



UNIVERSITY OF DAR ES SALAAM

**PROPOSED RECORDS AND ARCHIVES MANAGEMENT POLICY AND
OPERATIONAL PROCEDURES**

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GLOSSARY

Active/current records

Active/current records are records which are used frequently or on a regular basis. Staff or subject files are examples of active records.

Archives

Archives are official repository of records of enduring or permanent value, that are non-current, transferred and entrusted to its care, custody and control in accordance with approved records retention and disposition schedules.

Archivist

This is a person who is responsible for planning, development, implementation, direction, administration and operation of the archives.

Electronic records

Electronic records are records produced electronically by the use of Information and Communication Technology such as electronic mails, files on computers, messages etc.

Non-active/Non-current records

Non-current records are records rarely needed by the office of origin to conduct current business. These records are kept in the Archives.

Preservation

Preservation is defined as all measures taken, including financial and strategic decisions, to maintain the integrity and extend the life of records.

Record

This is a recorded information created, received and maintained as evidence by an organization or person, in pursuance of legal obligations or in the transaction of business. Records include letters, reports, correspondence files, maps, microfilms, photographs, videos, audio tapes, films, electronic mail and electronic documents.

Records Centre

This is a designated place for the temporary storage, maintenance and retrieval of semi-current records pending their eventual disposal. Records awaiting appraisal are also kept at the Records Centre.

Records Life-cycle

Records life cycle refers to the stages of a record's "life span" from its creation to its preservation (in an archive) or disposal.

Records Management

Records Management is a systematic control of records during their entire life cycle from creation, through processing, distribution, receipt, organization, storage, retrieval to disposition.

Records Management Programme

Records management programme is the programme that ensures records are created in an organized manner, in a manageable quantity and in suitable formats. It allows records to remain in offices only as long as they are current and describes procedures for the storage and disposal of non-current records.

Records Management System

This is a manual or automated information system having the functionality that enables it to carry out and support the various records management processes such as creation, maintenance and classification of records to facilitate retrieval, distribution, use and disposal

Records Manager

This is a person who is responsible for the day-to-day management of processes, activities and tasks for the efficient and economical handling, protecting and disposing of records. In this policy, this term is used to refer to the Head of the Registry.

Records of Enduring Value

These are records with permanent value. They are maintained throughout for legal, historical and administrative value. In a University context, such records may include list of graduates, retired staff members, selected speeches, photographs of historical events etc. These are kept in the archives.

Records Retention Schedule

Records retention schedule is an established timetable for maintaining the organization's records, transferring semi-active records to records centre and permanently valuable records to the archives, and destroying records which are no longer valuable to the organization. Also referred to as records schedule, transfer schedule or disposal schedule.

Registry

This is a designated place for the receipt, control and maintenance of current records. It also supplies/provides records to the need users, units or offices.

Semi-active/Semi-current records

These are records which are no longer active but are still consulted for administrative or operational purposes or still have some financial or legal values. These records are normally removed from active records storage areas to the Records Centre.

University Archive

This is a designated place in the University where all materials selected as archives (non-current with permanent value) are kept and maintained.

University Registry

This is a designated place in the University where all current records are received, controlled and maintained.

Vital Records

These are highly important records that the organization cannot pursue its functions without such records. Such records include Universities Act, University Charter, University by-laws, licenses, contracts, agreements, various university policies etc.

CHAPTER ONE INTRODUCTION

1.1 Background Information

It is apparent that on account of the University of Dar es Salaam's core undertakings of teaching, research and public service, various records are generated, in both soft and hard forms. This implies that in order to achieve its 2061 vision, which is to become a leading Centre of Intellectual Wealth spearheading the quest for sustainable and inclusive development, the use of large quantities of records is inevitable. In that regard, university records are important administrative, evidential and historical information which form the bases upon which the University's future activities can be planned, implemented and controlled in an effective and efficient manner. Thus, in order to efficiently conduct its business, the creation, storage, retrieval and management of these resources is of crucial importance. The management of institutional records throughout their life-cycle is essential in order to support strategic business objectives of the university and to preserve corporate memory.

Despite the fact that the University of Dar es Salaam was established in the early sixties, it does not have a policy to ensure that records are properly managed throughout their life-cycle. Due to this, it is difficult to locate and retrieve needed records in a timely manner. Lack of such a policy also leads to high storage costs, loss of valuable records, delays in retrieval of needed records and many other inconveniences. Leaving records management activities in the hands of individuals at their own discretion does not provide sound platform for institutional accountability and good business operation. It is therefore necessary that the University establish a Records Management Policy to ensure:

- Effective creation, retrieval and maintenance of current records;
- Security of University vital records;
- Effective retention of records needed to meet administrative and operational requirements;
- Effective achievement of legal requirements as provided in the Records and Archives Management Act, No. 3 of 2002;
- Permanent retention of records of archival value; and
- Regular authorized disposition of obsolete records.

In the light of these importance, the University of Dar es Salaam found it necessary to develop the Records and Archives Management Policy and Operational Procedures in 2003 and Records Management and Waste Papers Disposal Policy in 2011. However, all these draft policies were not approved by the relevant authorities.

Based on the above, on 13th June 2016, the Deputy Vice Chancellor (Administration), appointed a team of five people to develop Records and Archives Management Policy and Operational Procedures for the University of Dar es Salaam. This arose from the challenge that the university is facing, on how to preserve useful records in an appropriate manner, and the absence of a formal

procedure for disposing records that are no longer valuable. Hence, the need for a policy that will guide the management of such records.

The team comprised of the following members:

1. Prof. Jangawe Msuya- Library (Convener),
2. Dr. Esther Sichalwe- Library (Member),
3. Dr. Evaristo E. Longopa - School of Law (Member),
4. Dr. Charles Tarimo- ICT Manager (Member),
5. Mr. Ally Mambele - DIRA (Secretariat).

