

## **JISC Digital Preservation – Future Proofing Project**

### **Records management workflows**

Kit Good, University Records Manager and Freedom of Information Officer

#### **The overall approach:**

The following workflows are based around a wider initiative for improving the management of electronic records in our institution. Whilst some elements are outside the scope of the project, these scenarios utilise the open source tools and preservation techniques that the project has tested and explored.

The following workflows show how the open source tools and preservation techniques that the project has tested and explored can fit into a wider process for the effective management of electronic records.

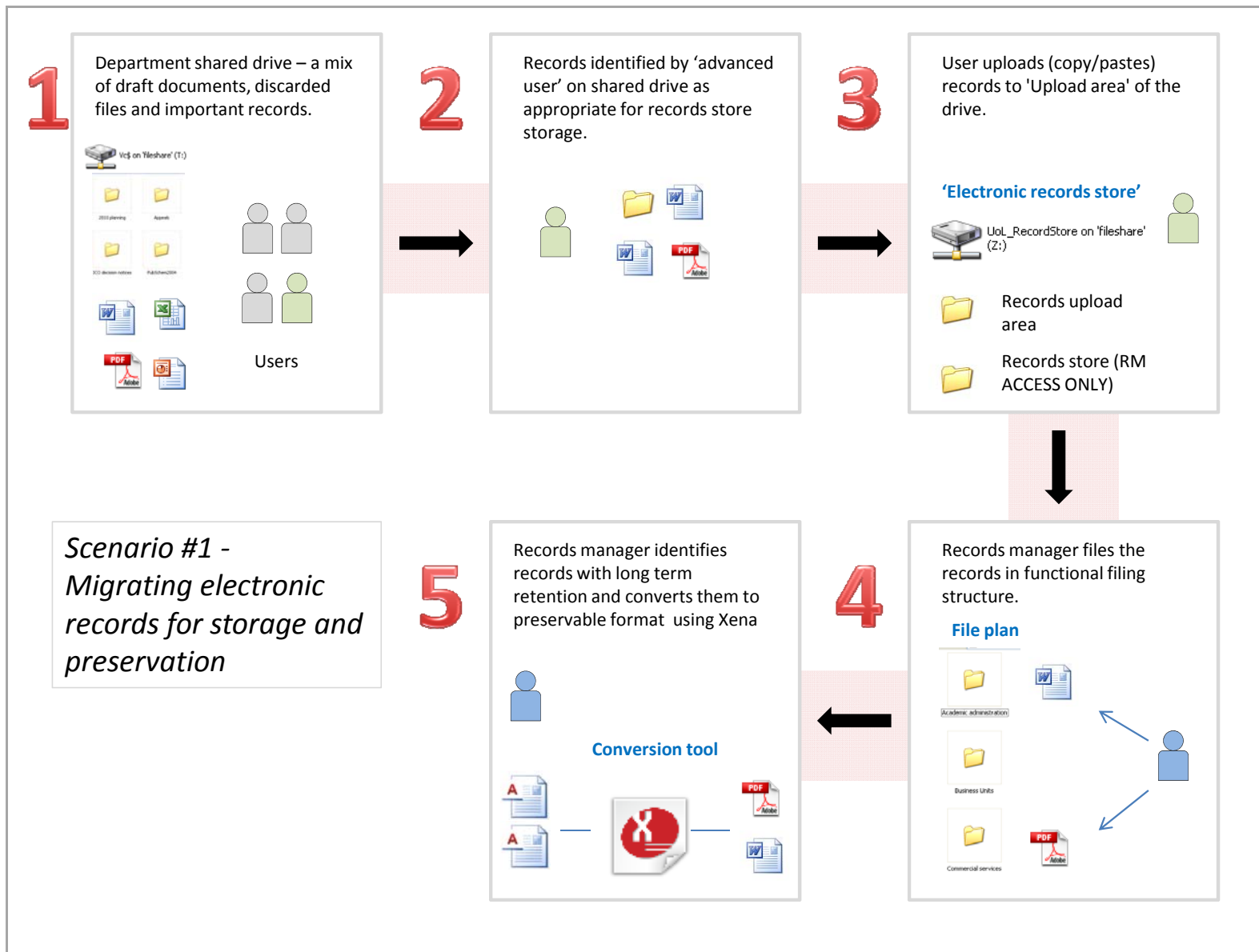
The approach relies on:

