



ARCHIVES POLICY

Document Number	LIB.2
Document Name	Archives Policy
Coordinating Exec Manager/Document owner	DVC: Academic
Operational manager	Director of Library Services
Contact & Tel. No. for support	K.A. Herbert 033 845 8841 karinh@dut.ac.za
Approved by	Senate: 16 November 2011 Council:
Title of manager responsible for policy review	Director of Library Services
Related policies	Institutional repository policy

ARCHIVES POLICY

1. PURPOSE

- 1.1 The purpose of this Policy is to regulate the preservation of institutional information of historical significance and other materials that reflect the University's origins as well as the development, activities and achievements of its staff, faculty, students, convocation and benefactors by the formation of a University Archives.
- 1.2 It is intended that the Archives will act as a guardian of Durban University of Technology's institutional memory.
- 1.3 It is intended that this policy will establish an Archives that will provide information that will be accessible both internally and to the extended community and that will promote the mission of the institution.

2. POLICY STATEMENT

Durban University of Technology will preserve all information, in whatever format, created by the academic, research and administrative activities of the institution and set up a University Archives which will house the physical collection and will administer the virtual collection so established. This Archives collection will be managed in such a way that it is accessible for use by the academic, research and administrative sectors of the University as well as the convocation, benefactors and the local and international community.

3. APPLICABILITY

Applicable to all Durban University of Technology employees, students, convocation.

4. DEFINITIONS

4.1 Convocation

Convocation comprises:

- 1) the recipients of certificates, diplomas and degrees formally conferred by the Institution and its predecessor institutions
- 2) all present and past members of the Institution and its predecessor institutions that have been staff members for an uninterrupted period of five years or more.

4.2 Archives Committee. A committee comprising representatives from each Faculty, Executive Management, the Library Committee, Corporate Affairs, Committee Secretariat - which assists the Archivist in the implementation and monitoring of the Archives Policy.

4.3 Archivist. A professional with Archives qualifications and experience appointed to implement and monitor the Archives Policy.

4.4 Digital asset management. Management of the knowledge base and intellectual assets of an institution that are in digital form.

4.5 Digital preservation strategy. A strategy that identifies material for preservation that can be copied into digital format to aid conservation of information and promote accessibility. This strategy has to consider intellectual property rights including copyright.

4.6 Donation. Material that is given to Durban University of Technology free of charge and that may include the private papers of distinguished faculty members and convocation. Funding that is given to Durban University of Technology to house or preserve or digitize or promote its Archives collection.

4.7 Durban University of Technology. As Durban University of Technology is a merged institution and each previous institution also had various names and originating institutions, it is to be understood that publications, records and documents *from all previous institutions* fall into the definition of what will be collected by the Archives.

4.8 Durban University of Technology publications. Publications include all material originating as part of Durban University of Technology academic, research and administrative activities, in whatever format, that is designed for distribution and circulation, such as: printed or electronic books, academic journals, departmental newsletters, pamphlets, leaflets, promotional brochures and posters, annual reports, graduation ceremony programmes, student handbooks, campus directories, guides etc.

4.9 Durban University of Technology records and documents. Records, in whatever format, include minutes and agendas and accompanying documents of official Durban University of Technology committees and groups such as Council, Executive Management, Finance, Faculty Boards, Departments, special function and project committees etc. Documents include original or unique documents such as certificates, illuminated addresses, architectural plans, presentations, speeches, communique's etc. Records will be acquired by the Archives after a specific agreed on time frame. (Current years will remain with their originating or operational section. After categorisation as "inactive" they will be deposited in or become accessible from the Archives). Correspondence, in whatever format, is currently not included in this definition.

4.10 Information audit. An identification of which functions in the institution create which records and documents, what these are used for and by whom, where they are kept and by whom, how long they are currently kept and how long they should be kept, who might need to use them in the future.

4.11 Institutional memory. The collective or corporate memory of an institution as represented in its records, documents, publications and memorabilia.

4.12 Preservation strategy. Decisions regarding storage and treatment of physical materials (for example, restoration, cleaning, binding) and decisions regarding digital materials (for example, copying, backup files, remote storage).