The team was guided by the following Terms of Reference:

1. Analyze issues of concern with regard to securing, sharing, storage, retrieval and updating University of Dar es Salaam records;
2. Study university policies and regulations that are relevant for the management of records at the university;
3. Study relevant national laws and policies and determine their applicability to records and archives management at UDSM;
4. Identify and assess best practices and standards for records and archives management practices at local and international levels;
5. Consult widely with university members of staff on how best records and archives can be managed;
6. Develop Records and Archives Management Policy and Operational Procedures for UDSM;
7. Consider any other issues that are deemed to be of relevance to this assignment.

1.2 Policy Context and Rationale

Records are a product of organizational activity, created or received during or after completion of the activity itself (Shepherd & Yeo, 2003). However, in most public institutions including government agencies, records are neither properly organized nor considered as strategic resource for improving efficiency, performance and competitive advantage in facilitating good governance. Most government institutions including the University of Dar es Salaam do not have proper records management systems. As a result, records are kept in registries without formalized guidelines. The present practices are such that current records are mixed in unit registries. Records of archival value are supposed to be passed on to the Government Records Management Division (National Archives) for preservation after they become non-current. However, most of these institutions do not comply with the government regulations and hence disposal of records is at the discretion of the officers involved.

According to Shepherd and Yeo (ibid), effective records management programme should basically include the setting up of policies and standards for records management throughout the organization; designing and implementing records management systems; and informing and educating staff about record-keeping. In essence, each organization should have a formal records management policy which states the organization's agreed position with regard to its records. Furthermore, an organization requires a set of basic facilities and tools for it to operate a viable

record-keeping programme. This includes a sound legal and regulatory framework; physical infrastructure and human resources. Thus, it is recommended that records management processes at universities should be formalized through a combination of policies, procedures, infrastructure, tools, training and resources. In addition, it is suggested that the archives of the university should be strategically placed within the university's administrative structure and this should be coupled with the appointment of a trained records manager/archivist and publicizing of the records management programme to the entire university (Mnjama, 2002).

Therefore, Records Management Policy and Operational Procedures at the University of Dar es Salaam is necessary considering the number of challenges that the University has been facing with regards to managing its records. These include lack of university-wide guidelines as to which documents can be created, maintained and disposed. There is also the challenge of space in the area of records management where most documents are piled-up in offices, resulting in adhoc decisions to destroy them for space. Staff expertise is another area where records management staff at the University Registry and units are not adequate and some not professionally well trained. In addition, there is lack of awareness among staff members on issues of records creation, ownership, management, security and disposition. These are some of the issues that necessitated the development of this policy (as detailed in the next chapter, Section 2.4).

CHAPTER TWO

SITUATIONAL ANALYSIS

2.1 University Records Management Policy: Global perspective

Universities worldwide recognize that the efficient management of records is necessary in order to support the core functions and facilitate the overall governance and management of all types of

records produced or acquired by the University in the course of its business activities. Some few examples of Universities with Records Management Policy worldwide include the University of Melbourne - Australia, George Washington University- USA, University of York, University of Sheffield, University of Edinburgh, University of Newcastle, University of Oxford and the University of Aberdeen all in the United Kingdom. In all these universities, the policies focus on security of records, records confidentiality, application of technology in records management, records management responsibilities, retention and disposal schedules, among others.

2.2 Records Management Policy in African Universities

African universities such as Nairobi, Makerere, Namibia and Ghana indicate the existence of University Records Management Policy to provide guidance in the creation and management of authentic, reliable, complete and usable records. For instance, the University of Nairobi emphasizes the need to streamline records management into working processes, and the demands of ISO 9001 and ISO 15489 that makes it imperative to have records management policy framework to address the challenges experienced in the management of records and archives in the University.

At Makerere University, recordkeeping policy provides framework to ensure that the University creates, captures and manages its records in a way that supports efficiency and effectiveness in the performance of University functions. At the University of Namibia, the Records Management policy was established to ensure records of the university are created and maintained in a manner which documents decisions relating to the University's policies, functions, programmes and service delivery. Also, at the University of Ghana, records management policy was established to ensure that records are managed and maintained to support business functions and accountabilities, in accordance with the authorized retention schedules.

2.3 Records Management in Tanzania

Initiatives to effectively manage records and archives started in 1963 when the then President Julius Nyerere issued Circular No. 7 on the management of archives. The Newly independent Tanzania saw the importance of proper records and archives management in order to implement the new roles effectively. Thus, the government established the National Archives of Tanzania in 1964 and subsequently enacted the National Archives Act No.33 of 1965. The National Archives of Tanzania was mandated to safeguard the archives of the United Republic of Tanzania. However, these initiatives focused on records that were seen as important for the preservation of the national history, culture and administrative decisions only. Current and semi current records were left without sufficient legal framework.

In the 1990s, the Government embarked on the Public Service Programme, and records management was identified as one of the areas that had affected public service delivery. Following these initiatives, the Government transferred the National Archives of Tanzania from the Ministry of Education to the President's Office, Public Service Management. The transfer has resulted in establishment of Records and Archives Management Department in 1999. Following this institutional re-arrangement, the Records and Archives Management Act No. 3 of 2002 was

enacted to give the department a new legal mandate to manage public records for their entire life cycle.

According to the Records and Archives Management Act, No. 3 of 2002, public institutions and offices are legally required to manage their records. For example, all records produced by ministries and public institutions like the University of Dar es Salaam are public records. Part III Section 9 of the Act on the responsibility for public records, stipulates that:

“Heads of public offices shall be responsible for creating and maintaining adequate documentation of the functions and activities of their respective public offices through the establishment of good record-keeping practices (RAMA, 2002)”

Part IV section 21 to 22 of the same Act on offences and penalties, states that:

“Any person who removes any public record from public offices without proper authorization or who destroys any public record (and) who willfully mutilates any archival repository... commits an offence and is liable on summary conviction to a fine not exceeding five hundred thousand shillings or imprisonment for twelve months or both, (RAMA, 2002)”

Based on these provisions of the Act, the University of Dar es Salaam as a public institution is legally bound to preserve and manage current, semi-current and archival records.

