



Archival Policy Guide for Pension Trustees and Managers

February 2012

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Introduction

The Pensions Archive Trust (PAT) was established in 2005 with the particular objective of founding and maintaining a Pensions Archive, to ensure that material relating to the management and development of occupational and personal pensions in the United Kingdom is preserved, for the benefit of both researchers and the pensions industry.

Funding of PAT's work is wholly reliant on the generous donations of a number of organisations connected with the pensions business. Sincere thanks go to the following organisations for their support:

Aon Hewitt Limited

Barnett Waddingham LLP

BP Pension Trustees Limited

Capita Hartshead

GlaxoSmithKline plc

Imperial Tobacco Group PLC

Morgan Stanley Investment Management

Sacker & Partners LLP

The Law Debenture Trust Corporation plc

The National Association of Pension Funds

The Occupational Pensions Defence Union

The Pensions Management Institute

The Pensions Research Accountants Group

UBS Global Asset Management

To further this purpose, PAT has developed a partnership with London Metropolitan Archives, to provide a home for the collections deposited with the Pensions Archive, with a dedicated Archivist, so ensuring that they are managed and stored appropriately.

PAT is also concerned to promote the importance of preserving pension scheme records amongst those involved in the operation of such schemes, and providing advice and guidance on how they can safeguard their archival material.

This guide is therefore intended as a reference source for pension trustees and managers. It includes advice on how to manage the records created and maintained in the course of administering a pension scheme, and how any material that would be worthy of long term preservation in an archive should be handled. Unless specifically stated otherwise, the use of the word "organisation" is intended to cover all groups or individuals involved in the administration of pension schemes, whether they be trustees, a Pension Department operating within a company, external service providers administering a scheme, or a Company Secretary overseeing a scheme's

documents. It is not intended as a guide for the management of all the records of the company sponsoring a pension scheme: guidance on the management of corporate archives can be found on the Managing Business Archives website.¹

This guide focuses on pension scheme records but **the principles involved apply equally for records produced by professional bodies, professional service providers or other organisations in the pensions sector**. Relevant examples for such organisations are provided in the guide where possible.

Section 1 outlines the importance of maintaining an archive, and having adequate records management in place to ensure that material is available to preserve in an archive.

Section 2 runs through the key considerations associated with managing records in the first stage of their lives, whilst they are in current use by an organisation.

Section 3 provides information on the management of records when they are no longer actively used by an organisation and move onto being archives.

Section 4 considers the management of electronic records.

Implementing the recommendations in sections 2, 3 and 4 would ensure that an organisation was maintaining the highest standard of recordkeeping. **But this standard may not be possible (or appropriate) for every organisation, particularly if there is no existing recordkeeping system in place.** A lack of specialist support and training can also make it difficult to implement all the suggestions included in this guide. **However, every organisation should have the capacity to meet a basic standard for recordkeeping, and sections 2, 3 and 4 conclude with a list of essential elements to help your organisation achieve this basic standard.**

The Pensions Archivist would be glad to provide advice or discuss potential deposits of material for the Pensions Archive: her contact details are provided in **section 5**.

This guide has drawn on The Church of England Records Centre's *Guide for Parish Records* and the Business Archives Council's *Managing Business Archives* website. Details on these resources and directions to other sources of guidance are provided in **sections 5 and 6**.

¹ <http://www.managingbusinessarchives.co.uk>.

1. Importance of records management and maintaining an archive

Value of maintaining an archive

Selecting records to be preserved in an archive forms a permanent record of the development and management of a pension scheme or organisation allied to pensions.

On its website PAT emphasises the dual benefits of archives as both a record of achievements and a guide to influence current practice:

The history of occupational pensions within the United Kingdom has been a progressive development over very many years, to the increasing advantage of retiring employees. It has been hailed by successive governments, and by many others, at home and abroad, as a remarkable success story.

But mistakes have been made, too, and, especially in view of the problems which have occurred to pension schemes in recent years, it is very important that the means of learning from both the successes and the shortcomings, over past years and into the present day, should be maintained for all time.²

A pension scheme's archives provide a unique record of past practices, policies and precedents which can provide valuable information for the current management of the scheme, ensuring that rules and discretions are applied consistently, successes are exploited fully and mistakes are not repeated. They provide a continuous resource as staff move roles or leave the company. It is often suggested that a significant proportion of the intellectual capital of a pension scheme walks out of the door each evening. Careful records management can help to mitigate the risks which that implies.

