**Title: Document Retention and Control Policy**

**Code:** GU-PL18DRC

**Version:** 3.2

**Date of Issue:** 2024

**Effective Date:** July 2024

**Approval Authority:** Board of Trustees

**Document Owner:** Vice President for Academic Affairs

**Review:** The document is subject to a periodic review as per amendments of university

policies.

# 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 |
|-----|------------------------------------------|
| GU | Gulf University |

# 4.    Definitions

**Record:** 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 structure, policies, procedures, guidelines, and activities. Records include information, 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.

**Document:** 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 written documents and records. These shall be stored in a media form and location that will adequately endure the passage of time.

## 5. Policy Statement

Gulf University is committed to show accountability by:

- preserving university documents and records,
- assuring actions and determinations to have efficiently maintained documents and records for ongoing operations,
- maintaining its history and character,
- enhancing performance efficiency with a clear archive and disposal scheme.

## 6. Policy Details:

6.1 GU ensures appropriate measures to safeguard the security of university documents and records in accordance with the University's obligations and responsibilities.

6.2 GU commits to consider its documents and records as the property of the university and not of any of the staff members who create them or to whom they are delivered.

6.3 GU ensures an appropriate mechanism of keeping and maintaining the documents and records according to legal, administrative, and historical needs.

6.4 GU ensures appropriate "Documents and Records Retention Schedule" for its active, inactive, and archive documents and records. For some documents or records with status of transitory only, no retention is required.

6.5 GU considers all library and PR material made or acquired and preserved solely for reference or exhibition purposes, and stocks of publications and unprocessed forms are not university records.

6.6 GU ensures that documents and records are properly and timely destroyed after the retention period, in accordance with the "Documents and Records Retention Schedule", and that the privacy interests of the institution and employees are protected.

Below table presents the Documents and Records Retention Schedule to provide overview of the type of document/record, in which form the documents are retained, how long, where and whose custody.

Table 1: Documents and Records Retention Schedule

| Document /Record Type | Document/Record List | Retention | | College/Unit/Department | | Disposition Method |
|---|---|---|---|---|---|---|
| | | Hard | Digital | Issued by/owner | Keep at | |
| University Establishment & Legal Status | Establishment decision from the Council of Ministers | Forever | Forever | Prime Minister Office | President Office | No Disposal |
| | Commercial Register | 2 | Forever | Ministry of Commerce & Industry | President Office | Shred |
| | HEC License & Approvals | Forever | Forever | HEC | President Office | No Disposal |

| | | | | | | |
|---|---|---|---|---|---|---|
| | External Communications | Forever | Forever | HEC | President Office | No Disposal |
| | Cort & Legalization | Forever | Forever | Any | President Office | No Disposal |
| **University Asset & Contracts** | Campus & Other Rentals | 10 | 10 | Any | President Office | No Disposal |
| | Agreements & Contracts | 10 | 10 | Any | Relevant Offices | Shred/Deleted |
| | MOUs | 10 | 10 | Any | Relevant Offices | Shred/Deleted |
| | Agreements with National or Governmental Institutions or Bodies | 10 | 10 | Any | Relevant Offices | Shred/Deleted |
| | Agreements with Community Engagement | 5 | 5 | Any | Relevant Offices | Shred/Deleted |
| | Contracts with Suppliers | 10 | 10 | Any | Relevant Offices | Shred/Deleted |
| | Purchase Requests | 5 | 5 | Any | Relevant Offices | Shred/Deleted |
| | Assets & Resources | 5 | 5 | Any | Relevant Offices | Shred/Deleted |
| **University Documents** | Bylaws | Forever | Forever | University Council | President Office | No Disposal |
| | Strategic plan and 5 Year RoadMap | 7 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Policies & Procedures | 7 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Operational Plan | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Annual Reports | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Institutional Review SER & SMs | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | University risk assessment & management | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | MoM | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| **Accreditation & Academic Programs** | BQA/NQF Documents & Reports | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | International Accreditation | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Internal/External Quality Reports | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Program Report | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Course File/ Portfolio | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Ranking Documents | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | GU Projects (NQF, Accreditation etc.) SER & SMs | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
| | Annual Report | 5 | 7 | Any | Relevant Offices | Shred/Deleted |

| | College/Department/Program Documents | 5 | 7 | Any | Relevant Offices | Shred/Deleted |
|---|---|---|---|---|---|---|
| **Student Information's** | Applicants Details | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Student Information | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Course Registration Details | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Student Correspondences | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Examination Details | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Alumni Information | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Student & Alumni Surveys/Reports | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Certifications | No Hard | Forever | A&R | A&R | Shred/Deleted |
| | Student Financial Documents | No Hard | Forever | Finance | Finance | Shred/Deleted |
| **Staff Information's** | Applicants Details | 5 | Forever | HRD | HRD | Shred/Deleted |
| | Employee File | 5 | Forever | HRD | HRD | Shred/Deleted |
| | Staff Professional Development | 5 | Forever | HRD | HRD | Shred/Deleted |
| | Staff Satisfaction, Appraisals & Exit Survey | 5 | Forever | HRD | HRD | Shred/Deleted |
| | Certifications/QUADBAY Reports | 5 | Forever | HRD | HRD | Shred/Deleted |
| | Staff Financial Documents | 5 | Forever | HRD | HRD | Shred/Deleted |
| **Financial** | Budget Planning | 5 | Forever | Finance | Finance | Shred |
| | Financial Report Account Payable/ Receivable | 5 | Forever | Finance | Finance | Shred |
| | Receivables Records | 5 | Forever | Finance | Finance | Shred |
| | Sponsor Details | 5 | Forever | Finance | Finance | Shred |
| | Invoices | 5 | Forever | Finance | Finance | Shred |
| | Quotations | 5 | Forever | Finance | Finance | Shred |
| | Accounts Payables | 5 | Forever | Finance | Finance | Shred |
| **Research** | Approval Research Plan | 5 | Forever | Research Unit | Research Unit | Shred |
| | Approval Research Projects | 5 | Forever | Research Unit | Research Unit | Shred |
| | Budget | 5 | Forever | Research Unit | Research Unit | Shred |
| | Conferences | 5 | Forever | Research Unit | Research Unit | Shred |
| **Community Engagement** | Plan | 5 | Forever | Community Engagement | Community Engagement | Shred |
| | Events Insights | 5 | Forever | Community Engagement | Community Engagement | Shred |
| | Evaluation | 5 | Forever | Community Engagement | Community Engagement | Shred |
| **Activities & Events** | Events Insights | 5 | Forever | SSU | SSU | Shred |
| | Career Development Reports | 5 | Forever | SSU | SSU | Shred |

| | | | | | | |
|---|---|---|---|---|---|---|
| Sport Activities Records | 5 | Forever | SSU | SSU | Shred |

## 7. Responsibilities

**Academic and non-Academic Units/Departments are responsible for:**

- Implementing this document appropriately.

**Academic and non-Academic Staff are responsible for:**

- Following this document appropriately.

**COO is responsible for:**

- Monitoring implementation of this document appropriately.

**The Vice President for Academic Affairs is responsible for:**

- Monitoring implementation of this document appropriately.

**University Policy Development and Review Committee is responsible for:**

- Systematic review of the effectiveness of this document.

## 8. Related Policies

- All academic and Administrative Policies

## 9. Related Procedures

- Document Retention and Control Procedures

## 10. Related References

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