



UNIVERSITY of the
WESTERN CAPE

**DOCUMENT, RECORDS
AND ARCHIVES
MANAGEMENT POLICY**

UWC

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DOCUMENTS, RECORDS AND ARCHIVES MANAGEMENT POLICY

DEFINITIONS

For the purpose of enhancing a shared understanding of this document, there is need to establish a common meaning of certain terms used in the document. Key terms listed below are used in the document in the following way:

A **record** is any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means. Records are created or received in the course of administrative and executive transactions of an institution. They provide evidence or part of evidence of such transactions.

An **electronic record** is an information or data file that has been created and stored in a digitized form with the aid of a computer system. Electronic records are dependent on computers for their access.

A **document** is a meaningfully structured unit of information or data fixed in some medium, managed as a discreet unit in an information management system. Documents are not necessarily records. A document may be considered in part or as a whole as a record. Documents only become records when they are declared to be so and captured in a records management system.

UWC documents, records and archives are any documents, records and archives made and kept, or received and kept by UWC employees or any person in the course of the exercise of UWC official functions, or for any UWC purpose, or for UWC use. These include documents, records and archives in any format or media such as paper, electronic (such as email, spreadsheets, word processing documents; images etc.), audio or video cassettes, film, photographs, publications and microfilm/fiche. Examples of what constitutes UWC documents, records and archives are provided in Appendix 1 and 2.

UWC Unit is a clearly defined operational unit within UWC structure. It can be a faculty, a department, a school, an institute, a centre or an administrative unit.

Current records are those records that are frequently referred to in the conduct of the business of the unit. Current records will generally be kept in the creating departments close to the people that use them as they need to refer to them frequently. UWC Units are responsible for managing their own current records.

Semi-current records are those records that are required so infrequently in the conduct of current business that they can be transferred from offices to UWC Central Records Office (CRO) storage areas. While storage of semi-current records transferred to the CRO is the responsibility of DRAMS, the records still remain under the control of the creating department and no disposal action will be carried out by the CRO without the authority of the creating unit. Access to those records in terms of PAIA will be provided through the creating department.

Archiving refers to the process of moving less frequently used files or data from an active system to a repository for longer term storage. The term is frequently used with reference to electronic systems. The term often suggests non-selective storage which differs from the professional concept of archives management. This document avoids the use of this term when referring to the management of archives. The preferred terms are 'management of archives', 'archives management' or 'archival management'.

Archives are those records that have been identified as having continuing value and are kept permanently as part of UWC Archives. Archives serve as the memory of the organisation and constitute a significant institutional resource for research.

Publications are any works, irrespective of format, issued for distribution or sale internally or to students or to the public.

Vital records are the recorded information which enables your area to perform its core function. Identifying your vital records will begin with defining your core function. These records are necessary to enable UWC to continue functioning in the event of a disaster or disruption. Vital records contain the information needed to re-establish the university in the event of a disaster that destroys all its records. Vital records therefore need to be identified and protected to assure continued availability. In the case of UWC, vital records may apply to UWC as a whole or to a specific faculty, department, school, institute, centre or administrative unit or any other identifiable section. Vital records may be held in any format, including paper and electronic formats.

1. Executive summary

- 1.1 This document outlines the way in which the University of the Western Cape (UWC) will manage its information i.e. documents, records, and archives, in order to achieve administrative efficiency and to meet statutory requirements. It further outlines the core principles that the UWC must be committed to in order for its information (documents, records and archives) to be managed efficiently.
- 1.2 UWC operates in an increasingly competitive environment where efficiency, effectiveness and stakeholder satisfaction are key in attracting students to the institution. It is important that the information created or received by UWC during the conduct of its business is captured into efficient information management systems that permit quick and accurate retrieval when the information is required.
- 1.3 Documents, records, and archives are a subset of the information that the University creates and receives which need proper controls through its lifecycle. By managing these documents, records and archives efficiently UWC will not only be able to achieve administrative efficiency, but it will also be able to leverage its information resources for competitive advantage. Well managed documents and records produce archives that preserve the memory of the institution.
- 1.4 Efficient and effective document and records management means that documents and records management personnel, creators and users at UWC are clearly aware of what constitutes UWC documents and records and what their obligations are in respect of these documents and records. UWC staff must know when to create documents and records and how these documents and records can be captured into designated UWC document, records and archives management systems. Such systems will permit the efficient organisation of documents and records for quick and efficient retrieval and that documents and records are available for as long as they are needed. Documents and records management personnel and users must be guided on how long documents and records must remain in the system before passing on to the next stage of the lifecycle. Ultimately UWC staff must be aware of what happens to these documents and records at the end of its lifecycle. The UWC document, records and archives management infrastructure needs governance structure that permits efficient decision making on document, records and archives management actions.
- 1.5 By not managing its records, documents and archives according to established standards, UWC faces the risk of failing to achieve both its statutory and general compliance requirements. It also fails to meet requirements for accountability and it may result in the failure to preserve the memory of its history and culture. The Policy is to be reviewed every five (5) years or whenever documents and records keeping requirements change.