Archives can provide evidence of a scheme's compliance with its legislative and regulatory obligations. Furthermore an archive collection can illustrate a pension scheme's history to its members, emphasising the scheme's endurance and reliability as well as demonstrating a commitment to openness and accountability. This offers reassurance to scheme members about the security of the scheme and their investment in it.

These factors have led a number of schemes to deposit their records with the Pensions Archive, including Lloyds Superannuation Fund Pensions Management Limited and Associated British Foods Pension Trustees Limited.

For other organisations in the pensions sector, the maintenance of an archive demonstrates an organisation's longevity and reliability, enhancing professional services companies' reputations with potential clients. For professional institutes and trade bodies, an organisation's records can be a way of appealing to new members, and add weight to an organisation's position as a consultant or source of research.

Value of records management

Management of the records currently in use in an organisation is vital to ensuring that material is retained to form an archive. However, effective records management can provide additional benefits for an organisation:

² The Pensions Archive Trust website <http://www.pensionsarchive.org/>.

Information resource: Records and the information contained in them represent a key asset of any organisation. Managing your organisation's records will ensure that they remain accessible, secure and up-to-date, and are available to provide accurate and current information to informed decision making and strategy development.

Efficiency: Managing your records effectively will contribute to the efficiency of the organisation. Staff will be able to locate information quickly and easily, without having to carry out long searches in multiple locations. They will be confident that the information they are using is current and has not undergone any unauthorised changes. Records will only be kept for as long as they are needed for operational purposes or to meet legislative or regulatory requirements, unless worthy of preserving in an archive: those not worth retaining in the long term will be destroyed in a timely fashion, ensuring that the organisation is not wasting money storing obsolete material.

Legislative and regulatory requirements: Pension scheme trustees are subject to a number of statutory and regulatory obligations relating to the maintenance of records. The Pensions Regulator's trustee guidance states that trustees must keep proper records, including minutes of trustee meetings, scheme member registers and transactions, and that trustees must hold original documents relating to the scheme, including the trust deed and rules, bank statements and correspondence with advisers. Trustees are also obliged to make information available about the scheme under the Occupational Pension Schemes (Disclosure of Information) Regulations Act (1996), including the trust deed and rules, actuarial valuations, schedules of contributions or payment schedules, statements of investment principles and the scheme's annual report.³ Equivalent legislation and regulations may apply to other organisations allied to pensions but, whatever the organisation, records management can ensure recordkeeping requirements are met.

Adherence to Data Protection legislation: The fifth data protection principle, set out in the Data Protection Act (1998), states that 'personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes'.⁴ The act also stipulates that personal data should only be used for the purpose for which it was originally collected. Business Link recommends that pensioners' records are only retained for 12 years after the benefit ceases.⁵ Effective records management can ensure that data protection legislation is adhered to, protecting a pension scheme from the risk of breaching the Data Protection Act by keeping records relating to members for longer than is permitted by the Act, or using personal data held by a scheme inappropriately.

In the current climate of financial uncertainty, having an organised set of records, clearly listed and arranged, would help pensions teams in the event of the collapse of a company especially if they suddenly have to vacate the premises where the records are kept.

The Pensions Regulator offers a neat summary of the risks involved with poor records management:

Poor record-keeping may lead to significant additional costs in a number of areas such as administration, error correction, claims from members, buy-outs, wind-ups and, potentially, may necessitate the making of more conservative actuarial

³ The Pensions Regulator website, 'Trustee Guidance'
<http://www.thepensionsregulator.gov.uk/guidance/guidance-for-trustees.aspx#twentyOne>.

⁴ Information Commissioner's website 'Data Protection Principles',
http://www.ico.gov.uk/for_organisations/data_protection/the_guide/the_principles.aspx.

⁵ Business Link website, 'Keep the Right Staff Records',
<http://www.businesslink.gov.uk/bdotg/action/detail?itemId=1074450470&type=RESOURCES>.

assumptions. Where a scheme's poor record keeping becomes known, it can cause reputational damage.⁶

Records management can help mitigate these risks.