- adapting the available functionality of a well-managed file servers system
- training and relationship building with relevant staff by the records manager
- the identification of sets or classes of electronic records held on shared drives that need to be captured and managed in a structured way
- a commitment to transform use of the 'shared drive' from a long-term, unstructured collection of documents of varying relevance and quality to a temporary, collaborative area with strict controls on size and data retention

### **Scenario 1: Migrating electronic records for storage and preservation**

Scenario 1 shows how electronic records would be routinely uploaded to the ‘electronic records store’ – essentially a closed access shared drive.

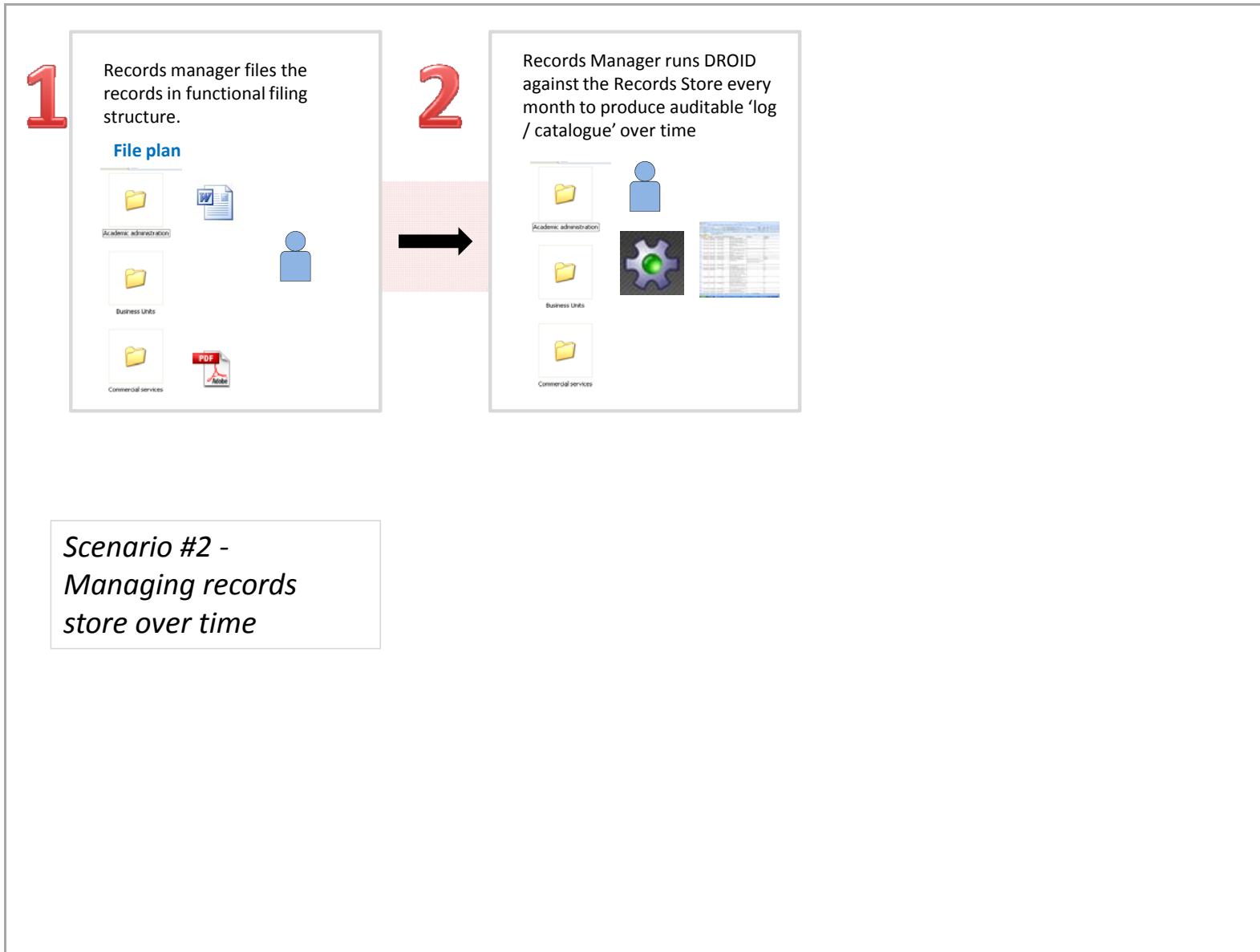
1. A typical departmental shared drive is a mix of draft documents, discarded files and important records. Over a period of years these drives often take up a huge amount of disk space.
2. Each department will have an ‘advanced user’, probably a senior administrative role, who will be trained by the records manager to identify appropriate electronic records on the shared drive. Ideally these will be stored in an organised way during their period of ‘current’ usage.
3. Each ‘advanced user’ will make a transfer of the selected electronic records to an ‘upload area’ of the electronic records store. This is a folder to which they have read / write access. They do not have access to the full records store. Each upload will be accompanied by a ‘transfer sheet’ which provides an auditable record of the movement of records.
4. The Records Manager, on receiving the transfer sheet, moves the records to the appropriate place in the functional filing structure of the records store. This is annotated to the ‘transfer sheet’ provided by the ‘advanced user’.
5. The Records Manager identifies records with long-term retention requirements (everything that is required to be kept beyond 5-7 years). These are converted into preservable Xena ‘objects’.



