NSS Fileplan Development Guidelines

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on behalf of Project Steering Board				

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BCS Senior Leads		04-06-2010	0.6
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Linked Documentation:

Document Title:	Document File Path:	Document Connection:
BCS Framework Document	*Filepaths will be added once all documents are approved and on geNSS*	Outlines the NSS BCS Framework
BCS Framework Organisation Chart		Organisational Chart view of the BCS Framework
BCS Framework Spreadsheet		Excel spreadsheet view of the BCS Framework
BCS Change Control Process Guidance		Change control process for the creation of new folders and the application of access permissions
Data Cleansing Toolkit		Step-by-step guide on how to complete a Data Cleansing exercise
BCS Pilot Exercise Report		Overview of the pilot exercise for the development and implementation of the BCS within SHSC and SNBTS
NSS Version Control & Naming Conventions Guidelines		Guidance on NSS standards for version controlling documents and the naming of files and folders
Business Activities Template		Template to record business activities for fileplan development
Active Files Template		Template to record active files to be migrated to new filing structure
Character Limitations Template		Template to assist Divisions in ensuring that filepaths adhere to character limitation requirements during fileplan development
Access Permissions Template		Template to record access permissions for IM&T to apply to new file structures
Linked Documents Template		Template to record documents that contain links that will be broken if migrated to the new file structure
Migration Guidance		Divisional guidance on the process of implementing and migrating records across to the new file structure

Table of Contents:

1   Introduction and Purpose

The purpose of this guidance is to provide a practical guide on the processes required to develop a Divisional fileplan that underpins the NSS BCS.

Before implementing the Business Classification Scheme (BCS), Divisions are required to develop Divisional-specific fileplans.

This guidance document forms part of the Fileplan Development Toolkit, designed to guide Divisions through the process of developing Divisional Fileplans. The toolkit includes:

- Guidance Document
- Fileplan Development Templates
- Abbreviations Glossary
- BCS Representations
    - BCS Framework Document
    - BCS Framework Spreadsheet
    - BCS Framework Organisation Chart

The guidance will take into account supporting documentation that has been developed to support Divisions through the process of implementing the BCS, including the BCS Framework, Data Cleansing Toolkit and BCS Communications Toolkit.

The toolkit will be distributed to Senior Leads in each NSS Division, and will also be available on the BCS geNSS page.

2   NSS Business Classification Scheme

The BCS Framework is the keystone of the records management programme within NSS, and is developed in line with ISO 15489, the International Standard on records management.

The BCS is based on the functions of NSS rather than on Divisional structure, and is a three folder Level structure. The design of Divisional fileplans will incorporate the BCS Levels 1-3, and Divisional specific fileplans will begin at folder Level 4.

Level 1 is the functional folder Level (Figure 1) and defines the major responsibilities that are managed by NSS to fulfil its goals. These functions are split into internal facing and external facing functions.

Internal facing functions are "functions that support the day to day management of a Division", such as human resources and the management of staff, management of Divisional budgets and performance management of Divisional activities. Includes:

- Communications
- Corporate Governance
- Estates & Facilities
- Financial Management
- Human Resources
- Information & Communication Technology

External facing functions are "specific to the service delivery functions that NSS Divisions provides to our customers". Includes:

      🗁   Business Support Services
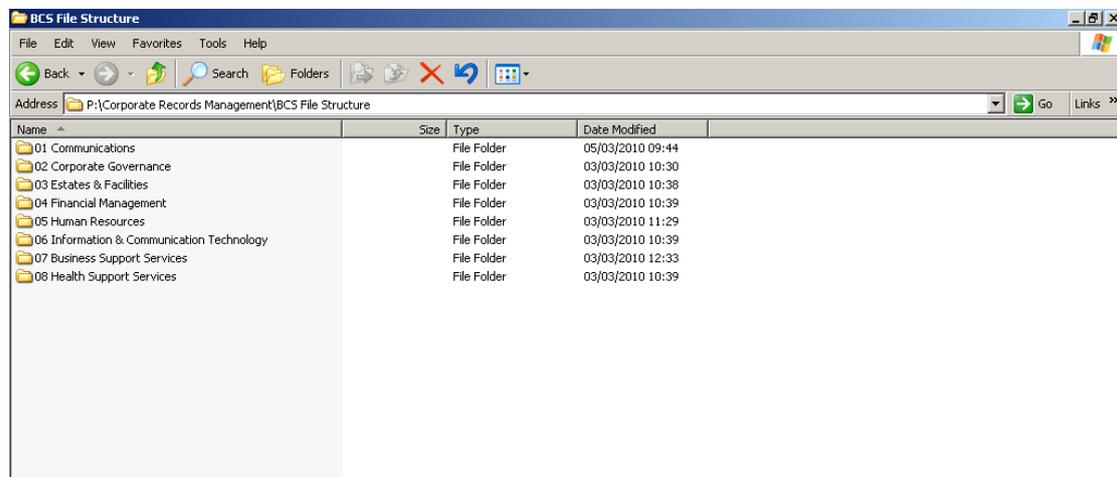   🗁   Health Support Services

