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**RECORDS MANAGEMENT  
AND ARCHIVES POLICIES  
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## PART I

### UNIVERSITY OF GHANA RECORDS MANAGEMENT POLICY

#### 1.0 Purpose

The purpose of this policy is to provide a framework and assign responsibilities for ensuring that full and accurate records of the business activities of the University of Ghana are created. It aims to ensure that these records are managed and maintained for as long as they are required to support business functions and accountabilities until their disposal in accordance with the authorized retention schedules.

#### 2.0 Definitions and Interpretations

For the purpose of this policy, the following definitions apply. They are based on the definitions included in ISO 15489 – Information and Documentation – Records Management General and other international records and archives management glossaries.

- **Accountability:** The principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others.
- **Archives:** Those records that are appraised as having continuing value and have been selected for permanent preservation but no longer required for current administrative use.

The place where archives materials are kept.

- **Capture:** A deliberate action which results in the registration of a record into a recordkeeping system.
- **Disposal:** The final decision concerning the fate of records, i.e. destruction or transfer to archives.
- **Disposition:** Range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments.

- **Electronic Records:** Any records that are created or stored by digital means. These include databases, and e-mails.
- **Finding aids:** Descriptive tools published or unpublished, manual or electronic, produced by the Archives to records /or archival materials.
- **Records:** Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.
- **Records Centre:** A low-cost centralized area for housing and servicing inactive records whose reference rate does not warrant their retention in prime office space.
- **Recordkeeping:** The creation and maintenance of complete accurate and reliable information.
- **Records Management:** Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- **Retention Period:** The length of time that records must be kept according to operational, legal, regulations, and fiscal requirements.
- **Retention Schedules:** A systematic listing of records created by an organization or agency which plans the life of their records from time of their creation to their disposal.
- **University Record:** Any record created or received by staff of the University in the course of conducting their University duties.
- **Vital Records:** records, usually irreplaceable, which are necessary to the continued operation of an organization.

### 3.0 **Scope**

This policy applies to all employees of the University and to other parties conducting business on behalf of and acting as a representative of the University. It applies to all aspects of the University's business, including all records created and received as a result of transactions, research, teaching and learning, student administration and student services and all applications that generate records including electronic records.

### 4.0 **Policy Statement**

Records Management provides systematic and cost-effective control of the University's records from their creation to final disposition in order to:

- Comply with legislative requirements, policy, and recognized standards of best practices.
- Protect the University's vital records.
- Dispose of the University's non-vital records in an organized and efficient way.
- Regulate, and make uniform the creation, maintenance and disposition of records.
- Provide appropriate security and access to University records
- Capture and preserve the University's historical documents.

Records created or received during the normal course of University business are the property of University of Ghana, and all employees are responsible for ensuring that records are managed in accordance with the University's policies and the applicable laws of Ghana. The same safeguards and controls over information stored electronically apply to information created and maintained in paper form. Departments will retain records according to the approved records retention schedules.

Inactive University records may be stored in the University Records Centre which offers departments a centralized low-cost storage facility where inactive records may be stored, retrieved and destroyed once the legal retention period has passed. Records in the University Records Centre remain under the control of the depositing departments and may

be retrieved by that department as needed. Records in the University Records Centre are not available for research except by staff of the depositing department or with the written permission of the depositing department. Once records reach their legal disposition date, they must be removed from the University Records Centre and either destroyed or deposited in the University Archives for permanent retention.

Records identified as university archives will be managed in accordance with the University's Archives Management Policy.

## 5.0 **Recordkeeping Roles and Responsibilities**

### 5.1 ***The Registrar***

The Registrar as the Chief Operating Officer of the University, under the Vice-Chancellor, has general responsibility for ensuring that appropriate policies and procedures are in place to ensure compliance with best practice recordkeeping standards and legislative requirements under the Public Records and Archives Administration Act, 1997 (Act 535) and other relevant legislation.