2. Core purpose, outcome, impact and value of the policy

- 2.1 A Document, Records and Archives Management Policy is an approved strategic document and a framework for the management of UWC documents, records and archives and sets out the minimum standards to be followed by all UWC staff.
- 2.2 This Policy aims to:
 - i. provide clear guidance on what constitutes UWC documents, records and archives and

- why it should be managed;
- ii. provide clear documents, records and archives management principles and standards for the management of UWC records;
- iii. clearly define responsibilities and accountability for managing documents, records and archives throughout UWC;
- iv. provide for the creation of a Document, Records and Archives Management Service (DRAMS) as the implementation unit of the Policy:
 - a. DRAMS will consist of the Central Records Office (CRO) for the management of current and semi current documents and records, and
 - b. University Archives for the management, preservation and access to archival documents (historical documents and records of permanent value);
- v. provide for the development of guidelines; procedures; and retention and disposal schedules;
- vi. support both protection of privacy and access to information contained in documents, records and archives in compliance with relevant legislation; and
- vii. provide staff with resources, knowledge, competencies and procedures to manage documents, records and archives according to this policy.

3. Corporate governance and rules of the policy

3.1 Good document and records management practice is fundamental in the creation, capture, use of the evidence and the information that UWC requires to fulfill its obligations and to meet the expectations of its stakeholders while being compliant with legislative requirements.

3.2 The following principles shall apply to the management of UWC records:

- i. All UWC records, documents and archives, regardless of format or location, are the property of UWC.
- ii. All UWC documents, records and archives in all formats created and received in pursuance of UWC business will be captured and maintained in designated UWC records, documents and archives management systems.
- iii. Responsibility for capturing and maintaining documents, records and archives rests with UWC as a whole, with the UWC units and individuals within UWC.
- iv. The context and structure of records will be managed in any UWC document, records and archives management system in order to maintain documents, records and archives security, reliability and authenticity.
- v. The appropriate use and re-use of information contained within documents, records and archives management system will be guided by relevant UWC policies, rules and regulations and relevant current national legislation.
- vi. UWC documents, records and archives will at all times be protected from inappropriate and unauthorised access, alteration and usage.
- vii. UWC documents, records and archives will be preserved and access provided in accordance with UWC policies.
- viii. Personal information contained in UWC documents, records and archives will be created, used, maintained and disposed of in an appropriate manner, having due regard to statutory obligations and requirements.

- ix. No UWC document, record and archive may be removed from UWC's control or destroyed except under the authority of this Policy and its guidelines.
- x. UWC document, records and archives management policy programmes and practice will be based on statutory requirements as well as current professional standards and best practice.

3.3 This UWC Document, Records, and Archives Management Policy shall:

- i. Cover documents, records and archives in all media and formats, including but not limited to paper, electronic documents and files, e-mail, photographs, audio and video tapes, maps and drawings;
- ii. Apply to all transactions and documents and records created or received in the pursuance of official business of UWC and all its transactions and activities.

3.4 The Policy does not cover the documents, records and data or personal communication created or acquired by UWC staff in their personal activities.

3.5 By not managing its records, documents and archives according to established standards, UWC faces the risk of failing to achieve both its statutory and general compliance requirements. It also fails to meet requirements for accountability and it may result in the failure to preserve the memory of its history and culture.

4. Policy procedures

4.1 Efficient and effective document and records management means that document and records management personnel, creators and users at UWC are clearly aware of what constitutes UWC documents and records and what their obligations are towards these documents and records. UWC staff must know when to create documents and records and how these may be captured into designated UWC document, records and archives management systems. Such systems will permit the efficient organisation of documents and records for quick and efficient retrieval and retention for as long as they are needed. Documents and records management personnel and users must be guided on how long documents and records must remain in the system before passing on to the next stage of the lifecycle and must be aware of what happens to these documents and records at the end of its lifecycle.

