

Note: This policy document revises and updates the current policy of the Programme as contained in the Position Paper on Principles, Policies and Procedures, Plans & Priorities of the University Archives and Records Management Programme (UARMAP) approved by the University Archives & Records Management Committee on September 10, 1993 and ratified by the University Finance & General Purposes Committee on behalf of the University Council on January 7, 1994. It incorporates the revised Mandate and Membership of the UARMAC as ratified by the F&GPC on 12 February 1998.

THE UNIVERSITY OF THE WEST INDIES

UNIVERSITY ARCHIVES AND RECORDS MANAGEMENT POLICY

1. PURPOSE

This policy provides the principles for the organization, maintenance, retrieval, retention and disposition of university records including the transfer to archival custody of those records which have to be kept because they have long term organizational value to the University or because they have value for research purposes. These activities are carried out within the framework of the University's Archives and Records Management Programme (UARMP), the operations of which are covered by the Policy

2. SCOPE

The Policy is applicable to all university records, regardless of where they are located. These records are the property of the University and should not be disposed of or removed from its custody without an approved records retention and disposition authority. Responsibility for records custody is vested in the components of the University that generate or receive and maintain records. Once they are transferred to the Archives and Records Management Programme, the Programme becomes responsible for their custody and control.

3. DEFINITION OF TERMS

i 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 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.

ii 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 or in transacting University business. Electronic mail (e-mail) messages are university records and should

be managed in conformity with the University's Electronic Mail & Messaging Services Policy and Guidelines.

iii University Archives

University Archives are university records which have permanent value for ongoing organizational and research purposes and have been transferred to archival custody in accordance with approved records retention and disposition authorities.

The office of University Archives at Mona is responsible for the preservation of the archival records of university wide activities emanating from the Vice Chancellery as well as the archival records of the Mona campus. It is also responsible for the records of the former University College of the West Indies, 1947 – 1962. The Cave Hill and St Augustine Records Managers are responsible for the identification, management and preservation of the archival records generated on their respective campuses

4. ADMINISTRATIVE STRUCTURE

The University Archivist is the head of the Programme and is responsible to the University Registrar, who according to the Statutes (#13) is the “custodian of the records of the University” for its overall development and implementation. Assistant Archivists are appointed to assist in areas as required. The records management programme on each campus is headed by a Records Manager, who while relating to the University Archivist on policy and procedural matters relating to the Programme as a whole, report to their respective campus registrars on the day to day administration of the programme.

5. 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). A RRDA establishes a timetable for the lifecycle of records from creation to final disposition. 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 staff of the archives and records management programme 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.

RRDA's have to be approved by the following persons:

- i. The owners of the records – deans, heads of departments, halls of residence, units, etc. for 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

Once a records retention and disposition authority is approved, implementation is mandatory and records identified for archival custody should be transferred to this repository 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 refuse to comply with approved records retention and disposition schedules may be subject to disciplinary action.

6. 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 process and procedures must be maintained. Reformatted reproductions must have the same acceptability and legal status as the original record.

7. ACQUISITION OF PERSONAL/RESEARCH PAPERS OF STAFF MEMBERS

The University Archivist, or the campus registrar responsible for archival collections, have the authority to accept the personal and research papers of members of the academic and senior administrative staff as they pertain to their participation in and influence on the history, development and operation of the University and its impact and accomplishments throughout the region.

8. 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, upon the advice of the University Archivist has the authority in the interest of the University to restrict access to records. Personal and Research Records are available on the conditions governing their deposit in archival custody.

9. FUNCTIONS & TERMS OF REFERENCE OF ADVISORY COMMITTEE

There shall be an advisory cross-campus committee, the University Archives & Records Management Committee (UARMAC), the functions of which are as to:

- 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 propose initiatives to be undertaken to improve the effectiveness of the Programme;
- 3) advise and make recommendations to University Council and other university and campus bodies as appropriate on matters which would require their approval for action;
- 4) perform an advocacy role in nurturing and soliciting support in for the sustained development and improvement of the UARMP;
- 5) comment on, contribute to and performs an advocacy role in nurturing and soliciting support for University Archives and Records Management Programme involvement in and plans with respect to the development of regional archival and records management programmes and professionalism;
- 6) comment on, contribute to, advise and make consensus recommendations to University Council and other University and Campus bodies as appropriate concerning the University's responsibility for the preservation and accessibility of the Archives of the former Federation of the West Indies and other regional collections;
- 7) undertake other functions as assigned by University Council from time to time.

The Committee shall comprise:

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

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