captures the "Part" number in the name of the new container. TRIM should be configured to provide these functions.

7.1.4 Disposal will be applied at book level and will be inherited at container level. Careful consideration needs to be given to the location of containers as they will inherit the disposal schedule set at book level.

7.2 **Manual Files**

7.2.1 It is recognised that in some instances there will still be a need to create manual files (e.g. confidential papers, legally signed documents, some financial documents, records required in hard copy form and publications - not possible to scan due to copyright issues). The unique reference for such files will be created in TRIM. A similar process to that outlined at 7.1.2 above will apply. It should be recorded within the Properties of a record that a manual file exists and where it is

located. This will then allow a new manual file to be created using existing Departmental procedures with the appropriate TRIM code and title.

7.2.2 Branches/offices should continue to comply with any audit or other financial authorities' requirements regarding the method in which such documents are retained, pending receipt of further guidance. Again the creation of the manual file should follow the process detailed in 7.1.2 above.

7.2.3 To ensure consistency and ease of reference, branches/offices may wish to consider scanning such documents into the relevant container in TRIM. A different Record Type must be used for 'convenience copies'. This will prevent unnecessary duplication for audit requirements. Any record type of this nature would be treated by PRONI & IMU's as 'temporary information' for disposal scheduling purposes. Section 7.3 below should also be considered and complied with when considering scanning documents for convenience/ease of reference purposes.

7.3 **Confidential Files**

7.3.1 The NICS Public Service Network has security clearance to store information up to and including **Restricted** classification.

7.3.2 Records with a Protective Marking of Confidential or above **should be retained on a new manual file** (the existence and location of this paper file will be marked on the relevant TRIM container). All other records relating to the same activity should be stored in a container in TRIM.

7.3.3 More detailed advice/guidance on Protective Marking Classifications & related policies should be available on your Departmental Intranet Site. Further information can be provided by your Departmental Security Officer and IT Security Officer.

8. SAVING DOCUMENTS AND RECORDS

8.1 Why do we need to save documents and records?

- 8.1.1 It is important to save documents and records as evidence of Departmental business activity and to ensure business continuity. Everything, including e-mails, and all other information that are evidence of a business transaction or decision should be saved into TRIM. Staff should ensure that they are familiar with the content of the DFP Records Management Policy Statement and with the E-mail Management Policy Statement.
- 8.1.2 Saving documents and records within TRIM also helps to promote a culture of information sharing, making it easier to work and access information quickly. Any information that is not filed within TRIM cannot be shared or retrieved by other users. For this reason, all information that is required for business/record or audit trail purposes should be stored directly into TRIM once created.
- 8.1.3 Staff should ensure that they provide guidance and direction on the location that documentation should be filed in. For example – a project team working on a Remote Working project should advise staff that all relevant documentation should be filed under the classification of DF07/007/007/003 (or provide the filepath) and its associated containers
- 8.1.4 Each branch should ensure that guidance is provided on where information should be filed and provide advice where corporate naming conventions should be applied.

8.2 Finalising Records

- 8.2.1 As a document, the creator (and other contributors if required) can edit and update the information contained within. A document should be finalised as a record within TRIM when it is completed and is required as evidence of a business activity. Once finalised a record secures the content so that it cannot be edited or deleted – it is 'frozen'.
- 8.2.2 To finalise a record the user will right click, select 'electronic' and then select 'final'. A user may also select to tick the check box 'finalise on saving'. This is the equivalent of placing a paper on a registered file in the old system. Documents should be 'finalised' as soon as is viably possible.

8.3 Revisions in Documents

- 8.3.1 When documents evolve/develop over a period of time a large number of revisions will accrue. A number of these revisions would be considered minor eg. formatting, grammatical edits etc and should be

removed at appropriate stages in the document's life. TRIM provides the functionality to "tag" revisions that need to be removed. Only those revisions that are key to the final outcome of the document should be retained when the document is "finalised" to become a record.

8.4 Status of Documents

8.4.1 All documents must be saved within TRIM irrespective of their status. For example, the minute taker of a meeting will prepare the 1st draft, save to TRIM and then forward a document link to the chair for editing and approval.

8.5 Deletion of Documents

8.5.1 Deletion of documents can only be carried out by TRIM Administrators. Staff should request the deletion of a document through a nominated member of staff i.e. Business Area Information Manager or their Power User.

8.5.2 To request the deletion of a document the nominated individual should complete a work request for ISB. A TRIM Administrator will then make the deletion.

8.6 What not to file

8.6.1 While it is crucial to ensure all important information is retained, there are some instances where information does not need to be retained, for example if it is not business related or is a duplication of a document already in the system.

Business areas should provide guidance at a local level regarding information which should be filed and retained.

8.7 Ensuring Completeness

8.7.1 The Department needs to be able to provide a complete and verifiable record of its business activities and therefore needs to be able to demonstrate a complete event or transaction from start to finish and all important stages in between. Staff should provide guidance on the location that the documentation should be file in. All staff should be aware of their responsibilities in ensuring accurate and complete records (refer to 3.3). If a record is incomplete it has no legal standing in a court of law. The following are some examples of complete records:

8.7.2 **Example 1** - Complete records of a meeting might include:

- the agenda, minutes, any papers tabled at the meeting and circulation lists.

8.7.3 **Example 2** - Complete records of project work might include:

- Authorisation for events or transactions, including emails, minutes and documents requiring signature;
- Records that demonstrate how decisions were arrived at, including reports, minutes and advice;
- Business cases, progress reports, risk analysis, plans and specifications.

8.7.4 **Example 3** - Complete records of a report would include:

- The final report, important stages in its drafting, working papers relating to it, sent in support of, or as evidence that targets have been met.

8.8 **Personal Containers within TRIM**

8.8.1 The following principles have been agreed NICS wide:

- Personal container within TRIM will be provided to all users.
- Personal container will be created as a separate TRIM record type.
- The maximum number of documents a personal container can hold will initially be set at 30. This will be reviewed after a 12 month period.
- Management of personal containers will be by a departmental defined process.
- Quota management enhancement to the TRIM product should be investigated with the Managed Service Provider.
- Personal containers should be excluded from searches by anyone other than the owner

9. E-MAILS AND SENDING ATTACHMENTS

- 9.1 Users should refer to, and ensure they are familiar with, existing departmental guidance in the E-mail Management Policy Statement.
- 9.2 A 3 month rule will be imposed on all e-mail accounts. All important e-mails should be saved into TRIM as soon as possible after being received or deleted if not relevant for business purposes. An e-mail is important if it:
- Has long term administrative or historical value.
 - Includes evidence of business activities or transactions.
 - Contains information, advice or explanation not duplicated elsewhere.
 - Relates to decisions taken and has evidential value.
 - Was drafted as a result of policy or legislation.
- 9.3 Emails that have not been saved into TRIM and remaining within the native email application will be automatically deleted from inboxes and associated folders, sent items and deleted items after 3 months.
- 9.4 Staff should ensure that e-mail delegation is given to additional, appropriate members of staff to ensure that e-mail accounts are addressed and managed in accordance with three month rule.
- 9.4 For those emails that are evidence of a decision or a business transaction and therefore need to be retained as a corporate record, the following general guidelines apply, **however, branches should agree procedures at a local level.**
- For sent emails, whether internal or external, the sender should save the email in the appropriate part of the file plan;
 - For external emails received by one person, the recipient should save the email;
 - For external messages received by more than one person, the individual with responsibility for the area of work relating to the message should save the email (assuming they are one of the recipients). Where this is not clear it may be necessary to liaise with other recipients.
 - If an external message has multiple recipients and relates to more than one area of work then the first recipient should save it and others should create links to the saved TRIM document.
 - For conversation strings (where an email 'conversation' is ongoing between a number of individuals), wait until the dialogue has finished or has settled at a reasonable point before saving into TRIM and name appropriately.
 - Where attachments are received with an e-mail, the email message and attachment should be saved together. The name of the attachment should be left unchanged (regardless of naming conventions) as it will be referenced in the main body of

the e-mail message. It may however be necessary to re-name the e-mail to ensure that it can be readily identified.

- Where the e-mail message does not contain relevant information (i.e. there is no information contained in the e-mail message other than the attachment) it should be noted that the main body of the e-mail may be evidence of when and to whom a document was sent and so, for completeness, may need to be retained.

- 9.5 Saved emails will often need to be renamed to something meaningful. You do not have to accept the name in the subject field, however it is good practice to copy the original email name or subject line into the document notes field. This will aid retrieval via searching at a later date.
- 9.6 Titling of Emails should also be considered in conjunction with the guidance on naming conventions. The name does not need to duplicate information already identified with the email (such as sender, date sent, recipient, date received etc) as these will be automatically generated by TRIM. The title should not include the automatically generated 'FW', 'RE' or 'TRIM Ref'.
- 9.7 Where attachments are received with an email, the email message and attachment should be saved together. The name of the attachment should be left unchanged (regardless of naming conventions) as it will be referenced in the main body of the email message.
- 9.8 **Sending Attachments**
Once all staff in the department are using TRIM there should, in most instances, be no need to send attachments internally to staff. Only a link to the document within TRIM needs to be sent. This will cut down on the size of emails being sent throughout DFP and will therefore reduce the volume of network traffic.
- 9.8.1 Where emails are being sent to recipients outside the NICS, attachments will always need to be used.
- 9.8.2 Where an attachment is being sent to both internal (using TRIM) and external users then both the TRIM link and electronic document options must be selected.

10. MANAGING SECURITY AND ACCESS

- 10.1 Good information management practice suggests that all information within Departmental File Plans will be open and available to all colleagues within that department. Restrictions (via the means outlined below) will be on an exceptional basis and only where there are legal or privacy issues to be considered. However, it is vital that where personal information is held relating to individuals, appropriate access restrictions should be applied to the document.

It is recognised that Departments will manage security and access issues in line with their business requirements.

- 10.2 The culture change of giving open access and sharing information will be significant for all departments. The advantages of this approach will be to enable greater searching capability for FOI and other information requests. It will also facilitate more effective business practices through the availability of information relating to corporate information.
- 10.3 The NICS Managed Service will allow cross Departmental access to information via a document link within TRIM.

- 10.4 There are 3 components to TRIM Context's security system:

- security levels
- security caveats
- access control.

Security levels and caveats will be configured and used by the Systems Administrator. Security levels and caveats should be kept to a minimum. Access control can be used both by Systems Administrators and end users.

10.4.1 **Security Levels**

Security levels represent one of the three components of the TRIM security system. They enable System Administrators to control access to the documents and records stored in TRIM. System Administrators can apply them to the records (documents), the locations (users) and the classification (file plan).

10.4.2 **Security Caveats**

Caveats work by restricting the access of certain documents or containers to particular users. The caveat ringfences sections of information that require specific restrictions and limits access, on an ongoing basis, to individuals who have the caveat.

10.4.3 **Access Control**

Documents stored in TRIM will be available to everyone in the Department by default (unless other security restrictions have been applied). However, the creator of a document has the ability to select document access controls. The creator may wish to place document access controls (at any stage) temporarily while editing and drafting a document prior to opening access to everyone. At this level the creator is able to specify the relevant individual(s) who have access to the documents. Good practice would recommend keeping documents as accessible as possible at all times, however content of documents must be considered particularly where personal information relating to individuals is included.

11. **TRIM AUDIT TRAILS**

It is recommended practice, that all audit features are turned on within TRIM providing a full audit trail.

12. **RECORD TYPES**

12.1 Record Types are the basic building blocks or templates for your records. They allow administrators to partition information within TRIM so that users can see either all the information contained in the system or only the records they should have access to.

12.2 There will be one general document type (DFP Document – yellow icon) and metadata will be captured automatically. Users will determine the title of the document and where to save it.

12.3 There will also be one general container type and metadata will be captured automatically. This is standard throughout NICS Departments.

12.4 A separate record type is created for personal containers within TRIM. (DFP Personal document – pink icon)

12.5 Additional business requirements may necessitate the creation of additional record types. This is to facilitate the capture of different metadata types. Some examples are:

- Insolvency – specific forms/reports relating to insolvency issues
- DOE – the specific form required for making a planning application.

See also Annex C DFP Templates Administration Guidance – note to set up new templates staff should contact their Template Administrator or complete a TRIM Work Request to ISB.