2. Records management

Efficient records management occurs from the moment a record is first created to the time it is scheduled for destruction or relocated in an archive. It is vital to ensuring that a full archival record of an organisation can be kept for posterity. This section runs through some of the key principles and practices of records management: for further information or guidance please refer to the sources and contact details provided in section 6.

Creating records

There are two key elements to consider when creating new records: the materials used and how the record will be named.

Materials: Those working with archives see daily evidence of the damage common office stationery can do to archival material. Paper clips or staples rusting onto records, the adhesives in post-its and sellotape degrading and staining papers, chemicals used in faxes and photocopying deteriorating documents: the list could go on and on.

Therefore, if you know the records you are producing are likely to be needed for a long time, it is worth considering using acid-free, archival quality paper and avoiding the use of stationery products like post-its, paper clips, sellotape, tippex, plastic wallets, rubber bands etc. on these documents.⁷ Plastic paper clips, folders made from archival quality materials or paper wrappers could be used in lieu of these stationery items.

This element is very much for the gold-standard of records management and it is recognised that these recommendations may be impractical for many organisations.

Naming conventions: Documents should be named in a way that would clearly indicate the subject of the content of the file to anyone coming across the file. The title of the project, the type of records (such as 'Minutes of Joint Committee March 2010'), or the individual the records relate to would be appropriate titles for files.

The following tips, from the Church of England's *Guide for Parish Records*, provide a good guide for producing file names:

- Is there a recognised term for the subject? Use this for preference.
- Is the term likely to be recognised in the future? Try not to use current buzz words which may have passed out of use in the future when the folders have not.
- Try not to use abbreviations unless they are very obvious.
- Try to use a folder name that would enable a complete newcomer to both understand the subject from the folder name and find the information quickly.⁸

⁶ The Pensions Regulator website, 'Regulatory Guidance: Record-Keeping', <http://www.thepensionsregulator.gov.uk/guidance/guidance-record-keeping.aspx#s2597>.

⁷ Church of England Records Centre, 'Keep or Bin: Care of Your Parish Records' (available at http://www.lambethpalacelibrary.org/files/Parish_Records_0.pdf) pp. 6-7.

⁸ Church of England Records Centre, 'Keep or Bin: Care of Your Parish Records' (available at http://www.lambethpalacelibrary.org/files/Parish_Records_0.pdf), p. 4.

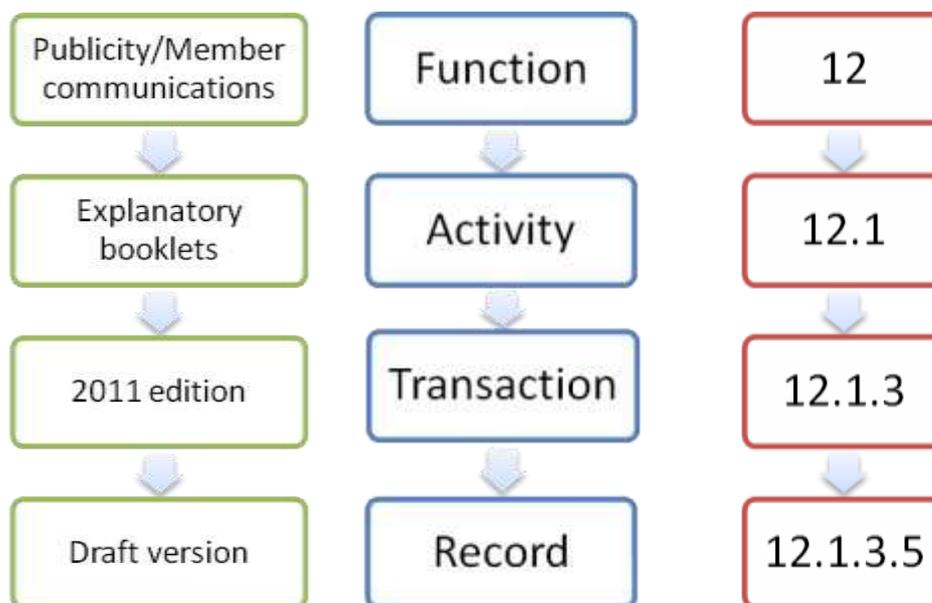
Naming files systematically is one of the most basic and effective elements of records management, and, if included in a record-keeping policy, can become the responsibility of staff across the organisation.

