DOCUMENTS AND RECORDS MANAGEMENT POLICY

BAYLOR COLLEGE OF MEDICINE CHILDREN'S

FOUNDATION - UGANDA

Proposed by

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1. Purpose

The National Records and Archives Act, 2001 requires the Baylor College of Medicine Children's Foundation – Uganda to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act and records requirements by the Sponsorship office and other Baylor College of Medicine Children's Foundation - Uganda.

Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Baylor College of Medicine Children's Foundation – Uganda must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. Baylor College of Medicine Children's Foundation – Uganda considers its records to be a valuable asset to:

- enable Baylor College of Medicine Children's Foundation - Uganda to find the right information easily and comprehensively;
- enable Baylor College of Medicine Children's Foundation - Uganda to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Baylor College of Medicine Children's Foundation - Uganda;
- ensure the conduct of business in an orderly, efficient and accountable manner;
- ensure the consistent delivery of services;
- support and document policy formation and administrative decision-making;
- provide continuity in the event of a disaster;
- protect the interests of Baylor College of Medicine Children's Foundation - Uganda and the rights of employees, clients and present and future stakeholders;
- support and document Baylor College of Medicine Children's Foundation - Uganda's activities, development and achievements;

Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space

resources through greater co-ordination of information and storage systems.

2. Policy statement

All records created and received by Baylor College of Medicine Children's Foundation – Uganda shall be managed in accordance with the records management principles contained the National Records and Archives Act, 2001.

The following broad principles apply to the record keeping and records management practices of the Baylor College of Medicine Children's Foundation - Uganda:

- Baylor College of Medicine Children's Foundation – Uganda follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- Records management procedures of Baylor College of Medicine Children's Foundation – Uganda comply with legal requirements, including those for the provision of evidence.
- Baylor College of Medicine Children's Foundation – Uganda follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in Baylor College of Medicine Children's Foundation – Uganda are managed according to the principles promoted by the National Records and Archives Agency and records requirements by the Sponsorship office and other Baylor College of Medicine Children's Foundation - Uganda.
- Baylor College of Medicine Children's Foundation – Uganda has performance measures for all records management functions and reviews compliance with these measures.

3. Relationship with other policie**s**

Baylor College of Medicine Children's Foundation - Uganda Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by Baylor College of Medicine Children's Foundation - Uganda. These policies are managed by the records manager. The following parts exist:

- Communication Policy;
- Web content management policy

Other policies that are closely related to the Records Management Policy may include the

- Baylor College Internet portal Usage Policy which is managed by the IT Manager

4. Scope and intended audience

To meet the demands of the policy it is essential that all staff understand and practice the following principles when managing their recorded information regardless of its format:

i. All information created during the course of normal Baylor College of Medicine Children's Foundation - Uganda activity is the property of Baylor College of Medicine Children's Foundation - Uganda. Every employee has a duty of care to responsibly and adequately manage the records they create or use.

ii. Information must be managed to support business functions rather than hierarchical or organizational structure.

iii. Records should be held in a managed system and should be accurate, up to date and accessible.

iv. Records must not be retained, distributed or copied unnecessarily.

v. A consistent approach must be adopted with regard to the creation, indexing, storage, retrieval, revision, archiving and disposal of records.

vi. The management of information must be in accordance with security, protection, legal, environmental and cost requirements.

vii. Records deemed to be "Restricted Data" will require appropriate additional security

This policy impacts upon Baylor College of Medicine Children's Foundation – Uganda work practices for all those who:

- create records including electronic records;

ess to records;

- have any other responsibilities for records, for example storage and maintenance responsibilities;
- Have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.

The policy therefore applies to all staff members of Baylor College of Medicine Children's Foundation – Uganda and covers all records regardless of format, medium or age.

