

Standard Operating Procedure

Title:	Document and Information Management Standard Operating Procedure		
Version:	1.0	Effective Date	
Summary:	Describes the various procedures for ensuring that documents are managed according to appropriate standards across their entire lifecycle on University systems		

When using this document please ensure that the version you are using is the most up to date by checking on the University’s online document system <http://documents.manchester.ac.uk/list.aspx> for any new versions.

1 Background and purpose

The University creates and uses a large number of documents every day, and documents both record and drive much University business. Documents must be created, used and disposed of appropriately in order to meet applicable legislative requirements and standards. Compliance with this procedure will improve administrative efficiency. University systems must be capable of compliance with this Procedure.

2 Definitions and scope

2.1 Definitions

- **Document** refers to “information and its supporting medium” as defined by BS EN ISO9000:2015. This definition can encompass electronic and hard copy information, photographs, audio recordings and databases.
- **Record** as defined by BS EN ISO 15489, the Records Management Standard, means “information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business”. Not all documents will be records.
- **Document Lifecycle** refers to the lifecycle of a document from creation to disposal.
- **Personal Data** means any information relating to an identified or identifiable natural person, whether held in a structured or unstructured form.
- **Data Processing** means any operation performed on data by automated or manual means, including collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure, alignment or combination, restriction, erasure or destruction.

2.2 Scope

This Procedure applies to all management and use of University documents, including their creation and disposal. This will include all members of staff of the University and any others who use University documents on its behalf.

This Procedure applies to all University documents created and used for any purpose in any format. Please refer to the [University classification scheme](#) for the purposes for which the University uses data.

2.3 Research data

The general principles in this Procedure apply to research information, but research staff must be aware of particular requirements relating to research data as described in the research data management policies and procedures:

<http://www.itservices.manchester.ac.uk/research/services/rdm/>

3 Procedure and responsibilities

The Information Governance Office (IGO) is responsible for providing advice and guidance on ensuring that documents are managed appropriately. The IGO will produce and maintain appropriate classification schema and taxonomies, and advice on naming conventions and folder structures. The Head of Information Governance is accountable for the responsibilities of the IGO.

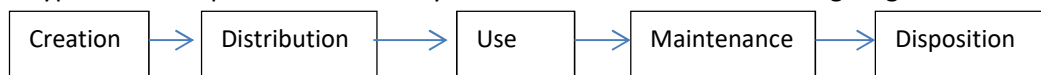
It is the responsibility of IT Services and owners of systems to ensure that University systems are capable of managing information according to this procedure, and that where appropriate the necessary governance and system rules are in place to facilitate this. It is the responsibility of the IGO to obtain evidence of compliance with mandated procedures.

It is the responsibility of individual members of staff who use University information to ensure that they manage University data appropriately.

3.1 Document lifecycle management

Documents go through several lifecycle stages, and each stage in the lifecycle of a document needs to be managed appropriately.

A typical and simple document lifecycle would consist of the following stages:



It is worth noting that this lifecycle can be complicated by such factors as the reuse of data for new purposes, legal or administrative holds etc.

- **Creation:** Documents created in the course of University business must be appropriately designed and named, using templates and naming conventions where these are available. There must be a clear need for a document to be produced, and every University document must have an owner.
- **Distribution:** Once created, documents will often be shared with those who need to see them or undertake further work on them. This sharing must be undertaken with regard to the security measures appropriate for the document as outlined in the [Information Security classification, ownership and secure information handling Standard Operating Procedure](#). Where possible, documents must be shared by linking to their source location rather than by sending by email as an attachment.
- **Use:** During this phase documents are in use for University business purposes.
- **Maintenance:** Whilst a document is in use, could potentially be used again or has not reached its disposition date, it must be maintained in such a manner as to preserve its confidentiality, integrity and availability, as outlined in the [Records Management Policy](#), [Information Security Policy](#) and [Information security classification, ownership and secure information handling SOP](#).

- Disposition: When a document has reached the end of its lifecycle it must be destroyed or transferred for permanent retention in line with the University's [Records Retention Schedule](#).