File plan

Once a record has been produced, the next thing to consider is where it will be stored. To ensure that records can be located swiftly by anyone in the organisation, an organisation-wide file plan should be developed and implemented.

This should be based on the activities of the organisation rather than by individual or sections as these can change over time. An effective file plan will be arranged into the business' key functions (for example, a pension scheme might be broken down into trustees, pensions manager, publicity, finance, investment management, human resources, scheme membership) and then broken down hierarchically to the activities and transactions associated with each function: new records produced in the course of these transactions can then be slotted into the file for this transaction, and when records need to be retrieved, it will be clear where they should be stored.

For example:



An organisational department structure might be a good place to start identifying the functions of an organisation, or the organisation could complete a records survey (see below).

The file plan should be distributed across the organisation and applied to electronic filing systems on shared drives as well as filing cabinets for paper records. Using a numbering system to produce file reference numbers, as shown in the example above, will help to file and retrieve records.

If you cannot do everything recommended in this guide, a file plan is one of the key elements that will ensure a basic standard of record-keeping is maintained in the organisation.

Records survey

In order to produce a file plan it may be necessary to carry out a records survey. This information can also be used to inform retention scheduling, another element of records management outlined below.

A records survey involves reviewing the type and volume of records used throughout an organisation, the staff they are created and used by, where they are stored and the format they are in. It can also capture useful information on how records are created and used, to inform the development of recordkeeping policies.

Further information on conducting a records survey is available on the *Managing Business Archives* website.⁹

Appraisal and retention schedules

Naming conventions and a file plan should ensure that records are produced and filed in a systematic way. The next stage of an effective records management programme is establishing retention schedules to ensure that records are only kept for as long as they are needed.

A corporate retention schedule for records across the organisation, setting down how long records need to be kept and dates for reviews or disposal, will help guide staff to ensure that record series are only kept for as long as necessary and make sure that records of historical value are retained and transferred to an archive. Along with naming conventions and a file plan, it forms one of the key basic elements of a recordkeeping structure.

Ideally, each record series produced by an organisation would be listed in a retention schedule, with the series name, retention instruction and time frame recorded. Information on the record series within an organisation can be found in the file plan or records survey.

Retention instructions should be developed in accordance with organisational needs and legislative and regulatory requirements as well as considering their value as a long-term record of the organisation's activities: for example, as mentioned above, following the guidance of the Pension Regulator, trustees should keep the scheme's Trust Deed and Rules permanently. But for routine monthly financial reports, it may only be necessary to keep such reports for organisational purposes for a few years: there would be no need to preserve this routine information within an archive and no regulatory requirements exist relating to such records, so they could ultimately be disposed of.

There are four key instructions used in retention schedules:

- **Deposit:** records need to be preserved for a significant length of time and should be deposited in an archive;
- **Review:** records need to be reviewed at a specified date to assess whether they are still of operational value or would be worth preserving in the long-term;
- **Sample:** if the process the record is documenting is of interest but there are a large volume of individual case files which do not all need to be retained, it may be appropriate to select a sample which illustrates the process involved and the information recorded, and then dispose of the remainder;
- **Destroy:** records do not need to be retained and can be destroyed at a specified date.

All instructions should include a time frame.

Additional guidance on developing retention schedules can be found on the *Managing Business Archives* website, although clearly with an area such as pensions, which operates from a very long-term perspective, standard rules about retention which are appropriate for general business records

⁹ Managing Business Archives website, 'Carrying Out a Records Survey and Information Audit' http://www.managingbusinessarchives.co.uk/getting_started/setting_up_an_inhouse_archive/carrying_out_a_records_survey_and_information_audit.

may require adjustment.¹⁰ Retention schedules can – and should – vary according to the individual circumstances and requirements of an organisation.

Below is an example of section of a retention schedule, intended to illustrate the format of such a document rather than as a fixed rule for how long these records should be retained:

Record's description	Instruction	Date to carry out instruction
Deed of appointment of trustee	Deposit	3 years after record produced
Minutes of Trustees meetings	Deposit	3 years after record produced
Pension Manager's subject files	Review	3 years after record produced
Correspondence with NAPF	Review	3 years after record produced
Scheme member's files	Sample	Death of member
Insurance policies	Disposal	20 years after policy ends
Contracts for minor works to premises	Disposal	6 years after last action with file

If you are unable to set up a full organisation-wide retention schedule, a good basic step would be to allocate an individual within the organisation with responsibility for ensuring that key record groups are identified as to be retained to prevent key documents being thrown out.