2.4 Records and Archives Management at the University of Dar es Salaam

In line with the government's efforts to enhance access to university education by many of its citizens, in the past few years, the University of Dar es Salaam's enrolment of students and employment of staff has been growing progressively. This has considerably increased the quantity and quality of records the university needs to have in place. For instance, in 1999 the University of Dar es Salaam embarked on a programme to improve records management systems at the Central Registry and its colleges, schools and departments. This included the recruitment of professionally qualified staff to manage the registries. In addition, the registry clerks and secretaries were encouraged to go for advanced training on records management, and some availed with in-house training on records management practices.

Despite all these efforts, the number of staff managing University records today is still not adequate. Records management staff who have retired for example have not been replaced due to problems in recruiting new ones. In particular, staff at the Central Registry are few and some do not have the necessary professional qualifications. In some colleges/schools/institutes there are no properly established registries as well as registry staff. In such situation, records are managed by secretaries with no professional training in this area.

It has also been established that the organization of records is not properly done. For example, there is no proper and standardized file indexing system. This makes it difficult for the storage and retrieval of records. Retention and disposal of records are done apparently with no uniform guidelines. It is more of personal rather than official decision. Transfer of records has often been

done by dumping the materials in other less-used offices as a quick option in order to create space. Shortage of space has therefore caused damage to records and archives because of excessive piling up and less attention to archival records.

Also, there is lack of properly managed and designated archives for disposal of non-current records. Once records are selected for permanent preservation, they need to be sent to the archives for life-long protection. The situation at UDSM is such that there is no designated facility for archival records such as closed files of retired staff and subject files of enduring value. Instead, the documents are piled up in the Registry and others sent to non-heavily used rooms for storage. This is where the damage occurs as highlighted earlier in Section 1.2.

It was also established that there is general lack of awareness among staff on their record keeping roles and responsibilities in terms of creation, security and disposition of records. For example, it was revealed that some staff members keep official correspondences in their personal lap tops. This poses problems when handing over office to the next officer.

It was also observed that there is a problem of some decisions taking too long to be made because of slow speed in retrieving records. Due to lack of a standardized system of organizing records, there are cases where it has been difficult to retrieve records. Also, there are instances where new files are opened when the current one cannot be traced. In this situation, two parallel files exist, all keeping records of the same nature.

The call for the University of Dar es Salaam Records Management Policy therefore, arises from the need to improve its records management. The University now sees the significance of effective and efficient record-keeping system and preservation of its historical records for future generations.

Based on the above factors, there is need for a university records management policy to:

- Provide guidelines on records keeping practice at the University;
- Establish common standards of records keeping among different organs of the university;
- Facilitate creation of coordinated decentralized record-keeping system which is easily accessible;
- Develop a culture of proper records keeping and maintenance at the University, and
- Outline duties and responsibilities of each University officer in records management.

2.5 Methodology

This work was guided by the following methodological procedures:

2.5.1 Secondary Sources of Information

At its first meeting, the team deliberated the TORs and developed procedures on how the task should be accomplished. These are as follows:

Going through records management policies of various universities to get an insight on issues considered in such policies. These include the universities of: Makerere, Nairobi, Ghana, and Namibia in Africa. Others are Melbourne - Australia, George Washington - USA, and University of York, Sheffield, Edinburgh, Newcastle, Oxford and Aberdeen in the United Kingdom.

The team also studied national documents that were considered relevant to the development of this policy. These are The National Records and Archives Management Policy (2011); Records and Archives Management Act (2002); The Electronic Transactions Act (2015); The National Security Act (1970); The Law of Evidence Act (1971) and Employment and Labour Relations Act (2004). This was intended to ensure that the proposed policy complies with the national laws.

Previous initiatives that have been made by UDSM in developing Records Management Policy were also noted. These are the Records and Archives Management Policy and Operational Procedures (2003) and Records Management and Waste Papers Disposal Policy (2011).

2.5.2 Primary Sources of Information

The team also developed special search tools or questionnaires, each appropriate to the various groups of stakeholders. For effective representation, the following groups were identified:

- Top university management,
- Principals/Deans/ Directors,
- Heads of Departments,
- Senior Administrative Officers,
- Academic Staff,
- Secretaries.

Interviews

The team conducted interviews with a cross-section of staff members from the six identified groups, asking for information on ways in which they manage their records, including their strengths and weaknesses, challenges encountered and recommendations on issues relevant for inclusion in a university-wide records management policy.

Focus Group Discussion

The team also held Focus Group Discussion with the staff at the University Main Registry. This group was selected based on the special position they occupy in managing university records.

Also, an in-depth discussion was held with heads of units managing special types of records. These are The Bursar (Financial Records); Medical Doctor in Charge (Health Records), Estates Manager (Materials management), Library Director (Library Records); DIRA (Personnel Records).

The team could not consult all the expected respondents, since the exercise was conducted during examination period which was a rather busy period. However, the information obtained from those consulted reflected a true representation as the answers given reached a saturation level, where

additional respondents could not give any new information apart from repeating what has already been said by the previous ones.

CHAPTER THREE

POLICY PRINCIPLES, OBJECTIVES AND SCOPE

3.1 Policy Principles

This policy is developed based on the following principles:

- The responsibility for record keeping in a geographically dispersed institution with coordinated decentralized decision-making must be at all levels of the organization;

- Management and supervisory staff in colleges, schools, institutes, departments and centers must ensure that their officers create, capture and maintain records of the functions, processes, activities and transactions they administer or carry out;
- Record keeping standards and procedures must be consistent across all university organs;
- Records must be adequate and appropriate for the purpose for which they are kept so that routine administrative transactions can be properly documented;
- Record keeping standards and procedures must be easily comprehended and implemented by all those who create, maintain and use them;
- Appropriate record keeping system must be established and maintained for records in different formats and compatible hardware and software adopted throughout the University; and
- Mechanisms must be put in place to monitor compliance with the policy.

