

ISC11D004

Title: Records management implementation plan
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Issue

An update on the implementation of Records Management best practice at the institution with a particular reference to staff resource and roll out considerations.

Recommendation

Recipients are invited:

To consider and approve the proposal for further development of Records Management.

Resource Implications

Records Management should be resourced from within existing budgets.

Risk Implications

The risks associated with not doing records management were discussed in the original proposal considered at the June 2011 ISSC meeting.

Equality and Diversity

The proposals are not expected to impact on groups with protected characteristics, and no adverse impact has been identified.

Timing of decisions

Approval of the approach to be taken is expected at ISSC on 10 November 2011.

Further Information

- Raymond Scott (ISD), x3561, r.scott@uea.ac.uk
- The University Records Management policy is available at <http://www.uea.ac.uk/is/strategies/infregs/recordsmanagement>.
- In September 2011, the ICO published guidance for the HE sector specifically on the application of FOIA/EIR. Section 2.4 - Records Management states 'Good records management will help public authorities to comply with freedom of information legislation and can improve business efficiency.'¹

Background

On 10 December 2010, the Vice Chancellor signed an ICO undertaking committing the University to support the following statement:

“(3) The importance of good records management is embedded into the University’s information management processes, procedures and culture;”²

Following this, a Records Management proposal and draft records retention schedules were considered at the June 2011 ISSC meeting. The ISSC meeting observed that the proposals could impose a significant burden on the University at the same time as the Administrative Integration Project and it was unclear exactly how the proposal could be resourced at the time without diverting resource from other areas which would detrimentally impact on service.

A natural fit for Records Management is with information compliance – the team handling FOIA/EIR and DPA requests. However, UEA is kept particularly busy with its handling of FOIA/EIR requests, their appeals and complaints to the ICO for further investigation and without additional resources will only be able to provide limited support.

This paper has been circulated to the Heads of all administrative groups for comment prior to submission to ISSC.

Discussion

It is proposed that each department will:

- Assign staff to look into Records Management in more detail.
- Confirm which business records they hold.
- Over the next 6 months (between November 2011 and April 2012), complete a Records Retention Schedule (RRS) for their own business area based on the JISC business classification scheme (BCS), updated to reflect language used at UEA.
- Update the classification scheme to include any record types not already listed.
- In consultation with ISD, contribute to the creation of an institutional RRS accounting for any shared interests in particular record types.
- Develop procedures to ensure that records are managed in line with the University’s records management policy and their RRS.

To enable departments to make effective progress with this work, and to help highlight the importance of good records management, ISD will:

- Provide practical assistance and guidance to departments.
- Brief those tasked with addressing Records Management in their area on the recommended approach
- Provides a framework to record decisions.
- Provide an option to refer back any further requests for guidance as they arise so the work can continue to progress.
- Develop and deliver a training course in Records Management based on information provided in the original proposal.
- Publish more detailed support and guidance about Records Management on the ISD Information regulations and policies web pages.
- Include reminders about the need for good records management in the annual Information Compliance email to all staff describing FOIA/EIR/DPA obligations.
- Following the completion of the departmental RRSs by April 2012, compile a master RRS for the institution highlighting shared interests across two or more departments in the same record type, and ensuring a consistent approach is taken.
- Report a complete RRS to the June 2012 ISSC meeting.

Records will be held in various parts of the institution: both in the central units, and within Schools and Faculties. Regular (quarterly) reviews on the application of Records Management across all administrative departments can be conducted at the Registrar’s staff meetings.

Appendix: Record types and departmental owners

The following table suggests the most likely owners of master records for the main record types in the BCS, and points to other areas where copies of records may also be held.

Type	RRS	Master owner	Other owners
General	Strategy, policy, procedure documents	ALL	
Academic	Academic award administration (congregation)	PLN + PPE (for PGR awards)	
Academic	Academic taught programme administration	LTS/PLN	
Academic	Statutory returns	PLN	
Academic	Student assessment administration (taught programmes)	LTS/PLN	
Academic	Student registration, progress, records	LTS/PLN + PPE (for PGR)	
Academic	Teaching	LTS/PLN	
Alumni	Alumni relations	ARM	Faculties
Alumni	Fundraising	VCO	
Alumni	Statutory returns (destination of leavers)	DOS (Careers)	
Estates and facilities	Environmental management	EST	
Estates and facilities	Estate management	EST	
Estates and facilities	Facilities management	EST	
Estates and facilities	Statutory returns	EST	
Executive management	Audit	VCO	
Executive management	Corporate planning and performance management	VCO	
Executive management	Governance (minute books for University committees: Council, Senate, Finance, Audit, LTC, etc.)	PLN (Committee Office)	
Executive management	Government relations management	VCO	
Executive management	HE/FE sector relations management	VCO	
Executive management	Legal affairs management	VCO	
Executive management	Management information, surveys, market research, collection, analysis and reporting	PLN (BIU)	
Executive management	Organisational development	VCO	

Type	RRS	Master owner	Other owners
Executive management	Parliamentary relations management	VCO	
Executive management	Risk management	VCO	ALL
Finance	Finance management (inc. invoices and debt management)	FIN	ALL
Finance	Insurance management	FIN	
Finance	Procurement	FIN	ALL
Finance	Tuition fees administration	PLN + PPE (For PGR)	
Finance	Statutory returns	FIN	
Information services	Archives management	ISD	ALL
Information services	Collections management	ISD	
Information services	Information and communications technology (ICT) systems management	ISD	
Information services	Information compliance management	ISD	
Information services	Management information collection, analysis and reporting	ISD	ALL
Information services	Records management	ISD	ALL
Knowledge transfer and enterprise	Consultancy	REN	
Knowledge transfer and enterprise	Education and training	REN	
Knowledge transfer and enterprise	Intellectual property rights (IPR) exploitation	REN	
Knowledge transfer and enterprise	Intellectual property rights (IPR) management	REN	
Marketing and communications	Community relations management	ARM	
Marketing and communications	Marketing	ARM/PLN (BIU)	
Marketing and communications	Media relations management	ARM	
Marketing and communications	Public relations management	ARM	
Marketing and communications	Publications management	ARM	Faculties
Marketing and communications	Publishing	ARM	Faculties
Personnel	Equality and diversity management	PPE (Students) + HR (Staff)	ALL
Personnel	Human resources management	HRD	ALL
Research	Research management	REN	

Type	RRS	Master owner	Other owners
Research programmes	Research programmes (PGR students)	PPE	
Safety	Equipment and consumables management	USS	ALL
Safety	Health and safety management	USS	ALL
Student admissions	Student recruitment, admissions	ARM + PPE (PGR)	
Student support	Learning support	DOS	
Student support	Student appeal, complaint, discipline	LTS + PPE	
Student support	Student loans, bursaries and scholarships	PLN	
Student support	Student financial support administration	DOS	
Student support	Student relations management	DOS	
Student support	Students' union relations management	DOS	