UNIVERSITY OF VENDA

RECORDS MANAGEMENT POLICY

REVISION HISTORY					

VERSION NUMBER	DATE (dd.mm.yyyy)	AUTHOR	DESCRIPTION	Reviewed by	Review Date
IPQA RM 1.01	04.07.2008	SAQI	Original Draft	QAP Board	26 Oct. 2006
IPQA RM 1.02	12.08.2008	PSPICON	1st Revision	QAP Board	12 March 2008
IPQA RM 1.03	03.09.2009	IPQA	2nd Revision	QAP Board	18 Oct. 2008
IPQA RM 1.04	22.10.2009	IPQA	3rd Revision	Senate	29 Oct. 2009
IPQA RM 1.05	24.02.2009	IPQA	4th Revision	Senex	03 March 2009
IPQA RM 1.05	15.08.2009	IPQA	5th Revision	Senate	26 Aug. 2009

Department   :   **Institutional Planning & Quality Assurance**

Policy Reference Number   :   IPQA RM/1.01/2009

Date Approved by Council :   18 September 2009

Signature of the Registrar   :

TABLE OF CONTENTS

PAGE

1. Introduction

1.1 The objective of this policy is to ensure complete and accurate records of the University activities, work and business, are created by using the most effective and efficient processes possible within the resources currently available. This should enhance the activities of the University and protect records of these activities for the future.

1.2 The University of Venda must use a records management program that complies with the requirements of the relevant legislation. (Records Management Program still to be compiled)

2. Purpose

The University of Venda has developed this policy to ensure that:

2.1   Statutory obligations are met for the collection and maintenance of University records for operational, evidential and historical purposes;
2.2 University requirements are met for access to all information needed to perform business operations and
2.3 Responsibilities are defined for the creation of policies and standards relating to University records and archives, including management thereof.

The policy is aimed at:

2.1 Encouraging the creation of records as evidence of business transactions;
2.2 Promoting accurate records classification and proper storage of records;
2.3 Regulating access to records;
2.4 Strengthening measures aimed at ensuring the security and protection of records;
2.5 Regulating intra-departmental and inter-departmental transfer of records;
2.6 Promoting regular inspection of records;
2.6 Regulating the disposal of records and
2.7 Recognizing the university's responsibility towards the academic community and public to collect, arrange, preserve, retrieve and make accessible and known, information regarding the history of the University and its operations.

3. Regulatory Framework

Legislations relevant to the keeping of records and access to information have accentuated the need for sound record keeping and these include the following:

3.1 The Public Finance Management Act (No 1 of 1999);

The Promotion of Access to Information Act (No 2 of 2000);

3.2 The Promotion of Administrative Justice Act (No 3 of 2000) and

3.3 The Electronic Communication and Transaction Act (No. 25 of 2002).

4. Links to other Policies

This policy is linked to the following policies:

4.1 The Archive Policy (Draft) and

4.2 The Retention and Disposal Schedule (Draft)

5. Scope of Application

5.1 This policy, unless otherwise stated, is applicable to departments and sections within the University.

5.2 In terms of records groups and/or type, the policy applies to all records created or received, regardless of form or medium. All record groups generated within the University, including student files, staff personal files, administrative files, accounting files etc, should be managed in accordance with the policy.

5.3 Electronic transaction such as e-mails and web-based records which are relevant to information gathering, policy formulation or decision making process of the University are part of the scope of this policy, and should therefore be printed and filed in the appropriate subject file until an electronic document and records management system is implemented by the University. All procedures and systems should be consistent with this policy.

5.4 Audio-visual records such as tape-recordings of selection committees, video tapes of the University events etc are also part of the scope of this policy.

5.5 Paper-based and other records such as maps, plan diagrams and registers should also be managed in line with this policy.

6. Policy Changes

Changes to this policy should be authorized by Council and the following stakeholders should be consulted in respect of policy changes:

6.1 The Registrar;

6.2 Senate and

6.3 Council.

7. Definitions

7.1 Appraisal: The process of determining the eventual disposal of records and decisions regarding the preservation requirements for each document or a series of documents.

7.2 Archival value: Those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records.

7.3 Archives: Records in custody of the Archives repository.

7.4 Correspondence System: A set of paper-based and electronic communications and associated documents sent, received, generated, processed and stored during the conduct of business.

7.5 Current Records: Records that form part of a records classification system still in use.

7.6 Custody: The control of records based upon their physical location.

7.7 Disposal: The act of either destroying/deleting or transferring records to archival custody.

7.8 Disposal Authority: A written authority issued by the University Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

7.9 Electronic Records: Information which is generated electronically and stored by means of computer technology.

7.10 Case File: An organized arrangement of records on the same subject accumulated in chronological order within the same cover/folder/container.