3.2 Policy Objectives

3.2.1 Main Objective

The main objective of this policy is to provide reliable, effective and efficient Records and Archives Management services for the achievement of University of Dar es Salaam vision, mission, goals and strategies.

3.2.2 Specific Objectives

This policy has the following specific objectives:

- To instill good practices in records management across the University;
- To ensure university vital records are identified and preserved;
- To ensure effective and efficient use of resources in the management and preservation of records;
- To ensure both paper and electronic based records are protected and secured; and
- To ensure obsolete records are properly disposed.

3.3 Scope of the Policy

This policy applies to:

- All departments and administrative units of the University of Dar es Salaam;
- All constituent colleges of the University of Dar es Salaam;
- All records of the university (all recorded information regardless of physical format or characteristics that are generated or received and maintained by the University in

pursuance of its objectives and obligations under the Universities Act (2005) and UDSM Charter (2007) in transacting University business); and

- All university officers and employees who create, receive or maintain records as part of their work on behalf of the University.

3.4 Structure of the Document

Chapter One is the general introduction that gives an overview on records management. Chapter Two presents the situational analysis and Chapter Three outlines policy principles, main and specific objectives as well as scope of the policy. Chapter Four presents policy issues, objectives and policy statements. Chapter Five is on legal and Institutional framework, and finally Chapter Six is on policy implementation, monitoring and evaluation.

CHAPTER FOUR POLICY ISSUES, OBJECTIVES AND STATEMENTS

4.0 Introduction

The University of Dar es Salaam records and archives management policy has been developed in order to set out a framework within which records and archives shall be managed. The policy is developed in accordance with statutory requirements and international standards. The University shall thus, ensure that its records and archival materials created, received and maintained by

university officers in pursuance of their official obligations are properly managed. The following sections focus on the key areas of this policy. Each section consists of a policy issue, objectives and policy statements.

I. CREATION, ACCOUNTABILITY AND OWNERSHIP OF RECORDS

4.1 Issue 1: Creation of University Records

University records are created by members of staff. The records need to be accurate and concise in documenting University activities.

Policy Objectives

- i. To ensure that university staff members create accurate and concise records that fully document the University activities for future reference;
- ii. To ensure that records created are relevant, reliable and authentic to support decision making;
- iii. To ensure that university staff members are fully aware of their obligation to create accurate, relevant and reliable records.

Policy Statements

- i. University staff members shall create accurate and concise records that fully document the University activities for future reference;
- ii. University staff members shall create records that are relevant, reliable and authentic to support decision making;
- iii. The University management (including heads of colleges, schools, institutes and the Library) shall ensure that all members of staff are aware of their obligation of creating accurate, reliable and relevant records.

4.2 Issue 2: Accountability

Members of the staff who create, use or manage university records are supposed to be accountable for the records they create, use or manage in pursuance of their official duties. This is intended to instill a sense of awareness on the social, moral and legal responsibilities of staff members in the whole process of records management at the University.

Policy Objectives

- i. To provide a framework of responsibilities so that members of staff who create, use or manage records are accountable for complying with appropriate records management standards and practices during the performance of their duties;
- ii. To foster a culture within which records of potential institutional significance are valued and safeguarded as part of the University memory.

Policy Statements

- i. All employees will be accountable for the records they create, use or manage, or under their control or custody;
- ii. All employees at their different capacities, will be responsible for implementing this policy and serve as champions of records management;
- iii. The Records Manager in collaboration with heads of departments, schools, colleges and institutes shall coordinate records management activities in their respective units and oversee compliance with records management policy and procedures.

4.3 Issue 3: Ownership of University Records

University records are created by university staff members in pursuance of their official duties, or received from individuals and other organizations. These records are owned by the University and shall be subjected to the provisions set out in this policy.

Policy Objective

To ensure that records created by university staff members in their capacity as employees of the University or received from various individuals and organizations remain the sole property of the University.

Policy Statements

- i. All records created by university employees in the implementation of their official duties or received from individuals and other organizations are properties of the university, and shall therefore, be part of the university assets;
- ii. Members of staff shall hand over university records to their respective heads as they create them, and ensure they do not leave with such records upon retirement or termination from university employment.

II. TYPES OF RECORDS

4.4 Issue 4: Administrative Records

Administrative records include personnel records as well as subject files. Proper management of these records is necessary to ensure that actions requiring personnel records are quickly implemented. Loss or delays in tracing administrative records can cause delays in decision making.

Policy Objectives

- i. To ensure that personnel and subject records are properly managed for safety and quick access to authorized officers;
- ii. To ensure that the records are managed in electronic format for accuracy and quick retrieval of information.

Policy Statements

- i. Administrative records shall be kept in both print and electronic formats during the transition period to electronic format;
- ii. Colleges, Schools, Institutes and the Library shall manage their administrative files comprised of personnel and subject files;
- iii. Administrative records at the University level shall be kept and managed at the University Central Registry.

4.5 Issue 5: Student Records

Student records include personal information, copies of certificates, correspondences, examination results and many others. These are collected right from the day the student is admitted to the University until graduation. The records need to be properly managed for safety and easy retrieval.

Policy Objectives

- i. To ensure that student records are properly managed for safety and easy access to authorized persons only;
- ii. To avoid duplication of keeping and maintaining student records;
- iii. To achieve total conversion of student records to electronic format.

