



UNIVERSITY OF PRETORIA
University of Pretoria Archives

ARCHIVES POLICY

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1. PURPOSE

This Policy describes the principles and guidelines governing the University of Pretoria Archives (UPA). As such, it outlines the roles and responsibilities, the collection and admission policies of the UPA, the regulations for use of the UPA, the transfer / donation of archivalia, and the UPA forms.

2. SCOPE

This Policy applies to:

- all institutional information, whether electronic or otherwise, in any location;
- all information systems and applications;
- all Professional Services and Faculties, Centres, Units, Institutes, Bureaus and Platforms of the University; and
- employees, students, researchers, service providers, contractors, and other individuals who request access to archival records / material.
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3. CONSEQUENCES OF NON-COMPLIANCE

3.1. For the University

Non-compliance with this Policy could lead to:

- failure to retain appropriate records or to be able to retrieve records when they are needed;
- failure to meet the requirements imposed by the National Archives and Record Services of South Africa Act, 1996 (Act 43 of 1996), Public Access to Information Act (Act 2 of 2000) and Protection of Personal Information Act (Act 4 of 2013);
- failure to effectively manage requests for information from the public under POPIA and PAIA;
- action against the UP for failure to meet audit, regulatory or statutory requirements;
- inability to defend the UP during investigations, disputes and litigation;
- reputational damage.

3.2. For employees and students

Failing to comply or failing to report non-compliance with this Policy may lead to disciplinary action.

4. POLICY STATEMENT

The UPA is dedicated to the collection, arrangement, description, preservation, and provision of access to records and materials that document the history, organisation, and activities of UP.

Our mission is to support the University's goals of research, teaching, and public service by maintaining a comprehensive and accessible collection of its historical records.

To achieve this mission, the UPA will:

- Collect and preserve records of enduring value, regardless of format, that reflect the diverse and evolving history of the University.
- Ensure the integrity and accessibility of archival materials while respecting legal and ethical considerations, including privacy and confidentiality.
- Provide reference and research services to students, faculty, staff, alumni, and the public.
- Promote awareness and use of the UPA through training and awareness initiatives.
- Implement best practices and standards in archival management to safeguard the University's documentary heritage for future generations.
- Receive contributions to the UPA from all University departments, offices, and affiliates by the transfer of records of historical significance in accordance with this policy.

5. DEFINITIONS

Archives assistant	means the person to whom the University Archivist delegates tasks and who assists the University archivist in the execution of duties.
Archival material	means the collection of information concerning the history and activities of the UP, that is written, printed, electronic or illustrated items such as: documents, for example, Acts, minutes, charters and registers; publications, for example, books, magazines and newspapers; visual material, for example, photos and negatives, pictures and maps; electronic or machine-readable products, for example, cassettes, discs, microfilm, microfiche and videotapes.
Archives exhibition	means the area that will be equipped for the collection, preservation and display of objects related to the UP which have permanent preservation value.

Archives repository	means the storage area intended for the storage, maintenance and retrieval of archival material that has permanent storage value.
Disposal	means decision making regarding the preservation or destruction of archival material.
Inactive records	records that are no longer used during the regular course of operations, but that are retained because of their legal, historical or operational value.
Intermediate repository	means the storage area used to provide for the short-term and temporary storage of archival material, in other words a temporary repository.
Machine-readable material	means all material that can only be read by means of dedicated equipment.
Memorabilia	means any object with contains and conveys information regarding the history and activities of UP. It includes furniture, objects, flags, academic gowns, colour blazers, medals, trophies and so forth.
Office of origin	means the office or section in which a record was created or resorted.
Reading room	means the designated area in which researchers may consult archival material.
Retrieval	means rendering the information stored in the Archives repository accessible and available.
University archivist	means the person responsible for the effective management and planning of the UPA within UP. The archivist is not merely a passive receiver of archival material, but takes action in cooperation with the staff and administration of the University in order to increase effective operations.
University records	means information created, received and maintained by the University. by administrative or academic offices and student bodies of the University of Pretoria during the execution of their tasks as evidence of actions or decisions, to meet legal, regulatory, fiscal, operational and historical

requirements. This comprises all official printed and electronic material, publications, reports, report books and registers, minutes, committee files, financial records, correspondence and related documents. Copies, photos and negatives, microfilms, films, audio and video cassettes, machine-readable records, electronic records, including digitised and born-digital electronic records and objects are also included.