7.11 File: The physical action of allocating file reference numbers to records and placing them inside a cover/folder/container.

7.12 Filing System: Storage system e.g. case files, boxes, shelves etc, in which records are stored in a systematic manner according to a file plan.

7.13 File Reference: Unique identifier for a case file. This can be numeric, alphabetical or alphanumeric.

7.14 Non-current records: Records that were created/received by a faculty/unit which are no longer in use.

7.15 Official Records/Records: All papers, documents and other records of any kind that are officially created or received by the University in the conduct of its affairs or by

officers in the course of their official duties. These include registers, books, maps, drawings, plans, photographs, films, cinematography films, computer records, sound and video recordings. Official letters, memos, faxes, reports and email that reflect University activities and business processes also form part of official records.

7.16 Record Keeping: Creating and maintaining complete, accurate, and reliable evidence of official business in the form of recorded information.

7.17 Record Classification System: A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in the classification system.

7.18 Retention period: The length of time that records may be retained in offices before they are either transferred into archival custody and/or destroyed.

7.19 Vital Records: Records that protect the legal and financial rights of the University records that are needed to continue operational responsibilities.

8. Policy Statements

8.1 Records creation

8.1.1   Members of staff are obliged to create records that adequately document the business activities 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.

8.1.2   A file should only be created or opened according to the actual need when the need arises, and not just on the basis that it is provided for in the file plan.

8.1.3   Files should be updated regularly to ensure that they are complete, accurate and reliable.

8.1.4   All records created in pursuance of the activities of the University shall remain its property throughout their life cycle (thus until they are either officially destroyed or transferred to an archive repository).

8.1.5   All records created by contractors and service providers performing work on behalf of the University are public records and shall remain the property of the University throughout their life-cycle. Contract with service providers should state clearly that ownership of such records resides with the University.

8.2 Records classification and storage

8.2.1 Storage of current records

Current records storage must be within the School/Unit that is responsible for the records.

8.2.2 Storage of semi-current

Semi-current records storage must be within the School/Unit responsible for the records or an area approved by University Records and Archives.

8.2.3 Storage of archival records

Archival records storage must be within the University Records and Archives or of site area approved by University Records and Archives.

8.2.4 Vital records

Vital records must be sent to University Records and Archives for central registration and secure storage. Schools/Units are advised to keep a register of all vital records relating to their area that have been migrated to University Records and Archives.

8.2.5 Confidential records

Confidential records must be stored in a secure area within the School/Unit with access to limited staff members that are authorized to use them.

8.2.6 File classification system

All University file title structures must use the University File Classification System (still to be compiled) as their template. Any proposals to add new terms to the University File Classification System must be submitted to the University Records and Archives in writing.

8.3 Electronic record keeping

8.3.1   All current and new official files are to be recorded in the appropriate system using the standard University Records Management Template provided by University Records and Archives.

8.3.2   Until an appropriate system has been implemented to manage electronic records, all electronic documents, including emails, reports and letters must be saved in an appropriate official file within the network drive assigned to the respective School/Unit.

8.4 Borrowing/Use of records

8.4.1 All borrowed records must be issued to the individual who will be using them and noted as being located with that person.

8.4.2 No records or archives are to be loaned to parties outside the University of Venda, where appropriate copies can be provided by authorized staff.

8.4.3 Staff members are not permitted to take classified official records outside the University without express permission of the Registrar.

8.4.4 All care must be taken with theUniversity of Venda records.

8.4.5 Any records stored in an individual's office must be practically accessible at all times to authorized staff with a legitimate need for access, unless confidentiality requires it to be locked away.

8.4.6 To preserve the integrity of the original information no additions or alterations of any kind are to be made to any record. This includes purging, adding or removing papers or annotating papers. If there is a need to record future developments or changes in circumstances, or otherwise reflect inaccurate information or deficiencies, a further document can be generated and attached to the file.

8.5 Records security and protection

8.5.1 Records must be protected, maintained, and useeable for their entire retention period as outlined in the relevant disposal authority.

8.5.2 Effective key control should be instituted for any records storage area. The keeping of the necessary key registers and safe custody of duplicate keys and control over such keys must be strictly adhered to. File storage areas should be locked overnight wherever possible to prevent unauthorized access.

8.5.3 All records created within the University shall be allocated a security classification level in line with the Minimum Information Security Standards (e.g. Top Secret, Secret, Confidential and Restricted).

8.5.4 Movement of files between service areas within an institution shall be monitored and controlled to protect records against damage, loss and theft.

8.5.5 All records personnel and all other officials that interact with records and information shall be subjected to security clearance in line with the Minimum Information Security Standards.

