



Uganda Management Institute

Records Management Policy

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Foreword

Information is a corporate asset and the records of Uganda Management Institute (UMI) are important sources of administrative, evidential and historical information. It is against this backdrop that the Records and Information Management Policy has been developed to provide a framework for managing the Institute's records.

The Policy outlines the responsibilities and compliance controls regarding records and information management at the Institute. The objectives of the Policy are to:

- (a) Support the Institute's administrative, legal and operational requirements, including adherence to other UMI policies and compliance with the relevant legislations;
- (b) Promote day-to-day efficiency, and effective records and information management;
- (c) Support and guide records preservation and protective storage within the Institute;
- (d) Ensure general retention, storage and preservation of all Institute records;
- (e) Ensure and guide timely receipt, storage, retrieval and disposal of Institute records; and
- (f) Support risk management at the Institute.

This Policy will therefore ensure that evidence of UMI's business activities are available and accessible for as long as they are required for operational, accountability and compliance purposes.

It is therefore my sincere hope that the Policy will go a long way in streamlining the records and information management function at the Institute. I therefore call upon all the internal stakeholders to embrace the Policy and to implement it to the letter as we work towards building a World Class Management Development Institute.

Dr. James L Nkata

Director General

Acknowledgement

Uganda Management Institute wishes to acknowledge the contribution of the following members of the Committee that developed this Records and Information Management Policy:

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Acronyms and Abbreviations

DFA: Director Finance and Administration

DG: Director General

DPSA: Director Programmes and Student Affairs

GoU: Government of Uganda

HRMD: Human Resource Management Department

ICT: Information and Communications Technology

IEDRMS: Integrated Electronic Documents and Records Management Systems

IR: Institute Registrar

ISO: International Organisation of Standards

MoPS: Ministry of Public Service.

NRAMP: National Records and Archives Management Policy

NRCA: National Records Centre and Archives

RIM: Records and Information Management

RIMU: Records and Information Management Unit

RO: Records Officer

UMI: Uganda Management Institute

UOTIA: Universities and Other Tertiary Institutions Act

Definitions of Key Concepts

Accessibility: Availability and ease of access to records for consultation as a result of both legal authorization and the existence of retrieval tools.

Appraisal: Process of determining the value of records in order to establish the appropriate action such as archival or disposal.

Archive: The institution/unit/place where records of enduring value are kept.

Archives: Records of enduring value selected for permanent keeping.

Classification Scheme: Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.

Current/Active Records: Records regularly used for the conduct of the current business of the Institute.

Destruction: The process of disposal of documents/records of no further value by incineration, maceration, pulping, shredding or any other secure method.

Disaster Management Plan: An organized scheme of procedures for mitigating natural or man-made disasters and facilitating recovery of records in the event of a disaster.

Disposition of Records: The removal of records from operational systems.

Document: Recorded information in any format which can be treated as a unit.

Electronic Record: Any combination of text, graphics, data, audio, pictorial, or other information representation in digital form that is created, modified, maintained, archived, retrieved, or distributed by a digital information system.

Electronic Records Management System: Any system that manages the capture, storage, location and retrieval of records, either in paper or electronic format.

File: A group of related documents, fastened together within a file folder. A virtual file can be created for electronic documents.

Filing Systems: A logical and systematic arrangement for classifying records into subject groups or categories based on definite scheme of natural relationships representing numerals, prefixes, or key words for identification.

Information: Knowledge that is communicated and has facts, concepts, objects, events, ideas, processes, etc.

Information systems: Organized collections of hardware, software, supplies, policies, procedures and people, which store, process and provide access to information.

Information Technology: All computerized and automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, voice, video and data communications, system controls, simulation, and all related instructions between people and machines.

Medium (Media): The physical form of material on which information is recorded such as paper, film, compact disks (CDs), magnetic tapes, flash disks, etc.

Metadata: The information about a record that explains the technical and administrative processes used to create, manipulate, use and store that record.

Non-current/non active/inactive Records: Records rarely needed by the office of origin to conduct current business but it is being retained for other administrative, legal, fiscal, or historical/posterity purposes.

Preservation: All measures taken, including financial and strategic decisions, to maintain the integrity and extend the life of records.

Record: Recorded information regardless of form or medium created, received and maintained by UMI or staff under its legal obligations or in the transaction of its and providing evidence of the performance of those obligations or that business.

Records Centre: A building or part of a building designated for the storage and provision of official access to semi-current records pending their eventual disposal.

Records Disposal: The act of removal of records from their place of origin, whether for destruction or formal transfer to Records Storage Centre, or Archives, of records that have reached the end of their retention period.

Records Management: The field of management responsible for the efficient and systematic control of all records from their creation or receipt, maintenance through processing, retrieval, distribution and use, to their ultimate preservation or disposal.

