# Compiling a records inventory

*For whom is this guidance intended?*

This guidance is intended for University staff responsible for setting up records management systems in their part of the University. It gives detailed advice on how to set up and maintain an inventory of the records held by your business unit and templates you can use to do this.

*What is a records inventory?*

A records inventory is a catalogue of all the records held by a business section, regardless of the format of those records. It provides the next level of detail down from a filing scheme.

*Why do we need a records inventory?*

We need an inventory to keep track of the records we hold so that they can be located and managed effectively, and so that we can respond to freedom of information requests within the statutory twenty-day deadline. The inventory holds metadata which relates records to the departmental functions, sections and individuals which create and use them, and helps with business planning as we know how many records we need to store, for how long and when they are due for destruction or other action.

*Who compiles and maintains the records inventory?*

It is the responsibility of each business unit to create and manage an inventory for the records it holds. This might be done by those responsible for carrying out the functions concerned, or by the nominated records officer for the area concerned.

*How should an inventory be structured?*

Structure an inventory logically, according to function and subject matter in line with the hierarchy provided by the filing scheme. (See http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/FilingScheme/filingscheme.htm for guidance on constructing a filing scheme and for an outline filing scheme.) It should not be structured according to the physical arrangement or location of the records.

Much inventory information applies to all the records grouped under a particular heading in the filing scheme. It is advisable to collect and store inventory information at the highest level in the hierarchy possible, to avoid duplication of effort.

*What format should an inventory be?*

It is strongly recommended that the information gathered should be held in a way that can be easily interrogated and will easily allow the addition of further information at a later day. You might need to add new records to a sequence, new functions to the filing scheme, or additional information about existing records.

The table below outlines the options available when creating a records inventory and the advantages and disadvantages of each format.

| Format | Advantages | Disadvantages |
|---|---|---|
| Word processed document (e.g. Microsoft Word) | • Requires only basic knowledge of computer software<br>• Format will be familiar to most users<br>• Easy to add new records<br>• Bookmarks and hyperlinks can be used to link to certain parts of the document for ease of use<br>• Easy to edit entries | • Only able to search for records using the basic word search<br>• Can result in large, unwieldy documents if large numbers of records are involved<br>• Difficult to compile statistics<br>• Cannot accommodate full range of inventory data |
| Word processed table (e.g. Microsoft Word) | • Requires only basic knowledge of computer software<br>• Format will be familiar to most users<br>• Easy to add new records<br>• Bookmarks and hyperlinks can be used to link to certain parts of the document for ease of use<br>• Easy to edit entries<br>• Able to organise entries using the sort tool which makes searching easier | • Can result in large, unwieldy documents if large numbers of records are involved<br>• Difficult to compile statistics<br>• Cannot accommodate full range of inventory data |
| Spreadsheet (e.g. Microsoft Excel) | • Format will be familiar to most users<br>• Easy to add new records<br>• Easy to edit entries<br>• Excellent way of recording large amounts of information<br>• Able to use formulae to manipulate data and the filter function to carry out particular searches<br>• Can compile some statistics<br>• Can accommodate the full range of inventory data | • Requires some expertise to carry out complex searches<br>• May involve repeated entry of data |
| Relational database (e.g. Microsoft Access) | • Easy to add new records<br>• Easy to edit entries<br>• Excellent way of recording large amounts of information<br>• Possible to customise access, permissions and functionality | • Requires extensive knowledge of the software to create a fully operational database<br>• Problems can arise in maintaining the database if the person who created it |

| | | |
|---|---|---|
| | for the user<br>• Able to create statistics<br>• Can conduct highly complex searches<br>• Can accommodate the full range of data<br>• Data only has to be entered once which saves time<br>• Most efficient of all the formats in terms of the ease of data entry and creating statistics for administrators and its ease of use for users | leaves the business area |
| Web page | • Format will be familiar to most users<br>• Easy to add new records<br>• Easy to edit entries<br>• Allows interactive pages to be created<br>• It may be possible to access information when away from the office<br>• It is an approved University format | • Only able to search for records using the basic word search<br>• Requires knowledge of creating and editing web pages<br>• Requires the information and links to be updated; is maintenance intensive<br>• Vulnerable to Internet problems like slow connections and incompatibility<br>• Possible security implications depending on where the website has been stored |
| Paper based system | • Does not require knowledge of computer systems<br>• Efficient for a small number of records<br>• Requires no IT knowledge | • Can only be accessed by one person at a time<br>• Not suitable for systems with large numbers of records as it becomes time-consuming to search for records<br>• Difficult to edit entries<br>• Difficult to search<br>• Difficult to compile statistics<br>• Can be difficult to update and add new entries |

A relational database is probably the most appropriate format for an inventory. If you follow this option, please ensure that it is capable of producing output in xml as this is the University's preferred format for digital preservation. This option will require a high level of knowledge about the software. For small numbers of records a word processed table or a spreadsheet may also be an effective approach. Examples of inventories constructed using a word processed table and a spreadsheet are available in the annexes at the end of this document.

- Annex A contains a worked example of a records inventory for the Policy and Planning filing scheme constructed using a word processed document.
- Annex B provides an example of a records inventory constructed using a word processed table.
- Annex C provides a worked example of a records inventory for the Policy and Planning filing scheme constructed using a spreadsheet.

Template versions for each of these examples are available in Annexes D, E and F at the end of this document.

It is also possible to use paper systems for recording this information, such as index cards or docket books. Examples of an inventory index card, a docket sheet and a sample inventory form are show in figures 1, 2 and 3 respectively. Paper lists should be avoided as they are difficult to update.

Whatever approach is adopted, it must be both scalable and easy to use.

*What information should be included in the inventory?*

An inventory of records held by a section must be comprehensive and cover all records irrespective of their format.

An inventory should list the following elements for each record, file or other collection of information:

- title and locator information
- provenance, use and owner information
- relationship with other records
- retention scheduling and disposal decisions
- access restrictions
- physical or software, hardware and media characteristics.

The table below gives a more detailed listing of the types of information that should be held in an inventory.

| **Field name** | **Content** | **Purpose** | **Essential?** |
|---|---|---|---|
| **Title and locator information** | | | |
| Title | The name of the document or file | To provide fine detail about the subject of the record | Y |
| Reference | A short code which locates the record within the wider filing structure | To make ready identification of the record, locate it within a filing scheme, and assist retrieval | Y |
| Scope note | Description of the record and the activities it supports | To provide additional details to assist in deciding where to file documents | Y |
| Part number | | Distinguishes between different parts of the same record | Y |

| Field name | Content | Purpose | Essential? |
|---|---|---|---|
| Position in hierarchy | The headings and sub-headings from the filing scheme which apply to the record | Shows where the record is located in the filing scheme | Y |
| Location | The current physical location of the record collection, e.g. computer system on which held, data archive storage, network location | Helps to find the record. | Y |
| Unique identifier | A unique number used to identify the record | To make a unique identification of the record; usually used in databases for systems administration purposes. This is unlikely to be the file reference, as a file may have more than one part. | |
| **Provenance, use and owner information** | | | |
| Creator | The work group, section or other end user who created the record; this may or may not be the same as the users of the records | To assist mapping of the record collection onto the functional and organizational structure of the organisation, and to establish responsibility for creation and capture. | Y |
| Record owners | The business function which requires the records for its own business purposes, and determines the length of time they need to be retained for accountability, legal or operational reasons. | To identify responsibilities for the maintenance and preservation of the record collection. | Y |
| Custody | Previous business areas that have ‘owned’ the record | Assists in maintaining the legal admissibility of the record | Y |
| Other record users | Secondary business functions, which also make formal use of the records. | To identify who needs to be consulted when altering retention periods for these records | |
| Date opened | The date that a file or folder was set up | Assists in calculating retention periods. This may be different from the date of the contents as earlier papers might be filed on the | Y |

