UCC Records Management Framework

Procedure for Arranging Unstructured Data to Match Records Retention Schedules

Purpose

Putting in place a filing scheme allows you to create and organise records in an organised and accessible manner, which supports records management processes.

This procedure sets out steps for creating a filing structure for unstructured data to match the records retention schedule in your area. A document showing this arrangement is called a filing scheme.

This procedure refers to 'unstructured data' (see definitions) only.

Step 1: Design your Filing Scheme

a. It is advisable that all staff members in an area with recordkeeping responsibilities are involved in designing the filing scheme, but a designated staff member, with area management support, should lead the process.
b. Get the latest version of the retention schedule for your area. If one does not exist, create one using the <Procedure on Managing and Applying Template Record Retention Schedules>
c. Choose the digital storage option best suited to your area (eg, Nas, Sharepoint). See <IT Services Storage Options> for further information.
d. Design a File Structure (eg, on Nas or Sharepoint) based on the schedule, and a matching arrangement for hard copy records (see the examples below). Eg, this filing scheme may include a top-level entry for School Administration records, with lower levels for Class Lists, then Class Name/Academic Year. Level titles may include series reference numbers.

Step 2: Create an Exceptions Entry

a. All filing schemes should include an entry (eg, folder) for 'Exceptions'. This is to allow for files subject to formal processes, eg, FOI, legal cases, to be moved as per the <Exceptions Procedure>.

Step 3: Approve the Filing Scheme

a. Area management are responsible for reviewing and approving the filing scheme created for their area.

Step 4: Implement the Filing Scheme

a. Setup the file structure in your chosen storage option with suitable access controls in place.
b. Apply it across your work area.

Step 5: Updating the Filing Scheme

a. Always review the filing scheme when changes are made to your records retention schedule, and ensure any changes are reflected in folder directories, sites/libraries, and hard copy filing arrangements

Definitions

Term	Description
Unstructured Data	All University records, digital and hard copy, managed directly by staff, eg, within filing systems, on network drives, Sharepoint sites/libraries, hard drives
Structured data	Data comprised of clearly defined data types held within structured systems such as relational databases (eg, Core, Agresso)

Filing Scheme sample (based on Schools/Dept Template Records Retention Schedule)

Code	Function	Activity	Series Scope and Content
3.1	School Administration		
3.1.1	School Administration	General Administration	Class Lists and Related Datasets
3.1.2	School Administration	Admissions	Post-Graduate Applications
3.1.3	School Administration	Admissions	International Student Applications
3.1.4	School Administration	Examination and Progression	Assessment
3.1.5	School Administration	Examination and Progression	Broadsheets
3.1.6	School Administration		Theses
3.1.7	School Administration		Examination Administration
3.1.8	School Administration		External Examiners
3.1.9	School Administration	Examination and Progression - Placement	Placement
3.1.10	School Administration	Examination and Progression - Other	Ongoing Progression - Competency and Accreditation
3.1.11	School Administration	Relationship Management	Student File
3.1.12	School Administration	Relationship Management	Fitness to Practice
3.1.13	School Administration	Scholarships	Scholarship rules and winners
3.1.14	School Administration	Scholarships	Unsuccessful applications
3.1.15	School Administration	Financial Admin	Student Stipends
3.1.16	School Administration	Reporting and Analysis	Reports, analyses, surveys
3.1.17	School Administration	Reporting and Analysis	Survey Forms
3.1.18	School Administration	Student Recruitment	Event Administration

Folder Directory (Sharepoint Sites/Libraries)

A Nas or Sharepoint folder structure based on the above Filing Scheme may begin like this:

Top level: Schools Administration

    2nd level: General Information

        3rd level: Class Lists

            4th/5th level: Class Name/Academic Year

Guidance: website: www.ucc.ie/recordsmanagement; Queries: archives@ucc.ie, ext 2753.

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