Figure 1: NSS BCS Functional Level - Level 1

Folder Levels 2 and 3 represents the activities and sub-activities that are performed by each Division to accomplish each of the Level 1 functions (Figure 2). Several activities may be associated with each function.
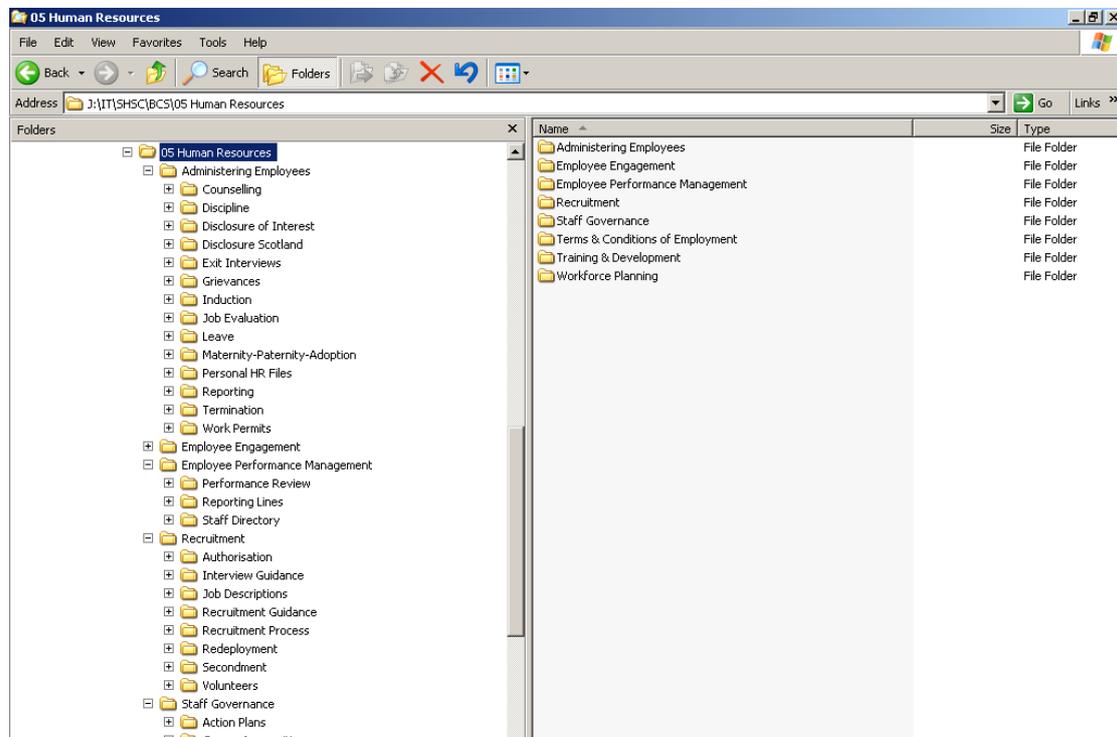

Figure 2: BCS Human Resources - Activities & Sub-activities

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3 Roles and Responsibilities

BCS Senior Leads:

Each Division and Functional area within NSS has a BCS Senior Lead, and part of their responsibility is to provide advice and guidance on how fileplan development will be undertaken within a business area. The BCS Senior Lead will coordinate awareness sessions, and facilitate fileplan development workshops. They will work with business areas, to identify Superusers who will assist the Senior Lead throughout the implementation stage of the BCS.

The BCS Senior Lead is also responsible for making sure that Divisional Fileplans are signed off appropriately.

The Senior Lead is responsible for liaising with IM&T to identify the most appropriate implementation method, timescales and responsibilities for implementing Divisional fileplans to the NSS shared networks.

BCS Superusers:

Divisional Superusers will work closely with the Senior Lead to successfully implement the BCS and Divisional Fileplans within their business area. It is expected that Divisions will have multiple Superusers; detailed information regarding the role is available on the BCS geNSS page.

Once the BCS and Divisional Fileplans are implemented, the Superuser will be responsible for the change management of Divisional Fileplans, and the creation and deletion of folders.

Corporate Records Manager:

The Corporate Records Manager (CRM) will be responsible for the change management of the BCS. Only with the authorisation of the CRM will additional folders be added at Levels 1-3, and this will be completed through a Change Control Process.

The CRM will also provide assistance and guidance to Divisions throughout the Divisional fileplan development phase, and will review Divisional Fileplans before implementation. This review is a simple sense check to ensure that Divisional Fileplans are adhering to the BCS structure.

IM&T:

IM&T will liaise with Divisional Senior Leads to identify the most appropriate implementation method for transferring the Divisional fileplan to the network. This will include defining roles and responsibilities, such as creation of access permissions and options for the migration of active files.

IM&T and Divisional Senior Leads will agree key dates, such as when completed Fileplan Development templates are to be handed over, and what their go-live date is in line with the Divisional Local Implementation Plan.

4   BCS and Divisional Fileplans and Ongoing Management

Each Division will develop and implement Divisional Fileplans that will incorporate the BCS. Each Divisional BCS will consist of all eight Level 1 internal and external functional folders and only the relevant folders from Levels 2 and 3 will be included.

For example, Figure 3 below shows the BCS Communications function, including the 12 activity level folders and the sub-activities for Marketing and Publications.
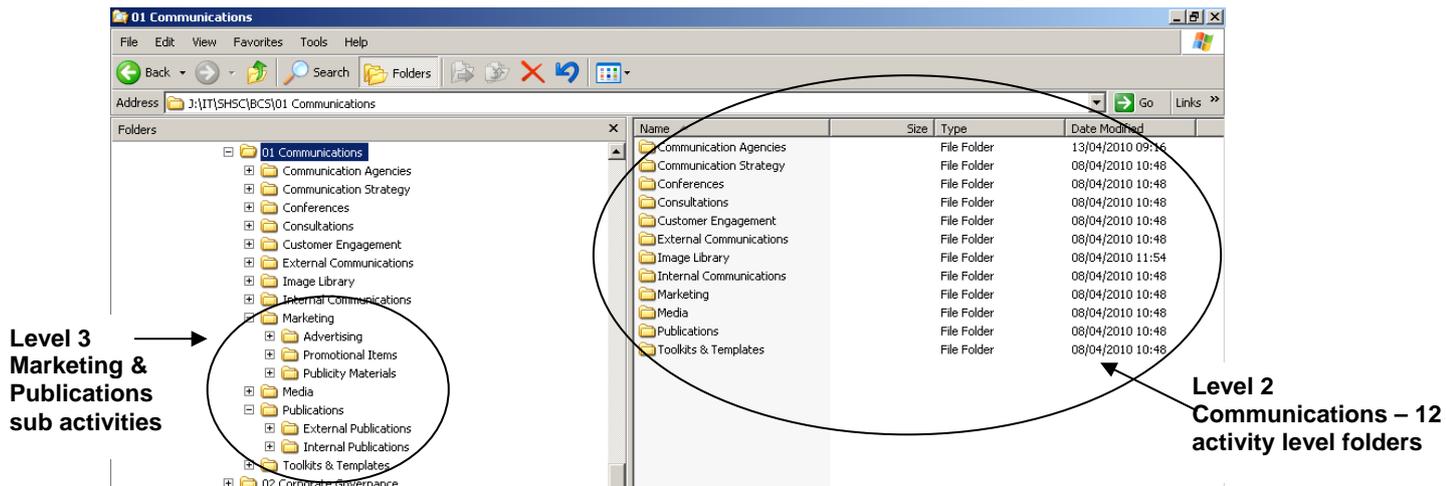
Figure 3: BCS Communications Level 1 – 3

