

THE UNIVERSTY OF THE WEST INDIES
UNIVERSITY ARCHIVES & RECORDS MANAGEMENT POLICY

Contents

- 1.1 Introduction
- 1.2 Purpose
- 1.3 Scope
- 2.1 University Archives & Records Management Programme (UARMP)
- 2.2 University Records
- 2.3 University Archives
- 2.4 University Archivist
- 2.5 Assistant Archivist
- 2.6 Assistant Registrar (Records) or Campus Records Manager
- 2.7 Records Retention & Disposition Authority (RRDA)
- 3.1 Creation of Records
- 3.2 Disposition of Records
- 3.3 Reformatting of Records
- 3.4 Acquisition of 'University Related Materials'
- 3.5 Access
- 4.1 Appointment of Advisory Committee
- 4.2 Terms of Reference of Committee
- 4.3 Composition of Committee
- 5 Review of Policy

1.1 INTRODUCTION

This Policy was discussed and approved by the University Archives & Records Management Committee at its meeting on May 23, 2012. It was subsequently referred to the University Finance and General Purposes Committee for approval which was forthcoming at its meeting on October 29, 2012.

This Policy revises and updates the previous policy of the Programme as contained in the *Position Paper on Principles, Policies and Procedures, Plans and Priorities of the University Archives and Records Management Programme* approved by the University Archives & Records Management Committee on September 10, 1993 and approved by the University Finance & General Purposes Committee on January 7, 1994.

1.2 PURPOSE

This Policy, which is binding on all members of staff, provides the principles for the creation and management of authentic, reliable and usable records capable of supporting the University's business functions and activities for as long as they are required. The Policy provides for the transfer to archival custody of those records which have to be preserved permanently because they have long term organizational value to the University or because they have value for research purposes.

This Policy also provides a framework for ensuring that records are captured and maintained in reliable and trustworthy record keeping systems – manual or electronic - which enables access to them over time in keeping with changing legal and administrative requirements, national and recognized international standards and accepted best practices. These activities constitute the main elements of the University's Archives and Records Management Programme (UARMP), the operations of which are covered by procedures drawn up under this Policy.

1.3 SCOPE

This Policy shall apply to all University records regardless of their location. The records are the property of the University and responsibility for their safe keeping is vested in the sections of the University (which includes all units, departments, faculties, institutes, centres) that generates, receives or maintains them. Once records are transferred to the Archives and Records Management Programme, the Archivist or Campus Records Manager, as appropriate, becomes responsible for their custody and control.

2.1 UNIVERSITY ARCHIVES & RECORDS MANAGEMENT PROGRAMME (UARMP)

This is an integrated cross-campus programme that provides professional, cost-effective and consistent handling of University records from creation to final disposition. The Programme is based on current international standards and recognized best practices. The Programme is headed by the University Archivist, who is responsible to the University Registrar, (who, as stated in Statute #13.2 of the University (1998), is the “...custodian of the records of the University...”) for its overall development and implementation. On each campus, the Programme falls under the ambit of the Campus Registrar with the Campus Records Manager responsible for the administration of the Programme.

2.2 UNIVERSITY RECORDS

‘University Records’ means recorded information in all formats or characteristics generated, received and maintained by the University in pursuance of its objectives and obligations under the University Charter, Statutes and Ordinances and in transacting University business and kept as evidence of such transactions. These include inter alia university records created in digital format (born digital records) and maintained in the original or other version for as long as the information is required. Messages in electronic format (e-mail) are digital records and should be managed in conformity with the University’s Electronic Mail and Messaging Services Policy and Procedures. Section 5.2 of the Policy states that “*Messages sent or received on behalf of the University and which provide evidence of an activity, transaction or event must be regarded as official University records. Such records must be retained in an official repository. Their disposal must be in accordance with approved retention and disposition schedules*”.

2.3 UNIVERSITY ARCHIVES

University Archives are University records which are preserved permanently for ongoing organizational and research purposes and have been transferred to archival custody in accordance with approved records retention and disposition authorities. These are records which normally contain the following values: evidential value – the documentation of the organizational structure, functions, policies, procedures and programmes of the University; informational value – information on persons, places and events concerning the University.

2.4 UNIVERSITY ARCHIVIST

The University Archivist, who reports to the University Registrar, is head of the Programme with oversight responsibility for all university records and specific responsibility for archival records wherever situated or stored.

2.5 ASSISTANT ARCHIVIST

Assistant Archivists are responsible for the day to day activities of the Archives established under the Programme.

2.6 ASSISTANT REGISTRAR (RECORDS) or CAMPUS RECORDS MANAGER

The head of the Records Management Programme on the campus who, while relating to the University Archivist on policy and procedural matters regarding the Programme as a whole, report to their respective Campus Registrars on the day to day administration of the programme. This includes the management of the administrative registries as well as the record centres/repositories for the storage of inactive records.

2.7 RECORDS RETENTION & DISPOSITION AUTHORITY (RRDA)

This is the official instrument or document that specifies, approves and governs the retention period, final disposition and any access restrictions that apply to the University records to which it pertains. A RRDA establishes a timetable for the lifecycle of records from creation to final disposition and is the authoritative instrument under which records may be disposed of.

