The University of Dublin
Trinity College

Minutes of Information Policy Committee Meeting, Thursday 10th June 2010

Present	Eunan O'Halpin (in the chair), Director of IS Services (Secretary), The College Secretary, The Librarian, GSU President
Apologies	Dean of Engineering & Science, Dr. Liam Dowling, The Bursar, The Vice-Provost
In attendance	MIS Manager, Deputy Librarian, Ms Kirby Anderson
(by invitation)	Mr. Cathal O'Donnell – Director of Buildings

SECTION A

IPC/09-10/45   **Minutes** The minutes of the meeting held on 22nd April were approved.

IPC/09-10/46   **Matters Arising:**
46.1 The minutes from the previous meeting were raised at the Board, as clarification was needed on the Campus Card project. Clarification was sought on the budget. The Director of IS Services stated that the project was been financed by the Director of Buildings and IS Services and would be implemented within the agreed budget of €340,000.

46.2 The College Secretary requested that the committee consider a Record Management Document that was tabled.

46.3 Under Section C of the previous minutes it was noted that the Information Policy Committee agreed to adopt the use of accessible fonts for all future meetings.

IPC/09-10/47   **IS Services Annual Report – Director of IS**

47.1   The Director of IS presented the IS Services Annual Report to the Committee and highlighted the following points:

- The performance and availability of most of College critical IT systems were in line with industry best standards.
- There has been an increase in the number of calls to the helpdesk from last year. There are now nearly 50,000 calls annually. This information is available on the IS Services website and is updated on a weekly basis.
- There was no major outbreaks of viruses and the protection systems that are in place performed to nearly 100%.
- In 2004, there were a total of 145 wireless access points. This figure increased to 650 access points in the last year.
- A number of Copyright issues for illegal downloading have been noted. The majority of these have been students down loading films or music. It is the student's responsibility to comply with all copyright restrictions, however, the College must ensure that PC's are not being used for illegal downloading.
- IS Services are looking at new systems that will considerably reduce the cost of printing. It is hoped that this system will be installed in the new Biosciences building.
- The new Virtual Learning Environment should be in place for the Academic year 2011.
- Phoenix House will be installed with IP Telephony.
- The College Network was upgraded to 10GB last month. The College now has two 10GB networks one of which is dedicated to research work.

47.2 The Chair enquired about the involvement of IS Services with the College's Control Development Plan. The Director of IS reassured the Chair that IS Services has submitted a proposal to the Director of Buildings on the relocation of IS Services.

47.3 The Academic Secretary queried the services which are being outsourced, in particular the email system. The Director of IS informed the Committee that student email, printing and smaller projects, such as storage requirements, are currently being outsourced. Staff email is currently undergoing an upgrade to the new Exchange System. This will give IS Services the option to outsource this service at a

later date if required. The current infrastructure is quite old and is in need of an update.

47.4 The Chair enquired about the security and integrity of the Student email system. The Director of IS informed the Committee that this was a key consideration in the selection of the student email system. IS Services technical experts also advised the College to keep the tcd.ie domain as this would guarantee that the email can be returned to TCD at any time from any outsourcing companies.

47.8 The MIS Manager spoke of the BPOS Feasibility Study which was conducted by the IS Services Technical Team. The product which was offered by Microsoft did not meet our requirements. However, the Technical Team identified the difficulties which they might face again.

IPC/09-10/48   **Systems Proposals**

                     Updates

IPC/09-10/49   **Virtual Learning Environment (VLE), Unified Communications, Data Centre**

49.1 The above projects were mentioned in the IS Services Annual Report.

IPC/09-10/50   **EDUROAM - Project Closure Document**

50.1 The MIS Manager presented the EDUROAM project closure document to the Committee. This is a roaming service for Academic Institutions which allows members to log on to the network using their own log-in details. It is currently being used in the Innovation Academy to allow UCD students to logon to their own institution from the TCD network.

50.2 The instructions that are EDUROAM compliant are on the IS Services Website.

50.3 The Academic Secretary enquired about possible plans to develop a staging area for the College time-tabling system, CMIS. The Director of IS informed the Committee that the development of a Staging Area is currently being

looked at to ensure that all options are covered. A work group has been tasked with conducting a feasibility study.

IPC/09-10/51   **New**

Project Initiation Document - Campus Smartcard System

51.1 Mr. Cathal O'Donnell presented the updated Campus Smartcard proposal highlighting the following points:
- Allocation of €340k has been agreed by the Chief Operating Officer with the funding coming from IS Services and the Director of Buildings. The project is split in to 3 components; Central Management System, Card Production System and New Physical Access Control Systems.
- Additional services can be added to the card including access to the Sports Centre, Printing and Cash Less Services.
- The current service is in need of an replacement. At the moment it is costing €160k annually.