Figure 4 demonstrates that SHSC only utilises 3 of the activity level folders. If at a later stage SHSC needs to add a folder for Consultations, it already exists in the master BCS structure, and can be added.
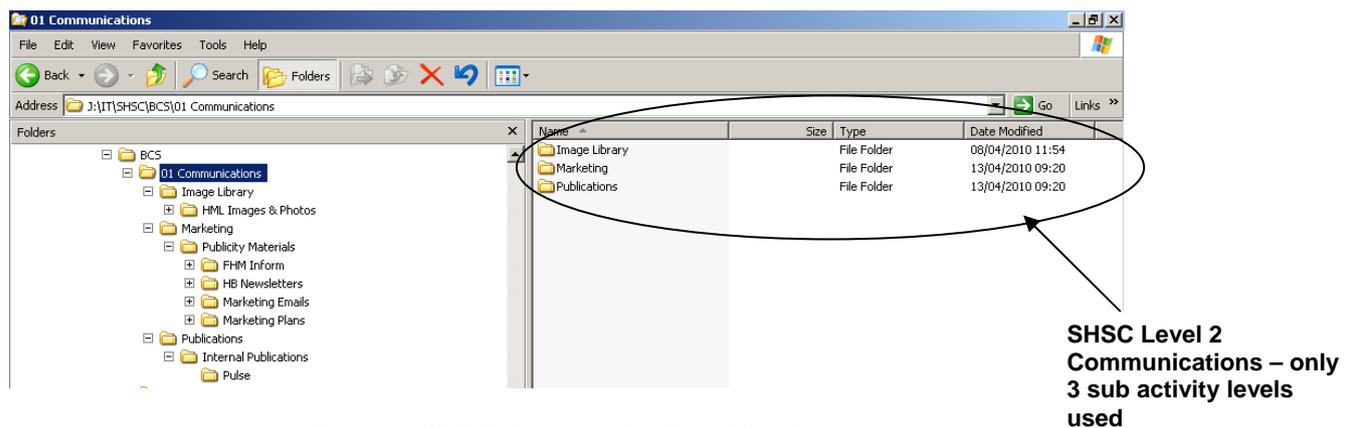
Figure 4: SHSC Communications Fileplan

The ongoing management of the BCS and Divisional Fileplans is important. Changes to both the BCS and Divisional Fileplans will go through a Change Control Process.

The CRM will be responsible for managing the changes to BCS Levels 1-3. Any requests to have additional functions or activities added to the BCS will be approved

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by the CRM. If clarification is required as to whether additional folders are feasible, this will be sought through the appropriate governance groups.

Divisional Fileplans from Level 4 and below will be managed by the Divisions with the creation and deletion of folders within the Divisional Fileplans restricted to Divisional Superusers. Guidance on the process for the creation of folders at Divisional level is provided in the Change Control Process Guidance document.

Legacy Structure:
From the go-live date of the BCS and Divisional Fileplans, the current filing structures will become read only, and no new information will be able to be saved to the structures. This will be referred to as the Legacy Structure. The Legacy Structure will continue to be managed, and will undergo a Data Cleansing exercise on a regular basis.

Audit:
As part of the overall Corporate Records Management Programme, an annual Records Management Audit will be undertaken to ensure that organisational information is managed appropriately. This audit will include a review to ensure Divisions are continuing to adhere to the BCS principles, and that Legacy Structures are being managed effectively.

5   Fileplan Development Process

Four key stages have been identified for the development of Divisional Fileplans which incorporate the BCS. The stages are indicated below:

Start Divisional Fileplan Development Exercise

Step 1
Fileplan Development Preparation

Step 2
Fileplan Development Workshop

Step 3
Complete Fileplan Development Templates

Step 4
Divisional Fileplan Approval

End
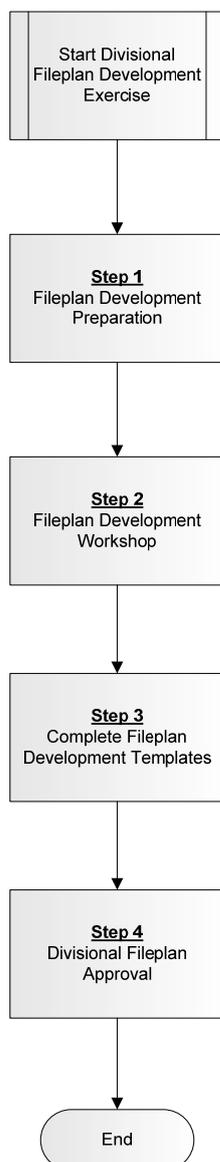
Step 1: Fileplan Development Preparation:
It is important that Divisions are prepared before attempting to develop Divisional Fileplans. Lessons learned during the pilot exercises indicate that the more prepared a Business Area is, the easier the process becomes.

Step 2: Fileplan Development Workshop:
This stage covers the development of the Divisional Fileplan, and works through the process of mapping current filing structures to the BCS Structure.

Step 3: Complete Fileplan Development Templates:
To assist in the implementation of the redesigned Divisional Fileplan, a number of templates have been developed. These are designed to assist Divisions in capturing information required for the implementation of the BCS and Divisional Fileplans.

Step 4: Divisional Fileplan Approval:
The final stage in the development of Divisional Fileplans is the approval process, including approval from the CRM, IM&T and Divisional Directors.

Guidance on how to complete each stage is demonstrated by the following series of step-by-step flowcharts and supporting guidance notes. Although it is recommended that Divisions follow the guidance given, it is recognised that Divisions may have a phased development across the Division.

