



Title: Document Retention and Control Procedures

Code: GU-PR18DRC

Version: 3.2

Date of Issue: 2024

Effective Date: July 2024

Approval Authority: University Council

Document Owner: Chief Operating Officer

Review: The document is subject to a review as per amendments of Document Retention and Control policy.

1. Purpose

This document addresses the identification of documents and records at Gulf University. It, also, describes the principles to be followed by academic and non-academic departments /units, staff, and management at the University to manage the retention, control, and disposal of documents and records.

2. Scope

This document applies to all documents and records in Gulf University.

3. Acronyms

BQA	Education and Training Quality Authority
COO	Chief Operating Officer
GU	Gulf University
IT	Information Technology

4. Definitions

Records: A record is information in a specific form (complete/final version) that are developed or received due to individual or institutional activities and retained as evidence of that activity for future reference.

Basically, records are the evidence of the University's organization (structure), policies, procedures, guidelines, and activities. Records include, but not limited to, paper documents, email, any type of electronic file or data, still photographs, motion pictures, drawings, plans/blueprints, and audio/video recordings, etc.

Documents: A document is an item that is not a record, such as drafts, duplicates of record copies, information subject to revisions, and materials not directly relating to business activities. In this sense, documents can be disposed of without authorization as soon as they are no longer used. However, these must be retained for an identified retention as far as the documents are in active use in the university.

Documents and Records Retention Schedule: This schedule addresses the management and preservation of university documents and records. It sets the duration for retention of different document/record types, responsibilities for the management of active records, the storage of inactive records, and the archival of permanent records, and the disposal procedure.

Permanent Retention: Permanent retention is the permanent storage of the retained documents and records. These shall be stored in a media form (in the university servers) and other storage area that will adequately stand the passage of time.

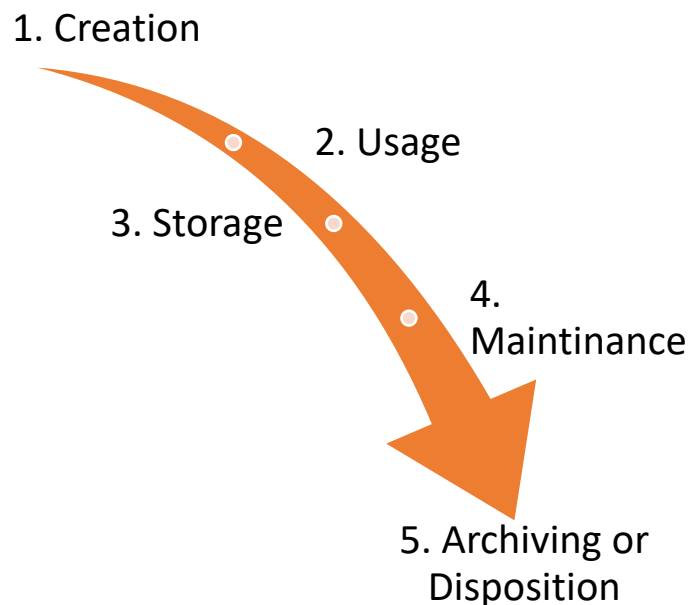
5. Categories of Documents and Records

- 5.1 Generally, the university documents and records are either of physical or digital forms.
- 5.2 University documents and records are categorized as active, inactive, and archive.
- 5.3 Also, these are classified as confidential and normal. The confidentiality may be high, medium, or low, based on each record "data classification" which guides security practices in managing and controlling the university documents and records.

6. Documents and Records Retention Schedule

- 6.1 Whether the university documents and records are hold in physical or digital forms, the “Documents and Records Retention Schedule” shall include prescribed periods of time where the documents and records are maintained by the university.
- 6.2 The time limits are varying from short to permanency, and shall be determined in accordance with act, legal, regulatory or operation compliance, or where these do not apply, based on assessment of the risks involved in destruction besides the costs of retention.
- 6.3 Documents and records (including but not limited to duplicates, work paper, emails and Ccs, copies of in-house publications, announcements, and notices) which have no significant operational, or informational value or has served its primary purpose are destroyed at the relevant academic and non-academic units at the university.
- 6.4 The University Policy Development and Review Committee, shall revise “Documents and Records Retention Schedule” every 2 years. The developed/revised schedule must be approved by the University Council.

7. Procedures Details:



Document Storage

- 7.1 All document owners shall ensure that their documents are stored in a secure and safe place with access given to authorized personnel only.
- 7.2 The Manager of President Office and Document Control shall ensure highly confidential and important documents are stored centrally in a secure and safe place with access given to authorized personnel only.
- 7.3 All academic and non-academic units at the university, while managing their documents and records, shall ensure that the privacy interests of the university, the staff members, and the students are protected.
- 7.4 The Manager of President Office and Document Control shall ensure appropriate measures to safeguard the security of university documents and records related to the relevant work spectrum.
- 7.5 Deans, HODs, Directors of centers, Heads of Units, Managers of non-academic departments shall ensure appropriate measures to safeguard the security of all documents and records relevant to their work spectrum.

Maintaining Documents

- 7.6 All academic and non-academic units at the university shall have the responsibility for identifying and retaining the university documents and records (paper and digital) relevant to their work area in accordance with the Schedule. For some documents or records with status of transitory only, no retention is required.
- 7.7 The Manager of President Office and Document Control shall conduct an annual review to identify records with expired retention periods.
- 7.8 Documents with personal information such as (students names, ID numbers, health history, etc.) should be kept confidential. Names and ID numbers should be anonymized whenever the documents are required for auditing or similar purposes.
- 7.9 The manager of President Office and Document Control shall indicate annually the department/unit or designee responsible for the management and storage of retained records.

Archiving or Disposition of Documents

- 7.10 All academic and non-academic units at the university shall ensure that their documents and records are properly and timely destroyed after the retention period, in accordance with the “Documents and Records Retention Schedule”.
- 7.11 The Manager of President Office and Document Control shall assure the secure destruction of confidential records that will not be retained. Paper records must be shredded or destroyed in a manner to make them unreadable. Digital records must be scrubbed or destroyed in collaboration with the IT department.
- 7.12 The IT department in collaboration with the relevant academic and non-academic units at the university shall identify annually the digital data on the university SharePoint

that have come to the end of their retention period in accordance with the Schedule and shall prompt their disposal as appropriate.

7.13 The Manager of the President's Office and Document Control (or and) IT department shall get confirmation from the document owner before disposing of documents.

7.14 All Records pertaining to ongoing or pending audits or lawsuits shall not be destroyed, damaged, or altered until the matter has been resolved and advised by the Manager of the President's Office and Document Control

8. Responsibilities

Academic and non-Academic Units are responsible for:

- Implementing this document appropriately.

Academic and non-Academic staff members are responsible for:

- Following this document appropriately.

COO is responsible for:

- Implementing this document appropriately.

The Vice President for Academic Affairs is responsible for:

- Implementing this document appropriately.

University Policy Development and Review Committee is responsible for:

- Systematic review of the effectiveness of this document.

9. Related Policies

- Document Retention and Control Policy

10. Related Procedures

- Documents and Records Retention Schedule

11. Related References

BQA	Institutional Review Handbook
BQA	National Qualifications Framework Handbook
BQA	Programs-within-College Reviews Handbook