

---

## Access to Archives policy

### Document summary

<b>Effective date</b>	Not implemented	<b>Last updated</b>	
<b>Document owner</b>	University Archivist		
<b>Approved by</b>	By Archives Advisory Committee on 8 May 2017  Council: 1 June 2018	<b>Reviewed by</b>	
<b>Enquiries</b>	Director: Legal Services and Secretariat, 021 650 2193  University Archivist, 021 650 4763		

### Table of contents

Purpose .....	2
Definitions .....	2
Applicable to .....	2
Exclusions .....	2
Policy summary .....	2
Policy details .....	3
Policy violations .....	7
Roles and responsibilities .....	7

**Purpose/Background**

The University's Administrative Archives holds the administrative records of the University. This policy contains standards and guidelines to inform the University Archivist when access may be granted to records held in the Archives.

**Definitions**

None

**Applicable to**

UCT community and third-party users of the Archive.

**Exclusions**

None

**Policy summary**

1. The purpose is to protect and preserve UCT administrative records so that they are available to support the governance and management of the University and as a secondary purpose so that they are appropriately available to bona fide researchers.
2. Access by a University employee for a record required by him/her in the course of his/her University employment/responsibilities requires approval by the
  - Registrar, Executive Officer, Dean, Head of Department or other University officer whose office lodged the record with the Archive.
3. Access by persons including other University staff
  - Open access where the record is already publicly available
  - Access in terms of the Promotion of Access to Information Act, 2000 (PAIA)
  - Access subject to confidentiality considerations
4. Form of access
  - Borrowing restriction.

- 
5. Copies of records
    - Copyright considerations and costs
  6. Access Register requires details
  7. Protection, preservation and integrity of records
  8. Physical access controls limits access to authorised persons only.

### **Policy details**

#### UCT Administrative Archive

##### Access policy

#### 1. Institution

The University's Administrative Archive holds the administrative records of the University. These are held permanently or for fixed periods according to pre-determined retention schedules. The records are held: -

- a) primarily to support University governance and administration and to comply with legislation;
- b) to preserve institutional memory and to provide material for bona fide historians, and for students, and source material for third parties seeking information about the University, its past students and its former staff.

This policy informs the university Archivist in deciding when access to administrative records held in the Administrative Archive may be granted.

#### 2. Access by University employees to records needed by them in the course of their employment

2.1 The Archivist will give access to a record

- a) to the Head of Department/Dean / Registrar/Executive Officer who has (or whose predecessor(s) has / have) lodged the record with the archive;
- b) to the Registrar (or nominee) to any record;

- 
- c) to any other university employee who has obtained written permission from the Registrar, or the Head of Department/Dean/Executive Officer who has lodged the record with the archive.
  - d) the Archivist will give access to unclassified Council and or Senate records and or their committee papers to any staff member or student of the University where the records constitute the open agenda papers and minutes of Open committees (as identified in the UCT Manual of Committees).
3. Access by other persons including other University employees (hereinafter referred to as a third party)
- 3.1. The Archivist will give access to a third party to a record if it
    - a) is already publicly available
    - b) falls within a category of records that are automatically made available by the University or
    - c) is about an individual who has consented to its disclosure or in the case of an individual who is deceased, the individual's next of kin has consented
  - 3.2 The Archivist will give access to a record to a third party when required to do so by the University's Information/Deputy Information Officer (s) under the Promotion of Access to Information Act, 2000, (PAIA) or an order by a competent court in terms of any law.
  - 3.3 Should a third party wish to consult archival material that is not in the public domain or not otherwise subject to disclosure in terms of this paragraph (3.3), s/he must apply in writing to the University Archivist. The Registrar and the University Archivist, after consultation with the relevant Head of Department/Dean or Executive Officer will take a decision regarding the access to the archival material, including material which contains personal information.
  - 3.4 The Archivist will give access to a third party to agenda papers and minutes of the Council, the Senate, and the committees of either or both if:

- 
- a) the record is over 30 years old; or
  - b) the record is not classified as confidential, (if a record is classified as confidential, access will not be granted without the consent of the Registrar who will grant access unless (i) access would infringe the privacy rights of living individuals or (ii) access would involve financial jeopardy to UCT; or
  - c) the records are otherwise publicly available.

3.5 Unless required to do so by the Registrar or the University's Information Officer /Deputy Information Officer under PAIA or in terms of any other statutory provision; or as required to do so by an order of a court of competent jurisdiction, the Archivist will not give access to a third party to:

- a) a record where an undertaking of confidentiality has been given to the provider of the record. (Such an undertaking may be assumed to lapse after 30 years, or on the decease of the provider of the record whichever occurs last, or where the provider releases the University from the obligation);
- b) personnel records and other records containing personal information about an identifiable individual if its disclosure would involve the unreasonable disclosure of personal information.
- c) selection committee records while 3.5(a) obtains
- d) medical records of staff or students

#### 4. Form of Access

4.1 Access to a record will ordinarily be in the form of access to inspect the record, or a reasonable reproduction thereof, in the Archives reading room; at the reader's request the Archivist will make copies (usually digital) of a reasonable number of records, provided that any costs incurred are met by the reader.

4.2 The Archivist may in his / her absolute discretion allow a record to be borrowed from the Archive Building,

- if satisfied that it will be safeguarded and returned,
- only to a University office-bearer; and

- 
- 4.3 University office-bearers designated by the Registrar may, subject to the approval of the Archivist, be permitted to borrow records for no more than 10 days.

5 Copies of records

- 5.1 The Archivist may allow copies (by photographic, analogue or digital means) to be made of archival records-
- a) for University purposes; or
  - b) by researchers, for bona fide research purposes.
- 5.2 Copying shall be subject to -
- (a) any copyright restrictions
  - (b) the copier respecting the copyright or Creative Commons licence, if any, subsisting in the record; and
  - (c) the copying or imaging not damaging the physical record.

6. Access register

The Archivist shall maintain a register of all access granted to records in the Archive, and will require a person requesting access to a record to sign this register.

In the case of third party- users, full contact details must be recorded in the register.

7. Protection of records and their integrity

Every effort must be made to protect the integrity and preservation of records. This includes

- a) handling of delicate media with gloves and with due care, in a humidity and temperature-controlled environment;
- b) protection from pests, fire, excessive heat, excessive humidity, excessive light, and other environmental threats
- c) protection from excessive handling

8. Physical access control

Physical archives will be stored in an access-controlled storage area, with physical access limited to duly authorised persons only, at the discretion of the Archivist.

### Policy violations

Disciplinary and or civil proceedings may be instituted against offenders.

### Roles and responsibilities

The roles and responsibilities of staff involved in the **Archives** policy. These responsibilities must be linked to separate procedures.

<u>Role</u>	<u>Responsibilities</u>
Registrar	<ul style="list-style-type: none"> <li>• Deputy Information Officer (as designated by Vice Chancellor)</li> </ul>
Director: Legal Services and Registrar	<ul style="list-style-type: none"> <li>• Monitoring of legal and statutory requirements</li> </ul>
University Archivist	<ul style="list-style-type: none"> <li>• Custody of records</li> <li>• Management of records</li> <li>• Granting access subject to this policy</li> </ul>
Archives Advisory Committee	<ul style="list-style-type: none"> <li>• Oversight and development of archives policies and practices;</li> <li>• Advice to the Archivist and to the Registrar</li> </ul>

**Related links webpage**

<http://www.uct.ac.za/main/about/uct-archives>