| Field name | Content | Purpose | Essential? |
|---|---|---|---|
| | | new file. | |
| Date of earliest record | The date of the oldest piece of information in the record | Assists in locating information and in calculating retention periods | Y |
| Date closed | The date the record is closed and no further information is added to it | Assists in locating information and in calculating retention periods | Y |
| Date of last record | The date of the most recent information added to the record | Assists in locating information and in calculating retention periods | Y |
| Audit trail/version history | A record of the changes made to the document, when they were made, and who made them. | Assists with the legal admissibility of the record, and is particularly important for electronic records. | |
| **Relationship to other records** | | | |
| Links to related records | Identifies other records which are connected with these e.g. indexes, records that are used together, later or earlier versions | Assists in identifying information flows and determining retention periods | |
| Links to duplicate information | Identifies other records from which this records is copied or is a subset. | To enable identification of duplicated and/ or missing material | |
| **Retention information** | | | |
| Retention periods | How long the record should be kept | Makes it possible to implement retention schedules | N, if information is given in retention schedule instead |
| Trigger description | The event trigger for the retention period | So that the retention schedule can be implemented. For example, after graduation or close of file. | Y |
| Trigger date | The date that the trigger event will happen on | To record when the retention period should start. | Y, once known |
| Disposal action | What should be done with the record when they are no longer required for business purposes | The most common options are destroy or transfer to University Archives. | N, if information is given in retention schedule instead |

| Field name | Content | Purpose | Essential? |
|---|---|---|---|
| Disposal due date | The date that disposal actions are due | To record when folders are due for disposal action. | |
| Disposal effective date | The date that disposal actions were carried out | To record when folders were disposed of. | |
| **Access information** | | | |
| Access | Who is allowed to access the record | Keeps the record secure | Y |
| **Physical characteristics** | | | |
| Physical format | The physical format of the records concerned, including details of software and hardware for electronic records | Assists in managing the section's information resources | Y |
| Preservation history | Details of any migration changes, file format updates (for electronic records) | Helps to support the legal admissibility of the record | |
| Fixity | Any checksums, digital signatures carried out to ensure the authenticity of the file | Helps to support the legal admissibility of the record | |
| Notes | Shows role and purpose of the collection which is not captured elsewhere in the inventory | To include any further necessary information about the record. | |

*How do I compile a records inventory?*

For new records, the information map and filing scheme will provide the framework for structuring your inventory. (See http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/InfoMap/Infomap.htm and http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/FilingScheme/filingscheme.htm respectively for guidance on compiling an information map and filing scheme.) As new files or records are created, they should be logged in the appropriate part of the inventory.

To add existing records to the inventory conduct a records survey. See http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/RecordsSurvey/RecordsSurvey.htm for instructions on how to conduct a survey. The findings from this survey should then be added to the inventory. For records which are still used regularly, or where there is a business need to locate them rapidly, the inventory should contain an entry for each individual file. However, for rarely used records, it is more efficient to add information to the inventory at the series level only, provided that the records can be grouped into meaningful series where each record in the series has the same disposal requirement.

For electronic records, it is possible to set up systems so that some of the inventory information is captured automatically without the need for users to enter the information into the system.

*How do I maintain a records inventory?*

It is crucial that the inventory is kept up to date by adding new files or records as soon as they are created.  Set up procedures to ensure that new records are added to the inventory.

To meet Freedom of Information requirements, our inventory should contain information about records we have destroyed as well as records we still hold. Therefore, when records are destroyed, note this on the inventory by amending the location information but do not delete the inventory record.

*What help is available?*

The University Records Management Section provides advice, guidance and training on data protection, records management and freedom of information issues.  Although we cannot develop and maintain your inventory for you, we can provide training on developing one.  On request, we will also discuss and comment on work on progress and serve as expert advisers on records management projects.

Susan Graham and Kiara King
May 2006

**ANNEX A**

## Example of a records inventory using a word processed document

### Purpose

This document provides an example of a records inventory created using a word processed document for the records in the Policy and Planning (PP) filing scheme.

Click on underlined words in the document to move directly to the information it refers to. This document contains:

- A list of the records in the PP filing scheme
- Provenance information about the records in the PP filing scheme
- Retention schedule information in the PP filing scheme
- Scope notes for each record in the PP filing scheme

This information will provide details about when a record was created and for whom, what retention period is assigned to it and what activities it supports.

### List of records in the PP filing scheme

| Reference | Title | Link to the following information: | | |
|---|---|---|---|---|
| AA | Alumni Relations | Scope Note | Provenance | Retention |
| AA/1 | Strategy Development | Scope Note | Provenance | Retention |
| AA/2 | Policy Development | Scope Note | Provenance | Retention |
| AA/3 | Procedures Development | Scope Note | Provenance | Retention |
| AA/4 | Alumni Communication Management | Scope Note | Provenance | Retention |
| AA/4/1 | Complaints | Scope Note | Provenance | Retention |
| AA/4/1/1 | Bloggs, Joseph | Scope Note | Provenance | Retention |
| AA/5 | Alumni Event Management | Scope Note | Provenance | Retention |
| AA/6 | General Register | Scope Note | Provenance | Retention |
| AA/7 | Alumni Support | Scope Note | Provenance | Retention |
| AA/8 | General Council | Scope Note | Provenance | Retention |
| AA/8/1 | Powers and Procedures Administration | Scope Note | Provenance | Retention |
| AA/8/2 | Membership | Scope Note | Provenance | Retention |
| AA/8/2/1 | Registration Fee | Scope | Provenance | Retention |

| | | | | |
|---|---|---|---|---|
| | | Note | | |
| AA/8/3 | Meetings | Scope Note | Provenance | Retention |
| AA/8/4 | Resolutions | Scope Note | Provenance | Retention |
| AA/8/5 | Business Committee | Scope Note | Provenance | Retention |
| AA/8/5/1 | Membership | Scope Note | Provenance | Retention |

## Provenance, use and owner information about the records

| Reference | Creator: Section | Creator: Individual | Record Owner | Date Opened | Date Closed | Date of earliest record | Date of last record | Physical format | Part number |
|---|---|---|---|---|---|---|---|---|---|
| **AA** | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/2 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/3 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4/1/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | 15/11/2005 | | Paper and Electronic | |
| AA/5 | University Secretary | Adam Black | University Secretary | 15/11/2005 | | | | Electronic | |
| AA/6 | Planning | Anne White | Planning | 15/11/2005 | | | | Electronic | |
| AA/7 | University Secretary | Adam Black | University Secretary | 15/11/2005 | | | | Electronic | |
| AA/8 | Planning | Anne White | Planning | 15/11/2005 | | | | Electronic | |
| AA/8/1 | Planning | Anne White | Planning | 30/11/2005 | | | | Electronic | |
| AA/8/2 | University Secretary | Adam Black | University Secretary | 02/12/2005 | | | | Electronic | |
| AA/8/2/1 | University Secretary | Adam Black | University Secretary | 15/02/2006 | | 15/02/2006 | | Paper and Electronic | |
| AA/8/3 | University Secretary | Adam Black | University Secretary | 15/02/2006 | | | | Electronic | |
| AA/8/4 | Academic Affairs | Alan Brown | Academic Affairs | 04/01/2006 | | | | Electronic | |
| AA/8/5 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/8/5/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/12/2005 | | 15/12/2005 | | Paper and Electronic | |

