

SINU Records Policy

1. Purpose

- 1.1. The purpose of the URP is to regulate all dealings with official University Records.
- 1.2. All communication by employees of the University that relate to any aspect of the University are deemed to be official records of the University.

2. Definitions and Interpretation

- 2.1. An official record is defined as any record of the University which deals with any matter relating to any matter concerning the operation and/or functioning of the University.
- 2.2. An office holder is an employee of the University, irrespective of the nature of the employment.
- 2.3. University records comprise:
 - 2.3.1. Records of all official meetings of the University Council, all committees of the Council, the University Senate, all committees of the Senate, University Senior Management Committee, all committees of the Senior Management Committee, Faculty Academic Boards, and Support Service Committees, and all committees and sub-committees which are established or which function by virtue of any policy of the University.
 - 2.3.2. All documents relating to a potential or an actual student of the University.
 - 2.3.3. All documents relating to a potential or an actual staff, irrespective of the nature of employment.
 - 2.3.4. All documents relating to a contractor of the University.
 - 2.3.5. All documents relating to a technical advisor, consultant, or volunteer engaged by the University.
 - 2.3.6. All agreements, contracts, MOUs, MOAs.
 - 2.3.7. All documents relating to procurement of any good or service by the University
 - 2.3.8. All documents relating to the payment to any person or entity by the University
- 2.4. For clarity, records include electronic records.
- 2.5. For clarity, University records include records of all legacy institutions of SINU.

3. Responsibility

- 3.1. The University Records Office (URO) is the custodian of all official records of the University.
- 3.2. It is the responsibility of each and every office holder to ensure that official records are dealt with according to this policy.

4. Meeting Records

- 4.1. Council and each committee of the University as defined above, shall keep official records of the committee papers and proceedings.
- 4.2. All meetings of the Council, Council Committees, the Senate, and the SMC, shall be audio recorded.
- 4.3. Meeting minutes shall record all persons present in a meeting, any declaration of conflict of interest, and all resolutions proposed and decided on. It is not necessary to record in the minutes, details of what each person in the Committee states, unless the person made a specific request to minute his/her statement.
- 4.4. Each minute of each meetings shall be deemed as 'draft' minute, until the respective minutes are adopted by the respective committee.

- 4.5. A copy of all approved minutes, duly signed by the Chair of the respective committee and the secretary, shall be sent to the URO for records, and the original shall be pasted in a physical minute book of each committee. It is the responsibility of the respective secretary to ensure that the minute book is completed promptly after the minutes are approved.
- 4.6. A copy each of all audio recording of the proceedings of the committees listed in paragraph 2.3.1 above shall be submitted to the URO for archiving, and a copy retained in the e-folder of the respective section or office.

5. University Corporate Records

- 5.1. Corporate Records refer to records of all support services of the University, including records on buildings, estates, properties, contracts, human resources, financial resources, ICT resources, and library resources.
- 5.2. All corporate records on buildings, estates, properties, contracts, and agreements shall be maintained in perpetuity by the URO. It is the responsibility of the head of each section of the University dealing with any support service, to submit to the URO either hardcopy or legible e-copies of all corporate records.
- 5.3. All corporate financial resource records shall be maintained by the respective section for at least 10 years after the completion and adoption of the University's annual accounts, except where for reasons of policy, continuity or legal, certain records need to be maintained for longer periods.
- 5.4. All corporate human, ICT, and library resource records shall be either maintained at the respective section or archived with the URO for at least 10 years after the section declares in writing that it no longer needs a specific record to be maintained for the efficient functioning and good governance of the University.

6. Senate and Academic Records

- 6.1. Minutes of all Faculty Academic Boards and Institute Boards shall be submitted to the Senate Secretariat for inclusion in the Senate papers as Information Papers.
- 6.2. Minutes of all School Academic Boards shall be submitted to the Faculty secretariat for inclusion in the Faculty Academic Board as Information Papers. Minutes of all Boards of a Centre of an Institute, shall be submitted to the Institute secretariat for inclusion in the Institute Academic Board as Information Papers.
- 6.3. All Senate and Academic Board, and Institute and Centre Board, papers and minutes shall be maintained in perpetuity.
- 6.4. Faculties must ensure that they maintain all programme documents for programmes that are, or have been in the past, on offer in perpetuity.
- 6.5. Faculties must submit either a hardcopy or a complete e-copy of all programme documents, external review reports, and revisions to programmes, to the URO within 30 days of the same to be approved by the Senate.
- 6.6. For legacy programmes, defined as programmes on offer prior to the date of the University Records Policy, Faculties ought to send either hard or e-copies of complete sets of all programme documents, including programmes from legacy institutions which they inherited, to the URO within 3 months from the date of adoption of the University Records Policy.
- 6.7. It is within its right for faculties to maintain complete HR records of all staff who belong to the faculty.