Policy

A records management policy is central to ensuring that file plans, naming conventions and retention schedules are adhered to by staff across the organisation and will help ensure the success of a records management programme.

A records management policy shouldn't be a complicated document: it simply sets down why records management is necessary and outlines employees' responsibilities relating to recordkeeping. It should be straightforward to write, and would typically include the organisation's expectations regarding:

- The creation of records (staff are expected to: apply the organisation's file plan and not use individual filing systems; follow corporate procedures for referencing and naming files; ensure records are stored and packaged appropriately).
- The use of records (staff are expected to: adhere to access restrictions and control access where necessary; track use of records and control creation of new versions; ensure data protection legislation is followed).
- The retention and disposal of records (staff are expected to: ensure that retention decisions are applied in a timely fashion for records they are responsible for; arrange for transfer of records to the archive where necessary).

The policy should be supplemented with staff training tailored to the organisation to ensure that staff are able to follow the policy. Examples of policies are provided in section 6.

A full, detailed policy may not be necessary or desirable for your organisation, but a basic document that sets down what is expected of staff is a good way of encouraging staff to consider recordkeeping in their day-to-day work.

¹⁰ Managing Business Archives website, 'Records Retention Schedules'
http://www.managingbusinessarchives.co.uk/getting_started/sustaining_the_archive/records_retention_schedules.

Data Protection

The Data Protection Act 1998 applies to personal data on living individuals in a relevant filing system. It aims to prevent unauthorised use of personal data and ensure that data kept relating to individuals is accurate.

The act gives individuals certain rights concerning personal data held about them: they are able to request a copy of data, demand it be corrected or erased, and be informed of the reason data was being held.

The act also stipulates that organisations who process personal data should notify the Information Commissioner about the organisation's activities, the personal data they collect and how this data is used. This information is then included in the national Data Protection Register.

In their use of personal data, all organisations which process personal data must comply with eight data protection principles, which stipulate that data must be:

1. Processed fairly and lawfully.
2. Obtained only for a specified and lawful purpose(s) and not be further processed in any manner incompatible with that purpose(s).
3. Adequate, relevant and not excessive in relation to the purpose(s) for which it is processed.
4. Kept accurate and up-to-date.
5. Processed in accordance with the rights of data subjects.
6. Kept for no longer than is necessary for the purpose(s) notified.
7. Kept securely.
8. Transferred outside the European Economic Area only if adequate safeguards exist.

There is an exemption to the act, section 33, allowing for the preservation of personal data in an archive collection for research purposes if certain conditions are met.

Pension schemes and professional institutes will both collect personal data about their members and are thus subject to the Data Protection Act. It is therefore important that they comply with the recordkeeping and reporting requirements in the Act.

Practical steps you could take to comply with the Act include:

- Ensuring the organisation is included on the Data Protection Register.
- Taking steps to ensure members understand why their personal data is being collected and what it will be used for.
- Ensuring personal data is kept securely: papers or registers should be kept in locked cabinets and not left out unattended on desks, computer documents should be protected with access controls and appropriate security protection from viruses and other malware.
- Taking steps to ensure data is updated on a regular basis.
- Responding to access requests fully and in a timely fashion.

Essential elements

The key steps to take are:

- Set up a system of naming conventions**
- Set up a basic file plan**
- Have an individual responsible for ensuring that key records are retained**
- Establish a recordkeeping policy**
- Be aware of the Data Protection Act**

3. Archives

Selection of material for long-term preservation

Maintaining an archive involves an on-going financial commitment to both the storage and management of historical material, so it is important that records are appraised effectively to ensure that only material worth preserving in the long-term enjoys this financial commitment.

With an effective records management system, records that need to be preserved should be identified as part of retention scheduling. For legacy records which pre-date the implementation of a records management system, organisations could consider employing a professional archivist to review and catalogue their records or contact a Record Office to discuss depositing materials with them. Typically record offices will carry out a visit to the organisation to survey the potential deposit and decide which records they will be willing to take; alternatively records will be appraised at the Record Office as part of the cataloguing programme, and material that is not worth preserving in the long term will be returned to the depositor.