Policy Statements

- i. Student records shall be kept and managed at their respective Schools/Colleges/Institutes (See Schools/Colleges/Institutes 4.17);
- ii. Student records shall be kept in both print and electronic format for effective management during the transition period to total electronic system;
- iii. Using electronic records keeping system, student records shall be linked and accessed to other relevant officers such as the Bursar, Examinations, DUS, and DPGS;
- iv. Only authorized persons shall have access to student records.

4.6 Issue 6: Vital Records and Records of Enduring Value

Vital records are records that are highly important, and any institution or organization cannot operate without such records. In a university setting for example, these include Universities Act, University Charter, licenses and official agreements or contracts.

Records of Enduring value are those with permanent value. They need to be well maintained for legal, historical and administrative value. Such records include list of graduates, retired staff members, selected speeches, photographs of historical events etc.

Both Vital records and Records of Enduring value have to be protected against loss through fire, flood, theft or technical failure. They need to be identified, recorded and properly secured.

Policy Objectives

- i. To ensure that Vital records and records of enduring value (lifelong records) are identified, recorded and preserved;
- ii. To protect Vital records and Records of Enduring value for continuity of key services and operations of the University;
- iii. To convert vital records and records of enduring value to electronic format for easy storage, retrieval and safety.

Policy Statements

- i. Vital records shall be converted to electronic format and copies kept at the National Data Centre which offers proper environmental conditions for storage, safety and security; and also not subjected to any natural disaster. This is intended to ensure recovery in case of unexpected emergency at the university;
- ii. Original copies of Vital Records shall be kept at a well secured place within the University Administration, that enables the records to be accessed in case of any natural disaster;
- iii. The Corporate Counsel and Secretary to Council shall ensure that all Vital Records are well managed in accordance with the provisions set in this policy.
- iv. Deans and Directors of Colleges/schools/institutes and the Library shall identify their vital records and submit them to the Corporate Counsel and Secretary to Council for permanent preservation;
- v. Records of Enduring Value shall be identified and maintained at the University Archives.

4.7 Issue 7: Confidential Records

The university receives and creates many confidential records with sensitive information mostly in the forms of official correspondences. These need to be protected from being accessed by unauthorized persons.

Policy Objective

To ensure that confidential records are handled by authorized persons only.

Policy Statements

- i. All confidential correspondences shall be handled by Vetted Secretaries and responsible officers only;
- ii. No unauthorized person shall have access to confidential records;
- iii. Confidential records in electronic format shall be communicated and opened using security measures such as user names and pass words.

4.8 Issue 8: University Examinations

University examinations include question papers and answer books. These are produced in mass at the end of each semester, causing storage problems. It is also difficult to trace the scripts when

needed. Permanent destruction has been reluctantly done due to varied opinions on exactly when should such records be destroyed.

Policy Objectives

- i. To ensure proper and uniform mechanism for managing and disposing university examinations;
- ii. To relieve storage space and reduce congestion in offices by disposing examinations that are ready for disposition;
- iii. To facilitate easy access to selected/required examination answer books.

Policy Statements

- i. Examination papers and answer books can be destroyed after 13 months following final decision of the Senate on the examination concerned;
- ii. The disposal mechanism shall be through shredding and recycling at a price to generate income for the University, just like other university documents;
- iii. Heads of Departments shall initiate disposal of university examinations, and maintain adequate records of actions affecting the examinations;
- iv. The University Library shall keep and maintain all answer books selected by departments for archival purposes;
- v. The Vice Chancellor on recommendations from the DVC - Academic shall be responsible to order final disposition of any batch of examination answer books.

4.9 Issue 9: The University Archives

When records complete semi-active stage, and still considered to be important, they enter the Archival stage where they are supposed to be kept in the Archives. So far, the university does not have an archive per se, where all archival materials are preserved.

Policy Objective

To ensure establishment of University Archives where all archival materials shall be organized and maintained.

Policy Statements

- i. There shall be a well designated facility, developed for the University Archives;
- ii. Records selected for permanent preservation shall be transferred to the University Archives where they will be organized and kept for legal, administrative, research or historical value;
- iii. Records to be archived in electronic copy shall include student records, personnel records and any other materials determined appropriate for electronic preservation;

- iv. The archival materials shall be properly organized to facilitate storage and retrieval;
- v. There shall be a professionally trained person responsible for the day to day management of University archives (University Archivist) who will be answerable to the Records Manager;
- vi. The Records Manager shall be overall in-charge of archives management at the University.

III. ORGANIZATION OF RECORDS

4.10 Issue 10: Registration, Classification and Indexing Records

Proper registration, indexing and classification of records facilitate the process of retrieving records. Records need to be well organized for easy retrieval and access.

Policy Objectives

- i. To register all records captured in record keeping system so that their existence and key information is documented;
- ii. To classify and index records according to pre-determined rules and procedures.

Policy Statements

- i. The Records Manager shall ensure records registration, classification and indexing, and that they are managed and controlled by appropriate officers for their effectiveness, accuracy and sustainability;
- ii. University officers shall ensure that records are assigned identifiers and other key details to facilitate identification for easy tracing.

4.11 Issue 11: Application of ICT in Records Management

There is high proliferation of records received and generated by the University staff in the course of implementing their official duties. This makes it difficult to manage the records manually; hence the need for applying Information Technology in records management.

Policy Objectives

- i. To ensure the application of Information and Communication Technologies in managing university records and archives;
- ii. To facilitate fast and accurate retrieval of records;
- iii. To facilitate the transition from manual to electronic records management system;
- iv. To protect the environment by reducing the overwhelming usage of papers in creation and maintenance of records;
- v. To reduce staff shortage in managing registries.

Policy Statements

- i. The University Management shall encourage and oversee the smooth transfer of records management practices from manual to electronic systems;
- ii. The University ICT Manager in collaboration with the University Computing Centre shall assist the Records Manager in developing appropriate systems to computerize University records;
- iii. The transition from paper based records to electronic records shall be embraced and hastened. As such, the university shall put more efforts to manage its records in electronic format, eg ARIS, FMIS, LIBIS, OPRAS, Online Recruitment System etc.
- iv. All students and personnel records shall be kept in electronic format. During the transition period, both print and electronic versions shall be maintained.

