

**GOLDSMITHS
University of London**

ACADEMIC BOARD/FINANCE & RESOURCES COMMITTEE

INFORMATION MANAGEMENT AND SYSTEMS COMMITTEE

Minutes of the meeting held on 14 October 2009

Present: Mr Hugh Jones (in the Chair), Dr Virginia Brooke, Dr Stephen Cottrell, Dr Basem El-Haddadeh, Ms Mary Nixon, Ms Vivienne Rose, Ms Juliet Sprake, Dr Marian Ursu, Miss Rosemary Harrison (Secretary).

Apologies: Professor Chetan Bhatt.

Observer: A visiting researcher.

OPEN BUSINESS

1 MINUTES

Resolved:

that the Minutes of the meeting held on 12 May 2009 be approved.

2 CONFLICT OF INTERESTS POLICY

Noted:

the College's Conflict of Interests Policy, and its potential implications for the obligations of members of the Committee (09-319).

3 STANDING ORDERS

Noted:

the Standing Orders in force for all Goldsmiths Committees from 1 September 2009, incorporating minor amendments from that date, which would not however affect Information Management and Systems Committee (09-320).

4 TERMS OF REFERENCE, COMPOSITION AND MEMBERSHIP OF INFORMATION MANAGEMENT AND SYSTEMS COMMITTEE

Noted:

the terms of reference, composition and membership of the Committee for the academic year 2009-10 (09-348).

5 ACTION TAKEN BY THE CHAIR

Noted:

the action taken by the Chairs of the Committee and of Council in approving minor amendments to the Management Framework for Information Law to reflect changes in structure and nomenclature within the administration.

6 RECORDS MANAGEMENT STRATEGY AND POLICY (Minute 25, 12 May 2009, refers)

Received:

- (i) a report on the second phase of the CIMTECH project, and next steps contributing towards a Retention schedule and the realisation of other aspects of the draft Records Management Strategy (09-349);
- (ii) proposed new *proformas* for the approval of data handling arrangements in respect of collaborative partnerships for IT infrastructure, and for the delivery of educational provision (09-350), together with a pilot completion of the form concerning Google Applications, which had been withdrawn as a substantive proposal (09-363);
- (iii) a proposal for a new Records Management Strategy and Policy (09-351), incorporating conclusions from (i) and (ii) above;
- (iv) an edited version of the *Lord Chancellor's Code of Practice on Records Management under Section 46 of the Freedom of Information Act* (09-352).

In introducing the proposed Strategy and Policy, which had been prepared in the light of the Information Audit carried out by CIMTECH (Records Management Consultants) in 2008-09, the Head of Corporate Governance and Information Management emphasised that implementation should not be seen primarily as a set of specific tasks, but also as a process of cultural change which would seek to break down local barriers to the management of information generally, to reduce dependence on paper records, and to see electronic and residual paper holdings as components of a single institutional resource.

This would have wide-ranging impact on the management of the College: for example, the emergence of a corporate records management infrastructure would change the context for Internal Audit activities within departments, since findings which hitherto had required local action in departments would in future be more appropriately addressed by actions within the context of corporate policy development led at institutional level. Arrangements were being made to improve the flow of information to the Internal Auditors about this changing environment, to enable them to anticipate and support this process of organisational change.

In terms of specific actions, the Committee noted the following particular priority areas:

- (i) Construction of a Retention Schedule - starting with material primarily held by administrative departments, as the CIMTECH project had focused principally on this material (although with pilots in academic departments);
- (ii) protocols for authorising the handling of Goldsmiths data by other institutions - whether in the context of cloud computing, or inter-institutional academic partnerships;

- (iii) improved legal compliance for new personal data, fully in line with the Data Protection Policy in force since 2004 (the issues being outlined in the Appendix to paper 09-349).

