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MONT ROSE COLLEGE®
OF MANAGEMENT & SCIENCES

Records Management Policy

2021-2023

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VERSION: 002



1. ABOUT THIS POLICY

- 1.1 The corporate information, records, and Records of Mont Rose College of Management and Sciences (the College) are important to how we conduct business and manage employees and students.
- 1.2 There are legal and regulatory requirements for us to retain certain records, usually for a specified amount of time. We also retain records to help our business operations and to have information available when we need it. However, we do not need to retain all Records indefinitely, and retaining Records can expose us to risk as well as be a cost to our business.
- 1.3 This Records Retention Policy explains our requirements to retain records, dispose of records, and provide guidance on appropriate Records handling and disposal.
- 1.4 Failure to comply with this Policy can expose us to fines and penalties, adverse publicity, difficulties in providing evidence when we need it, and running our business.
- 1.5 This Policy does not form part of any employee's contract of employment, and we may amend it at any time.

2. SCOPE OF POLICY

- 2.1 This Policy covers all Records that we hold or have control over. This includes physical Records such as hard copy documents, contracts, notebooks, letters, and invoices. It also includes electronic Records such as emails, electronic documents, audio, and video recordings, and CCTV recordings. It applies to both personal Records and non-personal Records. In this Policy, we refer to this information and these records collectively as "Records."
- 2.2 This Policy covers Records that are held by third parties on our behalf, for example, cloud storage providers or offsite records storage. It also covers

Records that belong to us but is held by employees or students on personal devices.

2.3 This Policy explains the differences between our formal or official records, disposable information, confidential information belonging to others, personal Records, and non-personal Records. It also gives guidance on how we classify our Records.

2.4 This attached annex give some more detailed information on how we define and deal with Records and is an integral part of this Policy

3. GUIDING PRINCIPLES

3.1 Through this Policy, and our Records retention practices, we aim to meet the following commitments:

- We comply with legal and regulatory requirements to retain records.
- We comply with our Records protection obligations, in particular, to keep personal Records no longer than is necessary for the purposes for which it is processed (storage limitation principle).
- We handle, store and dispose of Records responsibly and securely.
- We create and retain Records where we need this to operate our business effectively, but we do not create or retain Records without good business reason.
- We allocate appropriate resources, roles, and responsibilities to Records retention.
- We regularly remind employees and students of their records retention responsibilities.
- We regularly monitor and audit compliance with this Policy and update this Policy when required.

4. ROLES AND RESPONSIBILITIES

- 4.1 **Responsibility of all employees and students.** We aim to comply with the laws, rules, and regulations that govern our organisation and with recognised compliance good practices. All employees and students must comply with this Policy, the Record Retention Schedule, any communications suspending Records disposal, and any specific instructions from the College. Failure to do so may subject us, our employees, and contractors to serious civil and/or criminal liability. An employee's or students' failure to comply with this Policy may result in disciplinary sanctions, including suspension or termination. It is, therefore, the responsibility of everyone to understand and comply with this Policy.
- 4.2 **Records Management Department** The College's Archivist and Records Manager is responsible for identifying the Records that we must or should retain and determining the proper period of retention in collaboration with any other relevant person. He/She also arranges for the proper storage and retrieval of records, coordinating with outside vendors where appropriate, and handles the destruction of records whose retention period has expired.
- 4.3 The Archivist and Records Manager is responsible for:
- Administering the Records management programme;
 - Helping department heads implement the Records management programme and related best practices;
 - Planning, developing, and prescribing Records disposal policies, systems, standards, and procedures; and
 - Providing guidance, training, monitoring, and updating in relation to this Policy.
- 4.4 **Records Protection Officer.** Our Records Protection Officer (DPO) is responsible for advising on and monitoring our compliance with Records protection laws that regulate personal Records.

5. TYPES OF RECORDS AND RECORD CLASSIFICATIONS

5.1 **Formal or official records.** Certain Records are more important to us and are therefore listed in the Record Retention Schedule. This may be because we have a legal requirement to retain them, or because we may need it as evidence of our transactions, or because it is important to the running of our business. Please see paragraph 6.1 below for more information on retention periods for this type of Record.

5.2 **Disposable information.** Disposable information consists of Records that may be discarded or deleted at the discretion of the user once it has served its temporary useful purpose and/or Records that may be safely destroyed because they are not a formal or official record as defined by this Policy and the Record Retention Schedule. Examples may include:

- Duplicates of originals that have not been annotated
- Preliminary drafts of letters, memoranda, reports, worksheets, and informal notes that do not represent significant steps or decisions in the preparation of an official record
- Books, periodicals, manuals, training binders, and other printed materials obtained from sources outside of the College and retained primarily for reference purposes
- Spam and junk mail

Please see paragraph 6.2 below for more information on how to determine retention periods for this type of records

5.3 **Personal Records.** Both formal or official records and disposable information may contain personal records; that is, Records that identify living individuals. Record protection laws require us to retain personal records for no longer than is necessary for the purposes for which it is processed (principle of storage limitation). See paragraph 6.3 below for more information on this.

