

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.
- Provide 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 | |