6. COLLECTION DEVELOPMENT

To realise the goal of the UPA, the following aspects regarding the collection of archivalia need to be taken into account:

- 6.1. Only archival material of intrinsic value containing information related to the University will be collected. In order to achieve this –
 - careful evaluation and selection of archival material is necessary, from which a reliable account of the University's history can be compiled.
 - archives personnel and experts from specific relevant fields should be involved in this selection and appraisal process as a selection committee.
 - In order to receive all publications, the UPA must be placed on the email lists, address lists and distribution lists of all UP faculties and professional services departments.
- 6.2. In order to avoid the duplication of documents stored in the UPA, it is necessary that all documents which are no longer used, be made available to the UPA or that the University Archivist be informed of the nature and storage location of these documents. The goal is not to transfer every document to the Archives. But –
 - as long as the documents are still being used (active) and stored by sections, faculties and departments in accordance with UPA policy and in compliance with national legislation, they can remain where they are with the knowledge of the University Archivist, and on the understanding that these documents will function as a satellite archive of the UPA.
 - documents must be transferred to the UPA if it appears that they are in danger of being damaged or destroyed.
 - each section, faculty and department must determine when the documents need to be transferred to the UPA, but this is usually no longer than five years from the date on which the most recent document was created.

- groups of files and other pieces of documentation must, as far as possible, be transferred as a unit.
 - an inventory for the transfer of files and other pieces must be given in advance to the UPA
 - All transfers must be accompanied by a completed and signed transfer document.
- 6.3. Converting hard copy records to machine-readable format (microfiche, microfilm and electronic format / digitisation) is seen as a way to conserve storage space. In such cases the original documents are usually destroyed. This process has certain dangers because there may be records which have intrinsic value and, based on their exhibition, legal or historical value, should be preserved in their original form. In addition, product and software obsolescence may lead to the machine-readable copies no longer be accessed. In order to protect University of Pretoria (UP) documents -
- The UPA Transfer Guidelines must be consulted before records are destroyed
 - the UP Archivist must be consulted if there is any uncertainty about the intrinsic value of the records.
 - records of a personal or sensitive nature need to be destroyed using a recognised University service provider who will supply a certificate of destruction
- 6.4. In view of exhibitions or displays, the UPA will take responsibility for the collection of objects and memorabilia that are directly related to UP. These collections will be made in compliance with the policy of the UPA.

7. DONATIONS

- 7.1 Donations or legacies of archival material, conforming to the conditions of the UPA, are welcome and encouraged, but due to copyright concerns must be subject to the Constitution of the Heritage Committee. The UPA Donation Form (UPA/02) must be completed for any donation.
- 7.2 The origin, ownership and authenticity of archival material must be beyond reproach and donors must be able to furnish proof of their legal ownership of archival material that they wish to donate if deemed necessary.
- 7.3 Donations of archival material are irrevocable after the physical and formal transfer has taken place.
- 7.4 The donation of archival material should, as far as possible, be , without any restrictions, but, in cases where restrictions do exist, this must be indicated on the Donation Form (UPA/02).

- 7.5 Archival material may be collected through appeals in the media, word of mouth or through fieldwork.
- 7.6 In highly exceptional cases, archival material will be loaned from or made available to other institutions or individuals for interpretation and research purposes. In these cases a loan agreement must be drawn up. No permanent loan agreement, nor any loan agreement for an unspecified period of time will be undertaken with any institutions or individuals.
- 7.7 For archival material that is converted from a loan to a donation, a loan termination agreement and a donation agreement will be drawn up, both with explanatory notes.
- 7.8 The accession of archival material, through donations, legacies, purchase or loan, implies that the Archives will store, preserve and make this material available for research, but the eventual exhibiting of material cannot be guaranteed.

8. TRANSFER OF UNIVERSITY RECORDS TO THE UPA

The University Archivist must give written permission before any records are transferred to the Archives. The records that are transferred must be clearly identifiable and must be accompanied by a short description. The lists below are general guidelines. The University Archivist must be contacted should there be any uncertainty regarding the preservation or destruction of records.

8.1. Transfer of inactive office records:

8.1.1 Inactive official university records, which must be transferred to the University of Pretoria Archives (UPA) for preservation, include the following:

- Constitutions and regulations, minutes, personnel lists;
- Office files: correspondence and memoranda and subject files relevant to projects, activities and operations of university offices;
- Historical files that document and elucidate policies, decisions, reports and questionnaires;
- Publications: programmes, magazines, newsletters, monographs, brochures, posters and announcements which are issued by the University of Pretoria (UP);
- Audio-visual and electronic material: photos and negatives, films, sound and video recordings and machine-readable material, including microfiche, microfilm and discs;
- Personal documents of students and personnel, which are relevant to the functioning of the University.