Types of material to preserve

Through its work in surveying and cataloguing pension records, PAT can advise on the key types of material worth preserving in a pension scheme's archive.

The most common record types found in PAT's collections include:

Minutes, agenda and correspondence for trustee, directors or committee meetings: these records demonstrate how a scheme or organisation has been managed.

Annual Reports and accounts: although designed to produce annual information about a scheme, these records also facilitate an understanding of how the organisation has developed and evolved over time and can also illustrate the impact of legislation on pension schemes.

Trust Deed and Rules: formal documents governing the running of the pension scheme which also set out how pension benefits are calculated and payable. They can be used to study the original terms on which the scheme was established, how the scheme is regulated, and how the scheme has been amended over time.

Memorandum and Articles of Association: showing when a company was set up and changes in its constitution. Relevant companies would include corporate trustees, property management companies associated with the pension schemes, or companies providing professional services to pension schemes.

Other foundation documents: such as charters or charity foundation documents for professional institutes or associations.

Actuarial Material: reports from actuaries evaluate the ability of a pension scheme to meet its liabilities, and a series of reports can illustrate how a scheme has developed and the challenges it has faced.

Investment management records: Records relating to the scheme's investments both in the stock market and property. These records can illustrate wider investment trends, and can form evidence to demonstrate to the scheme's members and other interested parties how effectively the scheme's assets have been invested.

Pensions Managers' records: typically correspondence or subject files, these records show how a pension scheme was run. They provide evidence of management decisions and the reasons behind them, how challenges were addressed, and the design of new initiatives and their outcome. Since the Pensions Manager often has a dual responsibility both to the pension scheme trustees and to the sponsoring employer, his or her records may also include material as to how corporate decisions relating to pensions were made. For professional bodies and other similar organisations, **Secretary's papers** or other officer's papers provide a comparable perspective.

Explanatory booklets and other publicity material: these records indicate how a scheme communicated with its members. They also provide information on the benefits members could expect from their scheme, how contributions were made and the different types of membership available to staff.

Publications: provide evidence of the work of professional institutes or bodies. They also illustrate trends, topical concerns and responses to legislation within the pensions industry.

Membership records: some of PAT's pension collections include scheme member registers and contribution records, and professional bodies are also likely to maintain records relating to their membership. Such records require careful appraisal since the Data Protection Act requires that access must be restricted until the individuals to whom the records relate are dead. For pension schemes, these records are generally voluminous and will take up a lot of storage space. However, they do provide evidence of the information schemes held on their members and the profile of an organisation or scheme's membership; they are also potentially of interest to family historians in the future. It is therefore necessary to balance these factors when making a decision regarding whether to keep these records. A sample method could be used to provide evidence of the information which schemes or organisations held on their members, without committing to the retention of large volumes of material.

Managing archives

Once the records of historical value worth keeping in an archive have been identified, they can be arranged and described to produce a catalogue of the records. This allows the organisation and external researchers to see precisely what records are held, enabling the records to be used to their full potential, both by the organisation and other interested parties.

Archive collections are arranged hierarchically, not as individual objects, in contrast with library collections. The hierarchical structure provides additional information for the user on how the archive was produced and used. This structure is a result of observing the key archival principles of provenance and original order. The principle of provenance dictates that the records of an organisation or individual should stand alone and not be mixed with records from any other source. Archivists also try to maintain an arrangement that reflects how the records were arranged and used by the organisation or individual which created them – the collection's original order. Adhering to these principles is important, as it can provide important information on the context of the records for those using the collection.

The majority of archives describes their collections in compliance with the archive sector's standard for description, the International Standard of Archival Description (also known as ISAD(G)). This standard sets out key information elements to be included in descriptions and four key rules to follow when describing archival collections.

Another important element in managing archives is providing for the correct storage and conservation of materials. This involves protecting items from pests and adverse environmental conditions, storing collections in protective packaging, and arranging for any damaged items to be repaired by a qualified conservator.

Options for managing your organisation's archives

Organisations have three options for the management of their historical records:

1. Manage your archive collection in-house with a general member of staff, using the guidance provided in this guide and the *Managing Business Archives* website. This may be the most appropriate option for small collections.
2. Manage your archive collection in-house with a professional archivist.
3. Deposit your archive collection in a local record office or specialist archive.