## Retention schedule information

| Reference | Retention period (months) | Trigger description | Trigger date | Disposal action | Disposal due date | Disposal effective date |
|---|---|---|---|---|---|---|
| **AA** | 24 | File closure | 22/06/2010 | Destroy | 22/06/2012 | |
| AA/1 | 24 | After publication of subsequent strategic plan | 21/05/2006 | Transfer to archive | | |
| AA/2 | 24 | After publication of subsequent policy | 31/02/2006 | Destroy | | |
| AA/3 | 24 | After publication of subsequent procedures | | Destroy | | |
| AA/4 | 24 | Last action on case | | Destroy | | |
| AA/5 | 24 | File closure | | Destroy | | |
| AA/6 | 24 | File closure | | Destroy | | |
| AA/7 | 24 | File closure | | Destroy | | |
| AA/8 | 12 | File closure | | Destroy | | |
| AA/8/1 | 12 | File closure | 31/06/2005 | Destroy | 31/06/2006 | |
| AA/8/2 | 12 | File closure | 01/05/2007 | Destroy | 01/05/2008 | |
| AA/8/2/1 | 12 | File closure | 01/05/2007 | Transfer to archive | 01/05/2007 | |
| AA/8/3 | 12 | File closure | | Destroy | | |
| AA/8/4 | 12 | File closure | | Destroy | | |
| AA/8/5 | 12 | File closure | | Destroy | | |
| AA/8/5/1 | 12 | File closure | | Transfer to archive | | |

## Scope Notes

**AA Alumni Relations**
The function of maintaining and fostering the University's relationship with its alumni.

**AA/1 Strategy Development**
The activities involved in developing and establishing the University's strategy for maintaining and
fostering its relationship with its alumni.

**AA/2 Policy Development**
The activities involved in developing and establishing the University's alumni relations policies.

**AA/3 Procedures Development**
The activities involved in developing the University's alumni relations procedures.

**AA/4 Alumni Communications Management**
The activities involved in managing the University's communications with its alumni. Activities include planning and issuing communications to alumni, both one-off and regular (e.g. newsletters), and conducting surveys of alumni.

**AA/5 Alumni Event Management**
The activities involved in supporting and organising official events for alumni.

**AA/6 General Register**
The activities involved in compiling and maintaining the General Register.

**AA/7 Alumni Support**
The activities involved in providing support to alumni, both individually and through alumni associations. Activities include providing financial and other support to alumni associations, brokering contact with/between alumni.

**AA/8 General Council**
The activities involved in servicing the General Council

**AA/8/1 Powers and Procedures Administration**
The activities involved in administering the powers and procedures of the General Council

**AA/8/2 Membership**
The activities involved in the appointment of members of the General Council

**AA/8/2/1 Registration Fee**
The activities involved in answering enquiries about the registration fee. Documents include correspondence asking about the reason for the registration fee and what it is used for.

**AA/8/3 Meetings**
The activities involved in creating the agenda, minutes, papers etc. of the meetings of the General Council

**AA/8/4 Resolutions**
The activities involved in creating resolutions of the General Council

**AA/8/5 Business Committee**
The activities involved in Servicing the Business Committee of the General Council

**AA/8/5/1 Membership**
The activities involved in the appointment of members of the Business Committee

**ANNEX B**

# Example of a word processed inventory

This document provides an example of a records inventory created using a word processed table for the records in the Policy and Planning (PP) filing scheme.

| Reference | | | | Title | Opened (earliest record) | Closed (latest record) | Location | Creator & owners | Access | Physical format | Notes |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Level 1 | Level 2 | Level 3 | Level 4 | | | | | | | | |
| AA | | | | Alumni relations | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 1 | | | Strategy development | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 2 | | | Policy development | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 3 | | | Procedures development | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 4 | | | Alumni communication management | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 4 | 1 | | Complaints | 15/11/05 | | CRR | A Brown | | Electronic | |
| AA | 4 | 1 | 1 | Bloggs, Joe | 15/11/05 | | Sec Office | A Brown | Restricted | Paper & Electronic | |
| | | | | | | | | | | | |
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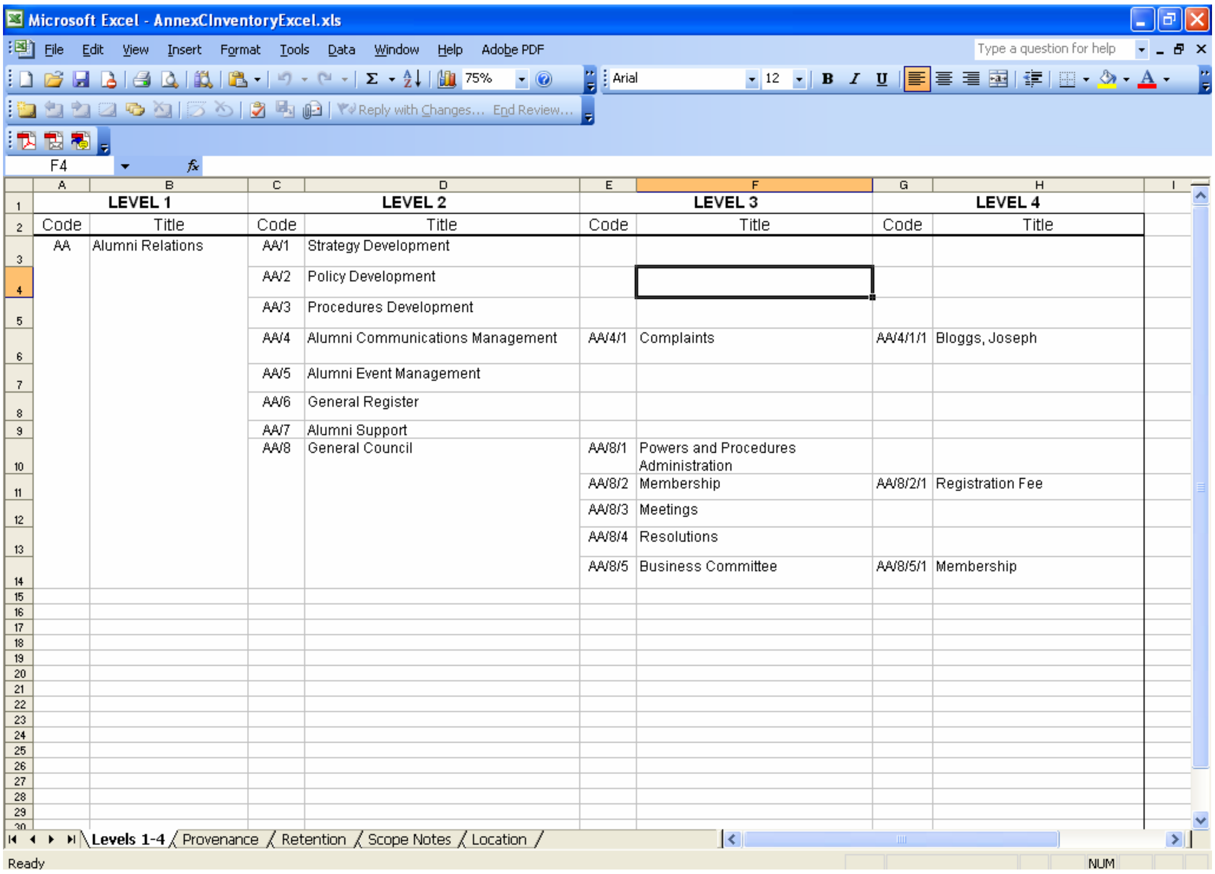
# ANNEX C

## Excel spreadsheet inventory

This document provides an example of a records inventory created using a spreadsheet for the records in the Policy and Planning (PP) filing scheme. Please see the Microsoft Excel spreadsheet in Annex C for this document http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/Inventory/inventory.htm.

