

UNIVERSITY OF NAMIBIA RECORDS MANAGEMENT POLICY

1. OBJECTIVE

The objective of this policy is to ensure that –

(a) the records of the University of Namibia are created and maintained in a manner which (i) documents decisions and decision-making processes relating to the University's policies, functions, programmes, and service delivery (ii) manages the information contained within the University's records, from their creation to their disposal, regardless of their medium or format, to ensure their [authenticity, integrity, and non-repudiation](#) of provenance, (iii) thus supports evidence-based transparency and [accountability](#) in [governance](#), (iv) protects essential information to ensure the continuity of the University's key services (v) preserves information which has socio-economic and historical value for the Namibian government and for Namibian citizens (vi) disposes of records containing information no longer required for operational, socio-economic or historical purposes in a timely fashion; and

(b) the University of Namibia's record-keeping is undertaken in accordance with the provisions of the Archives Act, 1992 (Act 12 of 1992), to which the University is subject; all other pertinent Namibian legislation, and Namibian Government policy pertaining to information management.

2. SCOPE OF THE POLICY

(a) In line with the Archives Act, 1992, this policy covers all documents created and received by the University of Namibia, whether at headquarters, a regional, satellite or other office, either within or outside Namibia, in the course of executing its functions in terms of The University of Namibia Act, Act 18 of 1992.

(b) The Archives Act (1992) interprets "document" as meaning: "a combination of any medium and the information contained thereon or therein". Thus a "document" includes, for example, all paper-based, electronic or magnetic tape based records which the University receives or creates during the conduct of its business.

(c) While the Archives Act technically refers to such documents as "archives", this policy and its procedures employs the term "record".

3. CONTENT OF THIS POLICY

This records management policy covers the following aspects:

- (a) [Accountability for custody and care of records](#)
- (b) [Mail handling](#)
- (c) [Systems of filing](#)
- (d) [Records disposition programme](#)
- (e) [Destruction certificates](#)
- (f) [Transfer lists](#)
- (g) [Self-archiving in the electronic UNAM Institutional Repository](#)
- (h) [Access, privacy and freedom of information](#)
- (i) [Physical custody and care of records](#)
- (j) [Effective date](#)

and is supported by appropriate [procedures](#).

4. ACCOUNTABILITY FOR CUSTODY AND CARE OF RECORDS

(a) In terms of section 4 (1), and the definition of “head of office” in section 1 of the Archives Act (1992), the Vice Chancellor, as chief executive officer of the University of Namibia, is accountable to the Head of the National Archives of Namibia for the University’s record management programme, that is, the proper custody, care and filing and [disposition](#) of records. The Archives Act makes no provision for delegation of this responsibility.

(b) However, the Head of the each faculty/department/centre/institute/unit, that is, the Pro Vice Chancellors, Deans, Registrar, Bursar, Directors, Managers, University Librarian, and other heads of units, shall assist the Vice Chancellor, as chief executive officer of the University of Namibia, in meeting his/her responsibilities in terms of the Archives Act, 1992 (Ac No 12, 1992).

(c) The Head of the each faculty/department/centre/institute/unit shall appoint for his/her unit, a local [Records Officer](#), who, in consultation with himself/herself and the University Librarian, is responsible for the satisfactory execution of this policy on behalf of the Vice Chancellor.

(d) The University Librarian, through his/her record management staff, and in co-operation with the University’s information and communication technology personnel, shall provide the expertise, guidance and procedures necessary to support and implement the information and record management requirements of this policy.

(e) All University of Namibia [users](#) are responsible for the management and care of information under their control in terms of the requirements of this policy, that is, for -

- (i) documenting their activities and decisions in the University’s official systems of filing,

- (ii) applying the record management principles, standards, and practices of this policy and its procedures in the daily performance of their duties,
- (iii) identifying their information and record management requirements, and discussing them with their Head of Unit, or local Records Officer, for attention by the University Librarian and the University's information and communication technology personnel.

5. MAIL HANDLING

- (a) The University of Namibia employs a centralized mail handling policy.
- (b) The Head: Support Services (Estate Services) is responsible for –
 - (i) receiving mail addressed to Private Bag 13301,
 - (ii) the distribution of incoming mail,
 - (iii) receiving mail to be posted, and posting it,
 - (iv) the delivery of internal mail throughout the University,
 - (iv) documenting [procedures](#) for all of the above, for inclusion in the University's record management procedures.

