

Corporate Records Management Policy

Policy Category:	Governance
Subject:	Management of university records
Approving Authority:	College Council
Responsible Officer:	Chairman of Council
Responsible Office:	Department of Business Assurance
Related Procedures:	Records and Data Retention Schedule Information Classification Procedures
Related College Policies:	Data Protection Policy
Effective Date:	May 2019
Supersedes:	Records and Information Management Policy
Last Review:	November 2021
Next Review:	November 2022

I. Purpose & Scope

- i. This policy sets out the framework for managing corporate records at King's College London
- ii. This policy applies to all university staff, researchers, collaborative partners or contractors with access to university records.
- iii. King's College London will seek to implement the principles and recommendations for record keeping set out in the following legislation and codes of practice:
 - British Standard for Records Management (BS ISO 15489-2016)
 - Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000
 - General Data Protection Regulation
 - Data Protection Act 2018
 - Freedom of Information Act 2000
 - Environmental Information Regulations 2004
- iv. Failure to manage records in accordance with the responsibilities set out in this policy risks non-compliance with the above legislation.

II. Definitions

- i. A record is any recorded information (regardless of format or medium) created, received or retained by the university to meet legal or regulatory requirements, provide evidence of business decisions, and support the conduct of university activities.
- ii. Records management is the process of managing records through creation, use, retention and disposal, known as the records lifecycle.

III. Policy

- v. King's College London supports the principles of efficient records management and is committed to:

- Supporting the management of university records, to underpin daily business activities and act as an effective information resource.
 - Ensuring the security, authenticity and integrity of all corporate records, to aid accountability for business decisions.
 - Ensuring compliance with all legal and statutory obligations.
 - Ensuring that records vital to the operation of the university are identified and accessible to allow business continuity during incidents or emergencies.
 - Enabling identification and preservation of unique and historical records, including migration of data formats where applicable.
- vi. All university staff may handle records as part of their role and line managers and Head of Departments are responsible for ensuring that efficient processes are in place within their respective areas, including:
- The creation and maintenance of accurate and reliable records, where applicable to the work of the department.
 - Ensuring that digital records, including email, are properly managed and stored, to ensure that core information is captured, retained and remains accessible and authentic beyond reasonable doubt.
 - Maintaining the security of records, irrespective of format, and ensuring that access is only available to those authorised to view the record.
 - Following guidance in the university Records and Data Retention Schedule with regards to retention and timely disposal of records and ensuring that records containing personal data are subject to secure and confidential disposal processes.
 - Ensuring records of a sensitive or personal nature are handled in strict confidence and in accordance with legal requirements, including secure methods of physical transportation or digital transfer.
 - Undertaking mandatory university data protection training.
 - Notifying Archives Services of records with potential historical, research or business interest. Such records will be appraised by Archives Services for long term value according to their selection criteria for institutional records.
- vii. The Department of Business Assurance is responsible for:
- Maintaining this policy.
 - Maintaining the university Records and Data Retention Schedule and supplementary guidance.
 - Promotion of university records management services.
 - Provision of advice, training and support on storage, management, retention and disposal of corporate records, in all formats.
- viii. Archives Services, within Libraries & Collections, are responsible for curation and preservation of university records with historical value or long term research interest.
- ix. IT Services are responsible for provision of infrastructure to allow storage, access and preservation of corporate records in digital format.
- x. Estates & Facilities are responsible for provision of safe and secure physical storage space for corporate records in paper format.