The page containing information about levels 1-4 of the filing scheme will look like this:




| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | LEVEL 4 | |
|---|---|---|---|---|---|---|---|
| Code | Title | Code | Title | Code | Title | Code | Title |
| AA | Alumni Relations | AA/1 | Strategy Development | | | | |
| | | AA/2 | Policy Development | | | | |
| | | AA/3 | Procedures Development | | | | |
| | | AA/4 | Alumni Communications Management | AA/4/1 | Complaints | AA/4/1/1 | Bloggs, Joseph |
| | | AA/5 | Alumni Event Management | | | | |
| | | AA/6 | General Register | | | | |
| | | AA/7 | Alumni Support | | | | |
| | | AA/8 | General Council | AA/8/1 | Powers and Procedures Administration | | |
| | | | | AA/8/2 | Membership | AA/8/2/1 | Registration Fee |
| | | | | AA/8/3 | Meetings | | |
| | | | | AA/8/4 | Resolutions | | |
| | | | | AA/8/5 | Business Committee | AA/8/5/1 | Membership |

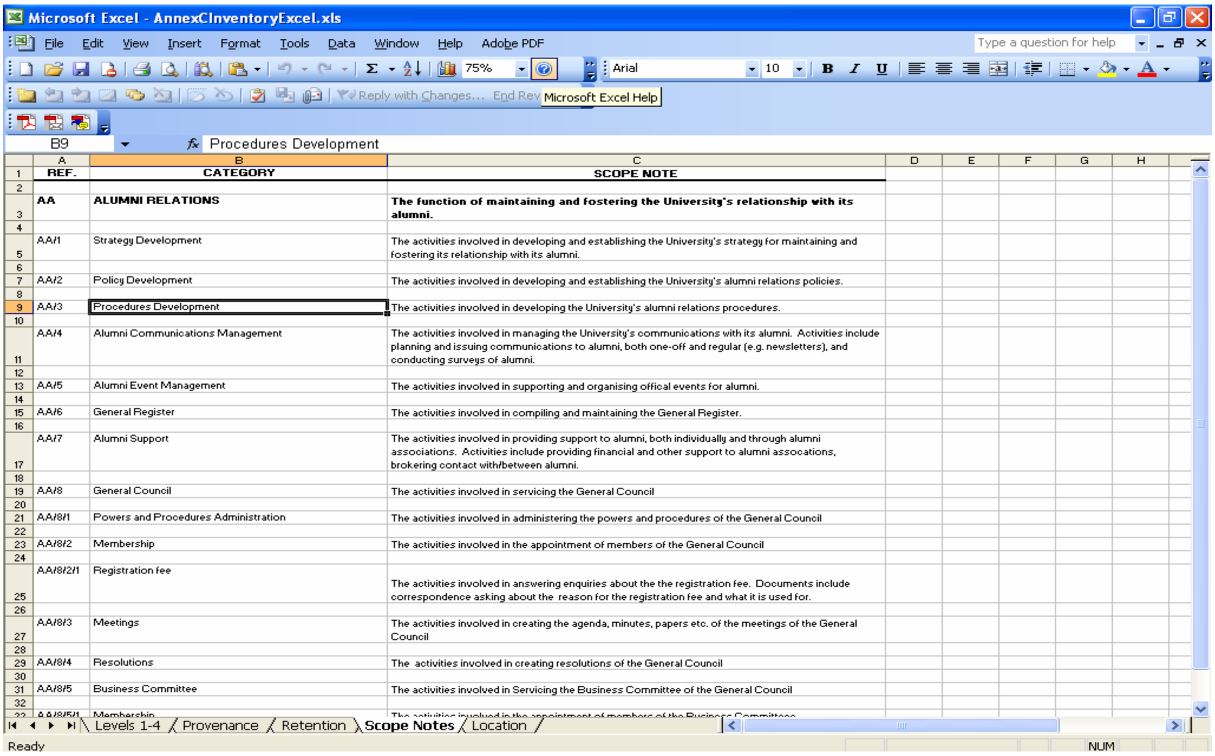
The page containing information about the provenance of the records in the filing scheme will look like this:

| Ref. | Creator: Section | Creator: Individual | Record Owner | Date Opened | Date Closed | Date of earliest recor | Date of last reco | Physical format | current volume number |
|---|---|---|---|---|---|---|---|---|---|
| AA | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/2 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/3 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/4/1/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | 15/11/2005 | | Paper and Electronic | |
| AA/5 | University Secretary | Adam Black | University Secretary | 15/11/2005 | | | | Electronic | |
| AA/6 | Planning | Anne White | Planning | 15/11/2005 | | | | Electronic | |
| AA/7 | University Secretary | Adam Black | University Secretary | 15/11/2005 | | | | Electronic | |
| AA/8 | Planning | Anne White | Planning | 15/11/2005 | | | | Electronic | |
| AA/8/1 | Planning | Anne White | Planning | 30/11/2005 | | | | Electronic | |
| AA/8/2 | University Secretary | Adam Black | University Secretary | 02/12/2005 | | | | Electronic | |
| AA/8/2/1 | University Secretary | Adam Black | University Secretary | 15/02/2006 | | 15/02/2006 | | Paper and Electronic | |
| AA/8/3 | University Secretary | Adam Black | University Secretary | 15/02/2006 | | | | Electronic | |
| AA/8/4 | Academic Affairs | Alan Brown | Academic Affairs | 04/01/2006 | | | | Electronic | |
| AA/8/5 | Academic Affairs | Alan Brown | Academic Affairs | 15/11/2005 | | | | Electronic | |
| AA/8/5/1 | Academic Affairs | Alan Brown | Academic Affairs | 15/12/2005 | | 15/12/2005 | | Paper and Electronic | |

The page containing information about the retention of the filing scheme will look like this:

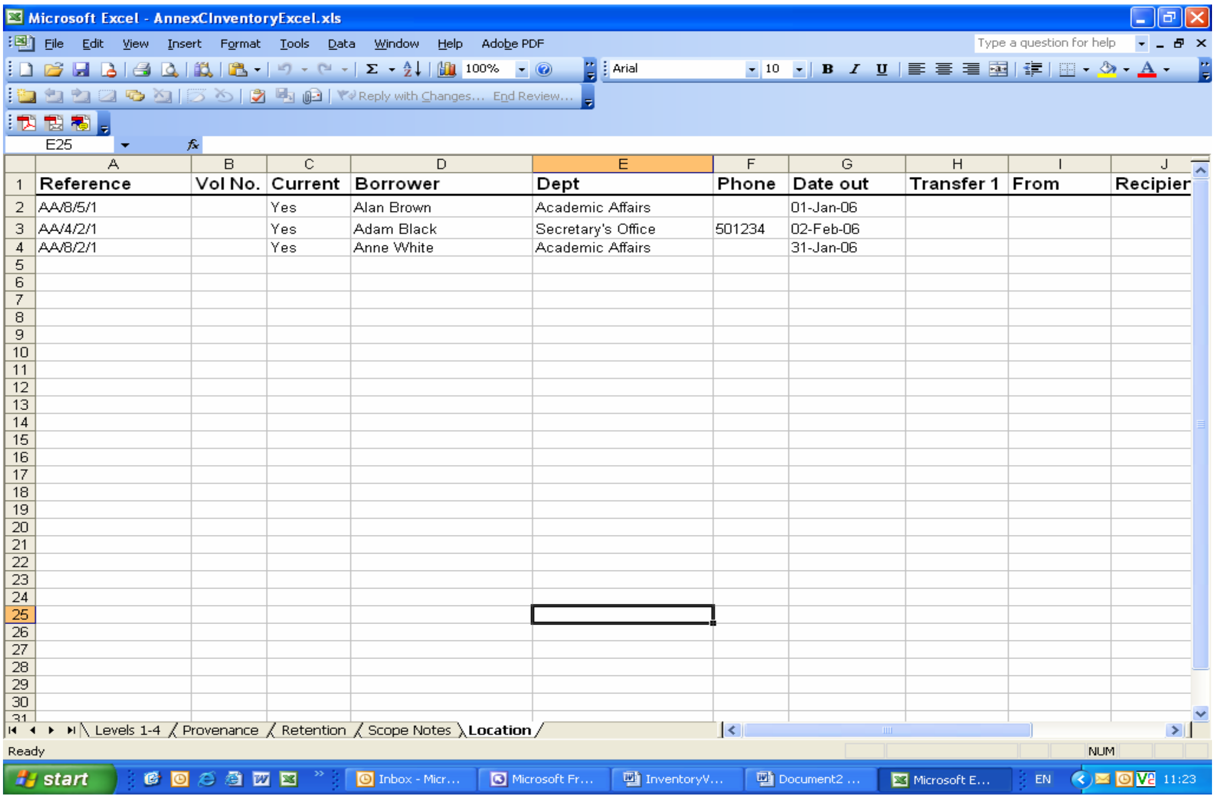
| Ref. | Retention period (months) | Trigger description | Trigger date | Disposal action | Disposal due date | Disposal effective date |
|---|---|---|---|---|---|---|
| AA | 24 | File closure | 22/06/2010 | Destroy | 22/06/2012 | |
| AA/1 | 24 | After publication of subsequent strategic plan | 21/05/2006 | Transfer to archive | | |
| AA/2 | 24 | After publication of subsequent policy | 31/02/2006 | Destroy | | |
| AA/3 | 24 | After publication of subsequent procedures | | Destroy | | |
| AA/4 | 24 | Last action on case | | Destroy | | |
| AA/5 | 24 | File closure | | Destroy | | |
| AA/6 | 24 | File closure | | Destroy | | |
| AA/7 | 24 | File closure | | Destroy | | |
| AA/8 | 12 | File closure | | Destroy | | |
| AA/8/1 | 12 | File closure | 31/06/2005 | Destroy | | |
| AA/8/2 | 12 | File closure | 01/05/2007 | Destroy | | |
| AA/8/2/1 | 12 | File closure | 01/05/2007 | Transfer to archive | | |
| AA/8/3 | 12 | File closure | | Destroy | | |
| AA/8/4 | 12 | File closure | | Destroy | | |
| AA/8/5 | 12 | File closure | | Destroy | | |
| AA/8/5/1 | 12 | File closure | | Transfer to archive | | |