4.2 UWC has established a Document, Records and Archives Management Service (DRAMS) unit to implement the function of documents, records and archives management, including the management of current records within UWC units, the management of semi-current records services at the CRO and the management of archives at the UWC Archives. All UWC units are responsible for managing its current records in accordance with policy and procedure, with advice and assistance from the DRAMS, through the CRO. The CRO will be responsible for managing those records that have been brought under the control of the DRAMS in accordance with Policy. Detailed procedures accompanying each policy action will be developed by DRAMS.

5. Document, records and archive management systems

5.1 The management system must ensure that all documents, records and archives in all formats are managed in a secure and reliable environment and made available in a seamless manner for collaboration and retrieval. All staff will be required to use and observe the rules associated with such a system.

6. Access to documents, records and archives

6.1 Access to UWC documents, records and archives shall be controlled according to legislation and/or UWC access procedures in place. All UWC units are responsible for ensuring that measures are in place to prevent unauthorized access to UWC documents, records and archives under their control.

7. Compliance with access to information legislation

7.1 UWC shall comply with the provisions of:

- i. The Promotion of Access to Information Act (PAIA, No.2 of 2000) and the UWC PAIA Manual; and
- ii. The Protection of Personal Information Act (POPIA, No.4 of 2013) and the UWC Protection of Personal Information Policy in providing access to the information, documents and records held by UWC.

8. Destruction/ protection of documents, records and archives

8.1 UWC staff must not abandon, dispose of, transfer possession or ownership, damage, alter or neglect UWC documents, records and archives in a way that causes or is likely to cause damage to it. A UWC staff member who is found to have contravened these provisions will be guilty of misconduct and subject to disciplinary procedures.

8.2 Where a staff member has been directed by their supervisor to illegally dispose of documents, records and archives in contravention of this Policy provision, then the supervisor may be subject to disciplinary procedure.

8.3 Destruction of documents, records and archives that have been registered in the UWC documents, records and archives management system must be carried out through DRAMS in accordance with the retention and disposal schedules of the UWC.

8.4 Before the documents and records of a unit are destroyed, the head of the unit responsible for the documents and records must sign an undertaking that the documents and records are no longer required to support the business of the unit and that, to their knowledge, there are no other legal, business or reference requirements for the retention of the records.

8.5 Documents and records must not be destroyed if subject, or anticipated to be subject to a PAIA request, subpoena or court process, or other formal request for access or relate to any ongoing action such as an appeal. This is regardless of whether the minimum retention period has expired or not.

9. Protection of vital documents and records

- 9.1 Vital documents and records are those documents and records that are essential for the ongoing business of UWC, and without which UWC could not continue to function effectively. Vital documents and records contain information essential to re-establish UWC's legal and financial position in the event of a disaster. Vital documents and records preserve UWC rights and the rights of UWC employees, clients and stakeholders. Maintenance of vital documents and records will assist units in resuming normal business immediately in the event of a disaster.
- 9.2 Each UWC unit is responsible for identifying and managing vital documents and records in consultation with DRAMS.

10. Retention periods

- 10.1 All UWC records must be retained by UWC for the minimum retention periods identified in the official records retention and disposal schedules. DRAMS will provide advice and assistance to UWC units in identifying appropriate minimum retention periods.
- 10.2 Each UWC unit is responsible for evaluating whether the minimum retention periods identified in the approved records retention and disposal authorities are adequate for business needs.

11. Revision cycle and maintenance

This Policy is to be revised at least every five (5) years or whenever changes in legislation and record keeping requirements occur.

Relevant statutes and compliance

The following laws require UWC to keep certain documents, records and archives:

- i. Protection of Personal Information Act (Act No 4 of 2013);
- ii. Promotion of Access to Information Act (Act No 2 of 2000);
- iii. Promotion of Administrative Justice Act (Act No 3 of 2000);
- iv. Electronic Communications and Transactions Act (Act No 25 of 2002);
- v. Public Finance Management Act (Act No 1 of 1999);
- vi. Public Entities Act; (Act 93 of 1992)
- vii. The Higher Education Act (HEA) Act 101 of 1997;
- viii. University of the Western Cape Statute of 2018;
- ix. National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended); and
- x. Constitution of the Republic of South Africa, Act 108 of 1996

The following international standards, which have been adopted by the South African Bureau of Standards (SABS) and introduced as local standards, apply to the management of documents, records and archives at UWC:

- i. SANS 15489-1 Information and documentation - Records Management Part 1
- ii. General;
- i. SANS 15489-2 Information and documentation - Records Management Part 2: Guidelines;
- ii. SANS 22938. Document management - Electronic content/document management (COM) data inter change format;
- iii. SANS 15801 Electronic Imaging - Information stored electronically - Recommendations for trustworthiness and reliability;
- iv. SAN 2308-1 Information and documentation - records management processes - Metadata for records. Part 1; Principles;
- v. ARP 23081-2 Information and documentation - Records management processes - Metadata for records Part2: Conceptual and implementation issues; and
- vi. ARP 4360. Guidelines for information security risk management.