4. 12 Issue 12: Retention and Disposition of Records and Archives

Records retention and disposition schedule is an important tool which shows the period after which each category of records shall be retained or disposed. The tool is intended to facilitate provision of space for new records.

Policy Objectives

- i. To ensure preservation of records of enduring value (lifelong) to the university;
- ii. To timely dispose records that are no longer required for operational purposes;
- iii. To ensure appropriate permanent destruction of records of no use value.

Policy Statements

- i. The University shall use its Records Retention and Disposition schedule which has been developed based on the laws and policies of the country (Refer Appendix 1 attached herewith); to make decisions on disposition of records;
- ii. The University Records Retention and Disposition Schedule shall provide guidance on when various types of records shall be disposed;
- iii. All university colleges/ schools/ institutes and the Library shall comply with records retention periods and disposition actions.

IV. SECURITY OF RECORDS

4.13 Issue 13: Security and Protection of Records and Archives

Records need to be protected from all types of environmental and natural hazards. They also need to be protected from being accessed by unauthorized persons. Currently, some records are not properly secured due to lack of storage space, protective facilities and awareness.

Policy Objectives

- i. To ensure that records are accessed by authorized persons only, and protected from unauthorized persons;
- ii. To ensure that records and archives are secured from all types of environmental and natural hazards;
- iii. To ensure that records and archives are stored in well secured places to protect them from loss, damage, mutilations or any alterations;
- iv. To ensure that national laws related to security of information are observed by University officers.

Policy Statements

- i. The university shall provide adequate storage space, supplies, equipment and other resources necessary to ensure the safekeeping of records and archives;
- ii. Records storage facilities such as buildings, computer rooms, and offices shall be capable of protecting records against hazards such as fire, flood, weather and other similar risks. These shall be fully air conditioned and fitted with fire detectors;
- iii. All members of the staff responsible for managing records and archives shall ensure that records are protected from unauthorized access. There shall be no removal, destruction or mutilation of any university records without proper authorization;
- iv. The University shall ensure that access to its records is consistent with legislative requirements, such as those prescribed in the National Security Act (1970) and Records and Archives Management Act (2002) as well as any legally enforceable rights of access;
- v. The Registry Manager in consultation with the DVC Administration shall be consulted in case of requests to access university records or archives;
- vi. University ICT Manager in collaboration with ICT personnel in the units shall ensure that all university computers are fitted with anti-virus devices to protect records from damage or total loss. The computers shall also be protected through usernames and passwords to avoid unauthorized access.

4.14 Issue 14: Use of Records Tracking System

Tracking records is a security measure to trace the location of a record when not at the registry. Any access to a record needs to be captured by the records management system whether manual or electronic to determine who has the record at that particular time. Sometimes decisions are delayed due to problems associated with tracking records.

Policy Objectives

- i. To ensure that when a record is used or accessed, this event is captured by the records tracking system;
- ii. To track where the record is at any particular time;

- iii. To ensure that all who have accessed and used records are appropriately recorded so that full and accurate history of access and usage can be provided;
- iv. To avoid loss or problems in tracing records.

Policy Statements

- i. There shall be a system to be used in tracking records and monitoring usage and movement of records;
- ii. Action officers and registry staff shall abide by records tracking system, ensuring that all usages are traceable;
- iii. Electronic records shall be protected with computerized tracking system to indicate where the record is at any particular time.

4.15 Issue 15: Physical Destruction of Records

Records may require additional security measures during the destruction process. This includes how the records are transferred to the destruction site, who are involved during the destruction process and who undertakes the destruction.

Policy Objectives

- i. To ensure safe and strategic means of destroying unwanted records;
- ii. To protect the environment by applying proper means of destroying unwanted records;
- iii. To realize effective means of destroying unwanted records.

Policy Statements

- i. All records earmarked for destruction shall be collected and verified by the relevant Records Management Committees (college/school...) for their appropriateness for final destruction; (See Appendix 1 for Initiators of the process)
- ii. The disposition mechanism for paper-based records shall be through shredding, and the materials sold to a buyer approved by the university for recycling;
- iii. The university heavy duty shredding machine (to be acquired) shall be used for centralized shredding;
- iv. The shredding process shall be supervised by Records Manager to ensure that it is properly done.
- v. Electronic records such as e mail correspondences, reports, files served on computer hard drives, USBs and floppies shall be deleted.

V. THE UNIVERSITY REGISTRIES

4.16 Issue 16: The University Main Registry (Records Centre)

University Main Registry (Records Centre) keeps active and semi-active records including personnel and subject files at university level. This facility is managed by the University Records Manager, who is also in charge of all other mini registries.

Policy Objectives

- i. To have a Main Registry that is responsible for the organization and storage of personnel and subject records;
- ii. To establish a professionally managed facility for managing university level records;
- iii. To facilitate the overall management and retrieval of active and semi-active records;
- iv. To establish the position of Records Manager who will be overall in-charge of the management of records and archives. This post is for a highly trained professional person, based on the types and complexities of records and archives maintained at the university.

Policy Statements

- i. There shall be a University Registry where all active and semi active university level records shall be managed;
- ii. The University shall ensure that the Registry has enough human resources and physical facilities to provide sufficient and appropriate storage facility for current and semi-current records;
- iii. All semi current records classified as archives shall be removed from the Registry to the University Archive;
- iv. There shall be a Records Manager who will be in-charge of all University Registries. Functions of the Records Manager are as outlined in the Institutional Framework, (Section 5.2.9).

4.17 Issue 17: College/School/Institute/Library Registries

Records at College/School/Institute/Library level should be maintained at their respective units. This is intended to reduce congestion at the University Registry.