5.1 Fileplan Development Preparation

To assist in the development of Divisional Fileplans, it is essential that Divisions are prepared before beginning the exercise. This will enable Divisions to familiarise themselves with the BCS Framework, supporting documentation and toolkits, and gain a clear understanding of what information they hold and why.
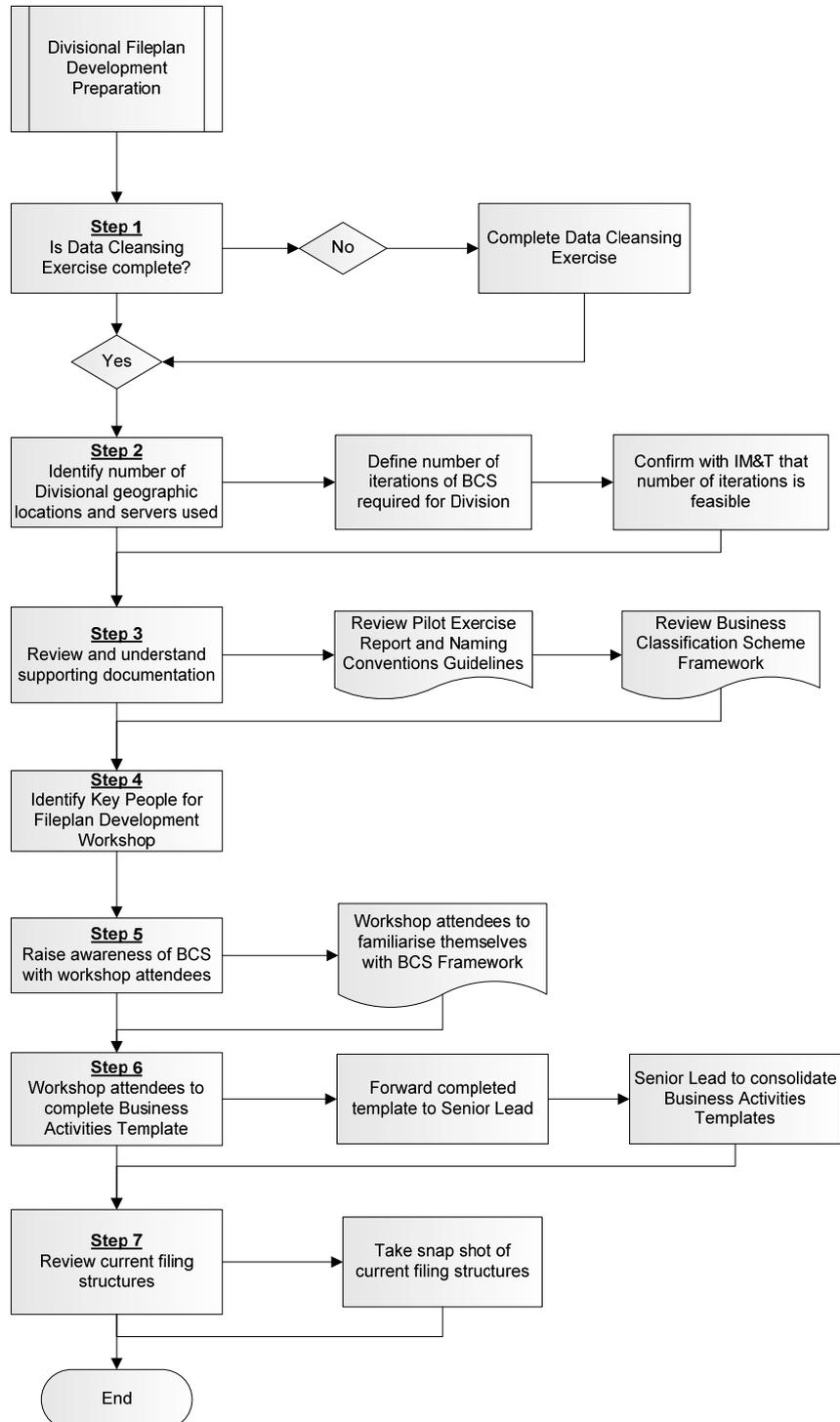
Step 1:
It is recommended that Business Areas have completed a Data Cleansing exercise before beginning fileplan development. The Data Cleansing Toolkit is designed to provide a step-by-step guide on how to complete a Data Cleansing exercise.

Undertaking Data Cleansing before attempting to develop a Divisional Fileplan will assist in gaining a clear understanding of the type of information that is held and created within the business area.

Step 2:
A number of Divisions are split over different geographic locations or access separate network drives, and this will have an impact on how the BCS and Divisional Fileplans are implemented within their business areas.

Divisions need to define the number of geographic locations and network drives, and establish the number of iterations of the BCS that will need to be created. It is important that this is confirmed with IM&T to ensure that technical issues are identified and resolved prior to implementation.

Step 3:
It is essential that Senior Leads read and understand the supporting documentation available.
- BCS Pilot Exercise Report
- BCS Framework
- NSS Version Control and Naming Conventions Guidelines

The Version Control and Naming Conventions Guidelines will provide advice on the seven standard rules for the naming of folders and documents. This supports best practice across NSS and will help to ensure consistency across Divisions when they develop their Divisional Fileplans.

The BCS Framework outlines the Level 1-3 structure, and provides scope notes detailing the types of records to be held within that folder structure.

The BCS Framework spreadsheet has also been developed to assist Divisions in the understanding of the BCS structure.

Step 4:
It is important that the key people to be involved in designing Divisional Fileplans are identified, such as:
- Divisional Directors
- Senior Managers
- Line Managers
- BCS Senior Leads
- Superusers

These key staff will know the business area, understand what has happened in the past, and will be familiar with the Division's strategic direction for the future. They will also have an understanding of how the business area's activities fit into the overall structure of the Division and the NSS.

Step 5:
It would be beneficial for the Divisional BCS Senior Lead(s) to raise awareness among the workshop attendees before the initial development workshop is held,

ensuring that attendees understand expectations and have time to familiarise themselves with the BCS Framework. This can either be done by a face-to-face meeting or in a comprehensive email.

Step 6:
It is recommended that each business area completes a [Business Activities Template](). This template is designed to capture the business activities undertaken within each area of a Division, allowing for a complete picture of Divisional activities to be formed.

It is suggested that the Senior Lead uses this information to inform the initial overview of Divisional activities at the fileplan development workshop. This information will also assist Divisions in starting to look at what they do from a functional perspective.

Step 7:
The final step in preparation is to gain a clear understanding of the current filing structures, and the type of information retained and where it is retained. It is recommended that workshop attendees take a snap shot of their current filing structures and bring these along to the development workshops to assist in the design of Divisional Fileplans.