8.5.6 Members of staff shall not hand over records or disclose information thereof without official approval.

8.5.7 Members of staff are obliged to handle records sensibly and with care and respect in order to avoid damage to the records and to prolong their lifespan.

8.5.8 All classified files and documents should be placed in a secure storage area when not in use.

8.5.9 Members of staff should not eat, drink or smoke near records or in records storage areas.

8.5.10 All records storage areas should be fumigated regularly to protect records from possible damage by insects and rodents.

8.5.11 All records should be protected from dirt, dust and light.

8.5.12 Risk management programs should be established and maintained to ensure that risks to records are either removed or managed appropriately.

8.6 Inspection of records

8.6.1 Institutional Planning and Quality Assurance Directorate shall conduct records internal audits on a regular basis and advice the head of the section about the conditions under which records are managed.

8.7 Records disposal (Long term retention or destruction of records)

8.7.1 All staff must ensure that disposal of their records is in accordance with the University of Venda Disposal Procedures (refer to attached draft disposal policy and schedule).

8.7.2 All areas of the University must advise University Records of their intention to dispose of records. (Applicable to current records only).

8.7.3 University Records will obtain the necessary approval from the Registrar/Records Manager before records are destroyed.

8.7.4 Destruction of records must be completed securely, either by using an on-site shredder, or through a company specializing in secure document destruction.

8.7.5 The Registrar is the final authority for approval of the disposal of University documents and will be advised by recommendations from the Records manager.

8.7.6 Destruction of records should only take place once there is assurance that records are no longer required, that no work is outstanding and that no litigation or investigation or request which would involve the records in question in terms of the Promotion of Access to Information Act or the Promotion of Administrative Justice Act is pending.

8.8 Obligation

8.8.1 All employees are accountable for the decisions they make. Records play a pivotal role in the what, where, when and why of such decisions and actions. Good record-keeping is therefore a collective responsibility and each employee has an obligation to ensure that records are created and managed according to this policy. All employees (temporary or permanent), consultants, contractors, and volunteers must comply with this policy and procedures issued in accordance with this policy.

8.9 Default

8.9.1 Any employee who contravenes the provision of this policy shall be charged with misconduct and the necessary disciplinary measures will be taken against the contravener.

8.10   Records Procedure

8.10   All staff needs to be familiar with the University of Venda's Records Management Procedures to ensure that they understand what is required from them to comply with the established Records Management Standards.

8.10.1 Standard procedures for records management will be developed under the authority of this policy.

9. Approval

This policy must be approved by:

9.1 Quality Assurance & Promotion Board;

9.2 Senate and

9.3 Council.

10. Implementation

Records management is a collective responsibility. As a result all employees have an obligation to create and ensure that records are managed according to sound practices. Specific responsibilities are assigned as follows:

10.1 The Vice Chancellor

The Vice Chancellor ensures that the University complies with the requirements of legislation, and is ultimately responsible for records management within the University.

10.2 The Registrar

The Registrar has organizational responsibility for records management at the University. This role ensures that record-keeping systems support organizational and public accountability.

10.3 The Records Management Unit

The University 'Records Management Unit' co-ordinates the maintenance of the University's records management system. This role includes:

10.3.1 The development of accessible records management policies and procedures;

10.3.2 The establishment of corporate standards for records keeping and records management;

10.3.3 Regular checks on the performance of business units and workgroups, measured against standards;

10.3.4 The provision of a consultancy service to business units within the University, including training;

10.3.5 The development of electronic records management strategies and

10.3.6 The provision of sound advice on records management practices.

10.4 Student Administration

Student Administration is responsible for the maintenance of the University's student records.

10.5 Heads of Departments and Unit Managers

HOD's and Unit Managers are responsible for ensuring that their areas participate and comply with all University of Venda's records management requirements.

10.6 All University of Venda Staff

10.6.1 All staff of the University of Venda must be aware of the University Records Management Program and their responsibilities in relation to it.

10.6.2 Any employee found to be in contravention of the University records management policies and procedures will face disciplinary action.

10.2 Communication

10.2.1 Policy roll-out;

10.2.2 Intranet/Quality Management Systems (QMS);

10.2.3 Nendila and

10.2.4 Policy File.

10.3 Sign-off acknowledgement

10.3.1 The Registrar's office is responsible for the signing off of this policy on behalf of Council.

10.4 Policy review

10.4.1 Formal review of this policy is initiated by the Registrar, Quality Assurance Board, School Boards, Senate and Council.

10.4.2 Adherence to this policy will be formally reviewed every five (5) years) or sooner if deemed necessary. The completion of the review will be the responsibility of the Registrar and the 'Records Management Unit.