7. Student Records

- 7.1. Unless otherwise provided for by any regulation, or decided by the Council and/or the Senate,
 - 7.1.1. All records on student enrolment, grades obtained, and graduation shall be maintained in

perpetuity.

7.1.2. All records involving proceedings of committees dealing with student behaviour, student assessments, and examinations shall be maintained for a period of at least seven years from the date the student ceases to be a student. Were a person to resume studentship within 7 years, earlier records shall be maintained. Were a person to resume studentship after 7 years, old records shall not be reverted to decision making on student conduct.

8. Hard-copy Records

- 8.1. All hard-copy records shall be maintained in specific files, which are clearly named and indexed.
- 8.2. Each document in the file shall be consecutively numbered. The numbering sequence shall continue until a matter in the file is closed, and the file closed for archiving.
- 8.3. It is the responsibility of each head of section to ensure that all hardcopy records are so maintained.
- 8.4. Upon closure of a file, the file shall be handed over to the URO for archiving.

9. E-Records

- 9.1. Official records include all records in e-format, including email decision making concerning any operational or functional requirements of the University.
- 9.2. All employees of the University who hold administrative positions shall seek and be provided official email addresses, which shall be used for all business dealing with the administrative responsibility. Upon the transfer of the responsibility to another office holder, or upon departing the section or service of the University, the official email account shall be handed over, as part of the handing over requirements, to the successor.
- 9.3. The University's policy on communication and emails shall specify the treatment of official emails and the dealing of the University on email records.

10. Access to Records

- 10.1. Unless otherwise provided for by any regulation, or decided by the Council and/or the Senate, no record provided to or kept by the University shall be released to any person or organisation outside the University other than law enforcement officers duly seeking such records on the strength of a court order, or unless authorised in writing by the person whose record is so kept.
- 10.2. No staff and/or student record shall be released to any person other than the staff or the student concerned, provided that if the person requesting the record is a former staff or student of the University requesting his/her own record, the person requesting the record shall do so in writing, upon which the record shall be released to the respective staff or student.
- 10.3. If a third person or if any organisation requests for records kept on a former staff or an ex-student of the University, the records would only be released if a written authorisation to release the record to a third party was provided by the respective former staff or ex-student which request ought to be witnessed by a notary public.
- 10.4. To avoid any doubt, communication by a student through email using the official email account of a student, or using the official name of a student in the email address, or using any email address which the student logged with the Office of the Registrar during the time of his/her enrolment at SINU (which a student can periodically update as per the procedures for this), shall be treated as official communication.
- 10.5. Representations and communications from a student to the University will only be accepted from the student, parent, legal guardian or sponsor unless specified otherwise in University policies.
- 10.6. The University is not obliged to act on any communication to the University relating to a student or former student from any person or entity other than the student, parent, legal guardian or sponsor.

- 10.7. A current employee of the University has, upon a 7-day formal written request basis, a view and copying access to all records maintained in his/her HR files at the HR office or the respective Faculty of support services section office. For clarity, the staff may take photos of the records at his own expense. The record holder shall make copies of the record so requested by a staff upon the payment of the prescribed fee; such copies shall be provided to the staff within 5 working days of the payment of the fees.
- 10.8. A former employee of the University has view and copying access to all records maintained in his/her HR files at the HR office or the respective Faculty of support services section office upon the payment of the prescribed fees.

11. File Notes

- 11.1. Where an employee is part of any meeting or discussion concerning any aspect of his/her section or the University, and where there is no official record keeper, it would be in order for the employee to make file notes as part of one's record keeping.
- 11.2. File notes are self-recording either in hard copy or e-format, of important events and/or discussions, which have a bearing on the operation and functioning of the University.
- 11.3. File notes do not have any formal standing as official university record, but are persuasive records to add to any decision making process on a matter that arises subsequently.

12. Archives

- 12.1. All official records of the University shall be digitalised, and maintained as per the requirements give above.
- 12.2. All legacy records, including the records of legacy institutions, shall be digitalised and maintained in University Archives.
- 12.3. It is the responsibility of the URO to ensure that all digital records are so kept as to be readily accessible for official University use, and that corruption of e-files is prevented at all times.

Document history

Version	Author (Name & Designation)	Approval Date	Revision
1	Vice Chancellor, through Senior Management Committee & Senate	19 December 2019 By SINU Council	