6. SYSTEMS OF FILING

- (1) The Head of each faculty/department/centre/institute/unit shall ensure that official, approved systems of filing have been implemented, and are being maintained for all current records under their control, i.e. for –
 - (a) correspondence in paper format,
 - (b) non-correspondence records in any format whatsoever, such as administrative and financial registers, publications, photographs, films, videos, sound recordings,
 - (c) electronic records and electronic correspondence [i.e. [e-mail messages](#)].
- (2) The Head of each faculty/department/centre/institute/unit should actively discourage the holding of records in personal hard copy or electronic filing systems inaccessible to others.

7. RECORDS DISPOSITION PROGRAMME

The Head of each faculty/department/centre/institute/unit shall ensure that –

- (a) an approved [records disposition authority](#)/authorities for all record types under their control – current as well as non-current – has/have been compiled and approved,
- (b) destruction/transfer of records is carried out regularly in accordance with the provisions of the records disposition authority/authorities, but at least once a year,

(c) at the time when records are destroyed in terms of a records disposition authority, a [certificate of destruction](#) is compiled and submitted to the UNAM Archival Unit,

(d) at the time when records are transferred to the UNAM Archival Unit in terms of an approved Records Disposition Authority, that a [transfer list](#) is compiled and submitted to the UNAM Archival Unit. Such transferred records may be [re-issued](#) to a staff member of the Faculty/Centre/Institute/Section which originally created or received the record, and who requires them for the conduct of University business.

8. SELF-ARCHIVING OF RESEARCH OUTPUT RECORDS IN THE ELECTRONIC UNAM INSTITUTIONAL REPOSITORY

As well as filing it appropriately, all UNAM staff members are encouraged to lodge an electronic copy of their research results in the University's Institutional Repository.

9. ACCESS, PRIVACY AND FREEDOM OF INFORMATION

(a) Records of the University of Namibia which have been lodged in the UNAM Institutional Repository or any UNAM open access electronic journal are available to any member of the public full-text, and free of charge.

(b) Records of the University of Namibia which have been transferred into the custody of the UNAM Archival Unit are-

(i) *not* open to any member of the public, unless they are 30 years old or older, or unless the Vice Chancellor, in consultation with the Head of the National Archives has authorized such access upon written request;

(ii) *not* accessible to any staff member, except to a staff member of the Faculty/Centre/Institute/Section which originally created or received the record, and who requires their [re-issue](#) to the unit for the conduct of University business;

(c) Staff members of the UNAM Archival Unit are required to exercise complete confidentiality pertaining to information which they may see during the course of their duties.

10. PHYSICAL CUSTODY AND CARE OF RECORDS

10.1 The Head of each faculty/department/centre/institute/unit shall ensure that –

(a) non-electronic records received or created by the unit, whether in current use or not, are stored -

(i) in order, in strong boxes or other containers, and on shelves or in cabinets, and

- (ii) in conditions which protect them from physical damage, theft, unauthorised access and unauthorized amendment;
- (b) electronic records, including e-mail messages, received or created by the unit, are stored in the appropriate workspace on the University's server,

until they are either -

- (i) transferred permanently to the UNAM Archival Unit or to the Computer Centre or
- (ii) destroyed in terms of an approved Records Disposition Authority.

10.2 The Head of the University's Computer Services, in consultation with the University Librarian, shall ensure that –

(a) appropriate corporate and unit workspace is provided on the central University server/s for storing programmes and records pertaining to the business functions and activities of the University;

(b) the workspace allocated ensures that the provenance of the software and records stored within it is clear;

(c) policies and procedures pertaining to programmes and records are documented, at least with regard to –

- (i) [Internet and e-mail access](#),
- (ii) security and access control,
- (iii) physical loss and damage control including -
 - daily, weekly, and monthly back-up
 - secure storage off-site and off-campus,
- (iv) the retention and deletion of software and records under his/her control, in terms of Records Disposition Authorities,
- (v) long-term migration of programmes and records designated for permanent retention,
- (vi) disaster recovery.

11 EFFECTIVE DATE

This records management policy –

(a) was approved by Senate Resolution **SEN/05/104/02 of 26 May 2005**, and becomes retrospectively effective from that date,

(b) shall be reviewed at least every two years from date of approval, or earlier if changed circumstances so require.