13. METADATA

- 13.1 Metadata provides accurate and authentic contextual information about documents and must not be deleted from containers (even by system administrators) that have been identified for permanent preservation or to be appraised by PRONI. Metadata for these containers will be managed (including retention or eventual destruction) as part of the agreed disposal scheduling process and by formal appraisal reports which will be completed with PRONI.
- 13.2 If containers have been identified for destruction after a set period of time in an agreed disposal schedule – documents (and associated metadata) can be sent to a ‘temporary holding area’ for final destruction (regular reports should be kept for possible review by PRONI). Any finalised records (and associated metadata) in these containers, must not be deleted (even by system administrators) for legal and auditing reasons and will be managed as part of the agreed disposal process.
- 13.3 Metadata can be captured in TRIM via record types – 2 standard record types will be established for all departments, ie. container and document. PRONI guidance on the minimum metadata elements to be captured is contained in their ‘Digital Records Disposal Scheduling Guidance – Part 1’ document. It is recommended that as many metadata elements as possible are captured automatically by TRIM to assist user acceptance of TRIM.
- 13.4 Although Departments will have the flexibility to capture specific metadata elements according to business needs (in different business related record types), they must also comply with any metadata standards set by Government requirements and PRONI. See Sections 3 and 21 for relevant web links.
- 13.5 Metadata also exists about the file plan, users, auditing and security permissions etc – this information requires careful management and documentation over time. Any Departmental restructuring or change in ownership that affects the ‘class’ levels of the file plan (ie. down to the ‘book icon’ in TRIM) will affect disposal arrangements and must be agreed in advance with PRONI (via reports, disposal schedules or appraisal reports).

14. LINE OF BUSINESS APPLICATIONS

It is recognised that there are a number of Line of Business Applications (LBA) both service-wide (eg. Knowledge Network) and at business area level being used to manage day-to-day business operations. Integration of any LBAs with TRIM will not be undertaken as part of the EDRM Implementation Project. However, Departments may wish to consider integration as a separate project with the Managed Service Provider.

The use of any LBAs will need to be highlighted to Information Management Branches and procedures agreed to ensure any necessary records are captured for PRONI requirements. It will also be necessary for business areas to apply appropriate disposal and retention periods to information held within LBAs. TRIM in the interim may not provide an appropriate replacement to the LBA.

15. SCANNING

15.1 DEPARTMENTAL GUIDANCE FOR SCANNING

The introduction of EDRMS and the Records NI reform project requires that a unified approach to the treatment of hardcopy and electronic information must be established. The following guidelines must be used across the Department.

- All information up to and including restricted information must be scanned and placed on TRIM.
- Confidential information or above cannot be stored on the public service network (the backbone for all our networked services). This information should instead be stored securely i.e. a stand alone computer with no network connections including networked printers or on a hardcopy registered file.
- You must adhere to guidance on applying restrictive markings, please refer to CSC 8/94 Introduction of a New Protective Marking System.
- A small percentage of documents handled by the Department may currently have a legal requirement for continued retention on hardcopy. Please note, an electronic version must still be created and saved to TRIM. If in doubt please contact your Business Area Information Manager for advice.

Each Head of Branch must decide if there is a requirement to assess the need to retain a hardcopy version in line with Records NI Policy and Procedure (The Checklist for Retention of Hardcopy Documents), N.B It is not acceptable to simply state that information has always been kept in this way.

- It is the responsibility of Branches to ensure that all incoming hardcopy information that is of business relevance is scanned and saved to TRIM.
- Branches should, in line with Business Area Retention and Disposal plans, give consideration to scanning any hardcopy files that have been identified for further retention. This will help the Department in its task of consolidating information in one place and reduce search times in line with FOI obligations. Furthermore this approach will also contribute to the reform requirements of Workplace 2010 and Departmental Sustainability Development Action Plan for 2008-11.

CHECKLIST FOR RETENTION OF HARDCOPY DOCUMENTS

BRANCH/DIVISION: _____

A. Requirements for Retention of Hardcopy Documents

| | |
|---|-------------|
| 1. Is there a legal requirement to keep a hardcopy document? If yes, please state the statute. If No, see 2. | Yes / No |
|---|-------------|

| | |
|--|--------|
| 2. The hardcopy document is 'Confidential' or above If No, see 4. | Yes/No |
|--|--------|

| | |
|--|-------------|
| 3. I confirm I have read CSC 8/94 regarding protective markings | Yes / No |
|--|-------------|

| | |
|---|-------------|
| 4. Can you identify any other reason why that this hardcopy document(s) should be retained. If yes, please detail. | Yes / No |
|---|-------------|

N.B – Information related to any hardcopy documents should not be included on file unless it also meets the above requirements e.g. associated information of the classification 'restricted' or below should not at any time be saved in hardcopy

| | |
|--|-------------|
| 5. You must ensure that this information falls under your Branch/Directorate/Agency Retention & Disposal Schedule. If necessary, has this information been highlighted as hardcopy? | Yes / No |
|--|-------------|

| | |
|---|-------------|
| 6. You should contact your Business Area Information Manager (BAIM) to discuss your requirements for retaining these hardcopy document(s). Has this been done? | Yes / No |
|---|-------------|

B. Linked to TRIM Electronic File

Please note that a reference to this hardcopy record must be created within TRIM. You must contact your BAIM to arrange the creation of a Paper Document Record Type.

Paper Document TRIM Reference _____

Storage Warning

By retaining a hardcopy document, your Branch/Directorate is agreeing to store the document correctly for the length of its agreed disposal schedule. You are also agreeing that any potential Workplace 2010 and/or Departmental Sustainability issues will be dealt with by your Branch/Directorate/Agency

Signed (Head of Branch)

Date

A COPY OF THIS DOCUMENT SHOULD BE SAVED TO THE RELEVANT TRIM CONTAINER AND ALSO BE PRINTED OUT AND PLACED ON THE LEFT HAND SIDE OF THE FILE CONTAINING THE HARDCOPY VERSION.

16. LEGALITY OF ELECTRONIC DOCUMENTS

The organisation must be aware of the potential for legal challenge when documents are presented in evidence to a court of law. If the integrity or authenticity of a record is called into doubt in court by suggestions of tampering, incompetence, improper system functionality or malfunction, the evidential weight or value put on the document by the court may be lost, or at least reduced, to the detriment of the case.

It is therefore vital that staff are aware of, and comply with, the legislation, policies and procedures relating to record keeping which are in operation within the department

Advice from the NICS Departmental Solicitors Office (DSO) is as follows:

- All records fall within the scope of the Public Records Act (Northern Ireland) 1923, the Disposal of Documents Order 1925 and Northern Ireland Records Management Standard (2002).
- The Civil Evidence Order 1977 and Electronic Communications Act 2001 provide enough scope to keep electronic records with the caveat that ultimately decisions are at the discretion of a Judge.
- It will be a business decision as to what needs to be kept on paper. This would need to be assessed by using criteria on the likelihood (eg. the potential for court action), impact and cost of keeping paper storage.
- All staff in the department should be aware of, and adhere to the policies and procedures which are provided regarding departmental records, e-mail and use of TRIM.
- Sufficient advice is contained in PRONI guidelines and departmental disposal schedules to enable staff to take routine decisions regarding paper and digital documents. If this is not the case Departmental IMBs should seek guidance from DSO.

17. PRINTING

- 17.1 Users of TRIM should, where possible and/or appropriate, avoid printing hard-copy versions of electronic documents and records. Rather, users are encouraged to read and review documents electronically.
- 17.2 However, it is recognised that from time-to-time it may become necessary for users of TRIM to print electronic documents and/or records (including emails). Printers should be formatted (where possible) to allow double sided printing. This will minimise paper usage. Staff should be encouraged to use double sided printing (where viable). Users, may also wish to consider printing multiple pages per sheet as well as double sided. This will further reduce paper usage.
- 17.3 Documents contained within TRIM should only be printed in instances where:
- papers are required for internal meetings where it is inappropriate for all participants to view on-screen;
 - papers are required for external meetings – e.g. with external partners or members of the public;
 - documents need to be distributed to external sources – e.g. sent in hard copy form to a member of the public in response to an FOI request.
 - where the size or nature of the document makes it impractical to view, consider or work on it's content on screen
- 17.4 To maintain adequate version control, all printed versions of the electronic document should be clearly marked as a copy. Departments may wish to consider configuring their Printers to automatically watermark printed copies. Advice can be sought from Departmental ISUs.
- 17.5 Once a document has been printed, the individual working with the printed copy should decide whether or not any amendments and/or additional notes should be placed on record, for example comments on a departmental policy document. If no amendments or notes are necessary then any unnecessary printed copies should be destroyed.

However, in situations where changes and or notes are necessary then the individual should ensure that such amendments are recorded in the EDRMS (TRIM) as part of the full contextual record of events. Options available may include:

- scanning the printed copy with amendments indicated¹ and registering this newly created image as a rendition within the EDRM with a marker to the original electronic document; and
- reviewing the agreed amendments and/or notes and creating a new electronic version of the original document or record incorporating such changes.

18. SECURE REMOTE ACCESS

- 18.1 Current Departmental IT policies in relation to Secure Remote Access will continue to apply.

19. STORAGE DEVICES OUTSIDE OF TRIM

TRIM will be the standard repository for the storing of corporate information across the NICS. Where it is necessary to temporarily copy information onto a temporary storage device (eg. USB pen drive, CD) the offline working facility within TRIM should be used. The use of temporary storage devices is a Departmental matter and governed by current Departmental ISU policies.

20. WORKFLOW

Workflow will not feature as part of the initial roll out of EDRM however, its application may be considered once Departments have fully implemented EDRM.

¹ This may be appropriate where handwritten comments and amendments have been made directly on the printed document and a decision has been taken to preserve such comments.

21. DISPOSAL SCHEDULES

- 21.1 PRONI has issued consultation draft Guidance on Digital Records Disposal Scheduling – Part 1 which is published on their website at;

<http://www.proni.gov.uk/NIRMS/edrm.htm>

Additional Guidance will be published (and updated) on PRONI's website in due course.

DFP will adhere to this guidance and will take advice from PRONI on any issues which arise.

22. TRANSITION PROCEDURES

The introduction of the Records NI Electronic Document Records Management (EDRM) system, known as TRIM, has necessitated a change from the current method of retaining departmental information on paper, in registered files. From 12 November 2007 electronic information stored on TRIM will become the official record of the Department. This has been agreed by PRONI and approved by the Departmental Board. The guidelines below detail the change in practice from paper based systems to the electronic system.

Paper files

The File Management System (FMS) will continue to be used for the creation of registered files until 12 November 2007. Following this, staff should store information with a protective marking, up to and including restricted, in TRIM.

Registered files will no longer be created in the FMS. The FMS will remain available for staff to view information and also to address file review and disposal and retention.

DFP Business Areas should take the following action with information already created in registered files:

- **Close file** - if there is no business requirement to replicate the file on TRIM. Place the yellow insert sheet on file and apply the retention period which has been designated in the Business Area Disposal Schedule. For details of yellow insert sheet, please contact your Business Area Information Manager (BAIM).
- **Close file and provide an electronic cross reference** - if the file can be closed but a container is required within TRIM to store continuing documentation electronically, a white insert sheet should be placed on the file which provides the relevant file path and container number. The paper file will subsequently inherit the retention and disposal period which has been applied to the electronic record and this should be stated on the insert sheet. The registered file number should be added to the 'User Defined Field' on the container template. For details of white insert sheet or guidance on the User Defined Field, please contact your BAIM.
- **Retain paper file for up to 3 months** where the file is nearing completion. Following this, close file using the yellow insert sheet and apply the appropriate disposal and retention period.

- **Retain paper file indefinitely** – if it contains ‘contractual documents’ or where a ‘wet signature’ may be required. The file should be closed in line with the appropriate disposal and retention period with a yellow insert sheet placed in the file. Files may need to remain open for an extended period of time due to legal or contractual obligations. If this should arise, contact the BAIM for further guidance.

22.2 Paper records to be retained

It is recognised that in some areas of DFP there may still be a requirement to retain paper information. Before doing this two questions should be considered:

- Does the record **really** need to be retained on paper?
- Can the document be scanned and saved into TRIM?

A checklist has been provided to assist DFP staff when considering if paper records need to be retained. This can be found in **Annex D – Check list for retention of paper documents**. Copies of this form can be found on the DFP Intranet or within TRIM – Record Number DF1/07/186766. The checklist should be completed and retained with the documents each time a need for paper records should arise.

Details of documents held on paper must be cross referenced on TRIM. To do this staff must complete a DFP Paper File Record Type to save the details regarding the paper documents into TRIM. Staff who require the Paper Record Type should contact their Business Area Information Manager. A guidance note is provided on the DFP Paper Record Type at **Annex E**. Copies of this guidance noted can be found on the DFP Intranet within the Records NI Quick Reference Guides or within TRIM – Record Number DF1/07/180953.