The Committee noted that, in the light of further investigations by IT Services since the circulation of papers, it would no longer be feasible to achieve the provisional timetable indicated for the phasing-out of C: drive storage under Aim 3. Some members of the Committee expressed doubt about whether the network was sufficiently reliable to justify the removal of C: drive storage for emergency purposes. Others suggested that removal of C: drive storage would in practice encourage work patterns which were even less acceptable. Whatever solution was adopted, alternative technical solutions to the synchronisation of C: drives or USB memory sticks with networked drives needed to be explored. It was important to seek ways of bringing benefits to individuals as well as the institution as changes were introduced - for example in terms of improved access to information.

It was suggested that, in exploring alternative approaches to remote working, the College would need to have regard to the costs of home internet usage, which was not currently reimbursed. If new remote working protocols required internet connectivity of higher quality or longer duration than a member of staff would need at home, then the question of subsidy arose.

Recommended:

- (i) **that, with immediate effect, Information Management and Systems Committee should be responsible for approving the data security and information compliance arrangements for all partnerships involving the holding of Goldsmiths data by other institutions in respect of IT infrastructure or paper off-site data storage, in advance of confirmation of funding and the finalisation of contract terms with the provider.**
- (ii) **that, in respect of collaborative partnerships for the delivery of educational provision, arrangements for data security and information compliance should with immediate effect be approved under the overall arrangements for Due Diligence assessment within the Collaborative Provision Framework, but that Information Management and Systems Committee should be consulted on particular cases referred for this purpose by the Registrar and Secretary;**
- (iii) **that the draft Records Management Policy be approved as set out in Appendix B to paper 09-351 with effect from 1 September 2010, and that staff be issued with the Staff Duties statement on offer of appointment in the same way as is current practice with the equivalent Freedom of Information and Data Protection obligations;**
- (iv) **that, as part of the package of General Regulations updates to take effect from 1 September 2010, the amendments set out in Appendix B of paper 09-351 be approved.**
- (v) **that in the annual update of committee terms of reference with effect from 1 September 2010, authority to approve amendments to the Retention Schedule, following initial approval by Council, be delegated by Council to Information Management and Systems Committee.**

Resolved:

- (i) that the *proformas* for collaboration for the provision of IT infrastructure (Appendix A to paper 09-352) and for the data security and information compliance aspects of collaborative educational partnerships (Appendix B to paper 09-352) be approved, subject to approval by Council of (i) and (ii) above, and to minor drafting improvements to be approved by the Chair before publication, in the light of the pilot completion of the proposal by IT Services.

- (ii) that the Action plan under Aim 3 of the draft Records Management Strategy (Appendix A to paper 09-351) be revised in the light of discussion at the meeting, and reconsidered during the Spring term;
- (iii) that the broad direction of the Strategy be endorsed, with further consideration to be given by the Committee to an updated Strategy later this session.

7 POLICY ON ELECTRONIC DATA SECURITY

It was noted that the Policy prioritised key processes. There is a need for a strong element of departmental participation in risk assessment for data with which they are involved, and that the Policy, which was integrated with the Records Management Policy, provided a framework for this.

Resolved:

to approve the draft Policy on Electronic Data Security (09-353).

8 UPDATE ON IT STRATEGY IMPLEMENTATION

Received:

a progress report from the Director of Information Technology (09-354).

The Committee noted that at most meetings they would now receive a report on implementation of the IT Strategy, which was to be seen as distinct from the IT Services Annual Plan (as recommended by the Internal Audit report (Minute 14 below refers)). Such reports might usefully give clearer guidance on the priority to be given to particular projects. It was noted that the largest projects would have Project Boards of their own; where this was not the case, the Director of IT would monitor progress at the individual project level being made by IT Services staff.

It was emphasised that a high priority needed to be given to Business Continuity, including penetration testing.

It was noted that the approach under Voice-over IP had not yet been confirmed as the optimal solution.

Resolved:

that amendments to the Implementation Plan in the light of the discussion be approved by the Chair, in consultation with the Director of IT Services, before being forwarded to the Senior Management Team, Finance and Resources Committee and Academic Board.