5.2   Fileplan Development Workshop

```
┌─────────────────────┐
│ Fileplan Development │
│ workshop            │
└─────────────────────┘
          │
          ▼
┌─────────────────────┐      ┌──────────────────┐      ┌──────────────────────┐
│ Step 1              │─────▶│ BCS Framework    │─────▶│ Recap Business       │
│ Overview of BCS and │      │                  │      │ Activities           │
│ Business Activities │      └──────────────────┘      └──────────────────────┘
└─────────────────────┘                                          │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐                                         │
│ Step 2              │                                         │
│ Start Fileplan      │                                         │
│ Development         │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐                                         │
│ Step 3              │                                         │
│ Map all current top │                                         │
│ level folders to BCS│                                         │
│ Functional Folders  │                                         │
│ (Level 1)           │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐                                         │
│ Step 4              │                                         │
│ For each BCS        │                                         │
│ Functional Level map│                                         │
│ current folders to  │                                         │
│ Levels 2 & 3        │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐      ┌──────────────────┐              │
│ Step 5              │─────▶│ Merge folders    │              │
│ Identify common     │      │ into one folder  │              │
│ folders that hold   │◀─────│ if feasible      │              │
│ the same type of    │      └──────────────────┘              │
│ information         │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐      ┌──────────────────┐      ┌──────────────────────┐
│ Step 6              │─────▶│ Ensure name is   │─────▶│ Use common           │
│ Agree folder name   │      │ short and        │      │ abbreviations and    │
│ in new Fileplan     │      │ meaningful       │      │ acronymns            │
└─────────────────────┘      └──────────────────┘      └──────────────────────┘
          │                                                      │
          ▼                                                      │
┌─────────────────────┐      ┌──────────────────────┐          │
│ Step 7              │─────▶│ Provide brief        │          │
│ Draft initial scope │      │ description of type  │          │
│ notes for folder    │      │ of information to be │          │
└─────────────────────┘      │ saved in folder      │          │
          │                  └──────────────────────┘          │
          ▼                                                      │
┌─────────────────────┐                                         │
│ Step 8              │                                         │
│ Define sub-folders –│                                         │
│ repeat from step 6  │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐                                         │
│ Step 9              │                                         │
│ Repeat from step 4  │                                         │
│ for all Functional  │                                         │
│ level folders       │                                         │
└─────────────────────┘                                         │
          │                                                      │
          ▼                                                      │
┌─────────────────────┐      ┌──────────────────────┐      ┌──────────────────────┐
│ Step 10             │─────▶│ Senior Lead and CRM  │─────▶│ Make recommended     │
│ Completed first     │      │ to discuss           │      │ changes              │
│ draft to CRM for    │      │ recommended changes  │      └──────────────────────┘
│ review              │      └──────────────────────┘              │
└─────────────────────┘                                            │
          │                                                        │
          ▼                                                        │
┌─────────────────────┐                                           │
│ Step 11             │◀──────────────────────────────────────────┘
│ Complete Fileplan   │
│ Development Templates│
└─────────────────────┘
          │
          ▼
       ╭───────╮
       │  End  │
       ╰───────╯
```

It is recommended that the fileplan development stage is completed in workshop environments, allowing for discussion and negotiation as to how the new file structure will be developed to meet business requirements. Each business area may need to run a series of workshops before completing the fileplan development phase.

Step 1:
As a starting point for the initial workshop, it is always advisable to give a brief overview of the BCS, how it was designed, and how it will impact on the business area. This is also an opportunity to lay out what is expected at each stage of fileplan development.

This step will also include a recap of the business activities that are undertaken within the business area, and how these activities contribute to the overall NSS organisational structure. Having a clear understanding of what the business does and how they do it will impact on how the Divisional fileplan will be designed.

Step 2:
The next stage is to begin developing the new fileplan structure.

Step 3:
Using the snap shots of the current filing structures, (see example; Figure 7), begin to map top level folders across to the Functional levels of the BCS. It is suggested that this is a flipchart and sticky note exercise initially (Figure 8). Remember that the day-to-day management of the Division, such as financial budgets and staff management, will be mapped to the internal facing functions, and the service specific records will be mapped to external facing functions. Include a section on the flipchart to record any folders where further clarification is required.
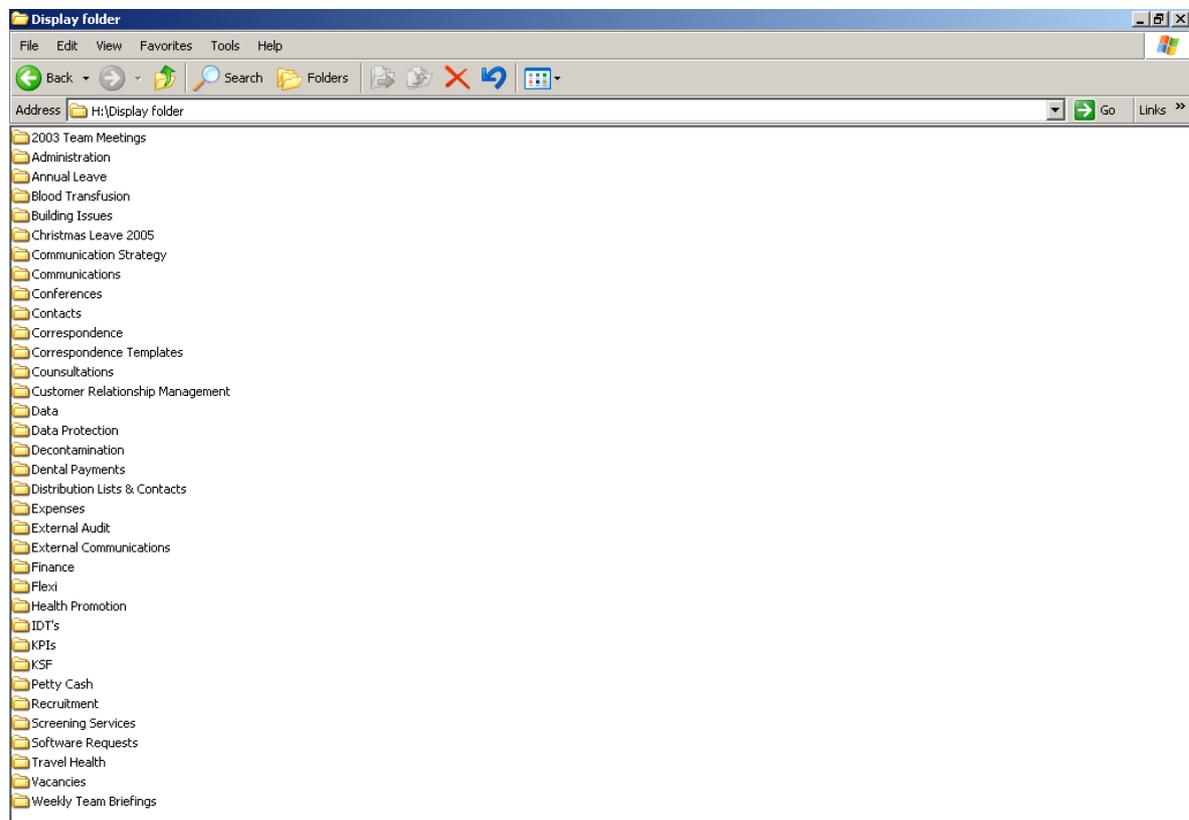

