

# Natural England Standard Records Management



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## 1:0 About this standard

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A standard on records management is required to ensure that Natural England is able to:

- support effective and efficient day to day delivery of our business;
- retain organisational knowledge;
- respond to Access to Information (A2I) and other requests in quick and effective manner;
- meet our legal and regulatory obligations, in relation to storage and retention of records;
- reflect the move from a paper based system to electronic;
- ensure integrity is maintained;
- ensure our commitment to transparency.

This standard brings together in one place for staff the practicalities of Lord Chancellor's code of practice, Natural England's Records Management Policy and TRIM business rules.

### **What does this standard cover?**

The standard covers the management of all records. Some of the information we hold on specific systems has more detailed requirements – see [Annex 1](#).

### **Who is this standard for?**

To ensure that we manage our records effectively this standard is for all Natural England staff. In addition to individual responsibilities, Managers and Directors have additional responsibilities to ensure compliance with the standard.

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## 2:0 The Standard

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This standard provides:

2.1 A set of [principles](#) for records management.

2.2 A list of [mandatory requirements](#) that all staff must follow including links to supporting guidance:

- TRIM user instructions
- Paper file destruction
- Scanning paper documents
- Protective marking guidance
- Information handling
- Registering information on portable electronic media (i.e. discs and memory sticks)
- Retention schedules

2.3 A [glossary](#) of terms.

2.4 Details of [training and support](#) available

### 2.1 Principals for records management

<b>OWNERSHIP</b>	All information you use and generate at work is a corporate resource.
<b>RESPONSIBILITY</b>	Everyone is personally responsible for effectively managing their information. See <a href="#">Annex 2</a> for details on roles and responsibilities.
<b>ACCESSIBILITY</b>	Information should be available to everyone internally except where it has been agreed by senior managers that there is a specific reason not to.
<b>ACCOUNTABILITY</b>	We need to keep records so that we can be transparent and accountable.
<b>ACCURACY</b>	The information we produce must be accurate and fit for purpose, so that our responses to questions whether they be ministerial, parliamentary, from an individual, or an Access to Information request, are factually correct.
<b>COMPLIANCE</b>	The way in which we use and manage our information must comply with the law.

## 2.2 Mandatory requirements

	What
2.2.1 TRIM	<ul style="list-style-type: none"> <li>TRIM is to be used as the repository of all records, exceptions to this are identified in <a href="#">Annex 1</a>.</li> <li>All new records must be stored in TRIM, as opposed to the n-drive, local drives, email (including Vault) and paper files.</li> </ul>
2.2.2 Print to paper	The introduction of TRIM is reducing the requirement to print and file to paper records. Some records must still also be retained in hard copy, see how section for guidance.
2.2.3 Use of other drives	<p>All records currently stored on the n-drive, g-drive, email (including Vault), local drives and open registered paper files should be migrated into TRIM. See <a href="#">Annex 1</a> for a list of information held on other systems that is an exception to this.</p> <p>Staff performance management documents (such as PPA and PDP) are expected to remain on personal G-Drives, and to be shared with Line Manager as appropriate.</p> <p>The process and timeframe for migrating records will be agreed between your team and SKI. In the meantime please follow the interim guidance if you wish to migrate records into TRIM.</p>
2.2.4 Paper files held in offices	<p><b>Paper files in offices:</b> in the long term all registered paper files held within offices will be scanned into TRIM. The process and timeframe for doing this will be agreed with your team working with SKI and Knowledge Advisers.</p> <p>If you have a large number of files requiring scanning please contact the Record Management Team.</p>
2.2.5 Paper files held off site	<p><b>Paper Files held by TNT:</b> In most cases you will receive an electronic version of the paper registered file that you have requested back from TNT.</p> <p>Once the file is scanned the original files will be kept for one month before being scheduled for destruction. You are responsible for quality checking the electronic version within a month of receipt.</p>
2.2.6 New paper based correspondence	<p>Home workers: will receive all new correspondence electronically via the centralised mailroom, and it is their responsibility to file any record within TRIM.</p> <p>Office based staff: are required to scan any new paper records (individual documents) they receive, and file within TRIM or the appropriate exception system. Once scanned and checked, the paper originals of these documents can be destroyed <i>unless</i> they are on the list of records that must be retained.</p>
2.2.7 Destroying	Registered paper files that have been scanned into TRIM can only be destroyed on

