



# APPENDIX F

## RECORDS MANAGEMENT

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## 1 RECORDS MANAGEMENT OVERVIEW

The Records Management (RM) service is a company-wide function-based service that aims to collect and manage a diverse body of documentation. This documentation arises both within and exterior to the organization. NRK has its own records management policy that consists of a retention schedule and instructions specific to the service. The policy was decided by the top management body in 2014.

The service is primarily regulated by the Norwegian freedom of information act (FOI). The Norwegian Public Procurement Act (PPA) also affects this act. In addition, the Norwegian Personal Data Act (PDA) regulates information concerning personal privacy. A stake is also held by the National Archives of Norway (RA) to which NRK has obligated itself to deliver culturally significant documentation.

NRK's current records management system (RMS), ePhorte, is designed according to the Norwegian Archival Standard (NOARK5).

The primary challenge of the Records Management domain is declaring and channeling records in a greater extent than what is done today. Today, the RMS contains about 5-10% of what should have been recorded, according to the retention schedule.

## 2 SERVICES AND CUSTOMERS

Service	Description
Record filing	Manual and automated processing of files and applying metadata to the records management system. Appraisal of records.
Access management	System configurations for authorizing access to records and metadata
Record retrieval	On-demand retrieval of records according to access & security management
Security management	Authorized personnel
Information workflow counseling	Advising customers within the organization of best practices for information workflow
FOI Requests	Receival and coordination of requests according to FOI and internal policies
PDA Requests	Receival and coordination of requests according to PDA and internal policies
Legal deposit to RA	
System maintenance	Configuration of records management system according to retention schedule – databases, user levels, etc

Table 1: Services provided by Records management

### 2.1 Record Filing

#### Manual processes

The records management team appraises every document received, before filing them as records. The appraisal is handled according to the principles set forth in the retention schedule. There are two primary methods for filing records manually, either by importing files from MS Outlook to the records management system, or by scanning paper files and uploading them to the system. Both forms of manual transferal of files to the records management system are cumbersome and time consuming. One transaction can take up to three minutes to complete depending on the complexity of the document.

#### Automatic processes

The service currently has two integrations to other systems that generate vast volumes of data. The first system, Mercell, contains workflow pertaining to the procurement process, which in turn is regulated by the PPA. The files transferred from Mercell to the record management system are announcements, communication with potential providers and procurement protocols. The second system, Webcruiter, is the principal system in the hiring process. All applications and public data are transferred to the records management system, in accordance with the FOI.

## 2.2 [Access management](#)

Access management is based on an employee's position within the hierarchy of the organization. In theory, an updated organizational map should be duplicated to the RMS' user database; however, the RMS' organizational map is currently outdated. Every record is a part of a case file. Each case file and all its records belongs to one or several users. The records that the end user has access to, are decided by a record's access status. Having access to metadata does not guarantee access to the document itself. Overall, every user has access to metadata on any record. Should confidential information occur in the metadata, access will be limited to personnel in the RM-team and the case file owner. In addition to this, it is possible to assign users to given records. Access management is conducted in accordance with NOARK-standard.

## 2.3 [Record retrieval](#)

Even if every employee has a user profile within the RMS, only a few have access to the system itself. Accordingly, the RM-team are the main retriever of records. The retrieval itself consists of accessing several RM-databases and physical case files. Successful retrieval is dependent on knowledge of the organizational history within the RM-team. Retrieved records are distributed by email in accordance with the access management model.

## 2.4 [Security Management](#)

There are, as stated above, some licensees to the RMS outside the RM-team. Access to the RMS has to be approved at appropriate levels. Storage of data within the RMS is handled by the service provider (EVRY) and is regulated in a particular agreement.

## 2.5 [Information workflow counseling](#)

In addition to the RMS, the RM-team also provides advice and counseling that supports more digitized workflows within the legal rights handling domain. The counseling consists of setting up digital signature solutions and designing dynamic document templates.

## 2.6 [FOI-Requests](#)

The RM-team is the 1<sup>st</sup> line response to any FOI-request. The workflow consists of identifying the correct case handler for each request, keeping track of official deadlines and answering any questions the case handler might have. The RM-team can rely on the legal department for advice when needed. If an FOI-request has its origin within another media organization, the Communications department is also involved in advising on the shape of the answer to the FOI-

request. Some data is automatically public, and does not require case handling outside the RM-team. FOI-requests are declared as records themselves, if they are subject to case handling.

