VERSION HISTORY:

Document Change Record:

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<th>Date</th>
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<tr>
<td>16/10/2018</td>
<td>0.1</td>
<td>Nicki Hargreaves</td>
<td>Full policy review</td>
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<tr>
<td>07/02/2019</td>
<td>1</td>
<td>Nicki Hargreaves</td>
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<td>13/02/2020</td>
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Records Management Policy

1. Introduction

Manchester Metropolitan University (the University) recognises that records are a valuable corporate asset, necessary to support its core functions, and that appropriate and efficient management of them is essential for effective governance, to meet strategic aims and objectives, and to comply with legal and regulatory obligations. Records are important sources of administrative, evidential and historical information.

The University is committed to establishing and maintaining recordkeeping practices that will ensure the creation and management of appropriate, authoritative records to provide evidence, accountability and information about its activities and transactions.


This policy forms part of a University framework for records management, the purpose of which is to facilitate effective records management across the University, promote consistency of recordkeeping practices, reduce unnecessary and wasteful duplication of records, and enable the confident disposal of records that are no longer required. The framework includes a Retention and Disposal Schedule and additional material that is beneficial to the management of institutional records.

2. Policy Statement

The aims of the policy and records management framework are to ensure that the University:

- operates records management procedures and practices that conform to applicable legislative and accepted best practice requirements;
- clearly defines responsibilities and accountability for records;
- provides staff with the resources, knowledge and procedures to manage records according to the policy.

The University will adopt a measured approach to records management ensuring that records are protected in a manner commensurate with the risk and impact that would result from their loss or unauthorised access.

Good records management provides the following benefits:

- Valuable records supporting the University’s activities as an educational and research institution will be controlled and stored appropriately;
- Records required by law, including for financial, health and safety, and contractual reasons will be retained;
- The University will be able to demonstrate its compliance with data protection legislation and meet its obligations under the Freedom of Information Act 2000;
- Records will be retained for as long as they are required and no longer, with appropriate retention periods specified by the University’s Retention and Disposal Schedule. This reduces the impact of data breaches;
• Costs savings, both administrative and security resulting from poor management of information and storage space, will be achieved;
• Records with continuing historical or archival value will be retained and preserved. This will constitute only a small percentage of the University’s records, but those records selected for permanent preservation will form part of the institution’s archives and will be valuable for historical research and as an enduring record of the conduct of business;
• Efficiency will increase, as information will be available to the people who need it, when they need it;
• Duplication of information will be reduced enabling immediate identification of a single source of truth
• Identification and classification of records will enable proportionate security controls to be put in place.

3. Scope

This Policy applies to all records that are created, received or maintained by the University. This includes information created in the course of research, regardless of funding arrangements, in addition to any contractual and academic record keeping requirements.

Records are defined in the British Standard ISO15489 as ‘Information created, received and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business’ (ISO15489).

This policy covers records in all formats or media, including but not limited to physical and electronic form, and covers all classifications including PUBLIC, INTERNAL and SENSITIVE as defined by the University’s Information Classification procedure.

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. Roles & Responsibilities

Senior Information Risk Owner (SIRO)

The SIRO is responsible for approval of the policy.

Information Governance Board

The Information Governance Board is responsible for strategic level implementation of the policy, oversight of compliance with the policy and reporting identified risks to the SIRO.

Information Asset Owners

The University will appoint Information Asset Owners (IAOs) with local responsibility for the management of records processed in their area. Please see the IAO terms of reference for a full list of responsibilities.

Information Asset Managers

IAOs will establish a network of Information Asset Managers (IAMs) who will hold local responsibility for records management within their teams and will assist their IAO in fulfilling their duties.
Information Records Manager

The University’s Information 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 Records Manager is responsible for liaising with Information Asset Owners and Managers, for providing guidance, support and training to units, and for monitoring of standards.

All staff

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.

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.

5. Relationship with other policies

This Records Management policy should be read in conjunction with the following University policies and standards:

- Records Management Standards and all supporting procedures and guidance (internal)
- Data Protection policy
- FOI Guidance
- ISDS Information Security Policy
- ISDS Information Classification Procedure

Compliance with this policy will in turn facilitate compliance not only with information-related legislation (specifically the Freedom of Information 2000 and Data Protection Act 2018) but also with any other legislation or regulations (including audit, equal opportunities and research ethics) affecting the institution.

6. Policy implementation and resources

All Faculties and Departments are expected to implement practices to ensure compliance with this policy, and to review them regularly. It is the responsibility of the identified Information Asset Owner to ensure that good housekeeping practices are implemented to ensure the accuracy, security and relevance of information assets that reside in University storage areas, whether physically or electronically.

Retention and disposal of records is governed by the Retention and Disposal Schedule. The schedule lists the types of information produced as part of University activities and identifies the period of time for which this information must be retained. The retention period is based on legal, contractual or regulatory requirements where applicable, and in all cases on operational needs and sector guidance. Faculties and Departments are expected to promote the University retention and disposal schedule and to implement appropriate procedures to enable compliance with it.

MMU Records Management Policy – 13/02/2020. Printed versions are uncontrolled copies, please visit https://www.mmu.ac.uk/records-management to view the published version.
Information Asset Owners are recorded on the Information Asset Register. The register is an inventory of the University’s information assets and documents, where these assets are stored, who owns and manages them, and other information pertinent to ensuring that the information is handled appropriately.

Further guidance to assist staff in managing information and records is available on the Records Management pages of the intranet. Any records management queries should be directed to recordsmanagement@mmu.ac.uk.

7. Review

This policy will be reviewed by the Information Records Manager annually or more frequently as required.