Registry: An administrative unit for the control of all records, documents, and information required by UMI for the operation of the Institute's business. It is the unit where active records of the Institute are managed; i.e. where files are kept and arranged in a systematic manner.

Repository: A central unit/place where electronic documents such as report, dissertation, thesis, and conference paper are kept, stored and maintained for safety of access and use.

Retention and Disposal Schedule: A document describing the recurring records of the Institute or an administrative unit of the Institute, specifying which records should be preserved permanently as having enduring value as archives and authorizing on a continuing basis and after the lapse of prescribed retention periods or the occurrence of specified actions or events, the disposal by destruction or other means of the remaining records.

Records Survey: An exercise conducted to identify the size, scope, and complexity of UMI's records and evaluate the records management systems.

Retention Period: Period of time that records should be retained in their offices of origin or in records center's before they are transferred to the Archives for preservation or otherwise destroyed.

Semi-Current/ Semi-Active Records: Records required only infrequently for the conduct of current business and for purposes of this Policy, files or other assemblies of records on which no action has been recorded for five years shall be regarded as semi-current records.

Vital Records: Records containing essential information necessary for the continuity or resumption of operations in the event of a disaster.

1. SITUATIONAL ANALYSIS AND POLICY CHALLENGE

1.1 Introduction

The Records Management Policy has been developed against the backdrop of absence of a Policy to guide the management of records and the challenges of records management at the Institute.

1.2 Preamble

The information contained in the UMI records serve as evidence of the functions executed and performed. Indeed, the Institute's records comprise a valuable source of knowledge as to how and why decisions are taken. Therefore, the quality of the information records holds a significant value to UMI and its effective management is necessary to ensure that the records retained are not only authentic, reliable, and complete; but are also properly protected as evidence to support future actions as well as serve future accountability purposes. Good recordkeeping practice will also mitigate risk by reducing the likelihood that the Institute is compromised by inappropriate or inadvertent release of information. Risk is mitigated when the Institute is able to provide internal and external stakeholders access to content in a timely manner, as appropriate and/or as legally required. Much as the Institute is proud of its history and traditions in records and information management, this Records Management Policy will preserve and promote UMI's treasures and heritage. Management is committed to digitizing the records.

2. POLICY STATEMENT, SCOPE AND APPLICATION

2.1 Policy Statement

Uganda Management Institute is committed to creating, keeping and managing its records in a manner that accurately documents its activities and meets its statutory obligations. Therefore, the Records Management Policy will guide the Institute to create and maintain records that will support good business practice as well as functioning efficiently and effectively today and into the future. Regulating the creation and maintenance of records protects the Institute's rights and entitlements and those of its staff and participants while making the Institute accountable for its business decisions and transactions in light of the internal and external stakeholder expectations.

2.2 Scope of Policy and Application

- (a) This is an Institute-wide Policy which applies to:
- i. All records that are part of and relate to the business activities that are carried out at Uganda Management Institute. They include, but not limited to, participant (or student) records, legal records, governance and management records as well as financial records;
 - ii. The creation, capture, location, access, use, management, storage, retrieval and disposal of records by all UMI staff, Associate Consultants and temporary administrative staff;
 - iii. Records created and preserved in electronic, paper, and other formats where applicable;
 - iv. All staff at UMI, including teaching and non-teaching, fulltime and part time, permanent, temporary and contract staff;
 - v. All Branches of UMI;
 - vi. All business functions, processes and activities of the Institute including those performed by outsiders on behalf of UMI
 - vii. All metadata associated with electronic information, including data held in line of business and content management systems, except the metadata excluded from the scope of the public by any respective laws of Uganda.
- (b) This Policy replaces all previous records management guidelines and practices and takes precedence over local records management guidelines and practices.
- (c) This Policy does not apply to the National Documentation Centre and the Uganda Management Institute's libraries.

3. GUIDING PRINCIPLES OF THE POLICY

The following principles underpin this Policy:

- (a) **Compliance:** This entails compliance with the legislations governing records and archives.
- (b) **Confidentiality:** UMI shall ensure the security of personal information, to protect it against loss, unauthorized access, use, modification or disclosure, and against any other misuse.

(c) **Right to information:** Persons other than those authorized to handle UMI business may obtain access to UMI documents in accordance with the Policy, other than exempt documents with the permission of the CEO.

(d) **Integrity:** This entails promoting the accuracy, authenticity and security of the records.

(e)

4. OBJECTIVES OF THE POLICY

4.1 Purpose of the Policy

The purpose of this Records Management Policy is to ensure, guide and regulate the creation, use, management, retention and destruction of records that result in complete, usable and reliable records, which are capable of supporting UMI's functions and activities and which ensure accountability for as long as is required.