files	<p>Natural England premises with permission from SKI.</p> <p>Non record items, duplicates, or paper versions of scanned items may be disposed of safely and securely.</p>
2.2.8 Saving records	<p>Unless you or your team have specified a named contact to manage correspondence etc the following will apply:</p> <ul style="list-style-type: none"> <li>• Internal records (including emails): the originator is responsible for saving the correspondence to TRIM, ensuring the naming and version control guidance is followed.</li> <li>• Items received from external contacts (including emails): the recipient taking or coordinating the action will be responsible for saving the record into TRIM.</li> </ul>
2.2.9  Storing records	<p>Each record stored in TRIM must:</p> <ul style="list-style-type: none"> <li>• Be stored in the correct folder, following the corporate file classification and record types assigned to your function.</li> </ul> <p>All folders will have a title comprising both a structured part, automatically derived from the classification, and a free-text part. The free text is added by the folder creator and will follow the agreed naming convention and should describe the subject matter and/or type of documents stored.</p> <ul style="list-style-type: none"> <li>• If marked as sensitive and protectively marked, the record must be stored within restricted folders and with the appropriate naming convention on the document itself.</li> <li>• Follow Natural England retention schedules.</li> </ul>
2.2.10 Electronic media	<ul style="list-style-type: none"> <li>• Non Geographical data - information received on portable electronic media (such as discs) should be logged onto TRIM and then stored safely with a reference label printed from TRIM.</li> <li>• Geographical data - survey forms should be retained on TRIM but results should be stored on ISA Database.</li> </ul>
2.2.11 Multiple users to a document	<p>TRIM <b>does not</b> store records that need editing by more than one person <i>at the same time</i> (i.e. OneNote documents, Microsoft Project workspaces, Access databases and some macro enabled linked documents).</p> <p>These documents can be managed outside of TRIM, but final or important interim versions must be stored in TRIM as part of the retained record.</p>

## 2.3 Glossary

<p><b>Access to Information (A2I)</b></p>	<p>Access to Information refers to three pieces of legislation:</p> <ul style="list-style-type: none"> <li>• The Data Protection Act 1998 (DPA);</li> <li>• The Environmental Information Regulations 2004 (EIRs);</li> <li>• The Freedom of Information Act 2000 (FOIA).</li> </ul> <p>The legislation means that anyone, anywhere in the world can ask for information from anyone in Natural England.</p> <ul style="list-style-type: none"> <li>• <a href="#">Access to Information Standard</a></li> </ul>
<p><b>Archive records</b></p>	<p>Archives are records which are selected for permanent preservation as part of the Natural England corporate memory, or for evidence and research. Records selected for permanent preservation are transferred to The National Archives (TNA) or Local Records Centres by the Record Management Team.</p>
<p><b>Knowledge advisers</b></p>	<p>Knowledge Advisers offer a wide range of expertise to support colleagues across the organisation. They provide a key advocacy role for knowledge and records management for staff and are seen as the 'go-to' person for all such enquiries.</p>
<p><b>Paper files</b></p>	<p>A folder, containing documents securely attached to the folder, which includes a structured title and a file identifier/ number (preferably a unique number), which can be recognised as forming part of a series or logical set of files.</p>
<p><b>Portable Electronic Media</b></p>	<p>CDs, DVDs or hard drives and USB drives etc used to store and transport electronic files/documents. This includes the almost defunct floppy disks.</p>
<p><b>Protective Marking</b></p>	<p>Protective marking is the labeling of paper or electronic information to protect the confidentiality, integrity and availability of an organization's assets from a wide range of threats including criminals, investigative journalists, pressure groups, hackers, natural disasters and disgruntled or dishonest employees or contractors.</p>
<p><b>Record</b></p>	<p>A records come in paper or electronic format and can be:</p> <ul style="list-style-type: none"> <li>• Formal <b>written correspondence</b> between yourself and anyone outside our organisation</li> <li>• Notes of <b>telephone conversations</b> between yourself and anyone outside our organisation</li> <li>• <b>Emails</b> between yourself and anyone outside our organisation</li> <li>• <b>Papers, letters, reports, evidence</b> submissions, consultation responses or queries received by Natural England in relation to any of its decisions or decision making processes</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Emails, papers, minutes, guidance, project management reports, telephone conversations</b> between yourself and other colleagues within Natural England which could be considered essential to how we reach a decision or how our decisions are informed</li> <li>• <b>Other documentation</b> which may, in retrospect, is legitimately considered material to a decision Natural England is required to make.</li> <li>• A record of your <b>analysis of information or data</b> received which makes you reflect upon or change any documentation that might be essential to a decision Natural England has or is required to make. You should also record the reasons why you have subsequently made or not made changes.</li> </ul>
<b>Record management</b>	Natural England's knowledge and information assets, the documents, data and correspondence which informs our work, are a vital business resource. Their efficient management is essential to support core business functions, provide open and transparent audit trails and contribute to the effective overall governance of Natural England.
<b>Retention Schedule</b>	The retention schedule is a means by which we decide corporately how long a record should be kept. Each type of record has its own life cycle, i.e. it is created, eventually closed and put into storage until its review date comes around and then it is either destroyed, retained within the organisation for business purposes or selected for permanent storage at the National Archive or another official place of deposit.
<b>Scanning</b>	Use of scanning equipment to turn hard copy documents into electronic copy.
<b>TNT</b>	Our external supplier who provides offsite storage for some of Natural England's paper files.
<b>TRIM</b>	TRIM (Total Records & Information Management) is an industry leading Electronic Documents Records Management System (EDRMS) developed by Hewlett Packard.
<b>TRIM container/folder</b>	Within TRIM folders are also called containers. Containers should be treated as the broad equivalent of a registered file.