5. Regulatory framework

By managing its' electronic and paper-based records effectively and efficiently the Baylor College of Medicine Children's Foundation – Uganda strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:

- Constitution of the Republic of Uganda, 1996;
- ISO 15489: International Standard on Records Management
- National Records and Archives Act, 2001;
  - The Subsequent Regulations developed to operationalize the Act;

- The Access to Information Act, 2005; and
- The copyright and neighboring act, 2006

6. Roles and Responsibilities

The Documents and Records Management policy demands that all staff of Baylor College of Medicine Children's Foundation – Uganda take responsibility to adhere to use, access and storage of information material at all times

6.1 The Baylor College of Medicine Children's Foundation – Uganda Documents and Records Management Function – Access Control.

The head of College shall designate a senior manager to control the records management function of each unit at Baylor College of Medicine Children's Foundation – Uganda and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of the Baylor College of Medicine Children's Foundation – Uganda to enable compliance with legislative and regulatory requirements.

The Records Office personnel are ultimately accountable for the record keeping and records management practices of the Baylor College of Medicine Children's Foundation - Uganda.

The Records Office personnel are committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

The Records Office personnel are to supports the implementation of this policy and requires each staff member to support the values underlying in this policy.

6.2 Senior managers

Senior managers are responsible for the implementation of this policy in their respective units.

Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.

Senior management shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.

Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

6.3 Records manager

The records manager is responsible for:

- the implementation of this policy;
- staff awareness regarding this policy;
- The management of all records according to the records management principles contained in the National Records and Archives Act, 2001 and records requirements by the Sponsorship office and other Baylor College of Medicine Children's Foundation - Uganda.
- The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

The specific duties of the records manager are contained in the schedule of duties Records for Records Managers of the Baylor College of Medicine Children's Foundation - Uganda.

The records manager is mandated to make such training and other interventions as are necessary to ensure that Baylor College of Medicine Children's Foundation – Uganda record keeping and records management practices comply with the records management principles contained in the National Records and Archives Act, 2001.

The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Baylor College of Medicine Children's Foundation - Uganda.

The records manager shall ensure that all records created and received by Baylor College of Medicine Children's Foundation – Uganda are

classified according to the approved file plan and that a written disposal authority is developed in consultation with the heads of units.

6.4 IT manager

The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.

The IT manager shall work in conjunction with the records manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.

The IT manager shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.

The IT manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.

The IT manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.

The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

The IT manager shall ensure that back-ups are stored in a secure off-site environment.

The IT manager shall ensure that systems that manage and store records are virus free.

Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- the E-mail policy; and
- the Web content management policy;

6.5 Security manager

The security manager is responsible for the physical security of all records.

Details regarding the specific responsibilities of the security manager are contained in the (proposed) information security policy.

6.7 Legal services manager

The legal services manager is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of the Baylor College of Medicine Children's Foundation - Uganda.

6.8 Registry staff

The Registry Staff are responsible for the physical management of the records in their care.

Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the (proposed) Registry Procedure Manual.

6.9 Staff

Every staff member shall create records of transactions while conducting official business.

Every staff member shall manage those records efficiently and effectively by:

- allocating reference numbers and subjects to paper-based and electronic records according to the file classification scheme;
- sending paper-based records to the registry for filing;
- Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the Records Manager.

Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

7. Records classification, Indexing and Labeling systems and related storage areas

The Baylor College of Medicine Children's Foundation – Uganda is to have a College wide approved system of Labelling, Indexing and Classification throughout all paper-based and electronic information material. Changes made in the choice are to be implemented / updated system-wide.

7.1 Correspondence systems

File plan

Only the file classification scheme currently running in the registry shall be used for the classification of paper-based and electronic (including e-mail) records.

Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file classification scheme.

When correspondence is created/ received for which no subject exists in the file classification scheme, the records manager should be contacted to assist with additions to the file classification scheme. Under no

circumstances may subjects be added to the file classification scheme if they have not been approved by the records manager.

Storage areas

Paper-based correspondence files are kept in the custody of-

The central registry

All paper-based correspondence system records that are not HR related are housed in the central registry.