The page containing information about the scope notes for the filing scheme will look like this:



| REF. | CATEGORY | SCOPE NOTE |
|---|---|---|
| AA | ALUMNI RELATIONS | The function of maintaining and fostering the University's relationship with its alumni. |
| AA/1 | Strategy Development | The activities involved in developing and establishing the University's strategy for maintaining and fostering its relationship with its alumni. |
| AA/2 | Policy Development | The activities involved in developing and establishing the University's alumni relations policies. |
| AA/3 | Procedures Development | The activities involved in developing the University's alumni relations procedures. |
| AA/4 | Alumni Communications Management | The activities involved in managing the University's communications with its alumni. Activities include planning and issuing communications to alumni, both one-off and regular (e.g. newsletters), and conducting surveys of alumni. |
| AA/5 | Alumni Event Management | The activities involved in supporting and organising offical events for alumni. |
| AA/6 | General Register | The activities involved in compiling and maintaining the General Register. |
| AA/7 | Alumni Support | The activities involved in providing support to alumni, both individually and through alumni associations. Activities include providing financial and other support to alumni assocations, brokering contact with/between alumni. |
| AA/8 | General Council | The activities involved in servicing the General Council |
| AA/8/1 | Powers and Procedures Administration | The activities involved in administering the powers and procedures of the General Council |
| AA/8/2 | Membership | The activities involved in the appointment of members of the General Council |
| AA/8/2/1 | Registration fee | The activities involved in answering enquiries about the the registration fee. Documents include correspondence asking about the reason for the registration fee and what it is used for. |
| AA/8/3 | Meetings | The activities involved in creating the agenda, minutes, papers etc. of the meetings of the General Council |
| AA/8/4 | Resolutions | The activities involved in creating resolutions of the General Council |
| AA/8/5 | Business Committee | The activities involved in Servicing the Business Committee of the General Council |

The page containing information about the location of records will look like this:



| Reference | Vol No. | Current | Borrower | Dept | Phone | Date out | Transfer 1 | From | Recipier |
|---|---|---|---|---|---|---|---|---|---|
| AA/8/5/1 | | Yes | Alan Brown | Academic Affairs | | 01-Jan-06 | | | |
| AA/4/2/1 | | Yes | Adam Black | Secretary's Office | 501234 | 02-Feb-06 | | | |
| AA/8/2/1 | | Yes | Anne White | Academic Affairs | | 31-Jan-06 | | | |

**ANNEX D**

## [Insert business area] Record inventory

### Purpose

This document provides a records inventory for the records in [insert business area] filing scheme.

Click on underlined words in the document to move directly to the information it refers to. This document contains:

- A list of the records in [insert business area] filing scheme
- Provenance information about the records in [insert business area] filing scheme
- Retention schedule information in [insert business area] filing scheme
- Scope notes for each record in [insert business area] filing scheme

This information will provide details about when a record was created and for whom, what retention period is assigned to it and what activities it supports.

### List of records in [insert business area] filing scheme

| Reference | Title | Link to the following information: | | |
|---|---|---|---|---|
| [Insert the reference derived from the filing scheme] | [Insert the title given to the folder or level heading] | Scope Note | Provenance | Retention |
| [Insert reference] | [Insert title] | Scope Note | Provenance | Retention |
| [Insert reference] | [Insert title] | Scope Note | Provenance | Retention |
| [Insert reference] | [Insert title] | Scope Note | Provenance | Retention |
| [Insert reference] | [Insert title] | Scope Note | Provenance | Retention |

## Provenance, use and owner information about the records

| Reference | Creator: Section | Creator: Individual | Record Owner | Date Opened | Date Closed | Date of earliest record | Date of last record | Physical format | Part number |
|---|---|---|---|---|---|---|---|---|---|
| [Insert the reference derived from the filing scheme] | [Insert the name of the section that requested this folder] | [Insert the name of the person that requested this folder] | [Insert the business function which requires the records for its own business purposes] | [Insert the date that the file or folder was set up] | [Insert the date that the record was closed] | [Insert the date of the oldest piece of information in the record] | [Insert the date of the most recent information in the record] | E.g. Electronic, paper or electronic and paper | [Insert the number given to different parts of the same folder] |
| [Insert reference] | | | | | | | | | |
| [Insert reference] | | | | | | | | | |
| [Insert reference] | | | | | | | | | |
| [Insert reference] | | | | | | | | | |

## Retention schedule information

| Reference | Retention period (months) | Trigger description | Trigger date | Disposal action | Disposal due date | Disposal effective date |
|---|---|---|---|---|---|---|
| [Insert reference] | E.g. 24 | [Insert the event trigger for the retention period, for example file closure or after graduation] | [Insert the date that the trigger event will happen on] | [Insert what should be done with the record when they are no longer required for business purposes, for example destroy or transfer to archive] | [Insert the date that disposal actions are due | [Insert the date that disposal actions were carried out] |
| [Insert reference] | | | | | | |
| [Insert reference] | | | | | | |

## Scope Notes

These provide additional details about the record to assist in deciding where to file documents.