## **Scenario 2 – Managing the records store over time**

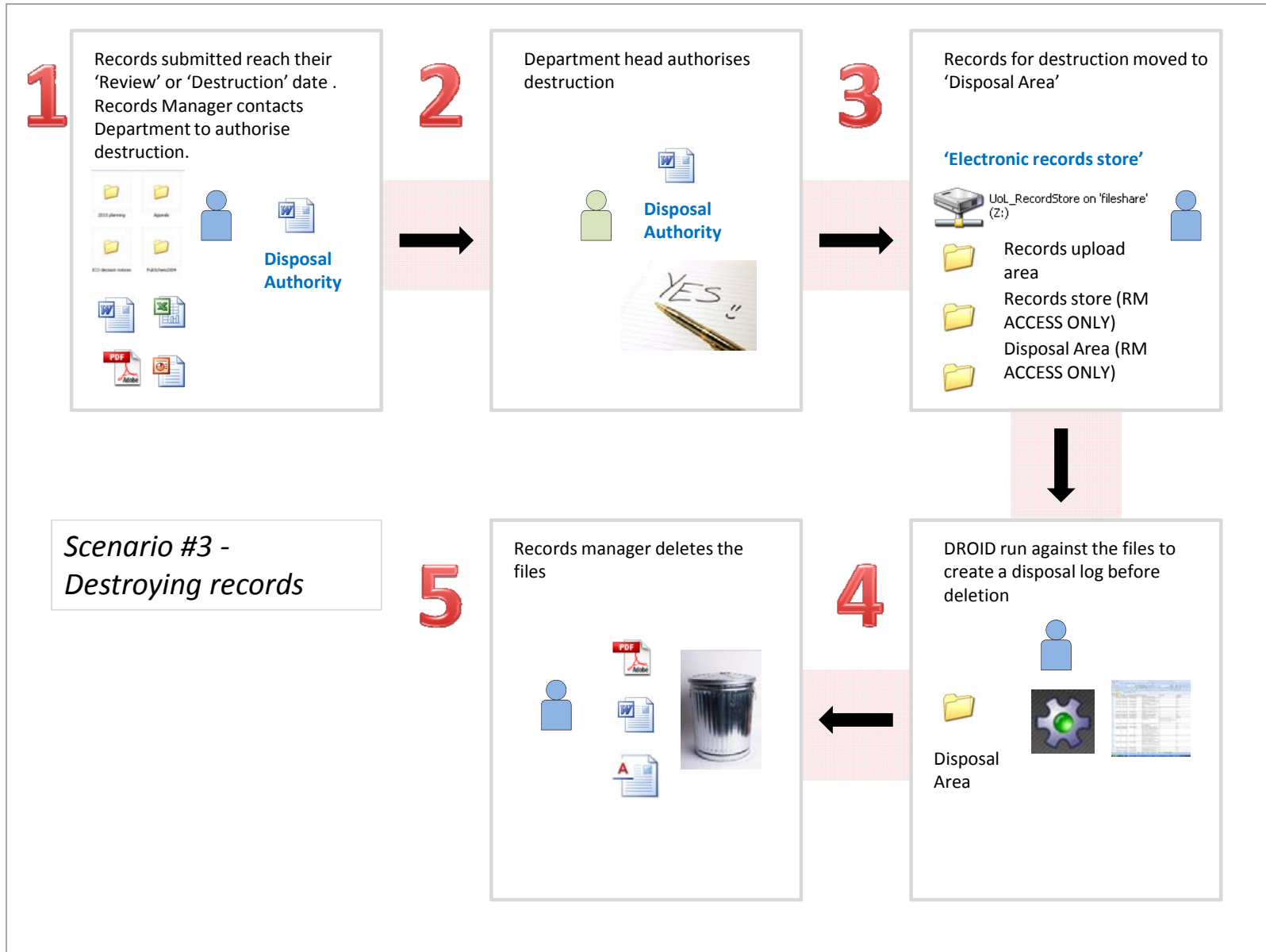
Scenario 2 shows how DROID would be used to augment file servers functionality in providing reports of what records are held in the electronic record store.

1. The records manager files the records into a functional filing structure.
2. The Records Manager runs DROID against the Records Store periodically (every month) to produce an auditable 'log / catalogue' over time of the development and growth of the repository. These reports are stored with permanent retention.



**Scenario 3 - Destroying records**

1. Records submitted reach their 'Review' or 'Destruction' date. Records Manager contacts Department to authorise destruction.
2. Department head authorises destruction and the record of that authorisation is captured.
3. The records intended for destruction are moved by the Records Manager to the 'Disposal Area' of the Records Store. This places the act of deletion outside of the main records store and identifies the intervention – the movement of files – as part of an auditable destruction process.
4. DROID is run against the disposal area to create a 'disposal log' before deletion.
5. Records manager deletes the files.



#### **Scenario 4 - Making available the 'preserved' files to staff or public**

The ability to make available electronic records is a key part of the OAIS 'Open Archival Information System' approach. It also has important implications for meeting legal obligations such as Freedom of Information requests. This scenario implies some form of software that converts the output to a format such as PDF/A. In making available word documents through XENA this would require a step where the XENA object is 'normalised' to OpenOffice and then converted to a PDF accessible format. In the 'self-serve' diagram a web interface or 'front end' for XENA would be required.

##### *Mediated*

1. Request for information, internally from staff or via Freedom of Information request.
2. Records manager identifies preserved object and creates accessible version (OAIS Manager – Consumer).
3. Record copy provided to consumer / requester. Audit trail of request created.

##### *Self-Serve*

1. User browses online catalogue or preserved electronic documents.
2. User selects document and, if document is for public disclosure, downloads.
3. Records Manager captures audit trails of popular searches and downloads.