Further information on the second and third options is provided in this table:

<i>In-house</i>	<i>Local Record Office</i>
Archivists and Records Managers complete a year long postgraduate qualification in archives and records management. These qualifications are offered at a small number of UK universities, and give them the technical skills and professional knowledge to manage collections effectively.	In the UK a network of record offices is provided by local authorities. They are primarily repositories for the records of the authorities, as required by the Local Government (Records) Act 1962 and Local Government Act 1972, but they also collect records relating to the wider history of the area, and are likely to consider accepting a deposit of records from organisations within their geographical remit.
As archivists are trained in both archives and records management, they may be able to manage both services for your organisation. Alternatively it may be possible to hire an archivist on a short-term contract.	An alternative place of deposit would be in a business archive – so ABC Limited's pension scheme records could be deposited in the ABC Limited company archive – or with the Pensions Archive.
An archivist will: <ul style="list-style-type: none"> - Appraise material for inclusion in the archive; - Catalogue material to ensure the scope of the collection is known and the records are accessible; - Supervise the use of archives to ensure they are not damaged; - Deal with enquiries from within the organisation and from external researchers; - Use the archive to promote the organisation where possible. 	<p>Depositing a collection in an archive could involve a visit from the archive's staff to assess the material and select the items they are willing to receive.</p> <p>Deposits can be made as a loan or as a gift, and archives will be able to provide a deposit agreement setting out the terms of deposit and the ownership both of the records and any copyright rights held in the records.</p> <p>Archives may ask for a donation, on a one-off or regular basis, to cover the management and storage costs associated with maintaining the collection. (PAT does not currently ask for such donations when archives are deposited although, of course, they are most welcome.)</p>
An in-house recordkeeping professional will be well placed to set up an archive, manage and exploit the records within it, and contribute to the management of modern records within an organisation.	Depositing archives in a record office ensures that the records will be managed by professionals and stored in the appropriate environment. It will also facilitate the wider use of the records.

<p>The Archives and Records Association or the Records and Information Society (the archive and records management sector's professional associations) will be able to provide advice on the recruitment of archive and records professionals. Their contact details are provided in section 5. Further information on recruiting recordkeeping professionals can be found on the <i>Managing Business Archives</i> website.</p>	<p>The ARCHON Directory provides a list of UK record repositories and their contact details. See section 6 for the web address.</p> <p>The Pensions Archivist at London Metropolitan Archives will also be happy to discuss potential deposits with Pensions Managers and Pension Trustees and other interested parties.</p>
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Essential elements

The key steps to take to manage archival material are:

- Ensure that key record types worth preserving in an archive are kept by the organisation (see section 2)**
- If there is a small amount of material, take steps to manage the material in house, including providing for adequate storage and a basic list of material**
- For greater volumes of material, contact a record office to discuss depositing material in an archive**

4. Electronic Records

Computers have revolutionised the way we work and communicate. They have also had an impact on the way records are produced, used and stored. Increasingly, records are created as Word documents, spreadsheets or databases, edited by a variety of people, and disseminated electronically: they remain as digital records throughout their existence. But the information they contain and the evidence they provide remain as important as traditional paper based records, and it is therefore just as important to manage digital records effectively.

Would printing copies of electronic records to incorporate in the paper recordkeeping system provide a solution? The volume of electronic material produced by the average office and the number of changes made during a record's lifespan would make this an ineffective solution. Additionally some electronic formats – databases for example – include functionality that cannot be replicated in printouts.

This guide will not attempt to provide comprehensive guidance for the management of electronic records: in fact, there is currently no consensus within the recordkeeping profession on what the best way to manage and preserve electronic records. A few elements for you to consider are listed below.

Follow the same basic principles as paper records

In many ways electronic records require the same management as paper records. One of the first steps an organisation can take in managing its electronic records is to set up a filing system on its shared drive to mirror its paper filing plan. Electronic folders can be named and numbered in following the file plan. Similarly, electronic records should be included in retention schedules. Rules for paper records about controlling security access, monitoring different versions of records and applying retention schedules apply equally to electronic records.

Exploit the additional functionality of electronic records

It may be possible to set up password protection for documents for which access needs to be restricted. Systems may be able to record details on the individuals who access documents and track changes made. Emails can be saved to network folders to ensure they are retained if needed as evidence or for information.