The Check list for Paper Document Retention requests (at Section 2) that a Paper Document Trim Reference is provided. This reference is provided when the Paper Document Record Type is completed.

22.3. Confidential files

In line with NICS policy, TRIM has security clearance to store information which is classified up to, and including, Restricted. Records with a security classification of confidential and above should therefore continue to be stored manually. Staff who feel that information should be classified above Restricted should refer to **CSC 8/94**.

DFP Business Areas who, after referring to CSC 8/94, create files with a classification above Restricted will be responsible for maintaining these files at a local level. Each BAIM will be responsible for creating **specific, local procedures** to handle the creation, retention, storage and disposal of these files.

22.4. Lotus Notes Document Management System (DMS)

The DMS will remain as an archive for the foreseeable future. Staff should, as a matter of urgency, ensure that documents which are required for departmental business are migrated from the DMS to TRIM. To migrate a document from DMS:

- Open the document in Lotus Notes.
- Click on file – select Save as.
- Save in appropriate container in TRIM.

Information Management Unit will issue updated guidance on the long term availability of the DMS.

23. OFFLINE WORKING

recNIrds

Offline Records



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3 Offline Records



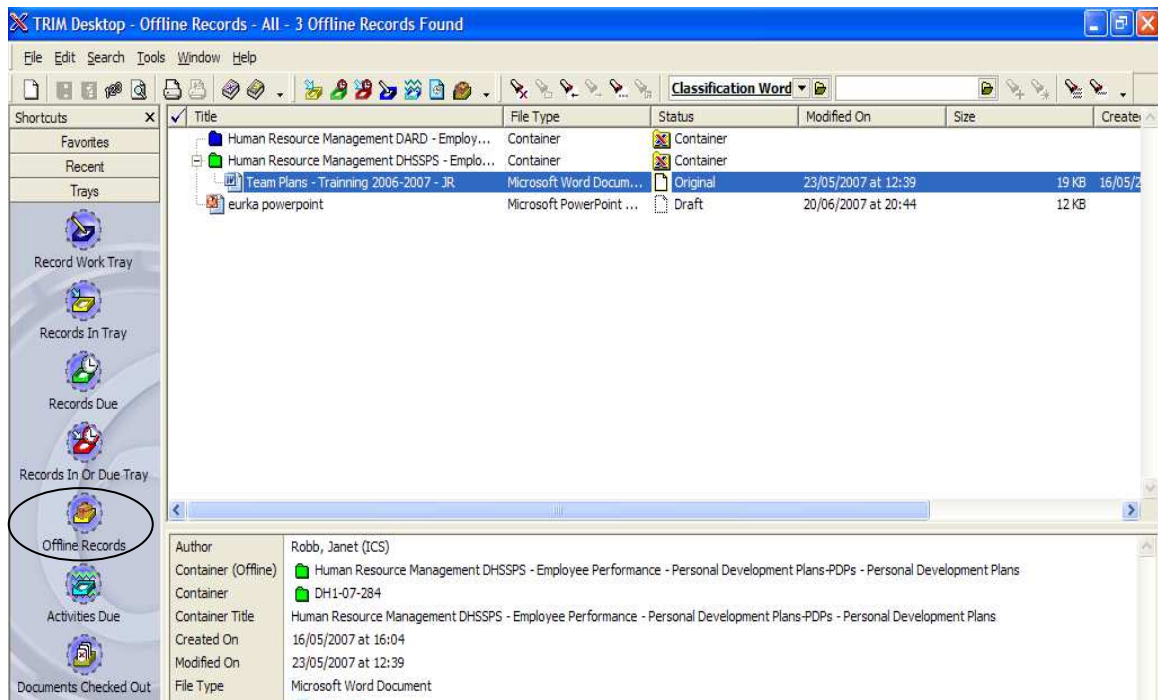
There may be a time when you have to work offline i.e. not connected to a workgroup server. This information will show you how you can still have your information available to you whilst not connected.

Offline records is a TRIM tray where records or draft documents can be stored and edited without changes being committed to the corporate TRIM Database until the user checks the document in.

Items in Offline records are **physically** stored in the end user's environment and as such, available for editing even if there are no connections to TRIM via a workgroup server.

4 Manage Offline Records

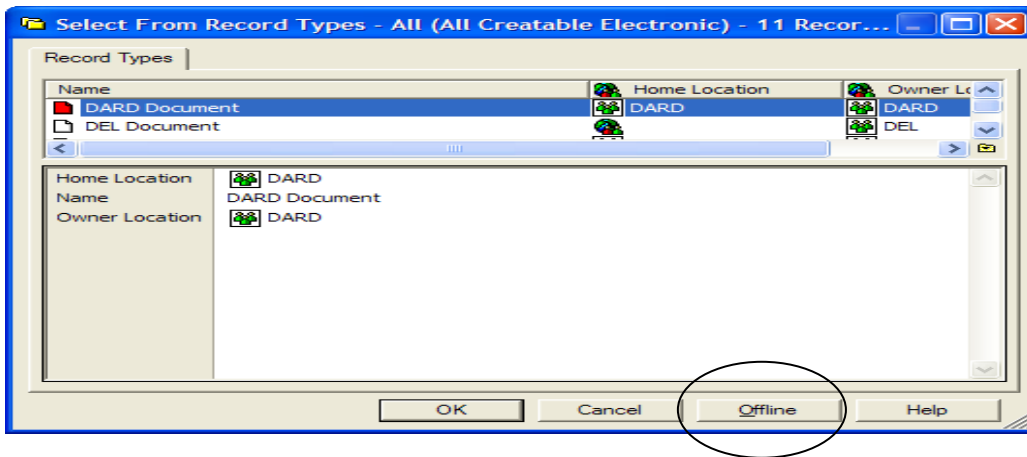
- Documents being prepared for eventual cataloguing in TRIM.
- Documents Checked Out from TRIM for editing and which will be returned to TRIM.
- Documents stored in Offline Records for any other purpose (for example, on-going working documents).



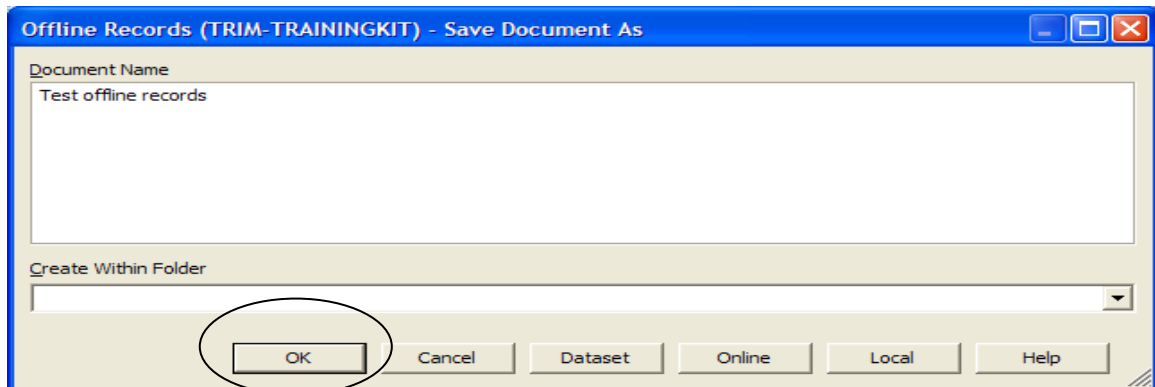
5 How to add Drafts to Offline Records tray

5.1 Save a new document from within an integrated application

- a. Click save as
- b. Click Offline button



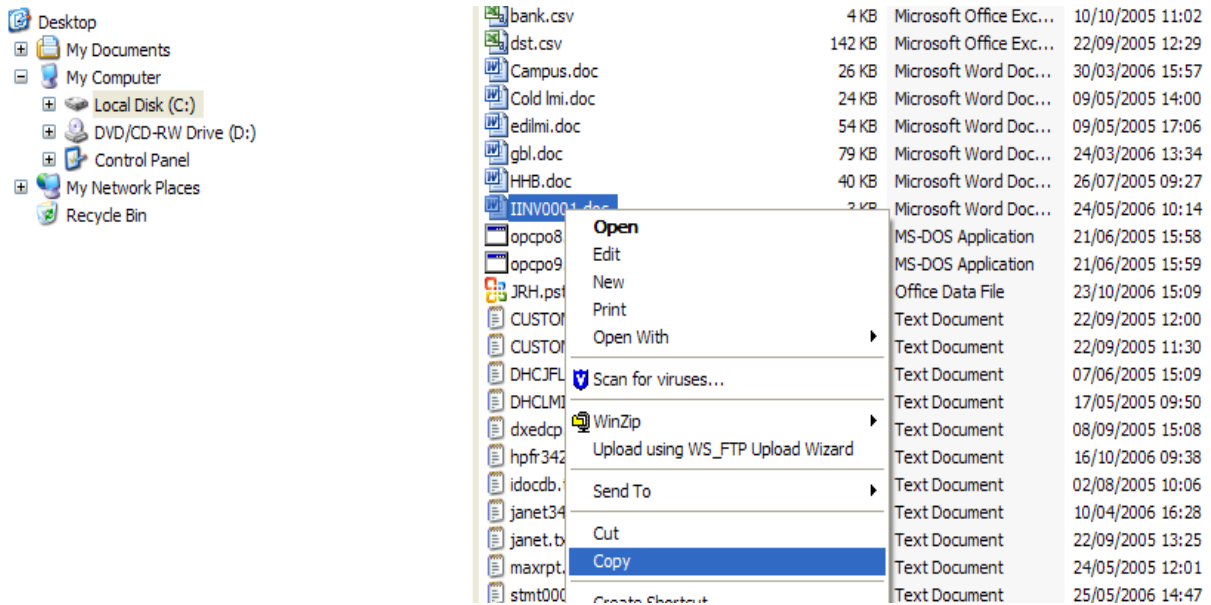
- c. Name the draft document – in this case it is called “Test Offline Records”
- d. If the folder exists that you wish to save into then select it from the drop down list within “Create within folder”. If the container does not exist it will placed within your Offline Records without a container.
- e. Click OK



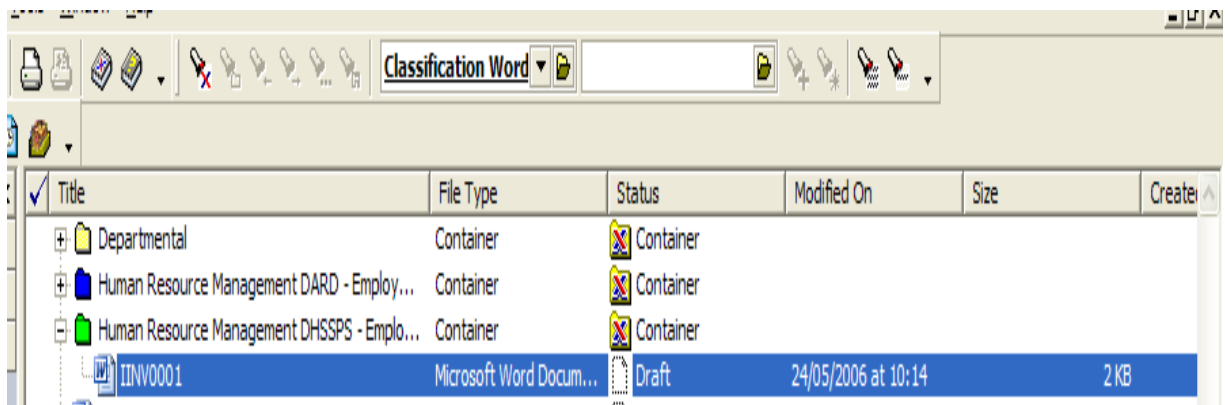
| Shortcuts | Title | File Type | Status | Modified On | Size | Create |
|-----------------|---|--------------------------|-----------|---------------------|-------|--------|
| Trays | Human Resource Management DARD - Employ... | Container | Container | | | |
| | Human Resource Management DHSSPS - Emplo... | Container | Container | | | |
| | eurka powerpoint | Microsoft PowerPoint ... | Draft | 20/06/2007 at 20:44 | 12 KB | |
| Offline Records | Test offline records | Microsoft Word Docum... | Draft | 02/07/2007 at 10:47 | 19 KB | |

5.2 How to Copy and Paste to Offline Records

- a. Browse to windows explorer.
- b. Right mouse click ... on the document... Select copy



- c. Open TRIM and click on Offline Records on the Tray shortcut
- d. Right mouse click on the correct folder or in the blank area of the list pane and click Paste
- e. Your document should now appear in the list pane of your offline records.