3.1 CREATION OF RECORDS

Members of staff should create full and accurate records that adequately document the official business activities of the University in which they take part, and to ensure that information and processing systems that support business activities create appropriate records as part of supporting those activities.

3.2. DISPOSITION OF RECORDS

No university record shall be destroyed or removed from its custody or control without an approved records retention and disposition authority (RRDA). All records are created for a purpose, whether administrative or operational and they have value for as long as they continue to be useful and needed in conducting university business.

Preparation of schedules is the responsibility of the Campus Records Management staff and before this activity can be carried out, records have to be appraised to determine their value. In the process, records creators and users, particularly those with the requisite expertise in financial and legal matters, are consulted if there are any doubts or concerns that the proposed retention periods and final disposition do not satisfy all financial and legal requirements.

The approval process of an RRDA is a collaborative effort and has to be signed off by the following University officers:

- i. The creators/owners of the records as indicated under **Scope (1.3)** as they are primarily responsible for determining the use of the records for on-going operational and administrative purposes;
- ii. Campus Records Manager who provides a coordinating role and ensures consistent treatment of records of similar value;
- iii. University Archivist (or the Campus Records Manager performing this function) for the historical value in the records;
- iv. University Registrar/Campus Registrar as the custodians of all records that fall within the particular jurisdiction;
- v. University Bursar/Campus Bursar for the financial implications
- vi. University/Campus Legal Counsel for the legal implications

As soon as a records retention and disposition authority is approved, the Records Manager is responsible for its implementation. Records identified for archival custody should be transferred to a records centre/archives facility as soon as possible.

Any member of the University staff who knowingly destroys or sanctions the premeditated destruction of University records which are unscheduled, or which are known to be scheduled for transfer to the Archives, or who refuses to comply with approved records retention and disposition schedules may be subject to disciplinary action.

3.3. REFORMATTING OF RECORDS

University records may be microfilmed and/or scanned for storage in optical or other electronic media, for the purposes of reducing storage space and/or improving access to, and manipulability of, the data. Documentation of reformatting processes and procedures must be maintained. Reformatted reproductions should have the same acceptability and legal status as the original record.

3.4. ACQUISITION OF 'UNIVERSITY RELATED RECORDS'

The University Archivist, or the Campus Records Manager responsible for archival collections, has the option to accept this category of records which complement the official records as they often contain information found nowhere else. In general, these materials may include the following:

- personal and research papers of members of the academic and senior administrative staff as these materials reflects the staff member's contribution to, and impact on, the University and the wider Caribbean society;
- archival records of staff and student associations and societies
- other substantial archival materials

3.5. ACCESS

Materials in the Archives are available for research and reference provided there are no access restrictions on the approved records retention and disposition authorities. Nevertheless, the University Registrar and/or the Campus Registrar, on advice, has the authority in the interest of the University to restrict access to records.

4.1 APPOINTMENT OF ADVISORY COMMITTEE

There shall be a cross-campus committee to be known as The University Archives & Records Management Advisory Committee (UARMAC) which submits reports on a regular basis to the University Finance and General Purposes Committee.

4.2 TERMS OF REFERENCE OF COMMITTEE

- 1) ensure that the objectives of the Programme are carried out as efficiently as possible;
- 2) comment on plans and projects proposed by the UARMP as well as proposed initiatives to be undertaken to improve the effectiveness of the Programme;
- 3) submit reports and make recommendations to the University Finance & General Purposes Committee on matters which would require their approval for action;
- 4) perform an advocacy role in nurturing and soliciting support for the sustained development and improvement of the UARMP within established university guidelines;
- 5) comment on, contribute to and perform an advocacy role in promoting the development of, and professionalism in, regional archival and records management programmes;

- 6) comment on, contribute to, advise, and make recommendations to University Finance & General Purposes Committee and other University and Campus bodies as appropriate, concerning the West Indies Federal Archives Repository and other regional collections;
- 7) undertake other archives functions, from time to time, as assigned by the University Finance & General Purposes Committee.

4.3 COMPOSITION OF COMMITTEE

The Committee shall comprise:

- The Vice Chancellor or nominee as Chairman
- The University Registrar
- The Campus Registrars
- The University Bursar
- The University Librarian and Campus Librarians
- Campus Records Managers
- One representative from each of the History Departments at Cave Hill, Mona and St Augustine at the jurisdiction of the meeting
- The University Chief Information Officer
- The University Archivist as Secretary
- Not more than three representatives from the external archives and records management community nominated by the Vice Chancellor

Meetings of the Committee shall be convened at least once during a calendar year and as far as practicable at each of the Campuses in rotation.

A quorum shall be six members, at least three of whom shall be from the Campuses other than that at which the meeting is held, provided that the Chairman or a Vice-Chairman is in attendance.

5. REVIEW OF POLICY

The Policy should be reviewed every five (5) years to ensure that it is current and in keeping with the University's overall Strategic Plan.