Management Systems for Records: Implantation, Auditing and Certification

Code: 43599
ECTS Credits: 6

Degree	Type	Year	Semester
4315503 Records Management, Transparency and Access to Information	OB	0	1

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Use of Languages

Principal working language: spanish (spa)

Prerequisites

- Knowledge and prior experience in archives and document management

Objectives and Contextualisation

PRESENTATION

The objective is to provide students with knowledge related to the concept, values and benefits of a management system for records, their implementation, audit and certification in accordance with ISO regulations, as well as acquire skills in the ability to link and integrate them with other certifiable standards, such as those of Quality, Environment or Information Security.

TRAINING OBJECTIVES

- To know in depth the Management Systems for Records: concepts, methodology and benefits of its implementation
- Introduce students in the ISO 30300 family of Management systems for records
- Analyze the applicable requirements of ISO 30301.
- Learn the process of implementing a Management System for Records.
- Learn the audit process, specifically the audits of the management systems for the documents and the analysis of compliance with the applicable requirements.
- Learn the process of certification of management systems.
- Know the certification cycle.

Competences

- Analyse, synthesise, organise and carry out planning in management environments and activities.
- Apply the legal rulings and standards for archive and records management in the production and evaluation of projects.
- Continue the learning process to be able to work autonomously.
- Design, implement and administrate Records Management Systems.
- Use critical reasoning and demonstrate social and ethical commitment and respect for diversity and multiculturality.

Learning Outcomes

1. Adapting the application of rules and standards in accordance with the revisions to which they are subjected.
2. Apply international standards and recommendations for archive and records management.
3. Applying deontological ethics to projects development in standards application and recommendations on records and archives management.
4. Carry out projects on the application of international standards and recommendations for archive and records management.
5. Create and administrate records management systems.
6. Design, implement and manage instrument for control and accountability of record management systems.
7. Identify the procedures use in organisations.
8. Identifying organizational, political and social changes of the environments in which information models and policies are applied.
9. Using planning and management control instruments.

Content

1. Management Systems for Records. Concept, methodology and benefits of its implementation.
    1.1. Introduction to management systems
    1.2. Continuous improvement cycle
    1.3. Benefits of implementing a management system
    1.4. Integrated Management Systems (SIG)
2. Introduction to the ISO 30300 family of standards, Management Systems for Records. Analysis of the applicable requirements.
    2.1. ISO 30300 standards family
    2.2. Applicable requirements of ISO 30301: 2011
    2.3. ISO 30302 as a support tool for implementation
3. Process of implementation of a Management System for Records.
    3.1. Planning of the implantation and previous analysis
    3.2. Tools and instruments for implementation
    3.3. Implementation process example
4. Audit process. Audits of management systems for records and analysis of compliance with applicable requirements.
    4.1. Introduction to the audit: definitions, principles, competences and other concepts
    4.2. Types of audits
    4.3. Process and planning of the audit
    4.4. Corrective, preventive and improvement actions
5. The process of certification of management systems and the audit cycle.
    5.1. The certification of management systems
    5.2. The audit cycle
    5.3. Corrective Action Plan (CAP)
    5.4. Continuous improvement

Methodology

- It includes interactive classes to which the theoretical bases will be given to carry out the practical exercises and the case study. Continuous monitoring of the proposed exercises will be carried out to facilitate lifelong learning during the duration of the training line

Activities

Title	Hours	ECTS	Learning Outcomes
Type: Directed			

Exercise 1: General activity on the requirements of ISO 30301	30	1.2	1, 2, 3, 5, 6, 4, 8, 7
Exercise 2: Activity on the appreciation of documentary risks in an organization	20	0.8	1, 2, 5, 6, 4, 8, 7, 9
Exercise 3: Activity on the audit process	15	0.6	1, 2, 5, 6, 4, 7
Type: Supervised			
Debates through the forums General of the Module	7	0.28	2, 3, 5, 6, 4, 8, 7, 9
Exercise 4: Activity on the Plan of Corrective Actions from the auditor perspective	10	0.4	1, 2, 6, 4, 7, 9
Type: Autonomous			
Assistance to virtual classes	8	0.32	1, 2, 3, 5, 6, 4, 8, 7, 9

Assessment

The total dedication to the subject is 150 hours, which is why an average of 25 hours per week is recommended (including classes, assignments, reports, discussion forums, etc.). In the first half it is recommended to dedicate time to reading the theoretical materials of the course and to the active participation in the forums. In the second half the completion and completion of the exercises to be performed.

Assessment Activities

Title	Weighting	Hours	ECTS	Learning Outcomes
Exercise part 1	35	23	0.92	1, 2, 3, 5, 6, 4, 8, 7
Exercise part 2	50	32	1.28	1, 2, 3, 5, 6, 4, 8, 7, 9
Participation in debates	15	5	0.2	1, 2, 3, 5, 6, 4, 8, 7, 9

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