## 2.4 TRIM training and support

<b>Training</b>	TRIM training web pages include guidance and webinars are available for Natural England staff.
<b>Support</b>	Where to go and who to contact for support for Natural England staff:

	<ul style="list-style-type: none"> <li>➤ TRIM web pages</li> <li>➤ Knowledge Advisers</li> <li>➤ ICT Support Tool</li> <li>➤ TRIM Lead Users</li> </ul>
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**Annex 1: Information held other systems**

<b>Access database</b>	It is not appropriate to store regularly consulted Access Databases in TRIM. The latest drafts or final versions of any record created must be stored in TRIM.
<b>Corporate Performance Management System (CPMS):</b>	Our system for reporting against corporate targets.
<b>ENSIS:</b>	Sites of special scientific interest, including features and condition data.
<b>Filestore and Genesis:</b>	Stores information relating to the processing and monitoring of England Rural Development programme application and legacy schemes (CSA and CSS).
<b>Flickr:</b>	Natural England's image library.
<b>Geographical datasets</b>	All spatial data (i.e. that being generated / received within functions) as well as that disseminated by the Evidence team will continue to be managed on shared drives (including the legacy R: and S: drives in the interim). Metadata records within TRIM should identify these datasets. The results of any analysis (i.e. documents) will be stored in TRIM, as will small GIS datasets supporting individual decisions.
<b>ISA database</b>	Integrated Site Assessment (ISA) is Natural England's rolling programme of assessments of environmental features and their management in SSSIs and HLS agreements. It is part of Natural England's Integrated Monitoring Programme.
<b>OLIB:</b>	Online database including information on library holdings, including publications, books and access to electronic journals.
<b>Procurement contract management system (Omnicom/Bravo):</b>	<p>Tenders and contract letters that are filed within the procurement system do not need to be duplicated on TRIM.</p> <p>If it is needed a copy of the contract may be sent to the Project Officer and this can be stored in TRIM, but the primary record must remain within the procurement system.</p>
<b>OneNote and Huddle</b>	<p>These are collaborative tools and do not comply with our legal obligations identified within the BSI or International standards on how we manage and share our records.</p> <p>Any updated drafts or final versions of any record shared through</p>

	<p>these tools must be stored in TRIM.</p> <p>Note: where you are sharing records with Natural England staff you can provide a link direct to the record stored within TRIM. This avoids duplication of documents which can lead to confusion as to which is the latest version.</p> <ul style="list-style-type: none"> <li>• <a href="#">What's a record</a></li> </ul>
<b>Oracle E-Business Suite</b>	Managed by SSD and stores information on personnel, finance, requisitions and orders.
<b>Webinars</b>	Do not store recorded webinars in TRIM, as the functionality is not currently supported.
<b>Web pages: intranet, internet, technical information exchange (TIE) and operational guidance</b>	These do not meet our obligation on how we manage our records so any master versions of records referenced on these sites must be stored in TRIM. You can link directly to a record in TRIM from internal web pages but not from our public website.