8.1.2 The following records should not be transferred to the UPA and may, after

consultation with the University Archivist, be destroyed:

- Records of specific financial transactions;
- Routine correspondence regarding acknowledgements of dispatches and receipts;
- Internal correspondence of an impersonal nature, should the UPA have already received a copy thereof from the office of origin.
- Answers to questionnaires, should the results be in the UPA or should a published report be drawn up.
- Requests for publications or information should the requests already be fulfilled.

8.1.3 The following records can be destroyed directly by the office of origin should they no longer be of use for administrative purposes:

- Blank forms and unused printed or duplicated material;.
- All duplicated material: it is only necessary to keep the original material and annotated copies;.
- Reports, draft documents and working documents which have been published.

8.1.4 All archival material must be transferred to the UPA in the order in which the creator of the material arranged it.

8.2. Transfer of personal documents of personnel

8.2.1 The personal documents of personnel are collected should they shed light on or be useful for research regarding UP. The following documents and information could be of archival interest:

- Biographical information: curricula vitae, bibliographies, memoirs, genealogies, biographical sketches, either published or unpublished;
- Original documents and annotated copies;.
- Official UP correspondence and files: incoming and outgoing letters and memoranda regarding departmental and UP matters, committee minutes, reports and files;
- Professional correspondence with colleagues, publishers, professional organisations and former students;
- Educational material: curricula, course compositions, exam papers and correspondence with students;
- Publications: articles, books, reviews and artworks relevant to the university;
- Audio-visual and electronic material: photos and negatives, films, sound

- and video recordings and machine-readable material;
- Personal and family correspondence, diaries, photos and negatives.

8.2.2 The following documents must as a rule, not be transferred to the UPA without prior consultation with the University Archivist:

- Financial records, cancelled cheques and invoices;
- Non-personal routine correspondence regarding acknowledgments of dispatches and receipts;
- Lecture timetables;
- Duplicates and multiple copies of publications, course material – only the original and annotated versions must be kept;
- Draft publications and speeches, unless the final publications or editions are not available;
- Books, research papers, magazine articles and reprints written by other people;
- Research notes and research information, should a summary be available and be transferred. Due to the broad nature of research information, it is necessary to first consult with the University Archivist before destroying any research notes.

8.2.3 All archival material must be transferred to the UPA in the order in which the creator of the material arranged it.

9. ACCESS AND USE

9.1. Access to the UPA

- 9.1.1 External researchers must obtain the necessary permission from the University Archivist or Assistant Archivists according to the determined policy of the UPA in order to consult or use archival material.
- 9.1.2 Researchers must be able to provide proof of their bona fides. This may be in the form of a letter of introduction from for example, a supervisor/study leader, publisher or employer.
- 9.1.3 Subject to any other parliamentary law which regulates the access to public records, article 12 of the Act on the National Archives and Records Service (Act 43 of 1996) determines that there is an automatic embargo of twenty years on public access to all archival material, but this does not apply to internal consultation of documents.

- This implies that certain documents that are handed to the UPA for permanent preservation will only be available to external researchers twenty years after the

time of their creation. This automatic restriction does not necessarily apply to availability to employees of the University of Pretoria (UP).

- Should an external researcher want to consult “closed” archival material, he/she must apply in writing to the Registrar. The Registrar and the University Archivist, in alignment with any restrictions made by the office or individual from which the material originates, will make the final decision regarding the consulting of the archival material concerned.

9.1.4 The Archives will not make the following types of records available, and requests for such records will be handled in accordance with National Archives and Records Service (Act 43 of 1996), PAIA (Act 2 of 2000) and POPIA (Act 4 of 2013):

- Individual academic records of living students and living alumni, except if the student or alumnus provides written consent to the consultation of the record.
- Individual personnel records of living, current or previous academic, administrative and other staff, including records pertaining to the appointment, promotion, salary, performance and termination of service, except if individual gives consent thereto in writing.

9.1.5 Other records of which the consultation and use may lead to a violation of privacy, or regarding which access may or must be justifiably denied in accordance with the abovementioned Acts. It can be arranged, should the donor of archival material insist, that the automatic embargo of twenty years apply for a longer period and/or the embargo also apply to employees of the University. Other restrictions are possible, such as, the determined archival material may only be consulted with the written permission of the donor.

9.1.6 Notwithstanding points (3) and (4) above, the UPA may refuse access to archival material based on its fragile condition, with the understanding that an appeal against the refusal can be made to the Registrar in writing.