Figure 7: Snapshot of current filing structure

Communications	**Corporate Governance**
📁 Communication Strategy 📁 Communications 📁 Conferences 📁 Contacts 📁 Consultations 📁 External Communications 📁 Distribution Lists & Contacts 📁 Correspondence Templates	📁 Data Protection 📁 External Audit 📁 Weekly Team Briefings 📁 KPIs
Estates & Facilities	**Financial Management**
📁 Building Issues	📁 Expenses 📁 Finance 📁 IDTs 📁 Petty Cash
Human Resources	**Information Communication & Technology**
📁 Annual Leave 📁 Flexi 📁 Health Promotion 📁 KSF 📁 Recruitment 📁 Vacancies	📁 Software requests
Health Support Services	**Business Support Services**
📁 Screening Services 📁 Blood Transfusion 📁 Decontamination 📁 Travel Health	📁 Dental Payments
?	**Folders not to be mapped**
📁 Administration 📁 Correspondence 📁 Data	📁 2003 Team Meetings 📁 Christmas Leave 2005

Figure 8: Example of how Figure 7 can be mapped as a flipchart exercise

Also remember that there may be a number of folders that do not need to be mapped across to the new structure. The BCS and Divisional Fileplans will be implemented on a day-forward approach. Information that is currently out of date but needs to be retained will remain in the legacy structure; therefore, a folder does not need to be created for it within the new filing structure.

Step 4:
Take each of the mapped functional Level 1 folders and begin the above process, but this time map to folders Level 2 and 3. Remember at this stage all you are doing is ensuring that the information you hold is slotted under the BCS. The renaming of folders, etc. begins at a later stage.

Step 5:
Before starting to rename folders and designing your fileplan at Level 4 and below, identify any folders containing the same type of information, but which are named differently, for example 'recruitment' and 'vacancies'. Establish whether these folders can be merged into one folder with a common name.

Step 6:
For each Level 3 folder that has current files mapped to it, begin the process of designing your Divisional fileplan, bearing in mind how the folders in this level will be incorporated. Remember that at Level 4 there is no restriction to the number of folders held at that Level.

Agree the folder names for the new Level 4 folders of the Divisional Fileplan. Remember to keep the names short and meaningful, making sure that the new filepath does not exceed the recommended character limitation requirement of 160 characters. To assist in ensuring that abbreviations and acronyms are consistent across NSS, a Glossary of Abbreviations is available on geNSS for guidance.

Step 7:
To assist staff in understanding where to save information within the fileplan, the BCS Framework includes scope notes that give a brief description of the activities within the function. See Figure 9 below.

📁 Human Resources
The function of managing all staff employed by NSS. Includes activities associated with the management and monitoring of attendance, workforce planning and staffing. Also refers to activities associated with the management of staff performance, career development, grievance procedures and discipline issues.

📁 *Administering Employees*
The activity of managing information relating to employee's work history. Includes personal data, work plans and appraisals, pay rates, skills and training, leave requests and overall job performance.

Figure 9: Example taken from BCS Framework Document

It is recommended that Divisions continue this practice and outline for each Divisional folder the type of information that they expect staff to create and retain within that folder.

Step 8:
The final stage for developing the fileplan for the functional level is to define the sub-folders (sub-activities) of the Divisional Level 4 folders. It is recommended that these

sub level folders do not go below another three levels, keeping the BCS and Divisional Fileplan to a seven level structure.

Step 9:
Repeat the fileplan development for each functional level, beginning with Step 4. Continue this process until the Divisional Fileplan has been created. You will need to record your draft structure. It is suggested that the following software may be used to create a record of your draft structure:

- MS Word
- MS Excel
- MS PowerPoint
- Mindjet Manager
- Visio

Step 10:
On completion of the first draft of the Divisional Fileplan, forward a copy to the Corporate Records Manager for review. The Corporate Records Manager will review the structure and provide guidance and advice before Divisions begin the process of completing templates and having the structure formally approved.

Step 11:
The next step begins the phase of completing the fileplan development templates, to support implementation.

5.3   *Fileplan Development Templates*

```
Complete
Fileplan
Development
Templates
```
↓

| Step 1: Complete Active Folders Template | → | A: Identify Network Drive for Active Files | → | B: What is the current filepath of the active file? | → | C: What size is the active file? | → | D: What is the number of files & folders held within the active file? |

↓

| Step 2: Complete Character Limitations Template | → | Identity Network Drive where new file structure will be held | → | Record proposed new filepath | → | Is the number of characters in filepath greater than 160 | —Yes→ | Folder names will need to be shortened |

↓ No

Does the folder require access permissions —Yes→ Complete the Access Permissions Template

↓ No

Repeat process for next new folder ← No

↓

| Step 3: Complete Access Permissions Template | → | Identify all divisional users for the new file structure | → | Record Staff name in full | → | Record Staff login username | → | Record Staff Job Role |

| Identify and record Divisional BCS Superusers | → | Record Staff name in full | → | Record Staff login username | → | Record Staff Job Role | → | Record Authorisation Job Role |

| Define folder access permissions | → | List all staff to have access to folder | → | Record Staff name in full | → | Record Staff login username | → | Record Staff Job Role |

Identify who is authorised to change access permissions

↓

| Step 4: Complete Linked Documents Template | → | Identify Active documents that contain links | → | Identify Source Documents | → | Record current filepath | → | Record proposed filepath in new filing structure |

↓

End

It is vital to remember that the implementation of the BCS and Divisional Fileplans is a day-forward process, and that the current filing structures will not be removed, but will become read only. The folders and files will not be deleted and will remain as a legacy structure and easily accessible to users, and if a document or folder is required to be moved across to the new filing structure, it can be moved as and when needed.

Step 1: Complete Active Folders Template

The Active Folders Template is designed to capture the folders that are defined as active, and are required to be migrated across to the new filing structure. Active Folders can be defined as containing those documents that are essential to enable the business area to operate from day one and which cannot be maintained in the legacy structure.

As a general rule, Divisions will be responsible for the migration of information to the BCS, with IM&T providing guidance and support on technical issues only. It is therefore recommended that Divisions limit what they declare as Active Files to minimise the amount of information that will need to be migrated.