### 5.2 ***Senior Academic and Administrative Heads***

5.2.1 Senior academic and administrative heads who have managerial responsibility for organizational areas within the University are to ensure that employees in their departments create and keep records as an integral part of their work and in accordance with this policy and associated procedures.

5.2.2 In compliance with this policy, heads of academic and administrative units shall provide the University Archivist or his or her representative with reasonable access to and an opportunity to examine all University records in their custody.

### 5.3 ***The University Archivist***

The University Archivist under the Registrar is responsible for the overall development and maintenance of records management throughout the University. The role of the Archivist includes but is not limited to the:

- Provision of advice, training and ongoing assistance for staff assigned with records management responsibility.
- Development and maintenance of retention schedules in conjunction with departments staff and monitor the maintenance of and compliance with those schedules.
- Management and operation of the University Records Centre and retrieval of records upon the request of the depositing department.
- Arrangement for destruction of records stored in the University Records Centre according to approved retention schedules, and only with the written consent of the depositing department.
- Promotion of appropriate record keeping practices throughout the University through the provision of staff training.
- Assistance in the preparation and protection of University records in the event of a disaster.

#### **5.4 *The Records and Archives Advisory Committee***

The Records and Archives Advisory Committee will:

- Provide advice to the Registrar on records and archives management.
- Promote greater institutional support for records and archives management programme activities.
- Act as the policy approval and advocacy body in the review and approval of University's records retention and disposition schedules.

5.4.1 The membership of the Records and Archives Advisory Committee shall comprise of:

- a) The Registrar
- b) University Librarian
- c) University Archivist

- d) One representative each from
- Academic Affairs Directorate
  - Department of History
  - Department of Information Studies
  - Finance Directorate
  - Human Resource and Organizational Development Directorate
  - Internal Audit
  - Office of Legal Counsel
  - University of Ghana Computing System

The Registrar shall be the Chairman of this Committee.

#### **5.5 College, School, Department or Unit shall**

- Manage records whether maintained in the office area or stored in the University Records Centre, in accordance with University requirements, applicable laws, and retention schedules developed in conjunction with records management staff and approved by the University Records and Archives Advisory Committee.
- Designate professional Records Coordinators who shall liaise with the University Archivist to do the following:
  - Inventory of office files and office records keeping systems, with assistance from the University Archivist.
  - Develop and maintain retention schedules, which list the legal period of time records must be retained.
  - Coordinate records deposited in the University Records Centre.
  - Act as a central point for records retrieved from the University Records Centre.
  - Facilitate the disposition of records at the end of their legal retention period.



- Coordinate access to department records by non-departmental staff.
- Review department retention schedules annually for required updates.
- Keep record of all records destroyed.
- Ensure that information of confidential nature is protected from unauthorized disclosure until final disposition and that such records are destroyed by a means that prohibit reconstruction of the information or, in the case of electronic records, properly deleted or purged.
- Prior to disposition, verify if there is no audit, subpoena, current or anticipated investigation or pending legal action or proceeding that would prohibit the destruction of records, even if the scheduled retention period has expired.
- Assist in identifying and preserving records of vital and enduring/archival value to the University.

## 6.0 **Employees of the University**

All employees of the University are responsible for:

- Complying with University of Ghana documented records management procedures.
- Creating full and accurate records of activities and transactions in decisions carried out during the course of daily business activity.
- Ensuring that such records are maintained in the University records management system, and handling records with care and efficiency so as not to damage them or compromise their integrity.
- Preventing unauthorized access to records.
- Ensuring that no records are destroyed or removed, unless permitted by current disposal schedules.

- 6.1 The University Archivist shall ensure that all employees are aware of the records management policy, and shall conduct or arrange training for the staff to equip them for their records management duties.