9.1.7 Researchers conducting research in the UPA must inform the University Archivist of the form in which the research results will appear. The Archives must obtain the necessary recognition in all publications / theses / reports / studies that are based on research in the UPA and a copy of the said research/report must be donated to the UPA.

9.1.8 All documentation, material and objects used for research (publications / theses / reports / studies) must be acknowledged according to the official UPA inventory system as supplied by the UPA archivist or archival assistants.

9.2. Use of the UPA

- 9.2.1 Records in the UPA are consulted in the Reading Room. In line with international archival practice, no archival material may be removed from the UPA and the duplication thereof must take place in the UPA or under supervision of the archival personnel.
- 9.2.2 All researchers must register annually during their first visit in which they consult records by completing the UPA/01 Registration and Indemnity form.
- 9.2.3 Only paper, pencils, research material and personal computers or other electronic devices may be taken into the Reading Rooms. All containers and bags must be left in the appropriate designated area.
- 9.2.4 Access to the UPA's collections can be obtained by means of a series of electronic and hard copy finding aids. The UPA personnel will gladly help researchers where necessary.
- 9.2.5 Researchers must use pencil. All archival material must be handled carefully. It is prohibited to write on or mark any records. The Archives personnel will advise researchers on the correct way to handle archival records.
- 9.2.6 The order of records must not be changed. Should the order be disturbed, a member of the personnel must be informed.
- 9.2.7 In the source list of the research document, the full name of the University of Pretoria Archives must be mentioned. In source references, 'UPA' must be used as the shortened reference to the Archives.

Example: University of Pretoria Archives (UPA), Collection number and title: A-9 Centenary celebrations 2008, A-9-57 Candle Walk
- 9.2.8 A reasonable amount of photocopying and scanning work is provided to researchers at a cost. No material to which restrictions apply, or which may be damaged by photocopying or scanning, may be duplicated.
- 9.2.9 The Reading Rooms are open for research during hours determined by the UPA Archivist.
- 9.2.10 Researchers not fulfilling these regulations may be denied access to the UPA archival collections.
- 9.2.11 Theft or damage of archival material is against the law and is punishable according to article 16 of the National Archives and Record Services of South Africa, 1996 (Act 43 of 1996).
- 9.2.12 All documentation, material and objects used for research (publications / theses / reports / studies) must be acknowledged according to the official UPA inventory system as supplied by the UPA archivist or archival assistants.

10. ROLES AND RESPONSIBILITIES

The Registrar As line manager of the UPA, the **Registrar** has overall accountability and responsibility for the activities / functions of the UPA.

Information Governance (IG) Office The IG Office supports the Information Officer (Vice-Chancellor and Principal) and Deputy Information Officers (Registrar, Vice-Principal: Academic, Vice-Principal: Research, Innovation and Postgraduate Education and all Directors and Heads of Professional Services Departments) operationally in executing their information governance and privacy protection (iGaPP) duties and responsibilities.

The IG Office must:

- advise Deans, Directors and iGaPP Custodians on the implementation of the iGaPP policies;
- review and update iGaPP policies and supporting documents to ensure that they reflect established frameworks, best practices, and current regulations in information governance and privacy protection;
- advise Deans, Directors and iGaPP Custodians on records management and how to complete the records management self-assessments; and
- main the institutional information asset register.

Deans and Directors **Deans and Directors** must ensure that the records controlled within their area of responsibility are managed and transferred to the UPA in a manner consistent with this Policy.

University Archivist and UPA personnel The **University Archivist and UPA personnel** have the following key responsibilities:

- Identify all potential archival material containing information of historical or research value relevant to UP and select this archivalia according to archival standards.
- Collect the selected archival material pertaining to the history of UP.

- Ensure that the archival material of UP is stored according to accepted archival principles. (International Council on Archives Guidelines <https://www.ica.org>)
- Ensure that the archival material of UP is retrievable by creating an applicable retrieval system.
- Make information regarding UP, found in archival material, available to the departments and personnel of UP and other bona fide researchers.
- Protect the confidentiality of UP's archival material.
- Ensure that the integrity of the information in the archival material of UP is maintained against modifications, removal, damage and theft.
- Ensure that all stakeholders are aware of their roles and responsibilities regarding the transfer of records and archival material to the UPA.

11. ASSOCIATED DOCUMENTS

- Records Management Policy
- Constitution of the University of Pretoria Archives

12. POLICY LIFE CYCLE

This Policy must be revised at least every five years.

13. DOCUMENT METADATA

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