Policy

An organisation's recordkeeping policy should include procedures for dealing with electronic records to guide staff. Additionally, if an organisation has an IT use policy for staff, it might be worth incorporating a section on electronic recordkeeping in this policy. The recordkeeping policy should include an instruction to staff to save company documents on a shared drive, accessible to staff throughout the organisation, rather than the computer's hard drive or a staff member's personal area.

Digital preservation

Preserving electronic records represents an additional challenge. There are two key issues with preserving electronic records: the formats the records are stored in may become inaccessible and the operating systems used to access records are also at risk of becoming obsolete and unusable. There are also issues surrounding the longevity of storage media used for electronic records.

These issues mean that it is vital to record technical information and information about the context and history of a record alongside the record to help ensure its continued accessibility.

The three current solutions for preserving electronic records are:

- Preserve the operating system used to access the records;
- Create software to emulate the original operating system; or
- Migrate the records to new formats as technology advances.

More information about digital preservation can be found on the Digital Preservation Coalition's website (see section 6).

Electronic Records Management Systems

For larger organisations an electronic records management system (ERMS) may be appropriate for managing electronic records: these are available from a number of IT developers, but this is very much the gold-standard of recordkeeping and would not be necessary for the majority of organisations covered by this guide.

Essential elements

For electronic records, the key steps you should think about pursuing are:

- Set up a filing system on the organisation's computer network and encourage staff to use it appropriately**
- Instruct staff to save company documents to a shared drive**
- Consider the long term preservation of the material**

5. Additional Support

The PAT Archivist will be happy to discuss potential deposits for the Pensions Archive, and can provide advice on the types of material which should be preserved.

Katy Johnson, PAT Archivist

City of London: London Metropolitan Archives
40 Northampton Road
London
EC1R 0HB

Tel: 020 7332 3879

Email: katy.johnson@cityoflondon.gov.uk

There are two professional associations for the archives and records management sector who may be able to provide assistance with recruitment– the Archives and Records Association or the Information and Records Management Society.

Archives and Records Association

Prioryfield House
20 Canon Street
Taunton
Somerset
TA1 1SW

Tel: 01823 327 077

Email: ara@archives.org.uk

Information and Records Management Society

Benchmark Communications
14 Blandford Square
Newcastle upon Tyne
NE1 4HZ

Tel: 0191 244 2839

Email: info@irms.org.uk

Should you wish to recruit a Records Manager or other recordkeeping professional, there are a number of specialist recruitment agencies specialising in the information management sector; please see <http://www.irms.org.uk/recruitment-specialists> for a list.

6. Resources

The Pensions Archive's website

- <http://www.pensionsarchive.org/>

General guidance

The *Managing Business Archives* website contains a range of information to help businesses manage their archive collections. It is aimed at company personnel with no prior knowledge or expertise in archive management as well as business archive practitioners.

- <http://www.managingbusinessarchives.co.uk/>

The Church of England Records Centre provides a number of records management guides aimed at church staff, but the general guidance can be applied more broadly.

- <http://www.lambethpalacelibrary.org/content/recordsmanagement>

The National Archives provide guidance on caring for archives and records management best practice. The latter is aimed at public sector bodies but the principles apply equally to businesses.

- Caring for Archives <http://www.nationalarchives.gov.uk/information-management/projects-and-work/caring-archives.htm>
- Records management guidance <http://www.nationalarchives.gov.uk/information-management/projects-and-work/records-management-guidance.htm>

The International Records Management Trust provides educational and training materials related to records management.

- <http://irmt.org/>

Contact details for UK record offices

ARCHON Directory: <http://www.nationalarchives.gov.uk/archon/default.htm>

Examples of records management policies

- Canterbury City Council: <http://www.canterbury.gov.uk/main.cfm?objectid=662>
- Central and North West London Mental Health Trust
http://www.cnwl.nhs.uk/uploads/Record_Keeping.pdf
- Hampshire County Council <http://www3.hants.gov.uk/archives/hro-policies/hro-records-management-policy.htm>
- University of Edinburgh:
http://www.recordsmanagement.ed.ac.uk/InfoStaff/RMstaff/RM_framework.htm
- University of York : <http://www.york.ac.uk/recordsmanagement/rm/policy.htm>

Digital Preservation

- Digital Preservation Coalition <http://www.dpconline.org/>