4.13 University Archives. A collection that chronicles the origins, development and achievements of the institution and the activities of its officials, academic staff and students

5. POLICY AUTHORITY AND CUSTODIANSHIP

5.1 The approving body is Executive Management.

5.2 Council ratifies this policy.

5.3 The policy should strive to give effect to the legal framework as reflected in the following:

Promotion of Access to Information Act no.2 of 2000 and amendments
National Archives and Records Service of South Africa Act no. 43 of 1996
and amendments.

Copyright Act no. 98 of 1978 and amendments.

5.4 Policy implementation and monitoring is the responsibility of the Archivist assisted by the Archives Committee.

5.5 Executive Management is responsible for the amount approved and allocated annually for the Archives budget.

6. IMPLEMENTATION PROCEDURES

6.1 Existing collection

6.1.1 Existing collections identified as archives that are currently housed in various parts of the Durban University of Technology campus will be brought together and housed in one place.

6.1.2 Implementation procedures

Implementation procedures		Person responsible	Document
6.1.2.1	Identify existing collections	Management / Archivist	List collections
6.1.2.2	Perform an information audit of existing collections – their creation, keeping practices and systems	Archivist	Information audit
6.1.2.3	Ensure security of existing collections until coordination of collections in one place	Archives Committee / Archivist	Guidelines for safe-keeping
6.1.2.4	Ensure all staff including senior management are aware of the Archives policy and requirements regarding keeping practices and systems	Executive Management / Archivist	
6.1.2.5	Ensure Council and internal auditors are aware of the Archives policy	Executive Management	

6.2 Development of the collection

6.2.1 Copies of all types of material, in whatever format, which are produced as part of Durban University of Technology academic, teaching, research and administration activities will be added to the Archives collection.

These will include the following:

6.2.1.1 Durban University of Technology publications in printed or electronic form (See Definitions)

6.2.1.2 Durban University of Technology records and documents in printed or electronic form (See Definitions)

6.2.1.3 Visual and auditory recordings of Durban University of Technology staff, students, Durban University of Technology activities and events such as photographs, slides, films, videos, tapes, CD's, DVD's etc.

6.2.1.4 Graphic materials such as posters and art work which depict Durban University of Technology academic and research activities or Durban University of Technology staff and students.

6.2.1.5 Realia (eg. objects bearing the Durban University of Technology logo)

6.2.2 Descriptions of Durban University of Technology, its staff, students, convocation and activities as they appear in the media will be collected and added to the Archives.

6.2.3 Past staff members, convocation and other friends of Durban University of Technology will be encouraged to donate material which is relevant and related to the collection as defined.

6.2.4 Budget will be utilized to purchase operational equipment and supplies such as Computer, Printer, Scanner, Server, External hard drives, Copier, Storage and Display materials.

6.2.5 The Archives will maintain equipment necessary to view or play different resources in older formats but the goal will be to digitize as much of these older materials as possible as part of a digital preservation strategy for continuing access.

6.2.6 Implementation procedures

Implementation procedures		Person responsible	Document
6.2.6.1	Ensure that all staff and structures are aware of the new requirements regarding deposit or filing of copies of Archives material as identified	Executive Management / Archivist	
6.2.6.2	Identify time frames for deposit	Archives Committee / Archivist	Time frames for Archives deposit
6.2.6.3	Establish mechanisms for institution to use when depositing paper and filing electronic Durban University of Technology publications and records	Archivist / Archives Committee	Outline of deposit mechanism

6.2.6.4	Make contact with convocation and friends of Durban University of Technology to solicit donations	Archivist / Corporate Affairs	Current list of convocation & addresses
6.2.6.5	Establish links with other Archives and collections in South African higher education and elsewhere in order to extend Archive resources available at Durban University of Technology	Archivist	

6.3 Management of the collection

6.3.1 Professional and support staff will be appointed to manage and implement the Archives policy in a technologically current environment.

6.3.2 All material in the Archives collection will be recorded, catalogued and indexed as per internationally standard Library, Archives and Museum procedures and these records will be made available for searching in an electronic environment.

6.3.3 All physical material in the Archives collection will be housed in a stable and secure environment (clean, dark, dry, cool - for conservation and preservation best practice).

