DOCUMENT MANAGEMENT AND RECORDS RETENTION POLICY

Implementation date:	**August 2020**
Version number:	**1.1**

Document type		Strategy
	✓	Policy
		Regulations
		Procedure
		Code of Practice
		Guidance
Area of UA92 business		Academic
		Finance
	✓	Governance and Compliance
		Marketing and Engagement
		Operations
		People
		Registry and Quality
		Student Life
		Student Recruitment and Admissions
		External Affairs
		Other
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REVISION HISTORY			
Version	**Date**	**Revision description/Summary of changes**	**Author**
1.1	15th Sept 2021	Updating of areas of business	Student Administration Assistant

1. Purpose

1.1 This Policy establishes principles for ensuring that UA92 implements effective document and records management and retention, accounting for legislative, regulatory and best-practice requirements. It provides guidance on the retention and disposal of records held by UA92.

1.2 The following principles underpin this policy:

    i. Records must be managed in a manner complying fully with legislative and regulatory requirements affecting their use and retention.

    ii. UA92 is a digital organisation. Management of information digitally is preferred. Printing should only happen in limited circumstances and paper records must only be kept where digital is not appropriate.

    iii. Records must have relevant content, context and format, and must be accurate, authentic, useable, reliable, timely and well managed.

    iv. Records must directly relate to and support a service, function or activity delivered by UA92, and be able to support decision-making.

    v. Records must serve the interests of UA92, its staff, students and other stakeholders by maintaining high quality documentation for appropriate lengths of time.

    vi. Records must be managed via systems and processes ensuring efficiency and consistency throughout their lifecycle of creation, distribution, use, maintenance and disposition.

    vii. Records must be managed and stored in a suitable format to retain quality, relevance, accessibility, durability and reliability. Any transfer to another format must have due regard to retaining these qualities.

    viii. Records must be kept securely as befits the confidentiality and importance of the content, being protected from unauthorised or unlawful disclosure.

    ix. Records must be accessible and retrievable as required to support business efficiency and continuity.

    x. Records must be retained or disposed of in compliance with the Records Retention Schedule (see appendix 2).

    xi. Records must undergo appropriate destruction when no longer required, in an organised, efficient, timely and (where necessary) confidential manner.

2. Scope

2.1 The policy applies to all employees of UA92, including honorary staff/associates, contractors, temporary staff and any students who are carrying out work on behalf of UA92. It is a contractual obligation to adhere to the requirements of the policy.

2.2 The policy also takes account of UA92s relationship with third parties who may have access to UA92 data and records.

2.3 This policy applies to all records created, received, maintained and held, in all formats, by employees of UA92 in the course of carrying out their corporate functions. Records are defined as documents, regardless of format, which facilitate the operations and business of UA92 and which are thereafter retained for a set period to provide evidence of its activities and transactions.

3. Policy statements

3.1 Security and Access

3.1.1 Appropriate levels of security must be in place to prevent the unauthorised or unlawful use and disclosure of information.

3.1.2 All records in any format must be held in accordance with the UA92's Information Security Policy and data protection guidance.

3.1.3 Records must be stored in a safe and secure physical and digital environment taking account of the need to preserve important information in a useable format enabling access commensurate with frequency of use.

3.1.4 UA92's Information Classification Scheme describes the following four categories of confidentiality which should be used to classify information and records held by UA92. It will assist with determining appropriate practice regarding storage, access, handling and disposal of records.

Classification	Definition
Public	May be viewed by anyone, anywhere in the world
Open	Available to all members of staff
Confidential	Available only to authorised and authenticated members of staff
Highly confidential	Access is controlled and restricted to a small number of authenticated members of staff

4. Related documentation

- UA92 Information Governance Policy
- UA92 Data Protection and Information Security Policy

5. Appendices

Appendix 1 – Information Classification scheme
Appendix 2 – Records Retention schedule

Appendix 1 – Information Classification scheme

This is not an exhaustive list but should give an idea of the main categories of UA92 information and the level of risk associated with them and should be used when determining access to documents and records.

	Public	Open	Confidential	Highly confidential
Risk level	None	Low	Medium	High
Definition	May be viewed by anyone, anywhere in the world	Available to all members of staff	Available only to authorised and authenticated members of staff	Access is controlled and restricted to a small number of authenticated members of staff
Systems/platforms	UA92 website	MS Teams Sharepoint	MS Teams Sharepoint Other UA92 systems (e.g. LUSI, People HR)	MS Teams Sharepoint Other UA92 systems (e.g. LUSI, People HR) One drive
Types of Information	- Term dates - Prospectus - Course Information - Job adverts (excluding internal only positions) - Press releases - Strategies, policies and procedures Organisational structures	- Internal only UA92 policies, processes and guidelines - Non-private calendar entries - Internal only job adverts - Internal staff communications Student name, email address and course	- Staff/student addresses and personal details - Emergency contact / next of kin details - Staff/student photographs - Student admission/registration details - Individual student timetables - Student assessment marks	- Exact staff salary details - Any identifiable medical details (relating to physical or mental health) - Any information related to protected characteristics - Criminal activity or alleged criminal activity

	• Annual report and financial statements • Any other information subject to disclosure under the Freedom of Information Act or as required by the Office for Students.		• Any personal data not listed above or included under 'Strictly confidential' • Student complaints, appeals, disciplinary, academic misconduct, fitness to study cases	relating to an individual • Commercially sensitive information • Legally privileged information • Intellectual property that is under development and subject to patent • Any information subject to a confidentiality agreement • Staff/student passwords • Any information subject to or obtained under the Official Secrets Act

Appendix 2 – Records Retention schedule