Policy Objective

- i. To establish mini registries for records keeping at College/School/Institute/ Library levels so as to reduce congestion at the University main registry;
- ii. To facilitate the management of records at College/School/Institute/ Library levels.

Policy Statements

- i. College/School/Institute/ Library shall maintain all records created and received in their areas in accordance with University requirements. Such records shall include open and confidential files for staff members as well as subject files;
- ii. All student records shall be kept and maintained at College/ school/Institute levels only. This is intended to avoid duplication of records keeping; (See also Student Records 4.5).
- iii. The units shall have professionally trained personnel who will liaise with the Records Manager to facilitate the management of records according to the approved retention schedules;
- iv. The Unit Registries staff will act as coordinators for records retrieved from or transferred to the University Main Registry.

CHAPTER FIVE

LEGAL AND INSTITUTIONAL FRAMEWORK FOR RECORDS AND ARCHIVES MANAGEMENT

5.1 Legal Framework

For proper implementation, operation and management of all University records and archives, this policy shall take into account all legal requirements on the various laws including the Records and Archives Management Act, No.3 of 2002. This Act provides for responsibilities of heads of public organizations in creation and maintenance of records; and prohibits removal, destruction or mutilation of any public records from office without proper authorization. It also recognizes electronic records in the definition of records. This policy shall comply with these requirements in order to ensure proper management, maintenance and retention of public records at the University.

There are other laws relevant to records that apply to all public offices including the National Security Act, 1970 (Cap 47 R.E. 2002), Law of Limitation Act, 1971(Cap 89 R.E. 2002) and Evidence Act, 1967 (Cap 6, R.E. 2002). In addition, there are enabling legislative instruments that

apply to specific ministries or functions, for example law relating to land administration which requires the creation and maintenance of particular kinds of records. These shall be observed by all university officers.

The National Security Act, 1970 predates the use of computers and electronic mail for the conduct of government business. It defines classified matter as any information declared or classified by an authorized officer. Communicating classified matter to an unauthorized person is an offence under the National Security Act and it is no defense for a person accused of this offence to prove that he/she did not know that the matter was classified. Any person who retains an official document, whether or not completed or issued for use, when he/she has no right or duty to do so, or who fails to comply with any lawful directions with regard to the document's return or disposal, or who allows any other person to have possession of an official document issued for his/her use alone, is also guilty of an offence.

The security of electronic records needs to be governed by a different set of requirements and the National Security Act will need to be reviewed and, if necessary, updated to make sure it is relevant to the custody, storage, issue and disposal of confidential records in electronic form. The University should ensure that staff are aware of the requirements of the National Security Act and that official records, particularly those classified as confidential, are managed accordingly.

The Law of Limitation Act, 1971 gives time limits on legal actions in certain cases. The period of limitation may differ depending on the action. An action relating to business or financial accounting is limited to six years after the transaction or event that gave rise to the cause of action. It is the responsibility of the university to ensure that records are retained to meet the requirements of the Law of Limitation Act so that, if an intervention is required within the time limit, the original records can be provided for evidence.

Records Retention and Disposal Schedules should take into account the requirements of the Law of Limitation Act so that records are preserved for as long as the time limit. The normal retention period for original financial records such as payment warrants is seven years (i.e the current year plus six years to allow) as imposed by the Law of Limitation). However, financial records will need to be kept for a longer period if accounts have not been audited during the limitation period.

Moreover, the Employment and Labour Relations Act, 2004 (Cap 366 R.E. 2002) requires the employer to mandatorily retain the records relating to any employee who ceases to work for that employer for five years after termination of employment. The records required are those relating to particulars of the employees contract of service including permanent address of the employee, place of recruitment, job description, date of commencement of employment, place of work, hours of work, remuneration, and other related records. The University shall comply with such legal requirements in order to ensure compliance to the law by retaining the employment records for the prescribed period.

The Electronic Transactions Act, 2015 adds to the list of the statutes which have bearing to records and archival management in Tanzania. Coverage of this law includes recognition of electronic records, electronic form of documents, electronic signatures and acknowledges that where the law

require a written record to be kept then electronic records may suffice for purposes of ensuring safe custody and accurate records keeping. The University of Dar es Salaam Records and Archives Management Policy shall take into account the electronic record keeping which saves more space and ensures accurate record keeping.

5.2 Institutional Framework

To maintain a sound records management system, it is necessary to enlist the cooperation of critical staff. Record-keeping is a shared responsibility between records creators, records management officers and university leadership and management. It involves different stakeholders as follows:

5.2.1 The Vice Chancellor

The Vice Chancellor has the general responsibility for ensuring that appropriate policies are in place to ensure compliance with best recordkeeping practices, standards and legislative requirements.

5.2.2 The Deputy Vice Chancellor (Academic)

The DVC (Academic) has the responsibilities of overseeing all records associated with academic matters are properly managed and disposed according to the University Retention and Disposition Schedule.

5.2.3 The Deputy Vice Chancellor (Administration)

The DVC (Administration) has the responsibility of overseeing the implementation of record keeping practices, standards and legislative requirements, through provision of required human and financial resources. He/she will also be the Chairperson of the University Records Management Committee.

5.2.4 The Deputy Vice Chancellor (Research)

The DVC (Research) has the responsibilities of overseeing that all records associated with research matters such as research reports are properly managed.

5.2.5 The Corporate Counsel and Secretary to Council

The Corporate Counsel and Secretary to Council shall ensure that Vital Records are well managed in accordance with the provisions set in this policy.

5.2.6 Director for Human Resources and Administration

The Director for Human Resource Management and Administration in consultation with Records Manager will oversee the execution of Records Management Programmes of the University. More specifically, he/she will also be in-charge of Personnel Records.

5.2.7 The University Bursar

The University Bursar will be responsible for the overall management of all Financial Records at the entire Bursar's Office as well as at the Units.

