



Records Management and Retention Policy

Date	Purpose of Issue/Description of Change	Equality Impact Assessment Undertaken
October 2005	Initial Issue	
4 th June 2009	Updated	
June 2014	Minor revisions to staff titles	
3 rd June, 2019	Reviewed and updated to reflect new guidance for best practice and to ensure compliance with changes / additions to relevant legislation	
22nd September 2022	Review and minor amendments to titles	

Policy Officer	Senior Responsible Officer	Approved By	Date
Head of Governance Services	Chief Operating Officer	Compliance Task Group	22 nd September 2022

This policy will be reviewed in 3 years

1. Introduction

This policy establishes principles for ensuring the University implements effective records management, accounting for legislative, regulatory and best-practice requirements.

The objectives of the policy are:

- To support the management of the University's records so that they underpin day-to-day business and act as an effective information resource;
- To ensure the security, authenticity and integrity of all records and to aid efficiency and accountability across the University;
- To ensure Bangor University is compliant with all legal and statutory obligations;
- To ensure that the University's records are retained in line with the agreed retention periods, as laid out in the retention schedules;
- To ensure that all records are held and handled appropriately and ensuring that they are secure and readily accessible when needed;
- To enable the selection and preservation of the historic records of the University's operation, development and activities

2. Scope

This policy applies to all records created, received and maintained (e.g. physical, digitised or born digital) by all employees of Bangor University, including members of Council, honorary staff / associates, contractors, temporary staff and any students who are carrying out work on behalf of the University. All such records remain under the ownership of Bangor University and should be managed in accordance with the principles outlined in this Policy.

Records exist in a wide variety of formats and can include, but are not limited to, paper based documents and files, electronic documents (including emails), spreadsheets, presentations, databases, photographs, social media, webpages, film, slides and in electronic (digital) or (physical) hard copy format.

A small percentage of the University's records will be selected for permanent preservation as part of the University's institutional archive for historical and evidential purposes, and as an enduring record of the conduct and management of the University.

3. Roles and Responsibilities

The University has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. This policy demonstrates the University's commitment to adopting the good practice recommendations in the Lord Chancellor's Office Code of Practice on Records Management issued under section 46 of the Freedom of Information Act 2000.

The University Secretary / Head of Governance Services has overall responsibility for Records Management within the University. The Legal and Compliance Assistant (within the Governance Services) has delegated responsibility for:

- Ensuring that the University Records Management Policy is kept up to date and that it is relevant to the needs and obligations of the University;
- Developing appropriate Records Management guidance to underpin the policy (including the University Record and Data Retention Schedules);
- Communicating guidance on Records Management within the University;
- Managing and maintaining the University Records Centres.

All records must have an identified 'owner' responsible for their management from creation through to disposal. Heads of Colleges, Schools and Professional Services have overall responsibility for the management of records generated through their department's activities, however all members of staff are responsible for ensuring that their work is documented appropriately, that the records which they create or receive are accurate, and that they are maintained and disposed of in accordance with the University's guidelines or any relevant legislative, statutory or contractual requirements.

Everyone granted access to University information assets (e.g. email, teaching and learning materials, staff/student data, financial records, research information, and the systems used to process these) has a personal responsibility to ensure that they, and others who may be responsible to them, are aware of and comply with the relevant policies and legislation.

4. Standards

All University staff who create, receive and use University records hold records management responsibilities. All members of staff are responsible for ensuring they exercise good records management in their daily working practice, which includes:

- The creation and maintenance of accurate and reliable records, where applicable to their role
- Ensuring electronic records are properly maintained and that they capture core information and remain accessible, readable and authentic
- Ensuring the security of records, irrespective of format, and for ensuring that access to records is only granted to those who are permitted to view them
- Following guidance provided in the Records Disposal Schedule with regard to the retention and disposal of records

- Ensuring records of a sensitive or personal nature are handled appropriately and in accordance with legal requirements, specifically in relation to the Data Protection Act 2018 and the General Data Protection Regulation (GDPR)
- Supporting efficiency and the University's sustainability agenda by avoiding duplication and only printing emails and electronic records when absolutely necessary

5. Related Policies

This policy has been formulated within the context of University policies and guidelines, national legislation and professional standards.

Relevant University Policies and guidance relating to records management include but are not limited to:

[Data Protection Policy](#)

[Freedom of Information Policy](#)

[Information Security Policy](#)

[Information Security Guidelines](#)

[Procedures for the Management of a Suspected Data Protection Breach](#)

[University Record and Data Retention Schedule](#)

Professional Standards/ Codes of Practice:

[Lord Chancellor's Office Code of Practice on Records Management issued under section 46 of the Freedom of Information Act 2000](#)

Guidance can also be sought from Governance Services specifically in relation to:

- Records creation
- Retention periods for records
- Storage options for records
- Destruction options for records

6. Policy Review

This policy will be updated as necessary to reflect best practice and to ensure compliance with any changes or amendments to relevant legislation.