## 2.7 [PDA-Requests](#)

According to the PDA, any individual can make a request about information pertaining themselves that an organization is handling. As with the FOI-requests, the RM-team is the 1<sup>st</sup> line response when it comes to these requests. Due to GDPR, there is an increased focus on personal data in general.

## 2.8 [Legal deposit to RA](#)

NRK has obliged itself to transferring culturally significant documentation to RA. As of today, NRK has only transferred physical records. Going forward, NRK needs to position itself to handle the requirements set by RA.

## 2.9 [System maintenance](#)

Members of the RM-team keep in contact with the system provider, EVRY, to make sure the system configuration is satisfactory. Surveillance of automated processes, and error corrections related to these, is also a part of the system maintenance task.

# 3 [STRATEGY](#)

The RM-team operates according to the external regulations and internal policies set forth in chapter 1.

The RM-team's ideal future state of records management is process oriented record capture. In such a model, records would be created within the processes they belong, and immediately be made available for retrieval. Metadata would automatically be created by the process and stored within the RMS. All employees should have access to the RMS-database for on demand retrieval and possible reuse of recorded information.

## 4 PROJECTS

The RM-team is currently involved in several projects. The most important project aims to flesh out a new policy for information management. The project is currently in an initial phase, and the main concern of the project will be NRK's compliance with the laws and regulations described in chapter 1.

Parallel to this, the RM-team is looking into digitizing the workflow concerning legal rights, especially those pertaining broadcasting. The goal is to increase data quality by introducing dynamic templates and by digitally exchanging and approving legally binding agreements. The RM-team is cooperating with interested parties in the drama production department to test viable solutions, before introducing this on a larger scale.

The Origo-project has also shown interest in data exchange between the MAM-system and the RMS. The goal is to link metadata about legal rights from the RMS to the MAM, and thereby making the workflow concerning legal rights and broadcasting easier for the program departments.

Lastly, the RM-team has a stake in the Office 365 implementation project.

## 5 SERVICE LEVELS

The RM-team operates in the regular business hours. It strives to answer retrieval requests as fast as possible, preferably within a day. As of now, the deadline is decided by the employees requesting retrieval, and requests affecting broadcasting will always be prioritized. The retrieval process could be made more efficient by giving employees access to retrieve information themselves. This would also extend the service hours of record retrieval to 24/7.

The service levels of FOI-requests are defined by law. Internal NRK policy is that such requests immediately are distributed to appropriate case handlers during regular business hours.

## 6 SPENDING AND BUDGET

This information will be disclosed at a later stage in the process.

## 7 EMPLOYEES

The RM-team consist of six full time positions, with one position being shared by two employees. There is currently one regular employee on leave, and a temporary employee is filling this position. The team holds four bachelor's degrees and one master's degree in library & information science from Oslo Met, one master's degree in history and a unit-course in archival studies (includes RM)

from the University of Oslo. One employee has long experience with records management in NRK. In addition to formal education, most of the employees have varied work experience within the RM-domain.

## 8 NECESSARY HARDWARE, SOFTWARE AND FACILITIES

The RMS runs on a secure internet line (ASP), which is provided as a service from EVRY AS. The application is based on .NET, and is only accessible on MS Explorer. The RM-team uses an application called PixEdit to treat scanned files. The scanners are supplied by Canon. Software requirements are mainly based on an MS platform. Additional software linking RMS and MS Outlook must be installed on RM-hardware. The RM-team has no specific hardware requirements. The team also manages several on site repositories for physical case files.

## 9 GLOSSARY

Term/concept	Description
RM	Records management
RMS	Records management system. Currently using ePhorte
FOI	The Norwegian freedom of information act
PPA	The Norwegian Public Procurement Act
PDA	The Norwegian Personal Data Act
RA	The National Archives of Norway (in Norwegian: "Riksarkivet")
NOARK5	The Norwegian Archival Standard
Origo-project	NRK-project that seeks to structure metadata and build NRK's logistics infrastructure from scratch
MAM	Media Asset Management

*Table 2 - Glossary*