



For an Open Mind

UNIVERSAL TECHNOLOGY AND MANAGEMENT UNIVERSITY

UTAMU

**UTAMU RECORDS MANAGEMENT POLICY,
2026.**

1.0 Introduction

1.1 Background

Universal Technology and Management University (UTAMU) was granted a provisional license by the National Council for Higher Education (NCHE) on 11th March 2013 (License No. UIPLO22), and its name and particulars were published in the Uganda Gazette Vol. CVI No. 14 of 22nd March 2013 under Legal Notice No. 4 of 2013.

The University was established to make a difference in the training of Technology and Management Professionals across the globe. Thus, the University has positioned itself as a high-quality education and research global institution. Furthermore, the University has positioned itself to undertake consultancy, knowledge and technology transfer, partnership and business incubation.

Universal Technology and Management University (UTAMU) is committed to the provision of quality, relevant, inclusive and innovative teaching and learning that responds to the needs of learners, industry, society and national development priorities.

The University has the mandate of ensuring proper custody, access and preservation of official records, student records, minutes of meetings and policy documents in alignment with national legal frameworks and international best practices.

This Policy is aligned with the requirements of the National Council for Higher Education (NCHE) and UTAMU's strategic direction.

1.2 Vision

The vision of UTAMU is a global educational institution of excellence in management science, technology and innovation.

1.3 Mission

The mission of UTAMU is to provide global quality education, research and innovation critical to economic and human development.

1.4 Core Values

The Core values of UTAMU are:

- a) **Professionalism**: making sure that staff and students are taking responsibility for all their actions.
- b) **Creativity**: committing to stimulating the culture of scientific and technological advancement, innovation, and practical enrichment to UTAMU's stakeholders through a rich and flexible educational experience.
- c) **Integrity**: adhering to ethical and moral principles in all the educational, research and innovation processes.
- d) **Transparency**: seeking to provide accountability and value for money to UTAMU's stakeholders.
- e) **Empowerment**: offering and unsurpassed practical opportunities to UTAMU's stakeholders through industry-oriented collaborations, research engagements and incubation clusters in order to transform the educational environment.
- f) **Community Engagement**: working with the community to solve real-world problems as a focal point towards economic development.

1.5 Purpose of the policy

This policy provides a framework for efficient management of university records for decision making, accountability and protection of institutional memory in compliance with the National Records and Archives Act.

1.6 Scope

This policy applies to:

All UTAMU university staff, service providers and contractors of UTAMU and Volunteers performing duties on behalf of the university.

2.0 Legal Compliance

The University Records Management policy shall comply with the national legislation and university statutes.

3.0 Definitions

Archives

Records of a permanent value selected for permanent preservation

Records Appraisal

This is the process of evaluating records to determine their long-term value whether they should be retained for a specific period, retained permanently or disposed of. This creates a Retention Schedule.

University Record

This is any record created by an individual or group at the university in the course of executing an official business activity.

4.0 Policy Statement

The university is committed to the efficient management and preservation of its records in both paper and electronic formats for accountability, transparency, and efficiency in academic and administrative processes of the university.

All records shall be managed in compliance with the Uganda National Records and Archives Act and relevant ICT legislation and security standards.

The University shall adopt secure, reliable and accessible systems to guarantee the authenticity, confidentiality and usability of records throughout their life cycle.

Responsibility for university records in all formats relies with the University Secretary, Academic Registrar and designated Records office, supported by the ICT Directorate.

All staff and students shall adhere to this policy to safeguard UTAMU's institutional memory.

4.1 Roles and Responsibilities

4.1.1 Vice Chancellor

The Vice Chancellor shall ensure that appropriate policies of all university units/work procedures are in place and compliant with national legislation and best record keeping practices.

4.1.2 Deans, Quality Assurance Directorate

Top officers in managerial positions have to ensure that staff in their respective departments adhere to this records management policy in their work procedures.

4.1.3 University Records Officer/ Archivist

The University shall have a Records officer to ensure routine implementation of the University records management policy from storage to disposal.

The Records officer shall also be in charge of training university staff in professional records management processes.

The Records officer shall be in charge of University Archives. That is records with permanent value. Records of daily operations/short term value shall be managed by the respective departmental units of the university.

4.2 Records Classification

Records shall be classified into the following categories;

- a. Academic records
- b. Administrative records
- c. Financial records
- d. Human resource records
- e. Legal records.

f. Archival records.

4.3 Creation of Records

University departments shall ensure accurate documentation of business processes including events, meeting proceedings and work processes.

4.4. Access of Records

The university shall encourage sharing of necessary records for effective execution of university activities. Confidential records shall have restricted access, that is only authorized staff personnel according to business and legislative requirements.

4.5. Records Storage and Security

University records shall be stored securely in approved storage areas or secure electronic systems. Sensitive records shall have more restrictions and access provided to authorized university personnel as required by their job descriptions. For cases where a record is required to leave the University premises, photocopies can be made and original copies remain at the campus or designated place. Staff using electronic records shall ensure that such records are not altered, deleted or accessed by unauthorized persons.

Adequate measures shall be put in place to ensure timely backup of electronic records and ensure safe custody of original physical records in an appropriate and secure location.

4.6 Records Retention and Disposal

The following retention schedule shall be followed;

- i) Student Academic Records (transcripts and graduation lists) shall be retained permanently for institutional memory and lifelong verification.
- Admission Records (Application and supporting documents) shall be retained for 7 years to facilitate appeals and audits.

- Examination Scripts and Coursework shall be retained for 5 years to facilitate review and accreditation audits.

ii) Financial Records shall be retained for 10 years to facilitate audit and tax compliance.

iii) Personnel Records shall be retained for 7 years after separation to support human resources functions, pensions and legal claims.

iv) Research Data and Ethics Approvals shall be retained for 5-15 years depending on the discipline and longer periods for medical or clinical research.

v) Governance Records (Council minutes, Senate decisions) shall be retained permanently as required by the National Council for Higher Education.

vi) Administrative correspondence shall be retained for 3-5 years for operational purposes.

vii) ICT and Electronic Records (emails, system logs) shall be retained for 2-3 years and permanently retained in case of governance records.

viii) Legal Records shall be retained permanently or 10 years after expiry so that they can be used in case of disputes.

*No record of long-term value shall be destroyed without authorization from the University Records Officer / Archivist **and** University Council.*

- The University Secretary is the custodian of administrative and governance records.
- The Academic Registrar is responsible for student records.
- The ICT Directorate shall ensure secure storage, backup and digital preservation of records.
- The Records and Archives Office shall maintain retention schedules and oversee disposal.

- Departmental Administrators shall implement the retention schedules in their respective departments.

4.7 Confidentiality and Access

Access to confidential records shall be restricted to only authorized personnel. Confidential records both physical and electronic shall be securely protected.

4.8 Disaster Recovery

The university shall put in place measures to ensure protection of records in case of a fire, flood, cyber threats or any other kind of disaster.

5.0 Records Training Program


The University Records officer shall organize appropriate training for staff to ensure that this policy is adhered to for proper records management and safeguarding the institutional memory of UTAMU.


6.0. Policy Review

This policy shall be reviewed every 5 years or as required to reflect changes in legislation, best practices and standards, National Council for Higher Education requirements or changes in technology.

Signed on this.....^{27th}.....day of^{March}..... 2026.

By:


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Chairperson, University Council


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Vice Chancellor

