

**DIRECTORATE OF ESTATES AND FACILITIES****PROCEDURE AND INFORMATION MANUAL****EPM GM1 – Records Management Policy**

<b>Document Originated:</b>	January 2015	<b>By:</b>	Head of Estates Support
<b>Issue Number:</b>	1	<b>Number of pages:</b>	5
<b>Approved by E&amp;F Directorate :</b>		<b>Status:</b>	Working Document
<b>Last revised:</b>	January 2021	<b>By:</b>	Head of Estates Support
<b>Next revision:</b>	January 2022	<b>By:</b>	Head of Estates Support

**Purpose of document**

This document sets out information and guidance for all Estates and Facilities staff, where it is envisaged that they may manage units or be individuals that directly produce, receive, catalogue and physically provide storage of information, data, or any other records or contracts.

## **Introduction**

The Directorate of Estates & Facilities recognises that the efficient management of its records 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 Directorate and meeting the organisations business needs.

Records management is at the core of Estates & Facilities operations. With other issues such as Freedom of Information, the Data Protection Act, Information Security and Estates related contracts; it is a vital part of the information management process as a whole.

Our aim is to consolidate a co-ordinated approach to the management of information connected to and generated by Estates & Facilities operations.

### **Records Management:**

- Improves the conduct of Directorate business in an orderly, efficient and accountable manner
- Helps ensure the Directorate and hence the University, is compliant with any statutory obligations
- Supports and documents policy and managerial decision-making
- Facilitates the effective performance of functions and activities throughout the Directorate
- Protects the interests of the Directorate and the University and the rights of staff and all stakeholders
- Provides evidence of and establishes, the Directorate's business activities
- Maintains a corporate memory for the Directorate and University
- Makes tangible savings in time and resources

This document provides the policy framework through which this effective management can be achieved and audited.

### **It covers:**

1. Scope of the policy
2. Objectives of the policy
3. Responsibilities
4. Relationship with existing policies
5. Available guidance for implementation of the policy
6. Contacts

## **1. Scope of the policy**

- 1.1 This policy applies to all records created, received or maintained by staff of the Directorate in the course of carrying out their functions. Records and documentation created in the course of all activities, whether internally or externally-funded, are also subject to contractual record-keeping requirements.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the Directorate 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.
- 1.3 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the process for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- 1.4 A small percentage of the Directorates 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.

## **2. Objectives of a records management system**

- 2.1 Records contain information that is a unique and invaluable resource and important operational asset. A systematic approach to the management of the Directorate's record is essential to protect and preserve records as evidence of our actions.
- 2.2 Review, audit and benchmarking of record management systems (both internally and externally) will inform and improve practices

## **3. The Records Management Policy of the Directorate is:**

- i. To ensure that the records held by the Directorate of Estates & Facilities are managed in such a way that they contribute to the mission and aims of the Directorate and the University as set out in its corporate plans.
- ii. To ensure that records vital to the overall operation of all parts and levels of the Directorate are identified, preserved and organised in such a way that they can be easily located and retrieved.
- iii. To ensure that all records are protected as far as is reasonably practical (from fire, flood, loss, etc.) and kept secure in a manner commensurate with their value and retention period.
- iv. To ensure that the content of sensitive records is secured against unauthorised access.
- v. To avoid duplication and retention of records where possible and appropriate.

- vi. To ensure that the business of the Directorate is conducted in an orderly and efficient manner and that accountabilities to key stakeholders are met in a timely way.
- vii. To ensure that legislative and regulatory requirements are met
- viii. To ensure business continuity in the event of a disaster
- ix. To ensure the most efficient use of time, money, people and buildings in the management and preservation of records.
- x. To realise best value through improvements in the quality and flow of information and greater coordination of records and storage systems.
- xi. To instil good practice in records management across the Directorate through the provision of training, advice and guidance.
- xii. To protect the interests of the Directorate and the rights of employees, clients and present and future stakeholders
- xiii. To maintain a corporate memory.

#### **4. Responsibilities**

- 4.1 The Directorate has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Senior Management Team member with overall responsibility for this policy is the Director of Estates & Facilities.
- 4.2 The Head of Estates Support 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.
- 4.3 Heads of Units have overall responsibility for the management of data, records and any contracts generated by their Unit's activities; namely to ensure that the records and documents created, received and controlled within the purview of their Unit, and the systems (electronic or otherwise) and procedures they adopt, are managed in a way which meets the aims of the Directorate's records management policy.
- 4.4 Members of staff with designated responsibilities for collecting information and data and/or computing and systems administration are accountable to their Head of Unit for ensuring that the processes, systems and functions performed comply with this policy and related requirements.
- 4.5 Committee Secretaries are responsible for ensuring that a full record of a committee's business (its minutes, agenda and all supporting papers) is preserved on permanent record. Copies of minutes, reports and papers may also be distributed and shared electronically, but these will be the personal responsibility of individual committee members.

## 5. Relationship with existing policies

### 5.1 Related Policies & Guidance:

#### 5.1.1 Records & information

- University Records Management Policy  
<http://documents.manchester.ac.uk/display.aspx?DocID=14916>
- Records Retention Schedule:  
<http://documents.manchester.ac.uk/display.aspx?DocID=6514>
- Freedom of Information Policy  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=14915>
- Information Security Policy  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=6525>

#### 5.1.2 IT Services

- IT security guidance:  
<http://www.itservices.manchester.ac.uk/secure-it>
- Acceptable Use Policy and Procedures  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=16277>  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=16221>  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=16220>
- Information Handling, Encryption and Mobile Computing  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=19983%20>
- User Management Policy  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=19982>
- Outsourcing and third party access  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=16369>

#### 5.1.3 Data Protection

- University Data Protection Policies & Procedures  
<http://www.dataprotection.manchester.ac.uk/policiesandprocedures>
- Data protection Policy  
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=14914>

## 5.2 Related external guidance and / or codes of practice:

- BS ISO 15489:2001 standard for records management
- Lord Chancellor's Code of practice under sections 45 and 46 of the Freedom of Information Act 2000

## **6. Guidance**

Guidance on the procedures necessary to comply with this Policy is also available.

This guidance covers:

- Records creation
- Business classification (for filing schemes)
- Retention periods for records & contracts
- Storage options for records & contracts
- Destruction options for records
- Archival records: selection and management
- External codes of practice and relevant legislation
- Transfer and transmission of records
- Ownership of records
- Electronic records
- Glossary of terms

## **7. Contacts**

Key Posts within the Directorate & University:

- Head of Estates Support
- Head of Compliance & Risk
- Information Security Manager (Compliance & Risk)
- Records Manager (Records Management, Data Protection and Freedom of Information Office)