**Annex 2: Roles and responsibilities**

ROLE	RESPONSIBLE FOR:
<b>All staff</b>	<ul style="list-style-type: none"> <li>• Creation of documents</li> <li>• Uploading into TRIM all records for sharing or preserving.</li> <li>• Saving of emails, or records of verbal decisions that form part of the official record, into TRIM.</li> <li>• Ensuring all paper records are registered on TRIM.</li> <li>• Ensuring that CDs and other media which should be retained are registered on TRIM</li> </ul>
<b>TRIM lead users</b> (The first point of call for any questions)	<p>TRIM lead users must ensure that within their teams or functions:</p> <ul style="list-style-type: none"> <li>• All staff know how to use TRIM.</li> <li>• All staff are familiar with the Record Management Standard.</li> <li>• The views of their colleagues, and other issues are fed back to the TRIM Project Team through the TRIM Lead User Network.</li> <li>• That requests for changes to TRIM File-plan or Security settings are forwarded to SKI ICT Support Tool with appropriate approval within their function.</li> </ul>
<b>Functional lead</b>	<ul style="list-style-type: none"> <li>• Monitor the continued fitness for purpose of the File-plan parts used by the Function</li> <li>• Ensure strategic issues over shared areas of the File-plan are addressed with colleagues and resolved.</li> </ul>
<b>Managers and Directors</b>	<ul style="list-style-type: none"> <li>• Accountable for information assurance of all records created by their function.</li> <li>• Agree file classification structure and ensure it is used correctly.</li> <li>• Agree any security restrictions to limit access to records for their team and confirm changes.</li> </ul>
<b>SKI ICT Support Tool</b>	<p>Advice on 'How do I do xxx?'</p> <ul style="list-style-type: none"> <li>• Questions about TRIM functionality or training , policy, practical management or usage.</li> </ul>
<b>SKI Information Management</b>	<ul style="list-style-type: none"> <li>• Supporting the delivery of training and providing guidance material for cascade to all staff via Lead Users (Training Team and RM Team)</li> <li>• Business ownership of TRIM and Fileplan Classification</li> <li>• Responsible for TRIM global settings, database management, configuration and change of the system and its design.</li> <li>• Day to day advice on Records Management (SKI Knowledge Advisers and RM Team).</li> </ul>
<b>IBM TRIM Technical support</b>	<ul style="list-style-type: none"> <li>• All TRIM performance and connectivity issues</li> <li>• TRIM licences activation (BAU)</li> </ul>

## Quick reference

<b>Type of Standard</b>	Operational standard.
<b>Purpose:</b>	To set out the principles and actions for Natural England's approach to Records Management
<b>Owner(s):</b>	Systems, Knowledge and Information Function
<b>Sign-off:</b>	Ken Roy - Director of Performance and Standards Paul Egginton - Director of Systems, Knowledge and Information
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0.2	Updated following comments from Kate Heveron and Jayne Ellis	Fiona Markwick	01/12/11
0.3	Updated upon receipt of draft business rules	Fiona Markwick	06/12/11
0.4	Updated following comments from Rob Aubrook	Fiona Markwick	08/12/11
0.5	Updated following comments from Claire White, Richard Alexander and Peter Wingate	Fiona Markwick	13/12/11
0.6	Updated with additional comments following discussions with SKI colleagues	Kate Heveron	17/1/12
0.7	Add detail to definitions and reflect agreements made by RMSG on 20/1/12	Fiona Markwick	20/1/2012
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0.11	Refresh and update of standard to reflect up feedback and resolution to issues	Kate Heveron & Ian Bilsborough	04/06/2013
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