9 MINUTES OF THE GOLDSMITHS IT USER GROUP

Received:

minutes of the meetings held on:

20 April 2009 (09-355)

1 October 2009 (09-356)

10 PROGRESS REPORTS PROJECTS IN SPECIFIC AREAS

Received:

progress reports on the following projects in specific areas

(i) ***Agresso (09-357)***

The Committee noted the need for a high priority to be given to commitment accounting, as already identified by Audit Committee in the light of HEFCE's 2005 assurance report. Research grant management should also be included.

It was noted that there would be a need for meetings of future users, including more junior staff, to determine requirements.

The Committee noted that Dr Brooke would send to the Director of Finance a range of detailed enquiries concerning the management of the Agresso project. Outcomes would be incorporated into the next report on the system where appropriate.

(ii) ***Student Records System (09-358)***

The Committee noted that there were a number of "Amber" risks on this project: although non-ideal, this was at least a positive indication that the problems being faced by the project had been identified.

It was estimated that the switchover to the new system would largely be complete within eighteen months.

It was pointed out that there needed to be more involvement by academic departments in terms of the provision of information and their role in cleaning data for transfer where appropriate. This was particularly important in terms of the wider need for emphasis on Data Quality.

(iii) ***E-recruitment (09-362)***

The Committee noted that this was the first post-implementation report, and that initial problems were still in process of being resolved. The following issues were identified:

- (a) *Mechanisms for feedback from staff:* It was mentioned in the report that feedback had been obtained, but information on the systematic mechanisms for prompting feedback from all relevant users would be of interest.
- (b) *Mechanisms for feedback on technical issues:* Members of the Committee who had experienced the system in operation were uncertain about whether the HR Department had at its disposal an effective mechanism for ensuring that faults identified in the system during usage were transmitted to the software developers. (For example, members pointed out that degrees of a candidate and the universities attended were not shown on the same screen, and were interested in whether a mechanism had been put in train to propose rectification.) Members also suggested that it would be useful if a log of technical issues currently being dealt with could be made available to users.
- (c) *Automatic selection mechanisms:* It was noted that the current Fair Processing/Data Collection notice to Data Subjects (quoted in paper 09-362) had been drafted without any reference to Automated Processing within the

meaning of Section 12 of the Data Protection Act. This was understood to be appropriate to the initial data processing arrangements at point of launch, but it was not clear from the information available whether the way in which use of the system was developing, or might develop in the foreseeable future, would necessitate a change in the Notice to Data Subjects.

- (d) *Data Protection implications of operational changes:* The Committee noted that effective information compliance of the system in general, but in particular the appropriateness of the Fair Processing Notice text, depended on the existence of reliable mechanisms within the HR Department for identifying, and referring promptly to the Data Protection Officer, proposed operational changes which affected legally significant parameters such as processing purpose.

11 JISC REPORT ON INFORMATION COMPLIANCE IN THE HIGHER EDUCATION SECTOR IN 2008

Received:

a summary report by the Head of Corporate Governance & Information Management on issues arising from the *JISC Information Legislation & Management Survey 2008*, together with a copy of the report annotated with some key Goldsmiths data (09-359).

12 ANNUAL REPORT OF THE COMMITTEE

Received:

a draft report on 2008-09 (09-364).

Resolved:

that any proposed amendments be sent to the Secretary by the end of October 2009.

13 FORTHCOMING MEETINGS

Noted:

that meetings for the remainder of the academic year would be held on:

Wednesday 10 February at 2.30pm

Wednesday 5 May at 10.30am

CONFIDENTIAL BUSINESS

*Exemption claimed under the Section 31 of the
Freedom of Information Act for information relating
to IT security measures¹*

14 REPORT FROM THE INTERNAL AUDITOR ON IT ASSURANCE

Received:

a copy of the Internal Auditors' annual report on IT assurance, in 2008-09, giving an outcome of Satisfactory Assurance (09-360).

15 DISASTER RECOVERY PLANNING

Resolved:

that the principles of the College's Disaster Recovery Plan for IT be approved (09-361).

RMH
October 2009

¹ On the basis of legal advice, the exemption provisionally identified was changed between the circulation of the agenda and the meeting.