**[Reference]  [Title]**
Description of the record and the activities it supports

**[Reference]  [Title]**
Description of the record and the activities it supports

**[Reference]  [Title]**
Description of the record and the activities it supports

**[Reference]  [Title]**
Description of the record and the activities it supports

## Annex E

## Records inventory for [insert business area name]

| Level 1 Ref | Level 2 title | Level 3 title | Level 4 title | Title | Part | Opened (earliest record) | Closed (latest record) | Location | Creator & owners | Access restrictions | Physical format | Scope Notes |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| The reference derived from the filing scheme | The reference derived from the filing scheme | The reference derived from the filing scheme | The reference derived from the filing scheme | The title given to the folder or level heading | The number given to different parts of the same folder | The date that the folder was created | The date that the folder was closed | Location of the record | The name of the person that requested this folder | Details of any access restrictions that apply to the record | The physical format of the folder concerned | Description of the folder or level heading and the activities it supports |
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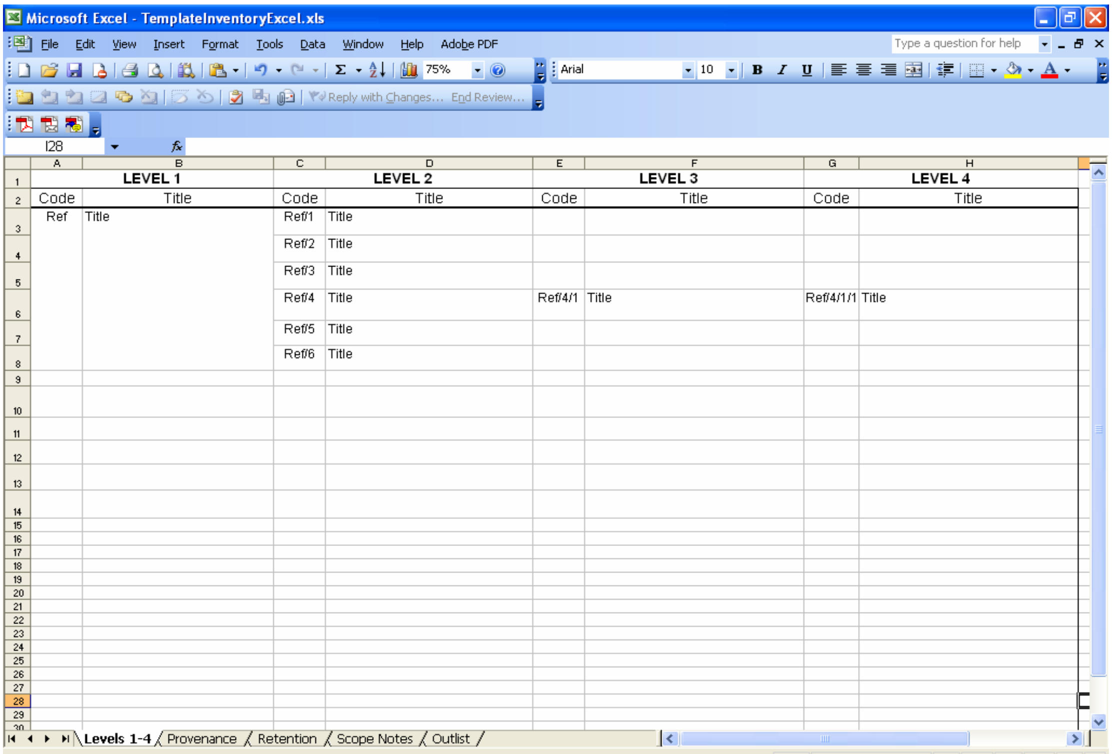
# ANNEX F

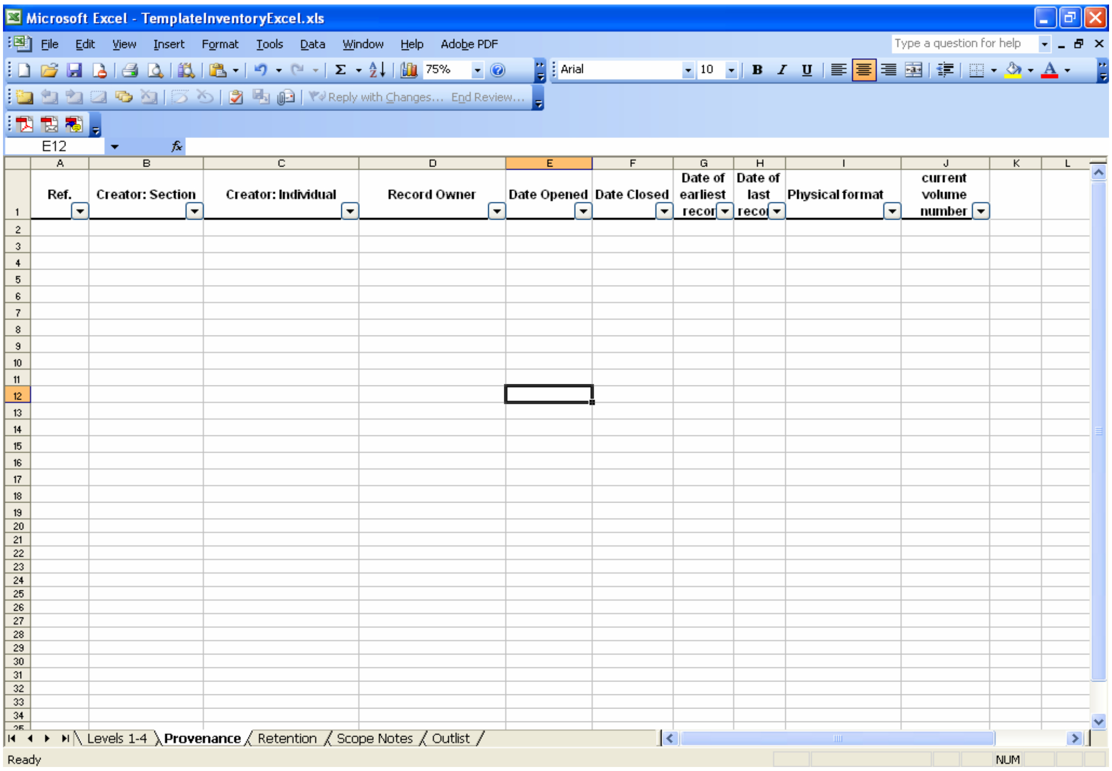
## [Insert business area] Record inventory

This document provides a records inventory for the records in [insert Business area].
Please see the Microsoft Excel spreadsheet in Annex F for this document http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/Inventory/inventory.htm.

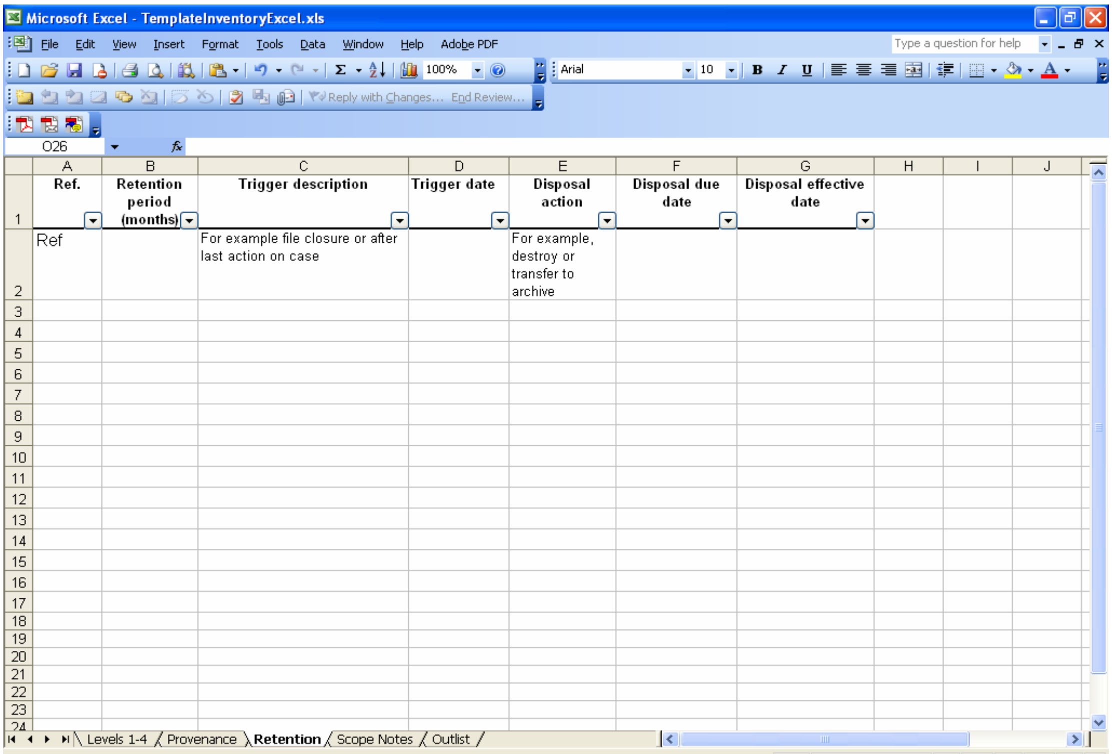
The page containing information about levels 1-4 of the filing scheme will look like this:



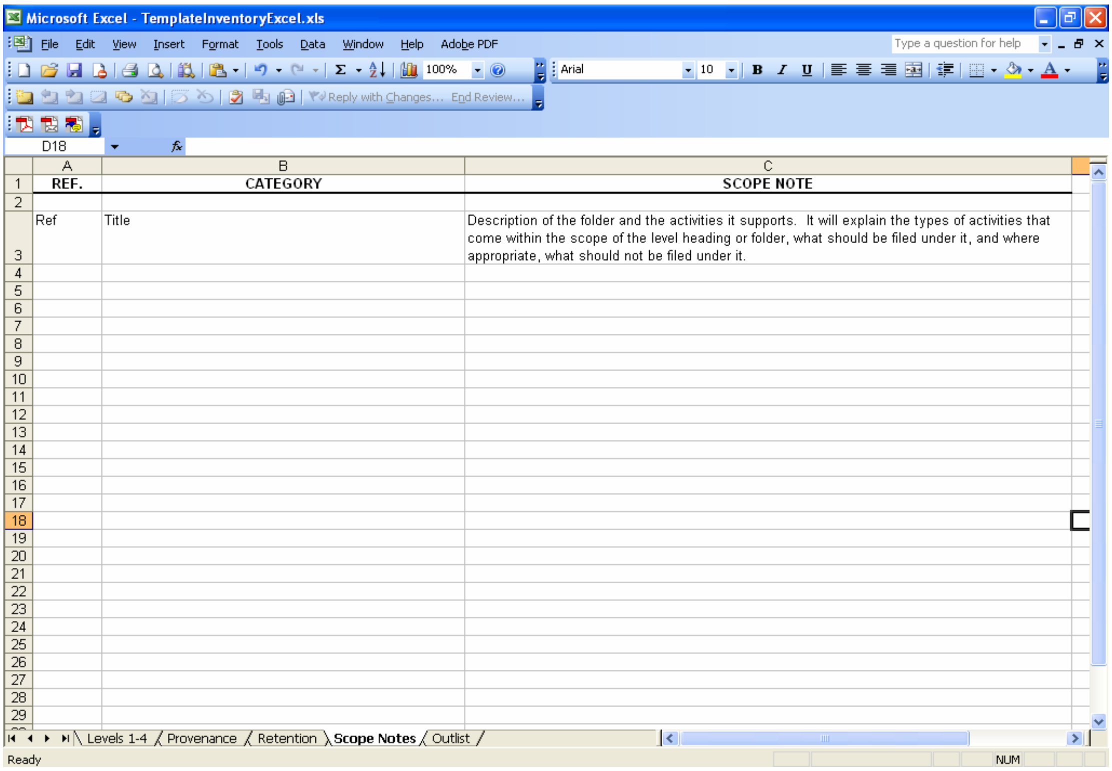
The page containing information about the provenance of the records in the filing scheme will look like this:




The page containing information about the retention of the filing scheme will look like this:



The page containing information about the scope notes for the filing scheme will look like this:




The page containing information about the location of records will look like this:

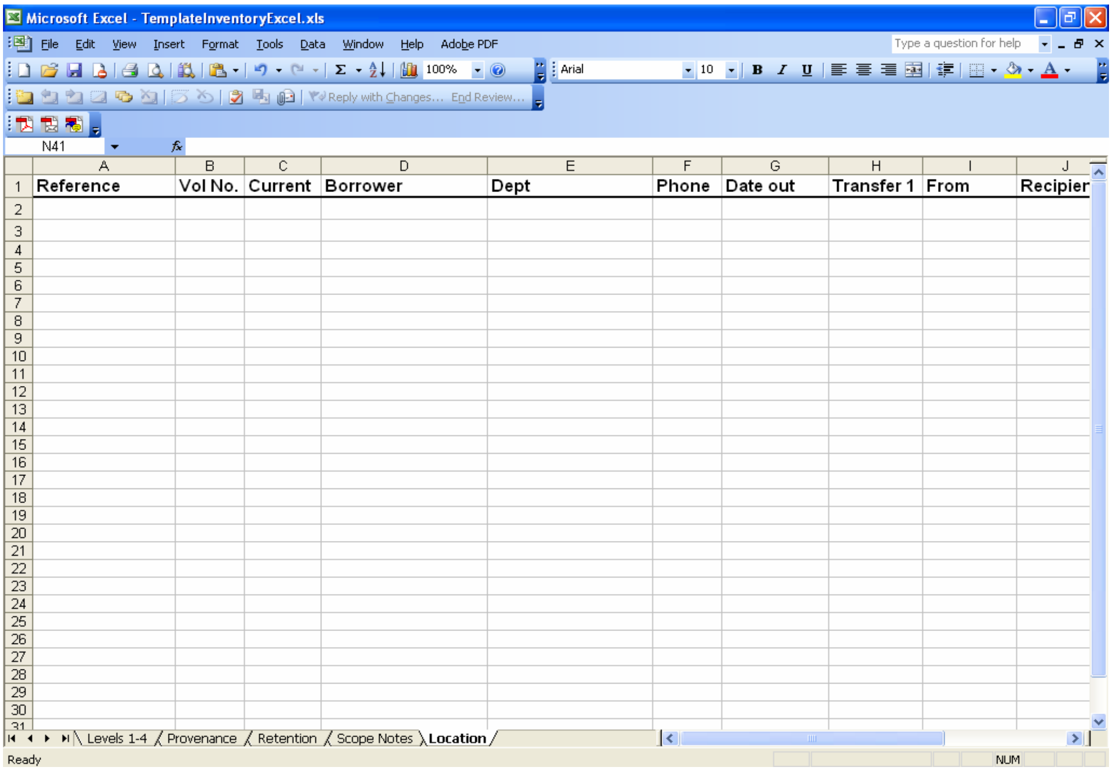
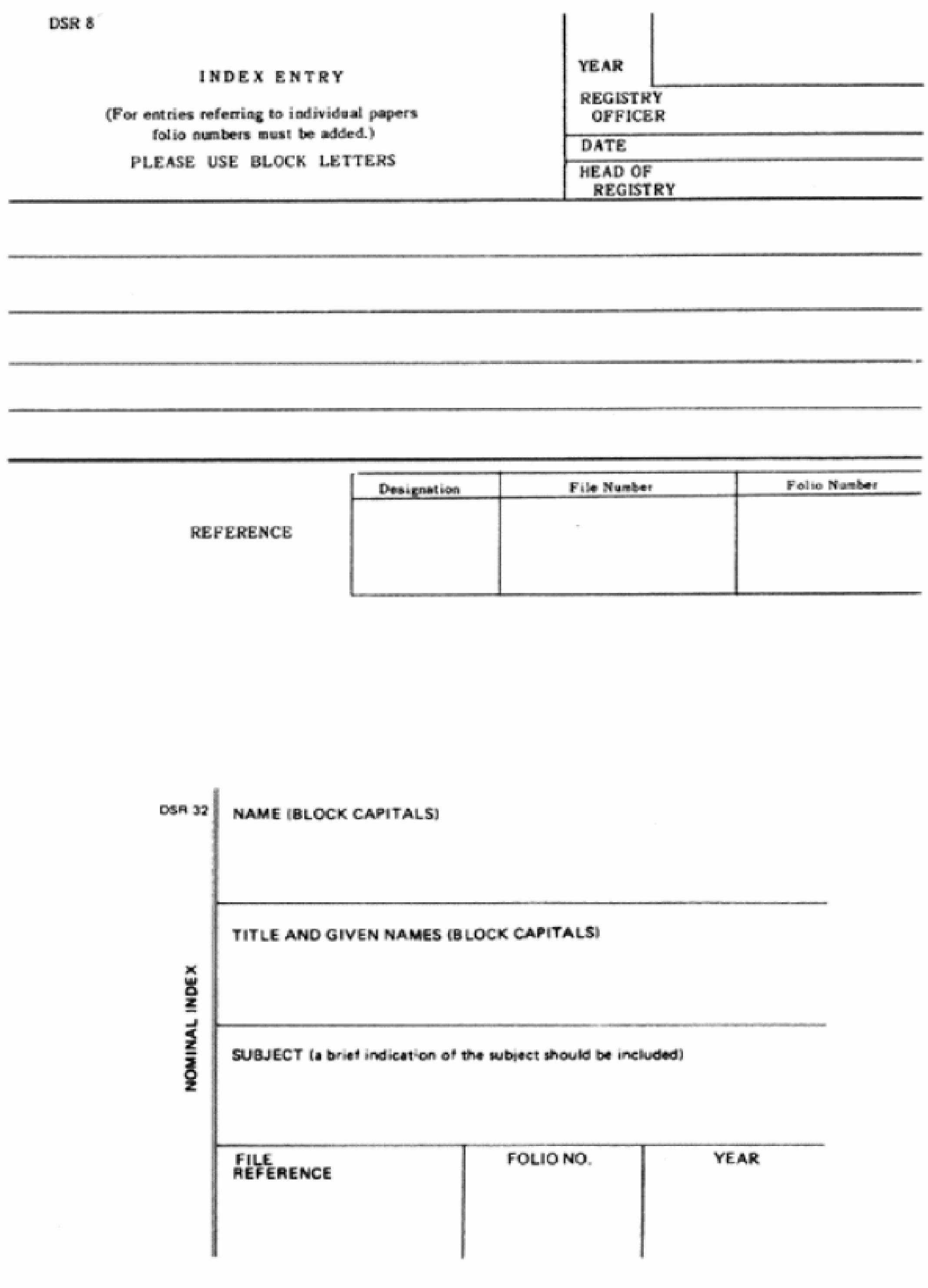