6.3.4 All digital or electronic material in the Archives collection will be kept on secure DUT based servers with appropriate and regular back up of all content on external hard drives and remote storage.

6.3.5 Implementation procedures

Implementation procedures		Person responsible	Document
6.3.5.1	Send staff responsible for Archives for training	Executive M'ment	Training schedule
6.3.5.2	Draw up procedures manual	Archivist	Procedures manual
6.3.5.3	Establish file naming rules	Archivist	File naming rules
6.3.5.4	Establish cataloguing / record keeping / indexing procedures	Archivist	Cataloguing procedures
6.3.5.5	Establish access controls	Archivist / Archives Committee	Access rules
6.3.5.6	Establish reproduction rules	Archivist	Copying rules
6.3.5.7	Establish retention schedules	Archives Committee	Retention schedules
6.3.5.8	Establish preservation strategy for all materials including digital	Archivist / Archives Committee	Preservation strategy

6.3.5.9	Identify valuable records for permanent retention	Archivist / Archives Committee	List vital records
6.3.5.10	Introduce digital asset management procedures	Archivist	D.A.M. procedures
6.3.5.11	Identify materials for digitization	Archivist / Archives Committee	Digitization list
6.3.5.12	Identify time frame for digitization	Archivist	Digitization goals
6.3.5.13	Establish guidelines for disposal of print and electronic records	Archivist / SA National Archivist	Guidelines for disposal of DUT records
6.3.5.14	Establish electronic storage protocols and back up procedures	Archivist	Electronic storage protocols

6.4 Marketing and promotion of the collection

6.4.1 The staff responsible for the University Archives collection will be required to identify opportunities for promotion, marketing and display of this collection in line with Durban University of Technology institutional goals and plans including encouragement of the use of the Archives collection by researchers and promotion of the Archives in the community. Wherever possible this function will make use of electronic means and methods.

6.4.2 Implementation procedures

Implementation procedures		Person responsible	Document
6.4.2.1	Produce guides and add to finding aids	Archivist	Databases, guides, lists, indexes
6.4.2.2	Make educational and outreach presentations and promote contents and use of Archives collection on and off campus	Archivist	Presentations
6.4.2.3	Publish articles relating to information in Archives	Archivist / Researchers	Publications
6.4.2.4	Provide advice and assistance to those responsible for creating Durban University of Technology records and documents	Archivist	Guidelines
6.4.2.5	Liaise with staff at Durban University of Technology responsible for marketing, fund raising and outreach regarding opportunities for promotion	Archivist / Corporate Affairs / Executive Management	Durban University of Technology calendar
6.4.2.6	Identify material in the collection for use in promotion	Archivist	

6.4.2.7	Create exhibitions or displays	Archivist	Exhibitions
6.4.2.8	Place digitized parts of the collection on appropriate websites with links to promote access	Archivist	Websites

7. Sources used to inform this policy:

National Archives and Records Service of South Africa. Guidelines for the compilation of a records management policy. April 2006.

<http://www.national.archives.gov.za>

Viewed on 30 January 2008

National Archives and Records Service of South Africa Act (Act No. 43 of 1996) as amended

<http://www.national.archives.gov.za>

Viewed on 16 September 2004

Promotion of Access to Information Act (Act No. 2 of 2000)

Government gazette, v. 416, no. 20852, 3 Feb 2000. pp.1-45.

Society of American Archivists. Guidelines for College and University Archives.

http://www.archivists.org/governance/guidelines/cu_guidelines.asp

Viewed on 30 January 2008.

In addition various University Archives policies available on the Internet were examined, for example:

University of British Columbia. Policy No. 127. University Archives

<http://www.policy.ubc.ca/policy127.htm>

Viewed on 14 September 2004

University of Glasgow. Archive Services. Collection Policy.

<http://www.archives.gla.ac.uk/collects/collect.html>

Viewed on 14 September 2004

University of Pennsylvania. Protocols for the Archives and Records Center.

<http://www.archives.upenn.edu/home/protocols.html>

Viewed on 30 January 2008

Woods Hole Oceanographic Institution. Archive Policy.

<http://www.whoi.edu/page.do?pid=11037>

Viewed on 30 January 2008