- 5.4 **Confidential information belonging to others.** Any confidential information that an employee may have obtained from a source outside of the College, such as a previous employer, must not be disclosed to or used by us so long as such information remains confidential. Unsolicited confidential information submitted to us should be refused, returned to the sender where possible, and deleted if received via the internet.

6. RETENTION PERIODS

- 6.1 **Formal or official Records.** Any Records that are part of any of the College's Record Retention Schedule categories must be retained for the amount of time indicated in the Record Retention Schedule. A record must not be retained beyond the period indicated in the Record Retention Schedule unless a valid business reason (or notice to preserve documents for contemplated litigation or other special situation) calls for its continued retention. If you are unsure whether to retain a certain record, contact the Archivist and Records Manager.
- 6.2 **Disposable information.** The Record Retention Schedule will not set out retention periods for disposable information. This type of Record should only be retained as long as it is needed for business purposes. Once it no longer has any business purpose or value, it should be securely disposed of.
- 6.3 **Personal Records.** As explained above, Record protection laws require us to retain personal records for no longer than is necessary for the purposes for which it is processed (principle of storage limitation). Where Records is listed in the Record Retention Schedule, we have taken into account the principle of storage limitation and balanced this against our requirements to retain the Records. Records are disposable information; you must consider the principle of storage limitation when deciding whether to retain these records. Our Data Protection policies are also relevant to this
- 6.4 **What to do if Records are not listed in the Record Retention Schedule.** If Records are not listed in the Record Retention Schedule, it is likely that it should be classed as disposable information. However, if you consider that there is an

omission in the Record Retention Schedule, or if you are unsure, please contact the Archivist and Records Manager.

7. STORAGE, BACKUP, AND DISPOSAL OF RECORDS

7.1 **Storage.** Our Records must be stored in a safe, secure, and accessible manner. Any documents and financial files that are essential to our business operations during an emergency must be duplicated and/or backed up at least once per week and maintained offsite.

7.2 **Destruction.** Our Archivist and Records Manager is responsible for the continuing process of identifying the records that have met their required retention period and supervising their destruction. The destruction of confidential, financial, and employee-related hard copy Records must be conducted by shredding if possible. Non-confidential records may be destroyed by recycling.

7.3 The destruction of Records must stop immediately upon notification that preservation of documents for contemplated litigation is required (sometimes referred to as a litigation hold). This is because we may be involved in a legal claim or an official investigation (see below)

8. SPECIAL CIRCUMSTANCES

8.1 **Preservation of documents for contemplated litigation and other special situations.** We require all employees to comply fully with our Record Retention Schedule and procedures as provided in this Policy. All employees should note the following general exception to any stated destruction schedule: If you believe, or are informed, that certain records are relevant to current litigation or contemplated litigation (that is, a dispute that could result in litigation), government investigation, audit, or another event, you must preserve and not delete, dispose of, destroy, or change those records, including emails and other electronic documents, until otherwise informed. Preserving documents includes suspending any requirements in the Record Retention Schedule and preserving the integrity of the electronic files or another format in which the records are kept.

8.2 In addition, you may be asked to suspend any routine Records disposal procedures in connection with certain other types of events, such as our merger with another organisation or the replacement of our information technology systems.

9. WHERE TO GO FOR ADVICE AND QUESTIONS

9.1 **Questions about the Policy.** Any questions about retention periods should be raised with the Archivist and Records Manager.

10. BREACH REPORTING AND AUDIT

10.1 **Reporting policy breaches.** We are committed to enforcing this Policy as it applies to all forms of Records. The effectiveness of our efforts, however, depends largely on employees and students. If you feel that you or someone else may have breached this Policy, you should report the incident immediately to your supervisor. Suppose you are not comfortable bringing the matter up with your immediate supervisor or do not believe the supervisor has dealt with the matter properly. In that case, you should raise the matter with the Archivist and Records Manager. Suppose employees and /or students do not report inappropriate conduct. In that case, we may not become aware of a possible breach of this Policy and may not be able to take appropriate corrective action.

10.2 No one will be subject to, and we do not allow, any form of discipline, reprisal, intimidation, or retaliation for reporting incidents of inappropriate conduct of any kind, pursuing any record destruction claim, or cooperating in related investigations.

10.3 **Audits.** We will periodically review this Policy and its procedures (including where appropriate by taking outside legal or auditor advice to ensure we are in compliance with relevant new or amended laws, regulations, or guidance. Additionally, we will regularly monitor compliance with this Policy, including by carrying out audits.

11. OTHER RELEVANT POLICIES

- 11.1 This policy supplements and should be read in conjunction with our other policies and procedures in force from time to time, including without limitation our data protection policies:

Further detail