The required information to be captured includes:

A: Identify Network Drive
The first step is to identify the network that your Divisional information is located on. On your PC desktop click on the My Computer icon.
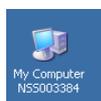
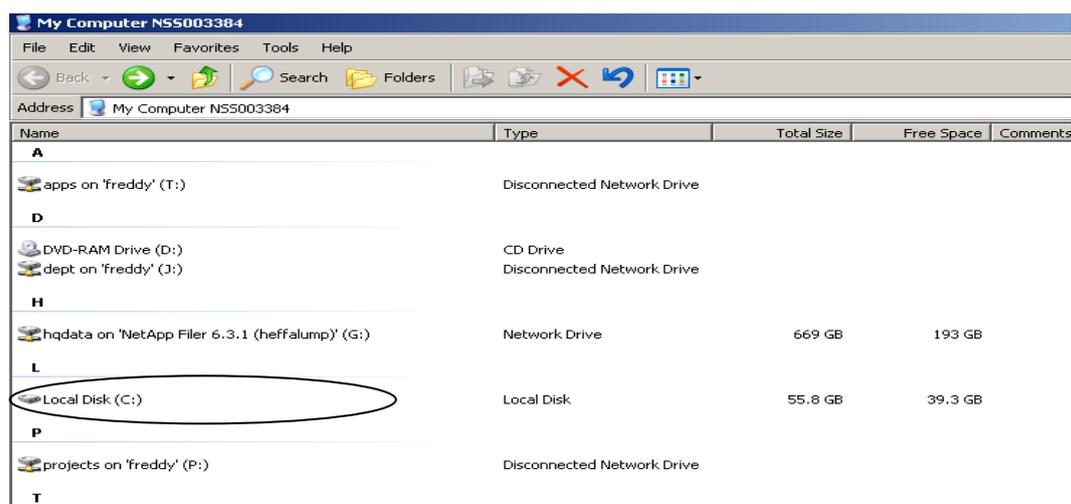This will bring up a screen showing the network drives that you have access to.

Figure 10: Example of screenshot showing network drives

If Divisional folders and files are accessed through dept on 'freddy', the network path would be \\freddy\dept\.

For example within the Executive Office, folders are accessed via the hqdata network drive. Therefore, the filepath would begin with \\heffalump\hqdata\Execoff.

B: Current Filepath
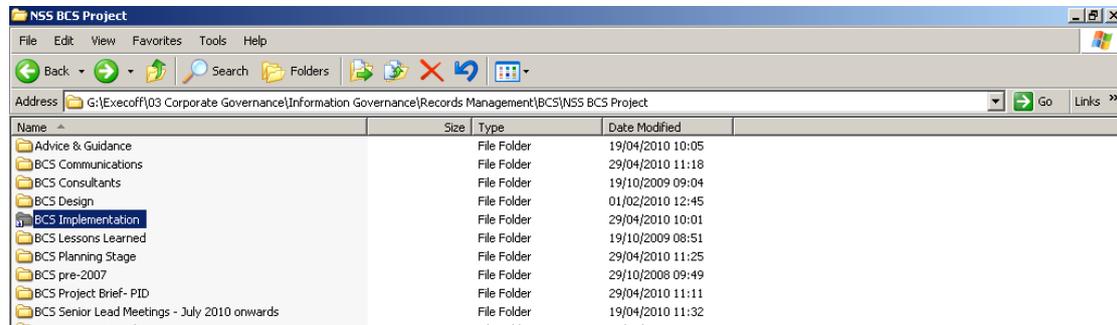The next step is to add the folder filepath.

Figure 11: Example of screenshot showing folder filepath

In this example the BCS Implemention is declared as an active file, and will be required to be migrated across to the new filing structure.

Right click on the BCS Implementation folder, and click Properties. This brings up the properties information for that folder.
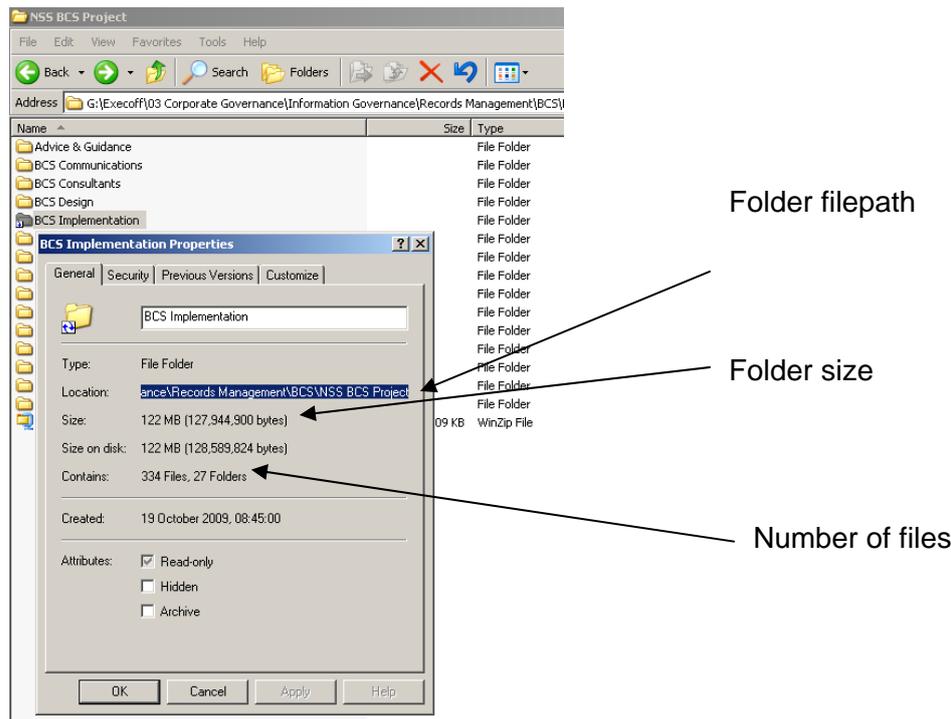

Figure 12: example of screenshot showing folder properties

Click and highlight the folder filepath and paste this into the current fileplan column.

C and D: Folder Size and Number of Files
This properties box will also show the size of the folder and the number of files and subfolders contained within the folder to be migrated.

Step 2: Complete Character Limitations Template

Because the BCS and Divisional Fileplans are being implemented on a shared network within a Windows Explorer environment, there is a restriction on the number of characters within a filepath. For example, if a Division has a number of folders that contain numerous levels of sub-folders, the character limitation restriction may disable the facility to open the documents within the folder. .

To assist with minimising this risk, it is recommend in the fileplan development phase that Divisions aim to keep their fileplans to within 7 levels wherever possible.

The Character Limitations Template is designed to assist Divisions in ensuring that their new filepaths do not exceed character limitations. If the proposed filepath is over 160 characters then this will be highlighted in bold and red, indicating that the folder names need to be shortened.