51.2 The Academic Secretary enquired as to why Accommodation and Catering services were not included in the Proposal. Mr. O'Donnell informed the Committee that the proposal is divided in to different Management Areas. At the moment, Accommodation and Catering have their own access control system and this can be easily interfaced. The Director of Accommodation and Catering is very interested in the concept.

51.3 The Chair was interested in the expected lifespan of the project. Mr. O'Donnell advised the Committee that last year they received funding for a standard system. This is a long-term investment of 5-10years. Ideally they would like to work with IS Services to integrate the card with the Active Directory (AD) system in IS Services.

51.4 The GSU President highlighted the issue with the different colours per year for the current cards. The MIS Manager mentioned that people do use these cards as an identification and this will need to be taken in to

consideration. There could be an option for sponsorship of the cards.

51.5 The Committee accepted the Campus Smartcard Proposal and the Chair will seek final approval from the remaining members of the Committee.

IPC/09-10/52   **AOB**

Network Outages Arts Building

52.1 The Chair requested that the Director of IS comment on the network outages in the Arts Building. The Director of IS informed the Committee that as the building's electrical wiring installation is quite old, a number of sockets have been wired together and the communications equipment for networking is also on these sockets. IS Services has been progressively shifting their communications to dedicated power sockets in many buildings across College to ensure network connectivity is maintained.

52.2 The power outage that is scheduled for Saturday in the Art Building is to install a Uninterruptible Power Supply (UPS). This will reduce the number of outages considerably.

52.3 The Deputy Librarian raised her concerns with the outage scheduled for Saturday would have an effect on the Library service. The Director said he would raise the matter with the Chief Technician in IS Services.

IPC/09-10/53   **Record Management Policy**

53.1 The College Secretary presented a revised Records Management Policy to the Committee, noting that the amendments were required to take account of auditing requirements associtaed with ERDF and ESF funding.

53.2 The College Secretary clarified the need to implement these changes noting that each area in College is required to have its own document retention schedules appropriate to its activities. It was noted that electronic records come within te scope of the policy.

53.3 The GSU President was informed that the Student Bodies were not included in the Policy.

53.4 The Committee approved the policy and agreed that the revised policy would be circulated to Board with the minutes of the meeting.

IPC/09-10/54   **Next Meeting**

2.30pm, Thursday 21st October 2010, Henry Jones Room

54.1 The schedule for next year's meetings were distributed to the Committee

SECTION B

IPC09-10/55   **Minutes from sub-committees**

Library Committee Minutes

55.1 The Librarian circulated the Draft Policy of Post Print to the Committee. This document has been issued to the Research Committee and will be going ahead. The circulated document is for information only.

55.2 The Chair enquired if the Policy would include books. The Librarian responded that it will cover all scholarly documentation, however, it would not cover an entire book.

55.3 The Chair asked if there was an update on the Manuscript Catalogue. The Deputy Librarian informed the Committee that it is due to live this month.

SECTION C

Meeting closed at 3:50pm

Attachment 1.

Records Management Policy

Revised June 2010

1. Introduction

The information that College [1] records contain serves as evidence of functions executed and activities performed, and comprises a vital source of knowledge as to how and why decisions were taken. Given that good quality records are of value to any organisation, their effective management is necessary to ensure that the records maintained are authentic, reliable and complete and to ensure that they are protected and preserved as evidence to support future actions and to ensure current and future accountability.

[1] The term 'College' is used for brevity but should be taken as referring to The University of Dublin, Trinity College

2. Official Records

All records created and received in the course of its official business constitute the official records of The University of Dublin, Trinity College.

3. Records Management

This is the application of controls to the creation, maintenance and use and disposal of records, elements of which include correspondence and forms management, records classification, files management, retention scheduling, disaster planning, vital records protection, the administration of inactive records storage, the management of record conversion programmes, archival preservation activities and destruction of records. Good records management is of especial significance in the context of the College's functions, where the maintenance of academic records is a core activity.

4. Rationale for Records Management

Effective records management will assist the College to create and maintain records that enable it to:

- Conduct business in an orderly, efficient and accountable manner
- Deliver services in a consistent and equitable manner
- Support and document policy formulation and managerial decision-making
- Provide consistency, continuity and productivity in management and administration
- Facilitate the effective performance of activities throughout the College

- Facilitate the efficient handling of enquiries concerning records of the College
- Facilitate the management of risks to records safekeeping and provide continuity in the event of disaster
- Meet legislative and regulatory requirements, including archival, audit, Freedom of Information and oversight activities
- Provide protection and support in litigation, including the management of risks associated with the existence, or lack of evidence of, organisational activity
- Ensure that adequate records are made of all the vital activities of the College
- Protect the interests of the organisation and the rights of employees, clients and present and future stakeholders
- Support and document current and future research and development activities, developments and achievements, as well as historical research
- Provide evidence of business, personal and cultural identity
- Maintain corporate, personal or collective memory

5. Objectives of the Records Management Policy

5.1: The purpose of this records management policy is to ensure the creation and management of authentic, reliable, complete and usable records, capable of supporting the College's functions and activities for as long as they are required.