Appendix 1 Examples of documents and records

Examples of UWC records can include, but are not limited to, the following:

- i. records of formal decisions taken by UWC staff under delegation that are documented in, for example, memoranda, letters, fax or email messages.
- ii. communications received by UWC from external persons and bodies;
- iii. copies of communications sent to external persons and bodies by UWC;
- iv. meeting papers of formally established UWC boards and committees (including agendas, agenda papers, minutes, reports and decision pages);
- v. meeting papers of ad hoc committees and working groups (including agendas, agenda papers, minutes, reports and decision pages);
- vi. students' academic transcripts held electronically or in hard copy format;
- vii. financial transactions held electronically or in hard copy format;
- viii. personnel transactions (i.e. letters of appointment, reports on performance and other dealings between staff and UWC);
- ix. course and unit outlines issued to students and the public;
- x. approved course and unit proposals and course accreditation documentation;
- xi. research grants applications and records of application outcomes.
- xii. Reference objects such as library, museum, and specimen material made or acquired solely for reference, research, or exhibition activities.

The following documents are not UWC documents or records.

- i. Extra copies of publications kept for distribution.
- ii. Staff members' records that they create or receive in the conduct of their non- UWC professional activities.
- iii. Personal or private documents neither created nor received in the course of UWC business.

Appendix 2 Examples of documents and records that constitute UWC archives.

Archives include records of significance to both UWC and, in the wider context, the nation that:

- i. provide evidence of the source of authority, foundation, governance and management of UWC;
- ii. provide evidence of UWC deliberations, decisions and actions relating to key functions and programs and significant issues faced in governing UWC;
- iii. provide evidence of the legal status and fundamental rights and entitlements of individuals and groups essential for the ongoing UWC functions;
- iv. substantially contribute to the knowledge and understanding of the UWC social and community context;
- v. provide substantial evidence of the impact of the UWC activities on the people of South Africa;
- vi. have been identified as being required by the National Archives of South Africa as historical documents in terms of the NARS Act.

Appendix 3: Examples of publications

Publications include but are not limited to, the following:

- i. calendars and yearbooks;
- ii. annual reports;
- iii. books;
- iv. pamphlets, leaflets, brochures, etc;
- v. journals;
- vi. newsletters;
- vii. CDs, DVDs;
- viii. video recordings;
- ix. audio recordings; and
- x. films.

Publications do **not** include:

- i. journals produced by external bodies;
- ii. stationery; or
- iii. business cards.

Appendix 4: Examples of UWC vital records

1. Records without which the UWC cannot function.

These records are essential to UWC core business.

Examples:

- 1.1 Records which give evidence of the legal status of UWC;
- 1.2 Records which protect UWC assets and interests;
- 1.3 Minutes of board meetings, especially where major policy decisions are taken;
- 1.4 Payroll information;
- 1.5 Current accounts payable and received;
- 1.6 UWC Institutional Operational Plan;
- 1.7 Student assessment records;
- 1.8 Research information, including ongoing research and reports of research projects;
- 1.9 Records which are subject to a legal requirement to be kept for a certain amount of time;
- 1.10 Historical records if needed for evidential or other legal purposes.

2. Records vital in disaster situations

These records are vital in case of a disaster because they are critical for emergency procedure and crisis management purposes. Examples:

- 2.1 Key staff contact details;
- 2.2 Staff and student records;
- 2.3 Next of kin details;
- 2.4 Contingency plans.

3. Important Records

These records are important to the continued operation of UWC. They can be reproduced or recreated from original sources, but only at considerable time and expense. Examples:

- 3.1 Procedures;
- 3.2 Training manuals;
- 3.3 Teaching materials;
- 3.3 Curricula;
- 3.4 Teaching timetables;
- 3.5 Minutes of some meetings.

4. Useful Records

Loss of these records would cause temporary inconvenience to UWC, but they are replaceable. Examples:

- 4.1 Most correspondence;
- 4.2 Records of old curricula.

5. Non-Essential Records

These records have no value beyond the immediate purpose for which they were created. Examples:

- 5.1 Staff and student circulars about one-off events which are now completed;
- 5.2 Advertisements.