All these records are under the management of the records manager who is mandated to ensure that they are managed properly.

The registry is a secure storage area and only registry staff are allowed in the records storage area.

Staff members that need access to files in the registry shall place a request for the files at the counter.

The registry shall be kept under a key and lock system.

Electronic correspondence records are stored in an electronic repository that is maintained by the IT section.

Access to storage areas where electronic records are stored is limited to the Information Technology staff who have specific duties regarding the maintenance of the hardware, software and media.

7.2 Records other than correspondence systems

Schedule for records other than correspondence systems

The records manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the

storage location and retention periods of these records regardless of format.

Should records be created/ received that are not listed in the schedule, the records manager should be contacted to add the records to the schedule.

8. Disposal of records

No official records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Records Manager/……..

The Records manager will issue Standing Disposal Authority Number 0001 for the disposal of records classified against the file plan. The records manager manages the disposal schedule.

The Records Manager issued Standing Disposal Authority Number 0002 on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

Retention periods indicated on the file classification scheme and schedule were determined by taking the Baylor College of Medicine Children's Foundation – Uganda legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.

Disposal in terms of these disposal authorities will be executed annually in December.

All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.

Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.

Paper-based archival records shall be safely kept in the Records Center until they are due for transfer to the National Archives Repository. Transfer procedures shall be as prescribed by the National Archives Procedures Manual.

Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

9. Retention Schedule, Storage and custody

All records shall be kept in storage areas that are appropriate for the type of medium. The guidelines contained in the appropriate procedures shall be applied.

Specific policies for the management of electronic storage media are contained in the electronic records management policy.

10. Access and security

Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Baylor College of Medicine Children's Foundation - Uganda.

Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.

No staff member shall remove records that are not available in the public domain from the premises of Baylor College of Medicine Children's Foundation – Uganda without the explicit permission of the records manager in consultation with the information security manager.

No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Access to Information Act which is maintained by the Chief Information Officer.

Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.

No staff member shall disclose personal information of any member of staff or client of the Baylor College of Medicine Children's Foundation – Uganda to any member of the public without consulting the …… first.

An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.

Records storage areas shall at all times be protected against unauthorized access. The following shall apply:

Registry and other records storage areas shall be locked when not in use.

Access to server rooms and storage areas for electronic records media shall be managed with key card access

11. Legal admissibility and evidential weight

The records of Baylor College of Medicine Children's Foundation - Uganda shall at all times contain reliable evidence of business operations. The following shall apply:

Access Digital Signature

Requisition Forms

Paper-based records

No records shall be removed from paper-based files without the explicit permission of the records manager.

Records that were placed on files shall not be altered in any way.

No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.

Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

Electronic records

The Baylor College of Medicine Children's Foundation – Uganda shall use systems which ensure that its electronic records are:

- authentic;
- not altered or tampered with;
- auditable; and
- Produced in systems which utilize security measures to ensure their integrity.

The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

12. Training

The Records Manager shall be holders of at least a Bachelor's degree in either Library and Information Science or Records and Archives Management or Archival Studies from a recognized University. Within one year of work, management shall arrange for a relevant post graduate records management training that would equip the Records Manager with special records management skills.

The Records Manager shall identify such training courses that are relevant to the duties of the Registry Staff and shall ensure that the registry staff are trained appropriately.

The Records Manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

13. Monitor and review

The Records Manager shall review the record keeping and records management practices of the Baylor College of Medicine Children's Foundation – Uganda on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Baylor College of Medicine Children's Foundation - Uganda.

This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of the Baylor College of Medicine Children's Foundation - Uganda.

14. References

- The 1995, Uganda National Constitution
- The National Records and Archives Act, 2001
- The Access to Information Act
- The Copyright and Neighboring Act, 2006
- ISO 15489: International Standard on Records Management

16. Authorization

This policy was approved by the HR Coordinator - Services and Compliance - Godsend Nshaho, Baylor College of Medicine Children's Foundation - Uganda on this date 27th May 2015.