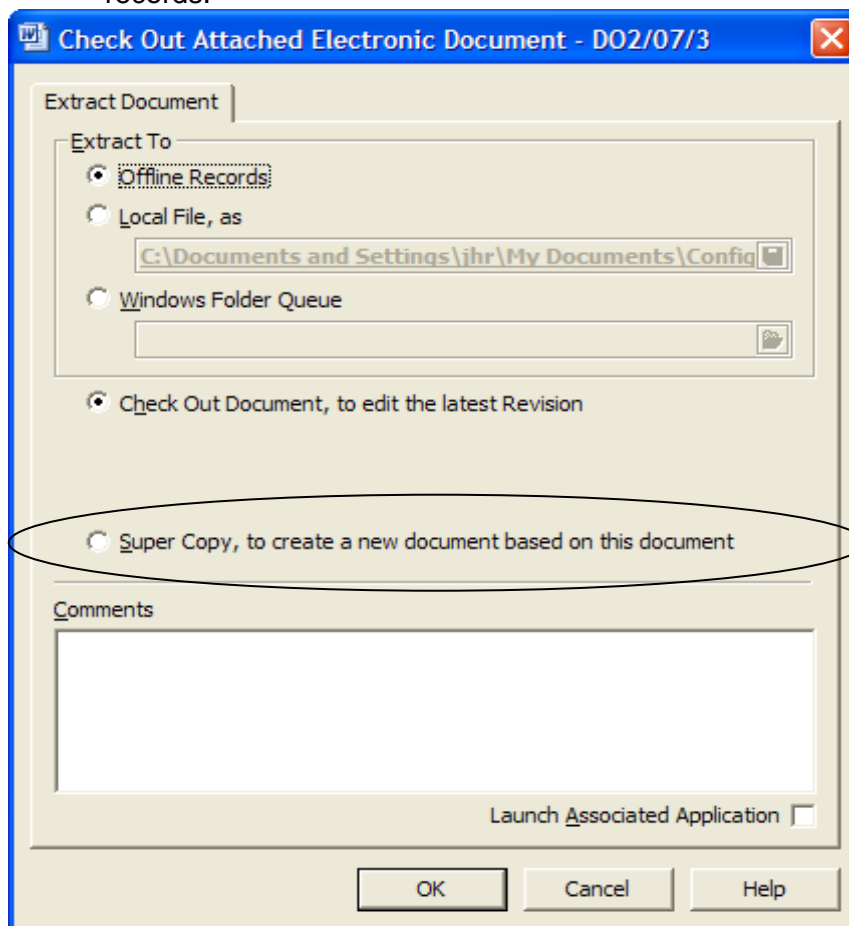


6 Take a super Copy of a record in TRIM Context using the Electronic Check Out Function.



There are several instances where you would want to use a Super Copy, listed are only two examples: - When you need to use it as a template but it is to be saved as a separate record, or when you need to use the document as a reference but you don't want to check out the document therefore allowing other users still access to the document.

- a. Open TRIM ... Find the record you wish to make a super copy off.
- b. Right Mouse click... Electronic... Check Out
- c. Extract to Offline Records.
- d. Select Super Copy to create a new document based on this document.
- e. Click Ok
- f. A draft copy of your document will have been added to your offline records.

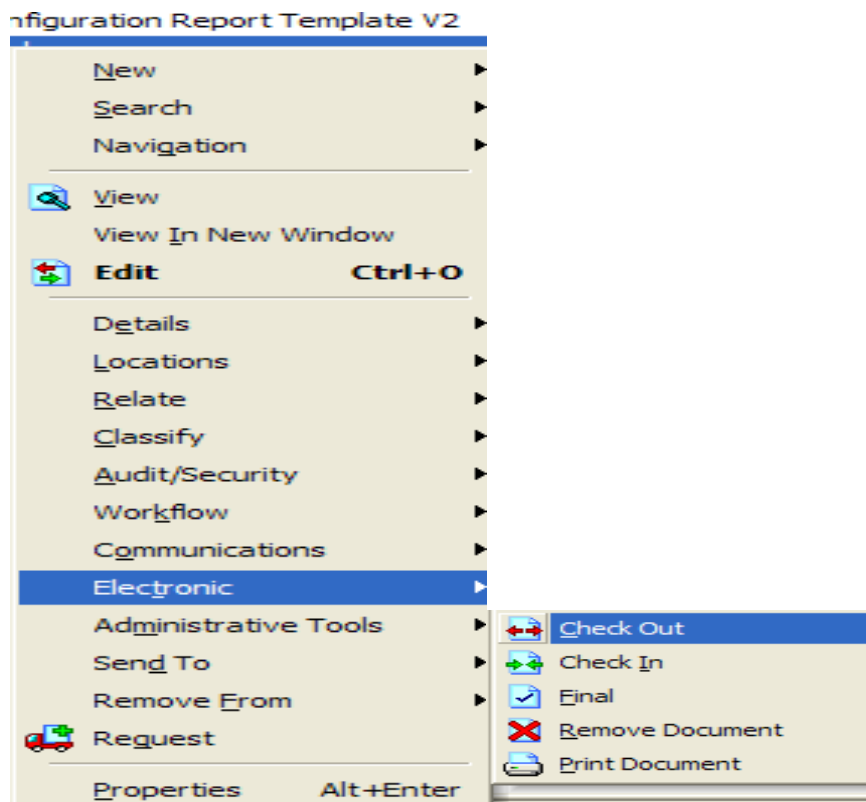


Super Copy, to create a new document based on this document – Take a copy of the document. This copy cannot be checked back into TRIM as a new revision or replacement of the current document. It must be catalogued as a new record.

7 How Records are added correctly to the Offline records tray

Use the Electronic Check-Out to Offline Records function on a record.

- a. Right mouse click ... Electronic... Check out



8 Other ways that Records can be added to the Offline records tray

1. Use the TRIM Edit function on a record and close the TRIM client before closing the document.

a. Right mouse click... Edit



2. Use the Edit function and lose the connection to TRIM while editing the document will put the document in to Offline Records. (This is also what will happen if you experience a system crash)



Records that have been checked out, but not edited, will be marked with a status of "Original". As soon as they have been modified they will be marked with a status of "Modified"

Containers can be added to the offline records tray by checking out one or more documents contained in them.

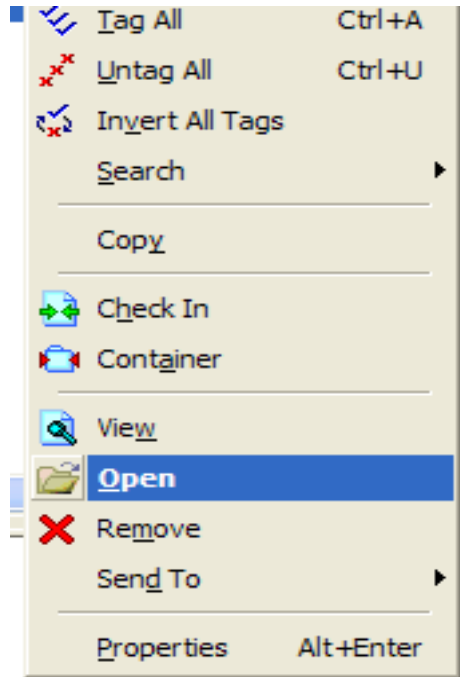
You can add new drafts to a container while it is in Offline records. These drafts will use that container when they are checked into TRIM.

If the TRIM workgroup server is not available for a connection, then documents can only be saved in the Offline area, and will need to be checked in later from the Offline records tray at a later stage.

9 Opening a Document in Offline Records

Click on Offline records. Select the document you wish to open, Right mouse click... Select Open or simply double click on the document.

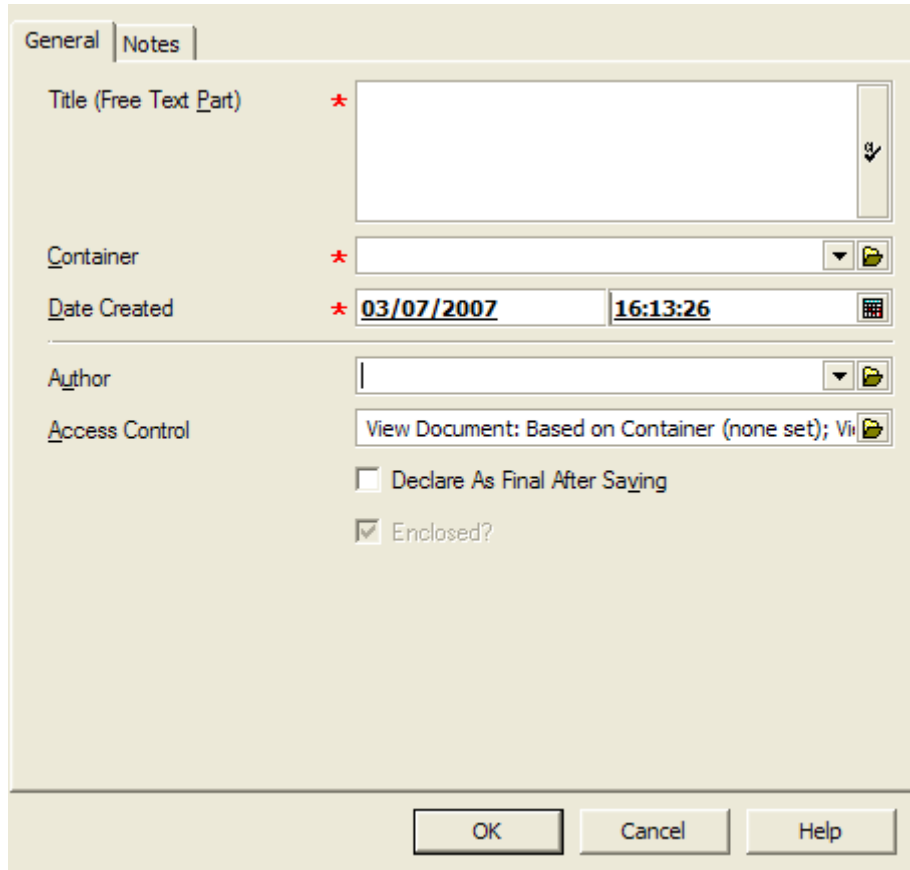
To open other documents in your Offline Records you need to repeat the process.



Once a document is saved in Offline Records, all subsequent changes to the document will be saved to Offline Records when you use the Save function. The Save As function saves the document as a new draft Document in Offline Records.