**Figure 1: Example of an index card**

**Figure 7 - Monitoring Usage: examples of index cards**



DSR 8

INDEX ENTRY

(For entries referring to individual papers folio numbers must be added.)

PLEASE USE BLOCK LETTERS

YEAR

REGISTRY OFFICER

DATE

HEAD OF REGISTRY

REFERENCE

| Designation | File Number | Folio Number |
|---|---|---|
| | | |

DSR 32

NOMINAL INDEX

NAME (BLOCK CAPITALS)

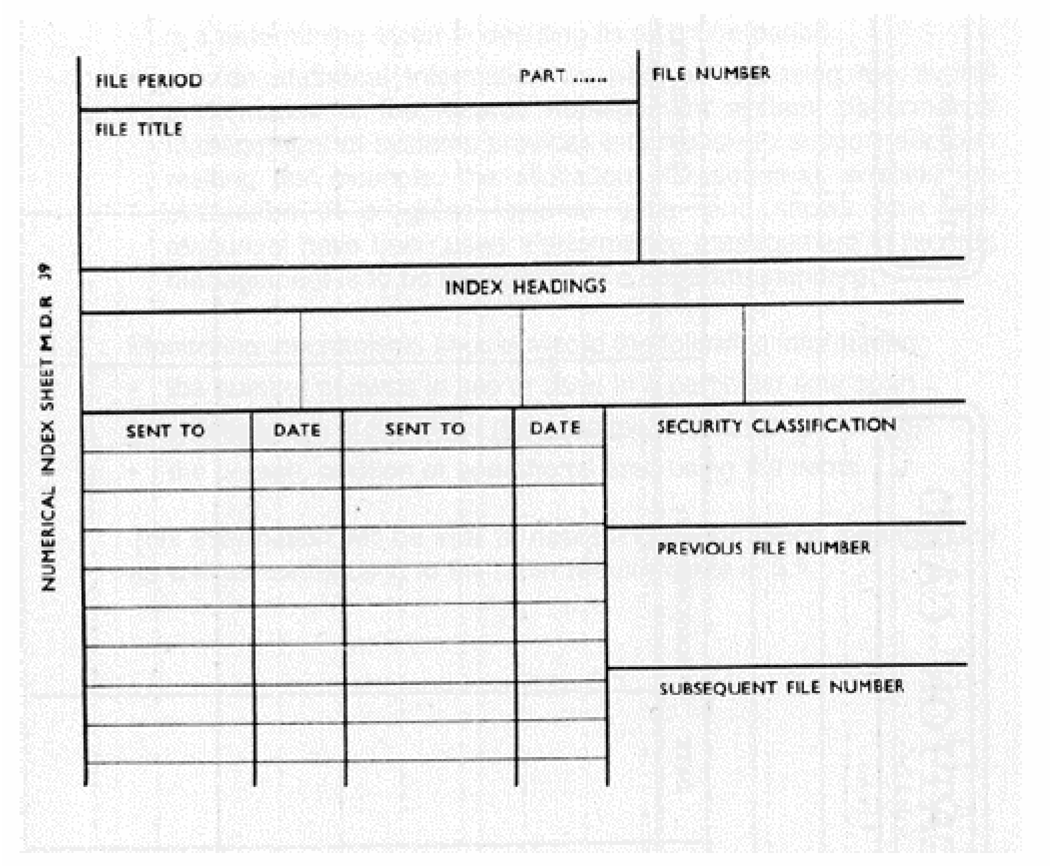
TITLE AND GIVEN NAMES (BLOCK CAPITALS)

SUBJECT (a brief indication of the subject should be included)

| FILE REFERENCE | FOLIO NO. | YEAR |
|---|---|---|
| | | |

From Public Record Office guidance, *Tracking Records* (http://www.nationalarchives.gov.uk/recordsmanagement/advice/pdf/stan_tracking.pdf)

**Figure 2: Example of a docket sheet**



NUMERICAL INDEX SHEET M.D.R. 39

FILE PERIOD

PART ......

FILE NUMBER

FILE TITLE

INDEX HEADINGS

| SENT TO | DATE | SENT TO | DATE |
|---|---|---|---|
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SECURITY CLASSIFICATION

PREVIOUS FILE NUMBER

SUBSEQUENT FILE NUMBER

From Public Record Office guidance, *Tracking Records* (http://www.nationalarchives.gov.uk/recordsmanagement/advice/pdf/stan_tracking.pdf)

**Figure 3: Example of an inventory form**

## Annex B: Sample inventory form

## Inventory of record collections survey form

| | |
|---|---|
| Record collection | |
| Alternative title/File reference code | |
| Originator | |
| Subject terms | |
| Description | |
| Open date: | Closed date: / Cut-off date: |
| Physical formats: (Application types which generate records in this collection) | |
| Owner: (Who manages these records?) | Physical location: *(Which system stores these records?)* |
| Access constraints | Protective markings |
| Links to paper files | |
| Source: *(Are records transferred/copied from other systems, or scanned from paper?)* | |
| Business function *(Which business function uses these records?)* | |
| Disposition *Retention period* | *Disposal action* |

From The National Archives guidance, *Guidance for an inventory of electronic record collections: A toolkit,* Annex B.
(http://www.nationalarchives.gov.uk/electronicrecords/advice/pdf/inventory_toolkit.pdf)