5.2: The objectives of the policy are to:

- Provide a statement of intent declaring records management standards for the administration of College records
- Support organisational compliance with legislation and College regulations
- Establish a system of records management within College
- Ensure the preservation of records of permanent value and establish criteria to maintain and assure continued access for the College to appropriate historical records

6. Scope of Policy

6.1: The official records of the College consists of recorded information, regardless of format, created or received by College officers and employees in the course of performing official functions on behalf of the College and held as evidence of its organisation, functions, policies, decisions, procedures, operations, and internal or external transactions.   Records can be recorded on any physical form or medium, including paper or electronic.

6.2: All official records created or received by the College and its officers and employees in the course of their official duties are the property of the College and subject to its overall control and must be created, maintained, used and disposed of in accordance with procedures and guidelines approved by the appropriate College authority.

6.3: Employees leaving the College or changing positions within the College are to leave all official College records for their successors.

6.4: This policy is applicable to all areas and locations of the College and includes all official records that are held by the College or are under the control of the College.

7. Responsibility for College Records Management

7.1: All official records must be retained as long as required to meet legal, administrative, financial and operational requirements of the College, after which time they are either destroyed or transferred to the College Archives in accordance with the archiving policy. [See Appendix 1 for specific requirements for European Regional Development Fund/European Social Fund]

7.2: It is the responsibility of the individual offices to ensure that appropriate security measures are observed for maintaining official records containing personal or other confidential information.

7.3: All official records approved to be destroyed must be disposed of in a manner that safeguards the confidentiality of the information they contain.

7.4: While operational responsibility rests with each head of department, assistance is provided by the Assistant Librarian (College Archives) who provides advice regarding College Archives procedures.

7.5: All official records that are permanently preserved must remain accessible to relevant officers and employees.

8. Other requirements

The following documents will be required to give effect to the records management policy and will be developed

A records management implementation plan

- A records management implementation plan;
- A records classification scheme;
- Records retention schedules;
- A records management procedures manual

- Guidelines for the management of electronic records

9. Terminology

9.1: *Records*

The Freedom of Information Act, 1997, gives the following definition:

"'Record' includes any memorandum, book, plan, map, drawing, diagram, pictorial or graphic work or other document, any photograph, film or recording (whether of sound or images or both), any form in which data (within the meaning of the Data Protection Act, 1988) are held, any other form (including machine-readable form) or thing in which information is held or stored manually, mechanically or electronically and anything that is a part or a copy, in any form, of any of the foregoing or is a combination of two or more of the foregoing;"

9.2: *Classification*

This has been defined as the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.

9.3: *Records Retention Schedules*

A Records Retention Schedule is a control document that describes the College's corporate records at a series level and indicates the length of time each series shall be retained as active before transfer to semi-active storage; the length of time each series should be retained as semi-active prior to final disposition; and the final disposition of each series.   This document serves as the College's approved authorisation for the disposal of records.

Appendix 1:

European Regional Development Fund/European Social Fund Retention of Documents

All documents forming part of the audit trail must be retained for a minimum of three years after the closure of the programme to which they relate. All original supporting documentation will be retained in accordance with Article 90 of Council Regulation (EC) 1083/2006[1] and Article 19 of Council Regulation EC 1828/2006 i.e. for three years after the closure (date of last payment from the European Commission to the programme) of the programme. This means that all supporting documentation in respect to assistance received under the ERDF Structural Funds must be retained for a period of three years after the final payment has been received for all Operational Programmes under the current round 2007-2013. Therefore all supporting documentation may need to be retained until at least 2022.

During this period documents should be available for inspection by Managing and Certifying authority staff, auditors, certifying officers and other national or Commission officials. Documents forming the audit trail at each level of the cascade must be retained in readily retrievable form and be readily accessible.

Public Beneficiary Bodies should retain the following:
- Financial plans
- Grant approvals
- Audit Reports – Audit Authority
- Accounting record of payments made and funds received
- Form B0 (Expenditure Declaration) and attached schedule of payments
- Form B1
- Completed Article 13 checklists and reports
- Timesheets
- Employment Contracts
- Original Invoices and documents of equivalent probative value
- FMS print-outs
- Procurement and Publicity documentation
- Bank Statements

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[1] *Article 90 of Council Regulation (EC) No 1083/2006 states "the managing authority shall ensure that all supporting documentation regarding expenditure and audits on the OP are kept available for the Commission and the Court of Auditors for a period of three year following the closure of the OP."*