10 Checking in a Draft Document

- a. In the Offline Records Tray select the appropriate document.
- b. Right Mouse click... Check in
- c. Select the appropriate document record type.
- d. In the Record Entry Form enter the details and Click OK



The image shows a screenshot of a software dialog box titled "Record Entry Form". It has two tabs: "General" (selected) and "Notes". The "General" tab contains several fields and options:

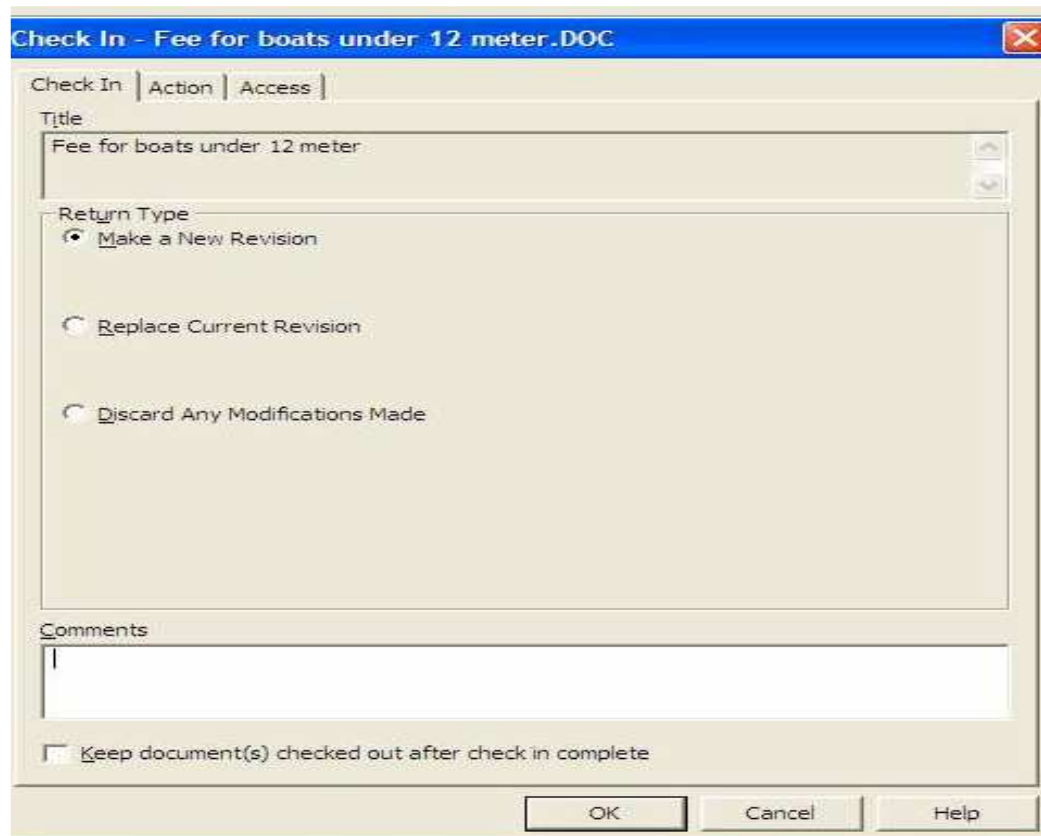
- Title (Free Text Part)**: A text input field with a red asterisk (*) to its left and a dropdown arrow on the right.
- Container**: A text input field with a red asterisk (*) to its left and a dropdown arrow on the right.
- Date Created**: A date and time input field with a red asterisk (*) to its left. The date is "03/07/2007" and the time is "16:13:26".
- Author**: A text input field with a dropdown arrow on the right.
- Access Control**: A text input field containing "View Document: Based on Container (none set); Vi" and a dropdown arrow on the right.
- Declare As Final After Saving
- Enclosed?

At the bottom of the dialog box are three buttons: "OK", "Cancel", and "Help".

The document is catalogued into TRIM and disappears from Offline Records. If are you required to make further changes to the document you will have to check it out to Offline Records or you can use the RM Edit command from within TRIM as normal.

11 Checking in an Original/Modified Document

- a. From Offline Records, select the Original/Modified Document you wish to Check In and select Right Mouse Click... Check In.
- b. The Check In window displays only if the document has been modified.
- c. Select or insert the appropriate items within each tab and select OK. The Document is now checked back into TRIM.



12 Removing Unwanted Folders from Offline Records

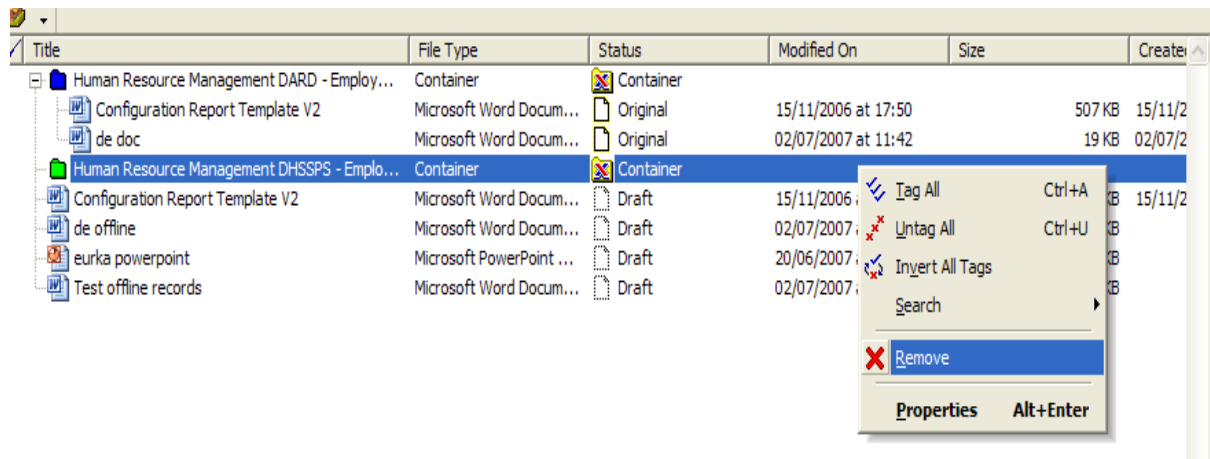
Containers are added to the offline records tray by checking out one or more documents contained in them. Once you have checked the document back into TRIM your container will remain in Offline Records.

This would be useful if you are working on a draft document; the container would then be available thus eliminating the need to select a container at the time of Check in.

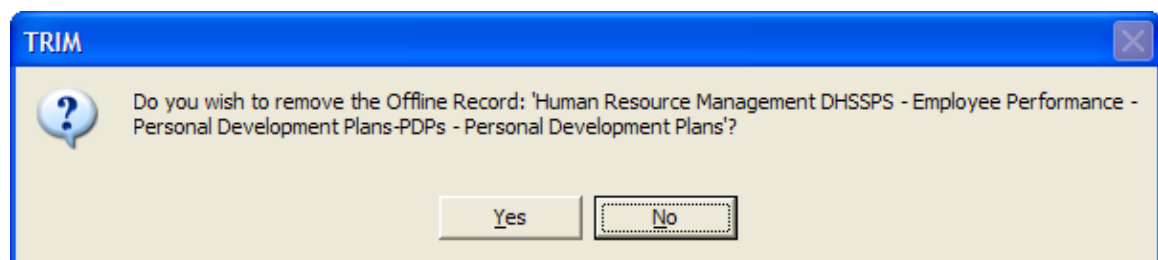
However if you don't require the folders to be kept it is best practise to remove them to keep your Offline Records tidy.

Please note at time of print the container limit in Offline Records is 60.

- a. Click on Offline Records
- b. Right mouse click... on the container you wish to remove
- c. Click Remove.



- d. You will get a warning message asking if this is what you want to do.
- e. Click Yes.





Container Request Form

| | |
|--|---|
| To be completed by the container requestor: | To be completed by the Power User (or secondary Power User): |
| Name: | Approved By / Rejected By: |
| Department / Division | Department / Division: |
| Power User: | |

| | |
|--|-----------------------------------|
| Container Title: | |
| File Plan Location: (The location where the new container is to be created). | Function (Level 1) |
| | Activity (Level 2) |
| | Transaction (Level 3) |
| | Level 4 |
| | Level 5 |
| Access Permissions: (Should access to this container be limited to particular groups or individuals? Remember access permissions should only be applied in exceptional circumstances). | |
| Disposal Details: How Long Must this information be Retained? | 0 years 0 months |

Power User to complete once the Approval / Rejection Decision has been made.

| Approved / Rejected? | Date | Reason (if Rejected) | End User Notified? Y/N |
|-----------------------------|-------------|-----------------------------|-----------------------------------|
| | | | |

**DFP TRIM
Frequently Asked Questions**

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13 Q.1 I added a document to TRIM but it does not appear in the Recent Documents screen - how do I find it?

- A. There is a known issue with TRIM, where occasionally documents do not appear in the Recent Documents screen. This is because it can take time for the screen to be refreshed even though the document has been saved in the system.

To find your document do the following:

- **Manually refresh** the screen by pressing the F5 key to refresh the active "window" or F6 to reload all "windows".
- If a manual refresh doesn't work you can still retrieve the document by using the **search icon** and entering appropriate search criteria.
- In any event, the index of recent documents will be refreshed overnight so the document should appear by the next day.

14 Q.2 How do I add a document or container to my 'Favourite' records tray?

- A. You can do this in TRIM Context or TRIM Desktop. Firstly you have to carry out a search for the document or container; once located you then right click on the document/container and select "Send To" – "Favourites" or press the **F4** function button on the keyboard. You will then be able to locate this document /container by accessing the "Favourite Records" button, which you will find on the left hand toolbar on your screen. This will enable you to access these records quickly and easily.

15 Q.3 My Shortcuts bar has disappeared from the screen, how do I get it back?

- A. Click on **Tools – User Configuration – Customize**
Click on the **Toolbars** tab and check (tick) the **Shortcuts** Toolbar
Click **Close**

16 Q.4 I want to be able to Move or Copy the icons My Containers and Recent Documents from Recent to Favorites in the Shortcuts Toolbar, how do I do this?

- A. Click on **Tools – User Configuration – Customize**
To **Move** Click on **My Containers** and drag onto **Favorites** until it opens and drop into the tray in the correct position. Repeat for **Recent Documents**.
To **Copy** Click on **My Containers** and drag onto **Favorites** with the **CTRL Key** pressed down until it opens and drop into the tray in the correct position.

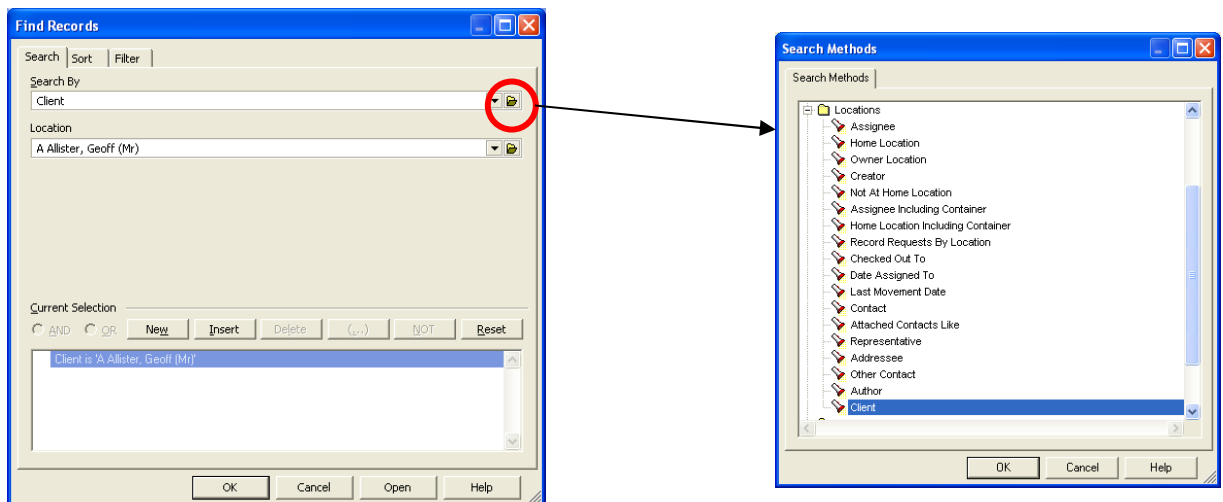
Repeat for **Recent Documents**.

17 Q.5 I have lost some of the buttons in my Shortcuts Toolbar, how can I get them back?

- A.** Click on **Tools – User Configuration – Customize**
Click on the **Toolbars** tab and select the **Shortcuts** Toolbar
Click **Reset** and **Yes**
Click **Close**

18 Q.6 How do I find my Personal Container?

- A.** Only you can see your own personal container, so therefore you cannot navigate the file plan to see it. Instead you must perform a search as follows:
- Click on the **Search** menu and choose **Find Records**
 - At the Search By field click on the **QuikSelect** button to open all search methods and choose the location search **Client**.



- Click **OK**.
- Your location will enter automatically in the **Location** field.
- Click **OK** and your pink Personal Container will appear.
- Send it to your Favourite Records (F4) so you don't have to search for it again.

19 Q.7 How many documents can I store in my Personal Container?

- A.** Your personal container will hold a maximum of 30 documents.

20 Q.8 Can I delete documents from my Personal Container?

- A. No. To have documents removed a request should be sent to your DIM Administrator who will delete the documents as requested.

21 Q.9 I don't seem to be able to sort records in my Personal Storage?

- A. You can sort records in your Personal Storage by doing the following:
- Locate your Personal Storage folder, either by searching for it or by accessing it from My Containers or Favourites.
 - Double click on the container to display the contained records. Or, Right Click – Navigation – Contained Records (+Alternative)
 - Once the records are displayed, click on one of the column headings to sort by that column. You can also add columns by right mouse clicking on the column header area and choosing Format Columns.
 - From the Column Preferences window select the column you would like to add from the Hidden Columns area and click on **Add** and **OK** to move it into the Active Columns area.