## 7.0 **Regulatory Framework and Standards**

- 7.1 Relevant legislation for which this policy complies includes, but is not limited to:

- University of Ghana Act, 2010 (Act 806) and Statutes of the University of Ghana
- Internal Audit Agency Act, 2003 (Act 658)
- Public Records and Archives Administration Act, 1997 (Act 535)
- Public Procurement Act, 2003 (Act 663)
- Financial Administration Act, 2003 (Act 654)
- Financial Administration Regulations, 2004 (LI 1802)
- State Property and Contract Act, 1960 (CA 6)
- The State Secrets Act, 1962 (Act 101)
- Limitation Decree, 1972 (N.R.C.D. 54)
- Evidence Decree, 1975 (N.R.C.D. 323)

### 7.2 ***Standard***

This policy complies with the International Standard on Records Management ISO 15489.

## 8.0 **Monitoring and Review**

This policy will be regularly monitored and reviewed to ensure that it remains relevant to the University's business aims and requirements and applicable laws. Staff compliance with the policy and associated procedures will be monitored on an ongoing basis through staff self-assessment and heads of departments, and the University Archivist/Records Manager. This policy will be reviewed every five years. The date of next review is by 5th December, 2018.

### **Authorization**

*This policy was approved by University Council on 5th December, 2013.*

## **PART 2**

### **UNIVERSITY OF GHANA ARCHIVES MANAGEMENT POLICY**

#### **1.0 Policy Statement**

The University is committed to preserving its history in the University Archives under the University Archivist.

Records of enduring historical value are those which document the history, organization, policies, decisions, procedures, operations, or other activities of the University. In general records have permanent value if they contain evidence of the University's organization, function, policies, decisions, procedures, operations, or other activities, or because of their informational value. Policies related to University records not determined to be of permanent value may be found at University Records Policy.

Records may be in any physical format including but not limited to paper, microforms, photographs, drawings, maps, motion picture film, and electronic records maintained in magnetic or optical format such as databases, e-mail, voicemail, CDs and DVDs, Videotapes and audio tapes, computer and discs and word processing documents.

#### **2.0 Specific Categories of permanent/archival records**

Specific categories of permanent/archival records include but not limited to:

- Records of the University administration and University Council, Boards and Committees.
- Records of colleges, schools, institutes and departments.
- Papers of faculty, staff and alumni.
- Curriculum information including continuing and distance education.
- Publications.
- Photographs, slides, videotapes and motion pictures.
- Theses and dissertations (currently held at the Balme Library).
- Newspaper Clippings.
- Memorabilia.

#### **3.0 Responsibility of the University Archivist**

The University Archivist is the official custodian of records holdings in the University Archives.

**4.0 Records and Archives Advisory Committee**

(Same as shown in Section 5.4–5.4.1 in the Records Management Policy)

**5.0 Responsibilities of the College, School, Department or Unit**

The College, School, Department or Unit Shall:

- 5.1 In consultation with the University Archivist, assist in identifying and preserving records of permanent/archival value of the University.
- 5.2 Provides the University Archives with two copies of every publication produced including bulletins, newsletters, invitations, programmes, and memorabilia.
- 5.3 Select and preserve a database received or created in the course of research activities.

**6.0 Responsibilities of the University Archives**

The Archives will:

- 6.1 Acquire and preserve records of permanent value produced by University officers, faculty, students and alumni.
- 6.2 Arrange and describe those records and make them accessible in accordance with established archival principles and standards.
- 6.3 Serve as information resource centre to assist the University community with research projects.
- 6.4 Encourage and assist the University community to recognize and make use of its institutional documentary and published resources.
- 6.5 The Archives may accept donations of documents, photographs, memorabilia and other records materials that help to tell the story of the University from its students, faculty and staff.
- 6.6 Encourage and facilitate academic research through the preparation of finding aids and specialized research tools and the provision of reference services.

**7.0 Placement of the University Archives**

The University Archives shall operate as a separate unit of the University Library.

**8.0 Access**

University's records are public records and once fully processed are generally open to research use, in accordance to the Public Records and Archives Administration law and University's policy. Records that contain personally identifiable information will be restricted in order to protect individual privacy. Certain administrative and academic records are restricted. The restriction of University records is subject to compliance with applicable laws and statutes.

**Authorization**

*This policy was approved by University Council on 5th December, 2013.*