4.2 Objectives of the Policy

The objectives of the Policy are to:

- (a) Support the Institute's administrative, legal and operational requirements, including adherence to other UMI policies and compliance with the relevant legislations;
- (b) Promote day-to-day efficiency and effective records management;
- (c) Support and guide records preservation and protective storage within the Institute;
- (d) Ensure general retention, storage and preservation of all Institute records;
- (e) Ensure and guide timely receipt, storage and disposal of Institute records; and
- (f) Support risk management at the Institute.

5. SPECIFIC POLICY PROVISIONS

5.1 Records Creation and Storage

- (a) All records created by staff, or received by staff, in the course of UMI's operations and activities, are owned by UMI unless otherwise specified.

- (b) All records received by UMI are in the care of the Institute and are also subject to the Institute's overall control and subject to the provisions of this Policy.
- (c) Records in non-paper formats such as photographs, maps or computer disks shall require specialized storage conditions and handling process that consider the specific physical and chemical properties of these records.
- (d) Management of e-records shall be in tandem with the framework of Records Management Policies, Rules and Procedures that give guidance to practice.
- (e) Management together with the Records and Information Management Unit(s) shall develop risk management strategies for all Vital Records and Business Recovery Plan for adoption and use to the benefit of the Institute.

5.2 Preservation and Conservation of Records

- (a) The Records and Information Management Unit(s) shall acquire, manage, preserve and make archives available for use to the Institute and the general public.
- (b) Current and archival materials shall be carefully preserved to prevent damage and loss of information through; use of modern preservation methods and technology such as digitization and microfilming where appropriate.

5.3 Retention and Disposal Schedule

- (a) The Records Officer shall appraise all records to determine their value in liaison with management and the creators of the specific records.
- (b) UMI shall develop and implement **Retention and Disposal Schedules** that comprehensively cover all records and archives, regardless of format or media.

5.4 Records Disposal

- (a) All the records of enduring value shall be transferred to the Records Centre and Archives, or any other place of deposit as prescribed in the National Records and Archives Act, 2001.

- (b) UMI records that are not archived permanently will at some point with approval of management be subject to destruction in accordance with Uganda Ministry of Public Service guidelines.

5.5 Access to Records

- (a) Notwithstanding the access to records legislation, UMI records are public in nature and are open to public access after the period of thirty (30) years as prescribed in Section 17 of the National Records and Archives Act, 2001.
- (b) Records shall at all times be protected against unauthorized access and tampering to maintain their integrity, authenticity and reliability as evidence of the business of the Institute.

5.6. Security of Records

Security classification of records shall be managed in terms of the Uganda government Records Security Instructions.

5.7 Legal Admissibility and Evidential Weight

The records of UMI shall at all times contain reliable evidence of business operations of the Institute and the following categories of records are applicable:

- (a) Paper-based Records, and
- (b) Electronic records (e-Records).

6. RECORDS STORAGE AND MANAGEMENT AREAS

Records at UMI shall be stored and managed in the following areas:

6.1 Registry

- (a) The Institute shall have a Central Registry and may in addition establish other Registries to serve the Academic Registrar's Department, Schools, Finance Department, Procurement Unit, Human and Resource Management Department depending on the nature and volume of the Institute's business.

- (b) Management shall ensure that all active records required for the daily operation of business are properly stored in a Registry(s) and easily retrievable when needed.
- (c) There must be mechanisms to ensure that all Institute records, are protected, secure, complete and accessible to authorized users.

6.2 Records Centre

- (a) The Institute shall designate a room for the storage and provision of official access to Semi-current Records pending their eventual archival or disposal.
- (b) The management and maintenance of the records shall be vested in the Records and Information Management Unit.

6.3 Archives

- (a) The Institute shall designate a room for the storage of records of enduring value after appraisal pending their transfer to the National Records Centre and Archives.
- (b) Access and utilization of such archives shall be subject to the Uganda Government, Ministry of Public Service and UMI Legal Requirements.

7. IMPLEMENTATION, ROLES AND RESPONSIBILITIES

The successful implementation of this Policy shall depend on mutual cooperation and clear separation of roles and responsibilities of key stakeholders. The following critical questions will guide the separation of responsibilities and ensure harmony in the implementation process:

Below are the roles and responsibilities of the various stakeholders in records management:

7.1 Ministry of Public Service

The Ministry of Public Service is responsible for:

- (a) Overseeing the management of public records, information and archives in the Public Service in accordance with the provisions of Article 189, Sixth Schedule, and Sub-article 10 of the Constitution of the Republic of Uganda.

- (b) Advising the Public Service through issuance of guidelines on best practices regarding the records and information management practices in the Public Service.
- (c) Establishing and implementing procedures for the transfer of public records to the National Records Centre or other repository under the provisions of the National Records and Archives Act, 2001.