22 Q.10 My TRIM integration icons in Microsoft Outlook have disappeared, what should I do?

- A. TRIM is not setup to integrate with MS Outlook.
Open TRIM Desktop or TRIM Context and select
- **Tools – User Configuration – Options**
 - Select the **Integration** tab
 - Check (tick) **Integrate TRIM with Microsoft Outlook**
 - Click **OK**


OR

- From within **Outlook**
- **Help Menu – About Microsoft Outlook**
- Click on the **Disabled Items** button at the bottom right of the screen
- Select the **Disabled item**
- Select **Enable – Close - OK**

23 Q.11 I cannot use my TRIM integration icons in Microsoft Outlook, they are inactive/greyed out, what should I do?

- A. Open MS Outlook and select
- **Tools – Options**
 - Select the **Mail Format** tab
 - Uncheck (remove tick) **Use Microsoft Word to edit e-mail messages**
 - Click **OK**

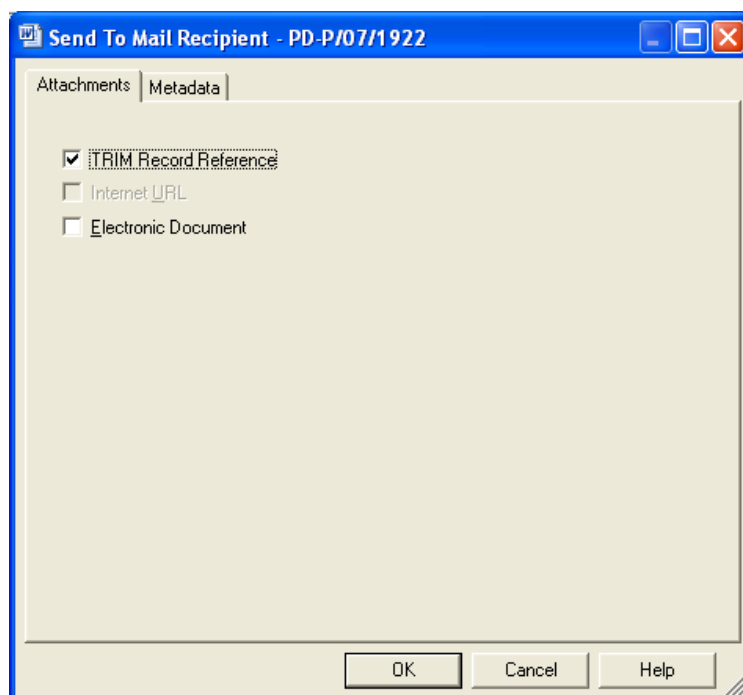
24 Q.12 How do I forward a TRIM record reference by email?

- A. Open Outlook and create a new message as normal. Select the Attach Records icon on the TRIM toolbar , search for the TRIM record to attach, check the **Attach TRIM Record Reference** option and click **OK**. This is described in more detail in the Records NI End User Manual, "[Integrating Outlook with TRIM](#)".

Or

Locate the record/s in Trim by Searching or Navigating. Tag Records - Right Click on the Record/s – Send To – Mail Recipient.

A Dialog box similar to the following image should display (see below, if this dialog box does not display)



Select Trim Reference and/or Electronic Document depending on who the attachment is being sent to. Click OK. The attachment should now open within MS Outlook. Carry on as normal.

If the dialog box does not display as above you should navigate to **Tools- User Configuration – Options – Email Tab**. Remove the tick beside **“Send Records Using the Trim Context E-mail Form**. Click **OK**

Note: Only those persons who can log into RecordsNI and have the correct access controls will be able to use a **Trim Reference** attachment.

25 Q.13 I'm trying to send a TRIM link in TRIM but each time TRIM insists on sending the original document. Why (and how do I fix this)?

A. All TRIM Users should be using MS Outlook to send electronic attachments or/and TRIM references as opposed to sending links within TRIM. This is described in more detail in the Records NI End User Manual, "[Integrating Outlook with TRIM](#)".

26 Q.14 When I try to save a Microsoft Word document the TRIM window is not displayed but the normal Save As window appears, why is this?

A. TRIM is not setup to integrate with MS Word. Open TRIM Desktop or TRIM Context and select

- **Tools – User Configuration – Options**
- Select the **Integration** tab
- Check (tick) the following:
 - **Integrate TRIM with all ODMA-complaint applications**
 - **Use ODMA directly with TRIM**
 - **Allow access to Windows File Open and Save Dialogs**
- Click **OK**

27 Q.15 When I try to save a Microsoft Excel document the TRIM window is not displayed but the normal Save As window appears, and I have carried out the instructions to integrate ODMA with TRIM as outlined in Answer to Question 6, why is this?

A. A macro called **Tsjxl9** needs to be added in to Microsoft Excel. Click on **Tools – Add-Ins** and click **Browse**. The macro can be located within Program Files – TRIM Context – Samples – Desktop.

28 Q.16 I cannot open a document, why is this?

A. To open a document to edit within TRIM, right click on document and select **Edit** (Double-clicking on a document in Trim Context opens the document in the TRIM Document Viewer which is read-only).

NB Edit will **NOT** appear on the right-click menu:

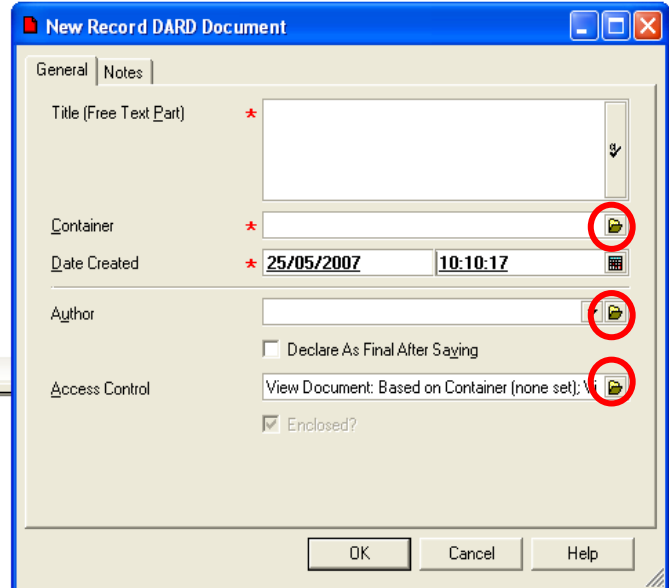
- when the user has NOT been given the rights to UPDATE DOCUMENT
- when a document is "Final"
- when a document has been "Checked out"

In these instances the document can be viewed provided the user has the rights to VIEW DOCUMENT. In order to view the document you must right click on the document and select **View**.

29 Q.17 What is a 'kwik select' button?

- A. The kwik select button can be found in numerous places in TRIM e.g. when you are creating a new record you will find these buttons down the right hand side of each field. These buttons allow you to access category lists from Search categories right through to the Corporate File Plan Classification Scheme.

The lists you access will depend on the kwik select field you have chosen (for example if you select the kwik select button beside "Assignee" this will bring up a list of all of the staff within the NIO, where as if you click on the kwik select beside "Container" you will be shown the Classification Scheme.

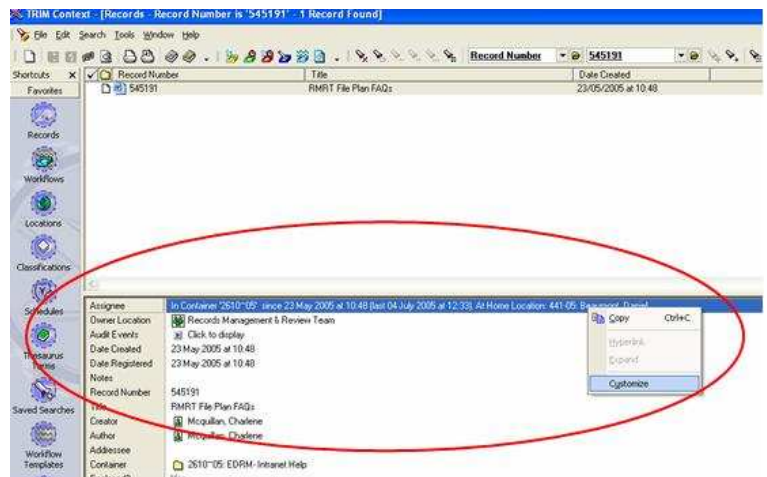


30 Q.18 How do I remove a document from the File Plan?

- A. Only the DIM or System Administrator can permanently remove a record (final or un-finalised record) from the File Plan. The Power User can remove an un-finalised document from the File Plan by right clicking on the document and selecting "electronic" and "remove document". You will be left with a red tag or record stub which contains the metadata for the record (e.g. the name, date created etc.).

31 Q.19 How do I customise the Metadata Pane?

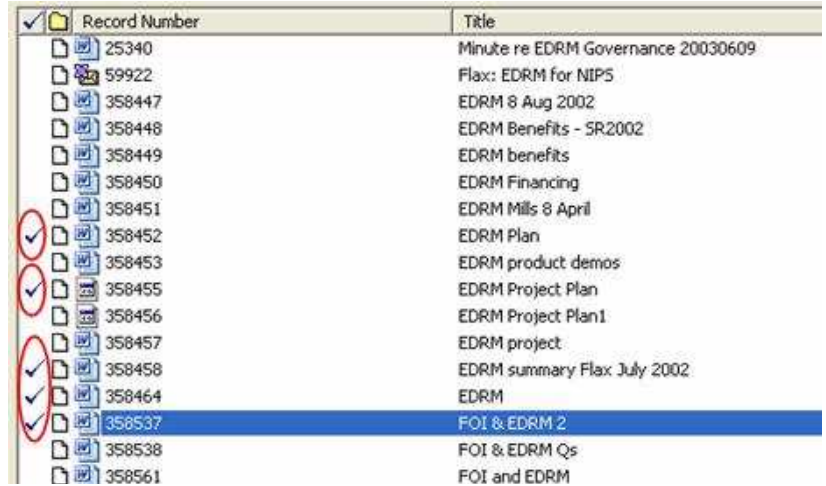
- A. The metadata pane can be found on the bottom half of your TRIM screen. It provides information relating to which ever record you have highlighted at the top half of the screen. You can customize the information displayed in your Metadata Pane by right clicking on the pane and selecting



"customize". You will then be taken to a screen where you can select to "Add" or "Remove" particular metadata from the view pane.

32 Q.20 How do I use Tag and Task?

- A. Tag and task is a useful function which allows you to carry out actions on multiple documents at the same time. Once you have carried out a search for documents you can tag them by clicking in the space to the left of the document; this will insert a tick.

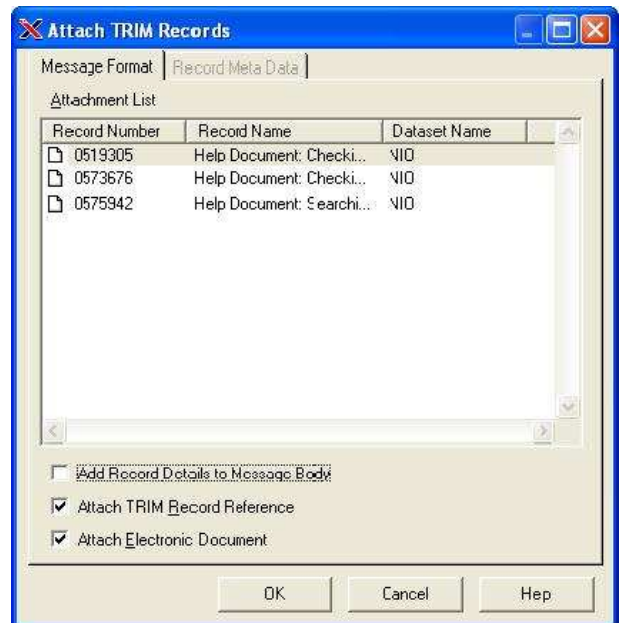


| Record Number | Title |
|--|------------------------------------|
| 25340 | Minute re EDRM Governance 20030609 |
| 59922 | Flax: EDRM for NIP5 |
| 358447 | EDRM 8 Aug 2002 |
| 358448 | EDRM Benefits - 5R2002 |
| 358449 | EDRM benefits |
| 358450 | EDRM Financing |
| 358451 | EDRM Mills 8 April |
| <input checked="" type="checkbox"/> 358452 | EDRM Plan |
| <input checked="" type="checkbox"/> 358453 | EDRM product demos |
| <input checked="" type="checkbox"/> 358455 | EDRM Project Plan |
| <input checked="" type="checkbox"/> 358456 | EDRM Project Plan1 |
| <input checked="" type="checkbox"/> 358457 | EDRM project |
| <input checked="" type="checkbox"/> 358458 | EDRM summary Flax: July 2002 |
| <input checked="" type="checkbox"/> 358464 | EDRM |
| <input checked="" type="checkbox"/> 358537 | FOI & EDRM 2 |
| 358538 | FOI & EDRM Qs |
| 358561 | FOI and EDRM |

You can also right click and "Tag all" if you want to select all of the displayed records. You can then carry out your task on all the tagged documents (e.g. you can change the location of the documents to a new container or remove all of the documents).