3.2 Document management procedures

- 3.2.1 Document naming:** When creating documents it is important that they, and the folders and locations in which they are stored, are named in a manner which facilitates their location and use by colleagues and automated searches. See Appendix A for advice on document and file naming conventions. Local areas must have naming conventions covering any shared document storage areas.
- 3.2.2 Document storage:** Documents to which colleagues need access must be stored in shared storage areas (for example on shared drives or on SharePoint) not on personal areas. Documents must not be sent to personal cloud storage or non-University email accounts. Individual staff and shared University email accounts must not be used for storage of University documents and important emails must be transferred to shared storage areas.
- 3.2.3 Collaboration and sharing:** Any University-approved cloud storage systems used to help manage the sharing of information with other universities, third parties or suppliers must be managed in line with this procedure.
- 3.2.4 Version control:** Documents which have been produced as a collaborative effort must be subject to a version numbering system. Earlier and working copies must have appropriate version control numbers attached as part of the file name. Earlier versions must be deleted once a final version has been produced unless needed for audit or legal purposes. No draft version must be retained for longer than the retention period of the final version.
- 3.2.5 Document control boxes:** Formal policy and procedure documents must include a document control box to record version numbers, review dates, ownership and related documents.
- 3.2.6 Document classification:** All documents on University systems must be classified as per the University Classification Scheme.
- 3.2.7 Metadata:** Where systems allow, electronic documents must include metadata which records location, classification, security classification, retention policy and other important data. Going forward, University systems which are to be used for information management purposes must be capable of creating, capturing and recording this metadata, and where appropriate applying actions based on it.
- 3.2.8 Retention policies:** All University documents must be managed in accordance with the [University Records Retention Schedule](#), and local audits must be undertaken to ensure that this is happening. Local records retention schedules must be produced where necessary to add further detail where this is not covered in the University Records Retention Schedule.
- 3.2.9 Digital lifecycle management:** Documents which are born digital must be used and shared digitally wherever possible. Paper copies must only be produced when absolutely necessary, and must be destroyed as soon as possible. Document management of born digital records must be undertaken within the digital environment.

3.2.10 Management of paper and hard copy documents: Long term storage of hard copy and paper documents must be undertaken according to the University's [off site storage procedures](#). Paper information must be destroyed by being placed in a secure shredding console. Access to shredding consoles if none are available can be arranged through the IGO.

4 **Monitoring compliance with the Procedure**

Heads of School, Directors or equivalent are responsible for ensuring that all staff within their area act in accordance with this Procedure.

4.1 **Audit**

Evidence of compliance with this procedure will be audited periodically.

4.2 **Reporting**

The Head of Information Governance will report on this Procedure to the Information Governance Committee.

5 **Review of Procedure**

This Procedure will be reviewed at least every two years or when significant changes are required.

6 **Contact list for queries related to this procedure**

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Version control

Version	Date	Reason for change
1.0	24 Sep 2019	Approved by IGC

Document control box	
Procedure title:	Document and Information Management Standard Operating Procedure
Date approved:	24 Sep 2019
Approver:	Information Governance Committee
Version:	1.0
Supersedes:	N/A
Previous review dates:	
Next review date:	September 2020
Related Statutes, Ordinances,	<ul style="list-style-type: none"> Ordinance XIV Intellectual Property Rights (IPR), Data Protection and the Use of Information Systems

General Regulations:	<ul style="list-style-type: none"> University General Regulation XV Use of Information System
Related policies:	<ul style="list-style-type: none"> Information Security Policy http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=6525 Records Management Policy http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=14916
Related procedures:	<ul style="list-style-type: none"> Information classification, ownership and secure information handling: http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=29971 Technical Security Standards: http://www.itservices.manchester.ac.uk/aboutus/policy/ Records retention schedule: http://documents.manchester.ac.uk/display.aspx?DocID=6514
Related information:	
Procedure owner:	Head of Information Governance

Appendix A

File and Document Naming Conventions

This set of rules is intended for use within structured electronic document storage environments, particularly shared environments and team sites.

Use of conventions such as these will enable easier storage, retrieval and access to records.

Conventions:

- File names should be unique, informative (indicating what the file contains), consistent and commonly understood within your team or environment
- File and document names should be as short as possible whilst still being meaningful. This will shorten file paths and limit errors
- Use capitals to mark new words rather than full stops or underscores
- Use only commonly understood abbreviations and acronyms
- Remove elements such as “and” and “the” where they do not add meaning
- Use 2 digit numbers to aid ordering, ie 01, 02, 03 rather than 1, 2, 3
- Use the YYYY/MM/DD date format to aid ordering
- When using names in file descriptions use surname first followed by initials
- Order file name elements appropriately to aid retrieval eg 20180630Minutes as opposed to Minutes 30June2018
- Correspondence file names should include correspondent(s), subject, date and whether it is incoming (recvd): SmithAComplaint20190203rcvd
- Avoid using non alphanumeric characters which may have functionality or not be recognised by different operating systems. In particular avoid * : \ / < > | " ? [] ; = + & £ \$, .
- Avoid vague, unhelpful terms such as “Dave’s files”, “miscellaneous” or “stuff”

To follow:

University Classification Scheme