

Records Management Policy

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OVERVIEW AND PURPOSE

1. The purpose of this policy is to ensure the University maintains accurate, reliable and accessible records of its business activities, retained for as long as necessary and destroyed or archived in a timely manner.
2. Good practice records management enables the University to minimise risks and costs associated with data volumes, compliance and sustainability.
3. The policy aims to provide guidance for anyone concerned with the management of University records.
4. For the purpose of this policy, a record can be defined as “information created, received and maintained as evidence of a decision and as an asset by the University, in pursuit of legal or regulatory obligations, or in the transaction of business” (ISO15489).
5. Records may be legal records (e.g. a contract), transactional records (e.g. an approval) or knowledge records (e.g. statistical reports).
6. Examples of records include; committee agendas, papers, minutes and actions, financial reports, staff and student records. Emails and other messaging types are only considered to be records if they show evidence of a business decision.
7. Note that a record is not the same as other forms of information. Individuals will create and manage the processing of information that has many purposes, including for business personal, operational, administrative or other reasons.
8. Information not explicitly classified as records must still recognise the need to be compliant with legal, regulatory or other policy requirements, including financial, data protection, FOI and other regulations.
9. Responsibility for ensuring compliance remains with individual Information Asset Owners.
10. The table below shows some of the types of information held by the University:

Type	Examples
Records	Committee agendas, papers, minutes and actions, financial reports, staff and student records, policies and regulations
Other documents	Informal meeting notes, draft versions, individual task guides.
Transient messages	Emails, Teams chats, SMS, WhatsApp messages and any other messaging service content that does not meet the definition of a record or document.

SCOPE

11. The policy applies to information in any format, structured or unstructured, virtual or physical, onsite or offsite location.
12. The policy applies to all staff and affiliates, including salaried and non-salaried staff, contractors, governors, students' union staff, honorary staff, collaborative partners and associates.
13. The policy applies to all information, whether digital or physical, processed by or on behalf of the University, for any purpose. This includes, but is not limited to, information relating to:
 - teaching and learning
 - professional services and support functions
 - research and knowledge exchange, including externally funded projects
 - internal and external reporting, legal or regulatory.

POLICY

RESPONSIBILITIES

14. The Compliance and Information Governance team (CIG) is responsible for provision of policy, training and awareness, and online guidance for staff and affiliates involved in the creation, processing and destruction or archiving of University records.
15. The CIG team will periodically audit records management practices around the University to monitor compliance with this policy.
16. The Information Technology Services team (ITS) is responsible for the provision of information management systems with records management functionality to support staff and affiliates in their responsibilities.
17. The ITS team is responsible for ensuring appropriate security measures are in place to meet the information security principles of confidentiality, integrity and availability.
18. The Collections team in the University's Library Services is responsible for arrangements to maintain archives and collections of special significance to the University.
19. Heads of Functions and Departments are Records Owners, accountable for records within their area. They are the information risk owner for their area, responsible for managing and resolving risks. They are also responsible for determining and establishing record controls and standards, and for training, monitoring and managing their staff in records management.

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20. All staff and affiliates are responsible for maintaining accurate records of business decision making. Staff and affiliates are also responsible for ensuring all information is retained and destroyed or archived in compliance with legal, regulatory and retention policy requirements.
21. The Information Governance Committee (IGC) is responsible for review and approval of all information governance related policies, including this Records Management Policy.

APPROACH

22. The Document Management Policy and Document Management Catalogue detail correct handling for information across the University's digital storage and collaboration services.
23. Documents will be managed throughout their lifecycle in accordance with the Document Management Policy, Document Management Catalogue and Records Retention Schedule to minimise compliance risks and storage costs, and to support the University's sustainability aims.

ENQUIRIES AND COMPLAINTS

24. Any questions relating to data protection or how the University is processing personal data should be addressed to the University's Compliance and Information Governance team by email at dataprotection@kingston.ac.uk or by post to Compliance and Information Governance, Corporate Services, Holmwood House, Grove Crescent, Kingston upon Thames KT1 2EE.
25. Complaints should follow the Data protection complaint procedure under Information regulations on our [Policies and regulations](#) page.

RELATED LEGISLATION, REGULATIONS AND POLICIES

26. Related legislation
 - Data Protection Act 2018
 - UK General Data Protection Regulation (UK GDPR)
 - Freedom of Information Act 2000
 - Environmental Information Regulations 2004
27. This policy should be read in conjunction with other relevant University policies and documents which can be viewed under Information regulations on our [Policies and regulations](#) page.

BREACH OF POLICY

28. Anybody handling data agrees to abide by the terms of any applicable policies. Users who are found to have breached the terms of relevant policies may be subject to warnings, verbal and written. In serious cases individuals will -be subject to the University's disciplinary procedures, and possible legal action.