33 Q.21 I don't seem to be able to attach multiple documents to an e-mail?

- A. This can be done using the "Tag and Task" method. From within Outlook, click on Attach Record. Search for the documents you want to attach. When the records appear in the Search results window tag the records to be attached and click on OK. The tagged records will be placed in the Attach TRIM Records window.



34 Q.22 How can I check the access rights on a container or a document?

- A. Right click on the folder/document and go to "Audit/Security" and across to "Security/Access". You can then check the access controls you have in relation to that container/document.

35 Q.23 How can I check the Audit events for a record or folder?

A. Right click on the item and go to "Audit/Security" and "Active Audit Events".

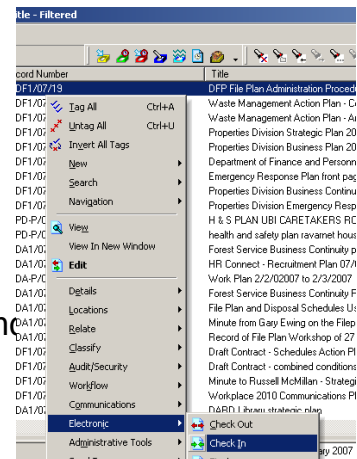
36 Q.24 I have closed TRIM before checking in a document, how do I now check it back in?

A. If the document is still open in the application eg Word, Excel, open TRIM and then close the document within the application. This should automatically "check in" the document.

If the document has also been closed after closing TRIM then it is likely to be in the Offline Records Tray within TRIM and needs to be manually checked back in. To do this, open TRIM and select the Documents Checked Out button in Trays within the Shortcut toolbar. Right click on the document and select Electronic - Check In.

Please note that at the end of each day, you have no files open in any application and there should be no documents within the Offline Records Tray before closing TRIM. It is good practice to check Offline Records at the end of each day before logging off to ensure no documents are "trapped" in Offline Records.

You can read more in the Records NI Trim End
– [Check out/Check in.](#)



37 Q.25 I am trying to edit a document from the TRIM Desktop but I am only seeing the document in the TRIM Viewer, I don't seem to be able to edit it?

A. See the answer to Q6.

38 Q.26 If I browse through the Classifications to open a record for editing then discover it is the wrong file, I have to browse all the way through the Classifications or start the entire Search process again?

A. Rather than opening the file, use the Preview tab at the bottom of the screen to ascertain if the selected record is the correct file.

39 **Q.27 Can I change the order in which records are displayed in the Search Results window?**

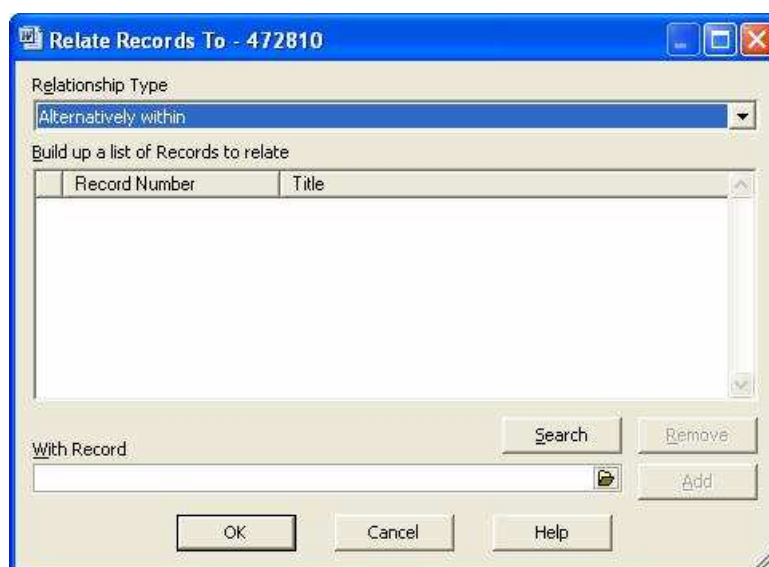
A. You have several ways in which you can customise the output from a search. For more information on this see the TRIM End User Manual [Searching for Records – Applying a Sort.](#)

40 **Q.28 Can I open more than one document at the same time?**

A. This can be done from the TRIM Desktop or the full TRIM Client. Firstly, you need to search for the document(s) you want to open. When the search results appear, tag the records you want to open, right mouse click and choose Edit. TRIM will open all the tagged files.

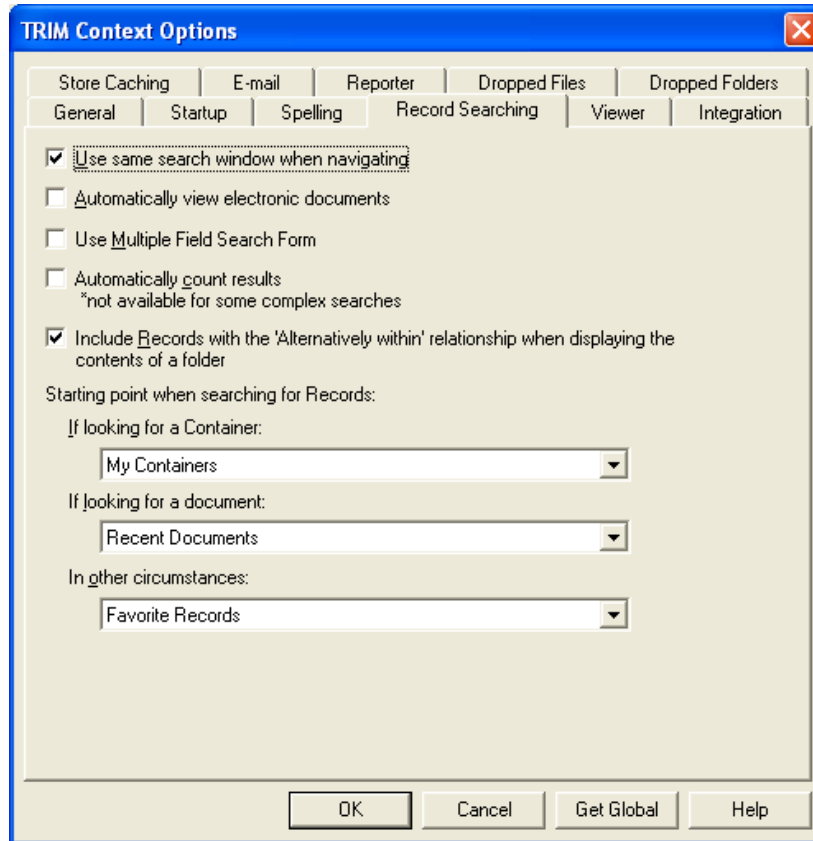
41 **Q.29 I would like to be able to “associate” records with a number of containers so that there is only the need to store one copy of the file. How do I do this?**

A. This can be done by using the **Relate** option in TRIM. Right mouse click on the record you want to “associate”, i.e. display in another Container, choose **Relate**.



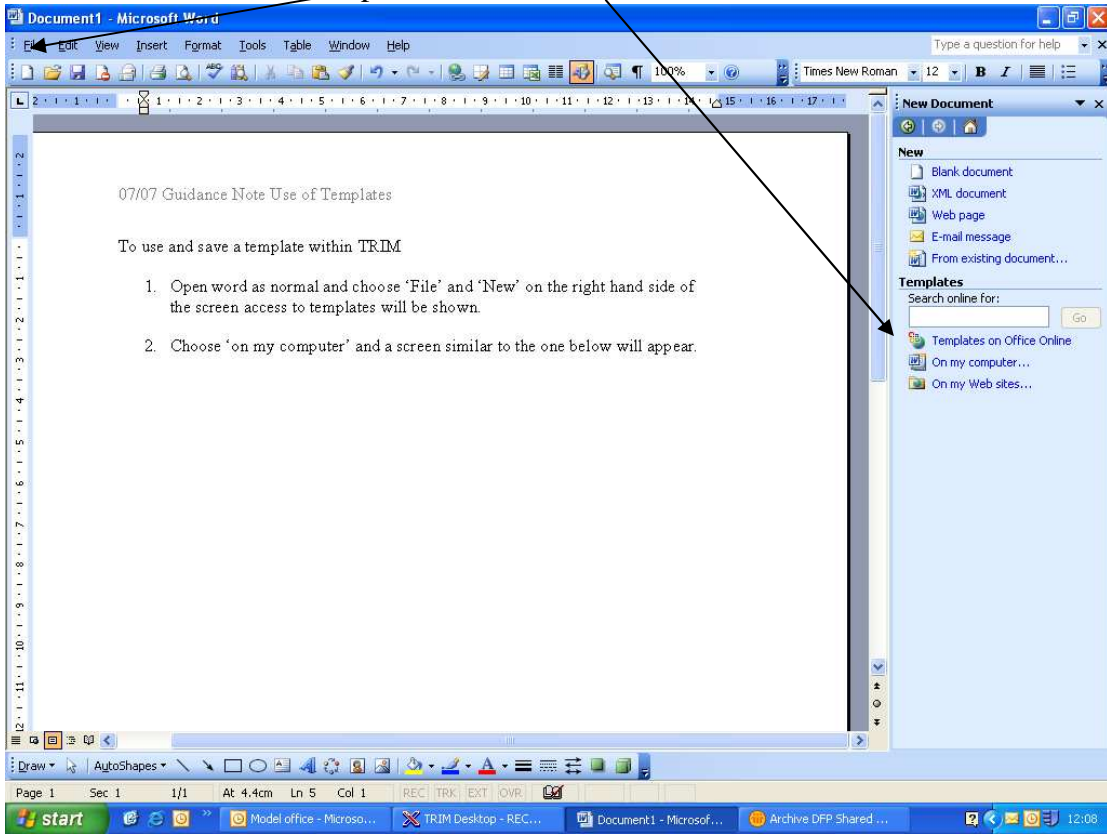
From the Relationship Type drop down list choose **Alternatively within**. In the **With Record** area either enter the record number of the Alternative container or use the KwikSelect button to browse to the container. The record will then appear in both containers. The User must have the “Include records with the alternatively within relationship when displaying the contents of a folder” option switched on. This can be accessed by Clicking on Tools – User Configuration – Record Searching Tab (see below).

Note: Extreme care should be taken when displaying documents that have an alternatively within relationship because it is the **same** record. If the related record is deleted the original is also deleted. Show the related records metadata item in the Properties area to check for these occurrences.