7.2 The Institute Council

Pursuant to the University's and Other Tertiary Institutions Act, 2001 as amended, the UMI Governing Council is responsible for:

- (a) Enforcing records management standards including but not limited to policy formulation that will ensure compliance.
- (b) Creating supporting structures, approving the recruitment of adequate staff and providing adequate budget provisions to ensure that policy implementation is operational.
- (c) Monitoring the implementation of the RIM Policy and approving policy reviews as and when appropriate is also a major function of the Council.

7.3 Top Management

Top Management of the Institute shall be responsible for:

- (a) Implementing the Records and Information Management Policy by ensuring that all records created or received in the course of official transactions are properly managed.
- (b) Establishing Registries and Record Centre's for the proper management of records and equipping them.
- (c) Recruiting professional staff to manage records.
- (d) Building the capacity of records staff to manage records and archives.
- (e) Planning and budgeting for records management activities.
- (f) Liaising with the Ministry of Public Service on all matters related to records and archives management.
- (g) Developing and revising Standards, Procedures and Guidelines on records management.

7.4 Directorate of Finance and Administration

The Directorate Finance and Administration shall provide guidelines and monitor the operationalization of this Policy. The DFA shall be accountable for the Records and Information Management of UMI.

7.5 The Records and Information Management Unit

The Unit shall be responsible for:

- The development of a records management plan which will provide a comprehensive file classification and indexing scheme for the entire Institute's records right from their creation, through their semi-active period up to the disposal stage.
- Developing a Records Management Procedures Manual for the active, semi-active and inactive records.
- Establishing and implementing a records retention programme; and developing a complete inventory of all the Institute's records, including electronic records and update it regularly.
- Implementing best practices in records and information management; and managing Registries, Record Centre's and Archives repositories in a professional manner.
- Training the users in the creation, maintenance and management of both paper and electronic records at the Institute.

7.6 ICT Department

The ICT Department shall be responsible for:

- Developing and approving the standard procedures and guidelines for management of electronic records in liaison with the Records and Information Management Unit
- Providing guidance and standards for the creation, management and maintenance of records in electronic format.
- The management of the infrastructure supporting, storage and preservation of electronic records including; security, back-up and access.

7.7 Deans, Heads of Academic and Administration Departments and Units

The responsible officers shall be responsible for:

- Implementing the Policy in their respective functions and ensuring compliance.
- Keeping custody of active records in their Departments/Schools/Units
- Transferring all inactive records to the Records Unit.

7.8 Action Officers/Records Users

- (a) Maintenance and provision of authorized access to electronic records shall be a shared responsibility between the records creators, Records Managers, and ICT officers; Electronic records which may be required in future as evidence shall comply with metadata requirements, which should include content, context and structure.
- (b) End users shall ensure that:
- i). Electronic records are managed responsibly and effectively as part of a comprehensive records and information management programme;
 - ii). Electronic records of all transactions undertaken while conducting official business are surrendered to the Registry; and

7.9 Staff

All UMI Staff are required to:

- (a) Be aware of and comply with this Policy and their responsibilities under it. This includes attending training and any other capacity building initiatives.
- (b) Ensure that records supporting and documenting their business activities are created, captured and accessed in accordance with the provisions of this Policy and manuals thereof.
- (c) Be aware and comply with the data protection principles, privacy and confidentiality requirements specified in the relevant legislations the UMI's Code of Conduct.

8. MONITORING, REVIEW AND EVALUATION OF POLICY

- (a) Compliance with the Policy will be monitored regularly by all responsible officers in their respective capacities.

- (b) The Records and Information Management Unit shall take the lead in monitoring the implementation of the Policy so as to establish its need/requirement for improvement.
- (c) This Policy shall be periodically evaluated to assess the impact of the interventions on records/archives management and thus service delivery in UMI.
- (d) This Policy shall be reviewed from time to time with a view to make necessary improvements that may arise.

9. DUE DILIGENCE

This Policy does not contradict the national legislations and policies on records management.

10. POLICY VIOLATION

Non-compliance with this Policy constitutes a breach of UMI's Code of Conduct and shall be handled within the disciplinary procedure of the Institute.

11. REFERENCE MATERIALS

- ✓ The 1995 Constitution of the republic of Uganda, [Ch 4; 41, 1] as amended by Act No.11 of 2005. It is the overall legal framework for any Records and Information Management
- ✓ The National Records and Archives Act, 2001
- ✓ The National Records and Archives Policy, Jul 2018 - draft
- ✓ Retention and Disposal Regulations 2007
- ✓ Records Centres Manual 2014
- ✓ Scheme of Service – professionalizing the record management,
- ✓ Uganda Christian University Statute on Records Retention and Disposition Schedule, May 2018
- ✓ Kyambogo University Records Management Policy, 20??
- ✓ The Deposit Library and Documentation Act, 1969