



Manchester
Metropolitan
University

Manchester Metropolitan University

Records Management

Policy

Version No: 0.3
Status: Issued
Date: 31st May 2011

VERSION HISTORY:

Document Change Record:

| Date | Version | Updated by | Change Details |
|-------------|----------------|-------------------|---|
| 04/03/2011 | 0.1 Draft | Lubna Ayub | Initial Draft |
| 08/03/11 | 0.2 Draft | Lubna Ayub | Updated with reference to ISO 15489-1 International Standard for Records Management |
| 28/03/11 | 0.3 Draft | Lubna Ayub | Updated with amendments made by Alex Thorley on 25 th March 2011. Policy reviewed by Marie Morrissey. |
| 05/04/11 | 0.3 Draft | Lubna Ayub | Sent to Wendy Kenyon (Equality & Diversity Manager) with completed Equality Impact Assessment Checklist for review. |
| 19/05/11 | 0.3 Draft | Lubna Ayub | Approved by Board with no changes |
| 31/05/11 | 0.3 Issued | Lubna Ayub | Approved by Executive with no changes |

APPROVAL LOG:

| Date | Area Represented | Responsibility |
|---------------------------|---|-----------------------|
| 3 rd May 2011 | Staff Equality Fora | Approved |
| 19 th May 2011 | Corporate Information Systems Sub-Group | Approved |
| 31 st May 2011 | Executive | Approval |



Records Management Policy

1. Introduction

- 1.1 The University recognises that its records are valuable assets and that the efficient management of them is necessary to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution.
- 1.2 The University is committed to establishing and maintaining recordkeeping practices that will ensure the creation and management of appropriate records to provide evidence, accountability and information about its activities and transactions.
- 1.3 This Policy sets out how effective management of institutional records will be achieved. The Policy forms part of a University Framework for records management the purpose of which is to facilitate effective records management across the University. The Framework also includes a Records Management Retention and Disposal Schedule and any additional material that may be beneficial to the management of institutional records.

2. Policy Aim

The aims of the Policy are to ensure that the University:

- 2.1 operates records management procedures and practices that conform to applicable legislative requirements, including its obligations under Freedom of Information legislation to have a policy in operation for records management;
- 2.2 clearly defines responsibilities and accountability for records;
- 2.3 provides staff with the resources, knowledge, competences and procedures to manage records according to the Policy.

3. Scope

- 3.1 This Policy applies to all records that are created, received or maintained by staff of the institution in the course of carrying out their corporate functions.
- 3.2 This Policy is built on the premise that effective creation, control and disposal of records brings administrative and financial benefits to the University, whilst promoting good practice.

4. Definition and Characteristics of Records

4.1 Records are defined as all those documents, which facilitate the business carried out by the University and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.

4.2 Records created will have the following characteristics as stated by the Records Management ISO15489 standard.

- **Authentic:** Record creators must be authorised and identified and the record must be protected against unauthorised addition, deletion, alteration, use and concealment.
- **Reliable:** The contents of the record can be trusted as being a full and accurate representation of the transactions or facts to which they attest.
- **Integrity:** The integrity of a record refers to it being complete and unaltered. Any authorised annotation, addition or deletion to a record must be explicitly indicated and traceable.
- **Useable:** A useable record is one that can be located, retrieved, presented and interpreted.

5. Records Management Principles

5.1 Records will be maintained for as long as they are required and no longer. The appropriate retention period will be specified by the University's Records Management Retention and Disposal Schedule.

5.2 A small percentage of the University's records will be selected for permanent preservation as part of the institution's archives, for historical research and as an enduring record of the conduct of business. These records will be identified in the University's Records Management Retention and Disposal Schedule.

5.3 All records that are retained, whether for a specified period of time or permanently, will be managed to aid efficient information retrieval, in order that they can be used as effective sources of information.

5.4 The University will ensure records are protected in a manner commensurate with the risk and magnitude of the damage that would result from their loss or unauthorised access.

6. Roles & Responsibilities

6.1 University Registrar

The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment. The member of Executive with overall responsibility for this policy is the Registrar.

6.2 Senior Managers

Pro-Vice-Chancellors, Heads of Departments and Schools, Directors of Research Institutes, Directors and Heads of Central Services, Heads of Faculty and Campus Administration, all have a responsibility for ensuring that records within their areas are managed in a way that meets the provisions of the University's Record Management Policy.

Each Faculty and Campus SAS and Services will designate a record administrator who will act as a first point of contact within that department or service on records management issues.

6.3 Information and Records Manager

The University's Information and Records Manager is responsible for drawing up guidance for good records management practice and promoting compliance with this Policy in such a way as to ensure the easy, appropriate and timely retrieval of information.

The Information and Records Manager is responsible for liaising with record administrators, for providing guidance, support and training to units, and for monitoring of standards.

6.4 General

Individual employees must ensure that records for which they are responsible are accurate, appropriately secure, fit for purpose, accessible to those with a right to see them and are maintained and disposed of in accordance with the University's records management guidance of which the Records Management Retention and Disposal Schedule forms the main part.

Managers of IT systems are accountable to senior management for ensuring that electronic systems and the functions/transactions performed by their programmes comply with this Policy and related requirements.

7. Relationship with other policies

7.1 This Records Management Policy should be read in conjunction with the following University Policies:

- Data Protection policy

- Freedom of Information (available at <http://www.mmu.ac.uk/foi/>)

7.2 Compliance with this policy will in turn facilitate compliance not only with information-related legislation (specifically Freedom of Information 2000 and Data Protection Act 1998) but also with any other legislation or regulations (including audit, equal opportunities and research ethics) affecting the institution.

8. Dissemination

The University's Information and Records Manager, in liaison with departmental record administrators, will promote and assist with the implementation of the Policy. This will include:

- Providing ad hoc support, advice and guidance
- Developing a resources bank on the University website
- The development and support of the University framework for Records Management.

9. Policy implementation

The Records Management Policy, approved by the Executive on 31st May 2011, is to be actively adopted by the University with effect from academic year – September 2011.

It will be reviewed every five years, the first review being due in 2016. This Policy will be published on the University's website.

| Document Control ■ Records Management Policy | |
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| Version: | V0.3 |
| Author Name & Job Title: | Lubna Ayub, Information and Records Manager |
| Approved Date: | 31 st May 2011 |
| Approved by: | Gwyn Arnold |
| Date of Review: | 31 st May 2016 |