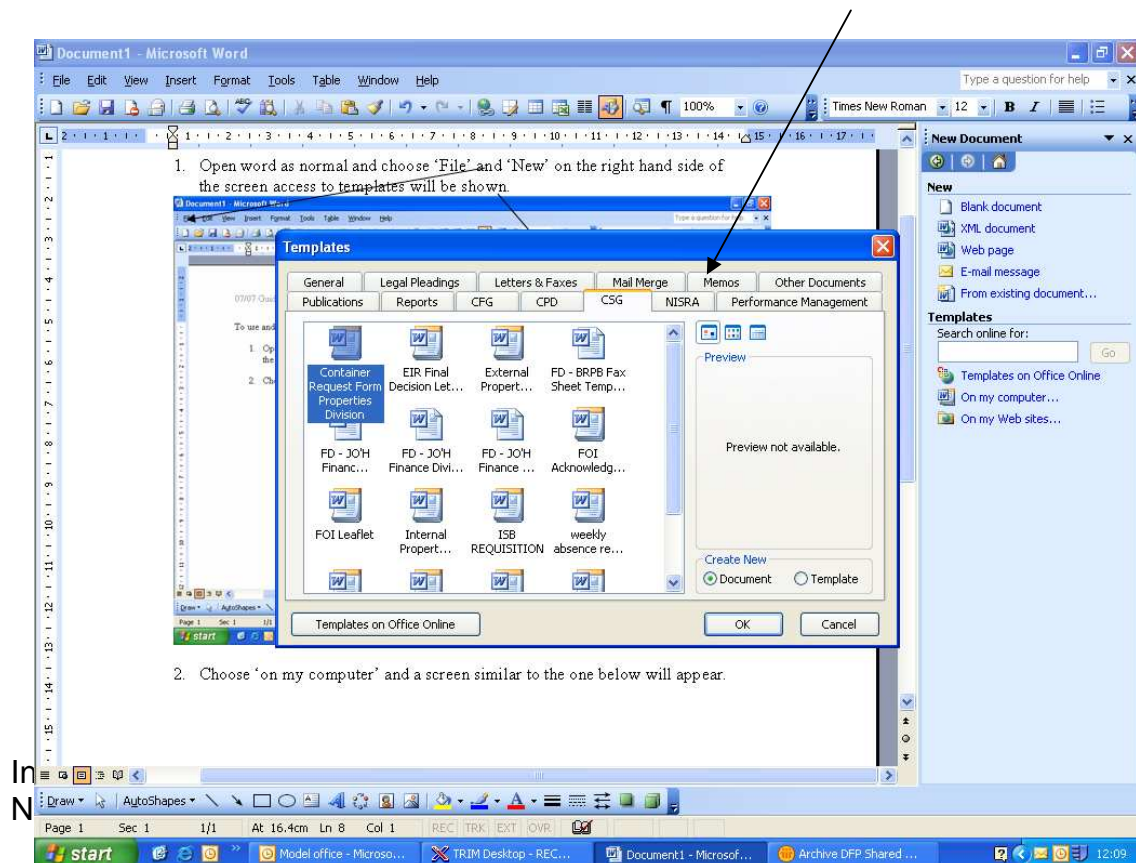


To use and save a template within TRIM

1. Open word as normal and choose 'File' and 'New' on the right hand side of the screen access to templates will be shown.



2. Choose 'on my computer' and a screen similar to the one below will appear.



3. Simply click on the tab that holds your templates and click the template you require choose ok.
4. You can now create your document using the template and when completed simply choose 'File' and 'save as' and you will activate TRIM.
5. Continue to save the document in the usual way by giving it a title and selecting a container.

DFP File Plan – examples of file paths for common areas within corporate functions

| Type of document | Level 1 | Level 2 | Level 3 | Level 4 | Level 5 |
|---|-----------------------------------|------------------------|------------------------|--------------------------------------|---|
| Upkeep, repair and servicing of departmental property | Accommodation and Services | Premises | Clare House | Maintenance | Add container for relevant type of maintenance |
| Stationery orders | Accommodation and Services | Supplies and Equipment | Stationery | Acquisition | Add container for business area (Name of branch in title) |
| Messenger services within departmental buildings | Accommodation and Services | Support Services | Messengers | Add container for location | |
| Information relating to building security | Accommodation and Services | Security | Building Security | Add container for building | |
| Expenditure or acquisition of petty cash | Financial Management | Accounting | Petty Cash | Add book level for business area | Container for branch |
| Costs incurred as a result of travel | Financial Management | Allowances | Travel and Subsistence | Add book level for relevant business | Container for branch |

| | | | | | |
|---|----------------------------------|----------------------|---------------------------------|--|--------------------------------------|
| undertaken for the department | | | | area | |
| Details of hospitality given and received | Financial Management | Allowances | Hospitality | Add book level for relevant business area | Container for branch |
| Management and monitoring of budgets | Financial Management | Budgeting | Budgetary Control | Core | Container for relevant business area |
| Performance Management reviews | Human Resource Management | Employee Performance | Performance Management | Add book level for relevant directorate/agency | Container for branch |
| Personal Development Plans | Human Resource Management | Employee Performance | Personal Development Plan | Add book level for relevant directorate/agency | Container for branch |
| Personal Performance Agreements | Human Resource Management | Employee Performance | Personal Performance Agreements | Add book level for relevant directorate/agency | Container for branch |
| Management of Annual Leave | Human Resource Management | Leave | Annual Leave | Add book level for relevant directorate/agency | Container for branch |
| Flexi Sheets | Human Resource Management | Leave | Flexi Leave | Add book level for relevant directorate/agency | Container for branch |

| | | | | | |
|---------------------------------------|--------------------------------------|-----------------------------|---------------------------------|--|--|
| | | | | | |
| Induction packs | Human Resource Management | Training and Development | Induction | Add container for relevant business area | |
| Job Descriptions | Human Resource Management | Staffing | Job Descriptions | Add container for relevant business area | |
| Organisation Charts | Human Resource Management | Workforce Planning | Organisation Chart | Add container for relevant business area | |
| Management of content of DFP websites | Information and Communication | Web Management | Internet | Add container for relevant business area | |
| Briefings to Ministers | Information and Communication | Government Liaison | Briefings | Add container for relevant business area | |
| Parliamentary Questions | Information and Communication | Government Liaison | PQ's | Add container for relevant business area | |
| Freedom of Information Requests | Information and Communication | Information Access Requests | Freedom of Information Requests | Container with FOI Case file number | |

| | | | | | |
|---|--------------------------------------|-----------------------------|-------------------------|--|--|
| Data Protection Requests | Information and Communication | Information Access Requests | Subject Access Requests | Container should have abbreviation for business area, data protection reference and year. e.g. LPS/DAT123/2007 | |
| Business area newsletters and bulletins | Information and Communication | Publications | Newsletters | Add container with name of newsletter | |
| Business area annual reports | Information and Communication | Publications | Annual Reports | Add container for relevant business area | |
| Team meetings | Information and Communication | Meetings | Staff Meetings | Add container for relevant business area. | |
| Corporate Plans | Strategic Management | Business Planning | Corporate Plans | Add container for relevant business area | |
| Departmental/Reform projects | Strategic Management | Projects | Name of Project | Add containers relating to | |

| | | | | | |
|---------------------------------|-----------------------------|-----------|---------------------|--|--|
| | | | | components of project | |
| Balanced Scorecard | Strategic Management | Standards | Balanced Scorecard | Add book level for relevant directorate/agency | Add container for relevant area |
| Investors in People information | Strategic Management | Standards | Investors in People | Add container for relevant business area. | |

CHECKLIST FOR RETENTION OF PAPER DOCUMENTS

| | |
|------------------------|--|
| BRANCH/DIVISION | |
|------------------------|--|

1. Requirements for paper retention

(One or more “yes” answers)

| | |
|--|-----------------|
| 1. Is there a legal requirement to keep the original document? | Yes / No |
| 2. Is the protective marking for the file “Confidential” or above? | Yes / No |
| 3. I confirm I have read CSC 8/94 regarding protective markings | (please tick) |
| 4. Have you included retention and disposal on your divisions schedule | Yes / No |
| 5. Have you considered scanning the document(s) and saving the image to the EDRMS? | Yes / No |
| 6. Have you contacted your Business Area Information Manager (BAIM) to discuss your requirements for retaining these paper document(s)? | Yes / No |

2. Linked to TRIM Electronic File

Paper Document TRIM Reference _____

Please note that a reference within TRIM to this file should be created. You must contact your BAIM to arrange the creation of a Paper Document Trim Reference.

Storage Warning

By creating a paper file, your Branch/Division is agreeing to store the file correctly, for the length of its agreed disposal schedule. You are also agreeing that any potential Workplace 2010 storage issues will be dealt with by your Branch/Division.

SIGNED (BAIM and Grade 7 or above) _____

DATE _____

NOTES TO ASSIST COMPLETION

Is there a legal requirement to keep the original document?

The British Standards Institution has issued a revised Code of Practice for Legal Admissibility of Information Stored on Electronic Document Management Systems, [BIP 0008:2004](#) (previously PD 0008). This code of practice provides guidance to ensure, as far as possible, that electronic documents and scanned images will be accepted as evidence by the courts. The key to this guidance is that the process under which documents are managed is as important as the technology used – where a document is reproduced (e.g. printed); it should accurately reproduce the contents of the "original".

The key principles behind BIP 0008 are:

1. **Authenticity** – Processes to be followed at system planning, implementation and the procedures by which the systems should be operated.
2. **Storage and access procedures** – Procedures including scanning, indexing, retrieval, system administration, archiving, off-site storage and training, to be followed. (TRIM accepted)
3. **Demonstrability of adherence** – A structured audit process resulting in a Certificate of Conformity that displays demonstrability of adherence. (TRIM accepted)
4. **The Civil Evidence Act (1995)** introduces a flexible system whereby all documents and copy documents, including computer records, can be admitted as evidence in civil proceedings. The court judge will still have to be persuaded to treat that evidence as reliable, and so organisations will have to put in place procedures to prove the authenticity and reliability of the record.

Is the protective marking for the file “Confidential” or above?

The Confidential Marking should only be used in accordance with CSC 8/94

Have you referred to the RecordsNI Procedures Manual?

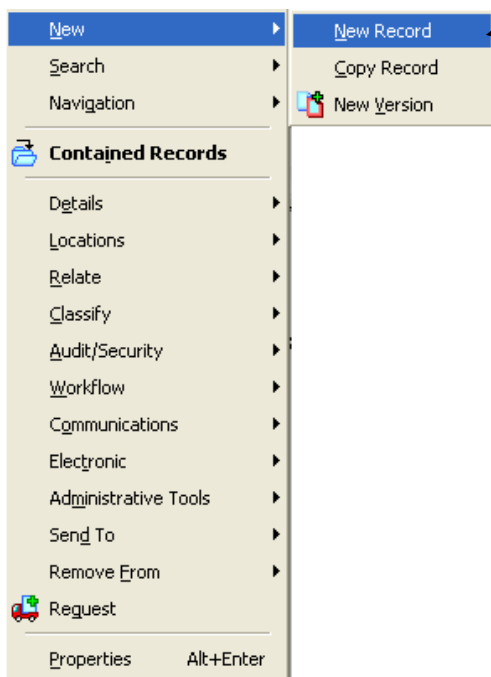
The Records NI Procedures Manual provides the departmental guidance and procedures relating to the RecordsNI EDRM System. It covers the Departments compliance in terms of authenticity and legal admissibility etc under the Civil Evidence Act.

Annex E

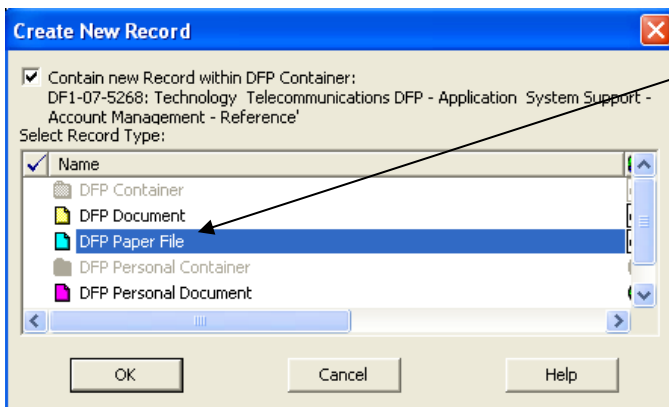
25/07 RecordsNI Guidance Note for Paper File Creators

Note: This guidance note is aimed at those users who have responsibility for recording the fact that a paper file exists relating to a subject or piece of work. Only those staff who undertake this work will have access to the Paper Record Document Type within TRIM.

1. Firstly establish the need to hold paper documentation refer to John Morgan's transition guidance and checklist for retaining paper.
2. Then locate the electronic container or area of the File plan that links to the paper documentation.
3. Right click on the container and select "New" – "New Record"



4. The dialogue box below is displayed; select "DFP Paper File" from the list.



5. The following “DFP Paper File” record form is displayed. The container information is already populated. All fields are mandatory; Access controls can be applied to restrict access to the record.

The screenshot shows a window titled "New Record DFP Paper File" with three tabs: "General", "Access", and "Notes". The "General" tab is selected. The form contains the following fields:

- Title (Free Text Part)**: A text input field with a red asterisk and a vertical scroll bar on the right.
- Container**: A text input field containing "DF1-07-5268", a red asterisk, and a small folder icon on the right.
- DFP Paper File Details**: A large text input field with a red asterisk and a vertical scroll bar on the right.
- DFP Paper File Location**: A text input field with a red asterisk and a vertical scroll bar on the right.

At the bottom of the window are three buttons: "OK", "Cancel", and "Help".

6. Once all fields have been completed choose ‘ok’ and you should be enabled to view the paper record within the container.
7. For consistency purposes Staff who complete this form should ensure that the TRIM Container reference number is added to the cover of the paper file/folder.
8. For paper documents classified as above Restricted please refer to the paper transition procedures document.
9. It is the responsibility of each Business Area nominee to create Paper Record Documents on TRIM.