Step 3: Complete Access Permissions Template

When completing the Character Limitations Template, folders that required access permissions were identified. The information regarding these folders as recorded on the Character Limitations Template should be transferred across to this section of the access permissions template, whilst completing the requested information for users of the secure folder.

The Access Permissions Template captures the information required to ensure that the appropriate access permissions are added to folders where necessary. It is important to remember that the purpose of the BCS is to ensure that information is shared effectively within Divisions, and access permissions should only be applied as an exception. For example, access permissions will be required when retaining information of a confidential or sensitive nature, such as personal data.

The template requests the following information:
- Divisional Staff who will access the new Fileplan
- Divisional Superusers
- Folders that will have access restrictions

IM&T will be responsible for creating access permissions, both during BCS and Divisional fileplan implementation and as Business as Usual. To enable IM&T to provide appropriate access permissions for the new Divisional fileplan structures, IM&T require a complete list of all Divisional staff members who will be accessing the files. This list should include the staff member's full name, username for logging into NSS networks, job role, and the name of the Line Manager who authorises their access permissions.

The second section of the template is for identification of Business Area Superusers. Superusers will be the only staff who will have permission to create and delete folders within the new structure. The same information as mentioned above is required to complete this section.

Step 4: Complete Linked Documents Template

The Linked Documents Template is designed to list those documents to be migrated across to the new filing structure which are linked to other documents, spreadsheets

or databases. For example Finance have a number of spreadsheets that are linked together, and if these are moved to the new filing structure, these links will be broken.

Linked documents could also include documents that have hyperlinks to other referenced information. It is important that these are recorded to ensure that if the links are broken, they can be fixed before the business area goes live with the new filing structure. It will be the responsibility of the Superuser to ensure that all links are re-established before the new fileplan goes live.

To complete the template, the current filepath and proposed filepath of both the document and source documents are required to be recorded.

It will be the responsibility of the Superuser to ensure that the links are re-established.

5.4   Fileplan Approval Process

It is vital that the new Divisional Fileplan goes through a complex approval process; this will ensure that the newly implemented structure meets business needs. The BCS and Divisional Fileplans are living structures that may change over time.

```
┌─────────────────────────┐
│ Divisional Fileplan     │
│ Approval Process        │
└─────────────────────────┘
            │
            ▼
┌─────────────────────────┐
│ Step 1                  │ ◄────────────────────────────┐
│ Local Approval          │                              │
└─────────────────────────┘                              │
            │                                             │
            ▼                                             │
┌─────────────────────────┐        ┌──────────────────────────┐
│ Step 2                  │   No   │ Continue to discuss with │
│ Does the Fileplan meet  │ ─────► │ Fileplan Development      │
│ Divisional Business     │        │ Team                     │
│ needs?                  │        └──────────────────────────┘
└─────────────────────────┘                    ▲
            │ Yes                               │
            ▼                                   │
┌─────────────────────────┐                     │
│ Step 3                  │                     │
│ Forward Fileplan to CRM │                     │
│ & IM&T for review       │                     │
└─────────────────────────┘                     │
            │
            ▼
┌─────────────────────────┐   No   ┌──────────────────────┐    ┌──────────────────────────┐
│ Step 4                  │ ─────► │ CRM to discuss       │───►│ Senior Lead to discuss   │
│ Divisional Fileplan     │        │ recommended changes  │    │ recommended changes      │
│ Reviewed                │        │ with Senior Lead     │    │ with Fileplan Development │
└─────────────────────────┘        └──────────────────────┘    │ Team                     │
            │ Yes                                               └──────────────────────────┘
            ▼                                                              ▲
┌─────────────────────────┐   No   ┌──────────────────────┐               │
│ Step 5                  │ ─────► │ Recommended changes  │───────────────┘
│ Divisional and Senior   │        │ discussed with Senior│
│ Management Team         │        │ Lead                 │
│ Fileplan approval       │        └──────────────────────┘
└─────────────────────────┘
            │ Yes
            ▼
┌─────────────────────────┐
│ Step 6                  │
│ Approved Fileplan and   │
│ completed templates to  │
│ CRM and IM&T            │
└─────────────────────────┘
            │
            ▼
         ┌───────┐
         │  End  │
         └───────┘
```

Step 1 & 2:

The first stage is to ensure that the proposed fileplan is approved locally and meets the business requirements of the business area. This initial approval will also ensure that all business activities are captured and represented within the structure.

This will enable all staff to have an input into the filing structure that they will be using on a day-to-day basis. Each person works slightly differently and it is important that there is a consensus as to how Divisional records will be saved in the future.

Step 3 & 4:

Once the first draft of the Divisional Fileplan has been approved locally, the fileplan and supporting templates will be forwarded to the CRM and IM&T Lead for review.

This review is a chance for the CRM and IM&T to conduct a quick review to ensure that the proposed fileplan adheres to the BCS standards, and that the templates have been completed accurately.

This will also highlight possible technical issues for IM&T, for example if there are large amounts of data that a Division wishes to be migrated or if there are possible access permission complications.

If any issues are raised, the CRM and IM&T will discuss these with the Divisional Senior Lead, recommending possible changes or solutions before the fileplan is returned for Divisional approval.

Step 5:

The final approval process is for Divisional Senior Managers and Divisional Directors to approve the fileplan for implementation. Once approval has been obtained then all completed templates will be handed over to the CRM and IM&T.

Guidance on the building of the new structures both for Levels 1-3 by IM&T and Levels 4 and below by Divisional Superusers will be covered within the Local Implementation Guidance.

6   Divisional Fileplan Development Do's and Don'ts

Do	Don't
- Ensure Data Cleansing is completed before developing the Divisional Fileplan - Make sure that all staff are aware of the BCS and how its implementation will impact each business area - Ensure that folder names are short and meaningful - Keep fileplan to 7 levels wherever possible - Add scope notes to Divisional folders to assist staff in locating information - Advise staff the process for requesting new folders, and who is available to assist them - Consider using geNSS for sharing documents, such as meeting minutes - Ensure that the fileplan is regularly reviewed and maintained - Undertake regular Data Cleansing exercises	- Transfer all documents across to the new filing structure - Transfer all folders across to the new structure - Save copies of organisational policies and guidelines to the new system, if they can be accessed from geNSS - Save business information to personal drives, desktops and memory sticks

7   Further Guidance

Each Divisional area has a BCS Senior Lead and a network of local Superusers who will provide further advice and guidance. A list of Divisional BCS Senior Leads can be found on the geNSS Business Classification Scheme page.

The Corporate Records Manager is also available to provide additional assistance and guidance.