5.2.8 Heads of Departments, Schools/ Colleges/ Institutes/ the Library/ Administrative Departments/ Sections

Heads of Units have the responsibilities of ensuring that employees in their departments create and keep records as an integral part of their work and in accordance with this policy. They are overall in charge of the safety and security of records at their units. Their responsibilities shall include the following:

- Ensuring adequate controls to secure records;
- Ensuring that records within their responsibility are maintained;
- Authorizing access for individuals to records systems within their responsibility;
- Ensuring that a contingency plan, including appropriate data back-up systems and recovery systems, are being used within their units;
- Ensuring that breaches of this policy occurring within their units are resolved and, or referred to the wider University records management system, as appropriate;
- Ensuring that technical staff within the respective units are aware of and adhere to this policy, and that they support University standards in the design, installation, maintenance, training and use of administrative records; and
- Taking immediate and appropriate action when they become aware of violations of this policy or its procedures.

5.2.9 Records Manager

The University shall appoint a competent Records Manager with advanced professional training in Records and Archives Management. The Records Manager shall be responsible for the overall day to day development and maintenance of records and archives in the University Registry. All staff responsible for managing records at the Colleges/Schools... shall be answerable to the Records Manager. He/she will also be in-charge of the University Archives.

The Records Manager will be answerable to the Director of Human Resources and Administration. His/ Her responsibilities shall include:

- Maintaining the University-wide register of general files;
- Overseeing the updating of the University-wide Records Retention and Disposition schedule;
- Maintaining the thesaurus of approved keywords and descriptors used in the titling of official files;
- Assigning security access levels to users of University records;
- Recommending changes to the University's policy on records to the University authorities;

- Preparing and updating as necessary, procedures manual and user guides for registry clerks and other users; and
- Ensuring that Heads of Units incorporate records management programme into their strategic plans.

5.2.10 Deputy Records Manager

The University shall appoint a competent Deputy Records Manager who will be answerable to Records Manager. The Deputy Records Manager shall be charged with the following responsibilities:

- Providing on the job training and development opportunities to records management staff across the University;
- Ensuring that continuous improvement of record-keeping system is undertaken within the guidance of this policy and that best standard practices are identified through independent analysis;
- Ensuring that disposal schedules are implemented and coordinating the transfer of vital records to the Archives;
- Ensuring that no records are destroyed without following proper procedures as outlined in the University Records Management Policy.

5.2.11 Employees of the University

University employees shall be responsible for creating full and accurate records in the course of their official duties, handling records with care, as well as preventing unauthorized access.

5.3 Organizational Structure

The organizational structure includes Records and Archives Management Unit and Records Management Advisory Committee at university level as well as Records Management Advisory Committees in Colleges/Schools/Institutes and the Library.

5.3.1 Records and Archives Management Unit

The Records and Archives Management Unit shall be headed by the Records Manager who will be answerable to the DVC Administration through the Director Human Resources and Administration. The Deputy Records Manager will assist the Records Manager in the day to day operations of the Unit. There shall be a Systems Administrator for Records and Archives Management Programme who will be also answerable to the Records Manager.

5.3.2 University Records Management Advisory Committee

At the University level, there shall be eight-person Records Management Advisory Committee consisting of the following:

1. DVC Administration - Chairperson;
2. Corporate Counsel and Secretary to Council;

3. Director of Human Resources Management and Administration;
4. Director of Research;
5. Director of Postgraduate Studies;
6. Director of Undergraduate Studies;
7. Director of Library Services;
8. ICT Manager; and
9. Records Manager (Secretary to the Committee).

The committee shall be appointed by the DVC (Administration), and its functions shall include the following:

- To advise the University on how to create awareness on records management culture so that it becomes an integral part of the institution as a whole;
- To recommend amendments to the records retention scheme as experience will suggest;
- To ensure that records that are vital to the overall operations of the university are identified and preserved;
- To ensure that the records management procedures are within the requirements of the national legal framework and are up to standard;
- To advise the university on any other matters pertaining to records management at the University.

5.3.3 Records Management Advisory Committees in Colleges/Schools/Institutes and the Library

These are advisory committees on records and archives management issues such as creation, retention, disposition of records that need joint consultation. Research and Publications Committees in Units shall discuss matters pertaining to records and archives management.

Administrative Units such as University Health Centre, the Estates, Central Administration, Dean of Students etc. shall establish their own Records and Archives Management Committees.

CHAPTER SIX

POLICY IMPLEMENTATION, MONITORING AND EVALUATION

6.1 Operational Procedures

Records management has many facets that require not only policy statements but also clearly laid down operational procedures. These operational procedures are subject to change in line with changes in the immediate operational environment. Elements for consideration in the implementation of this policy shall include the following:

- Appointment of a qualified Records Manager and his Deputy, and University Archivist;
- Recruitment of additional staff for University Registry and for Colleges/ schools/ institutes and Library registries;
- Application of records retention and disposition schedule as proposed in Appendix 1 of this policy;
- Provision of assistance in the development of registries and their management for Colleges/Schools/Institutes and the Library;
- Establishment of Records and Archives Management Committees in Colleges/Schools/Institutes and the Library;

- In house training on records and archives management, (particularly in automation of records and archives) to records management staff;
- Automation of university records management systems;
- Establishment of University Archives for managing archival materials;
- Acquisition of heavy duty University-wide shredding machine for the disposition of unwanted paper-based records;
- The uniform use of a standard classification system for records retained throughout the university; and
- Provision of records management requirements (rooms, furniture, air-conditioning, fire detectors) for records storage for the Main Registry, Colleges/ Schools/ Institutes and the Library.

6.2 Records Retention and Disposition Schedules

The University of Dar es Salaam Records Retention and Disposition Schedules has been developed in accordance with legal requirements such as the Law of Limitation Act, 1971 (Cap 89 R.E. 2002), the existing University records retention schedules e.g. in examinations, and the survey conducted in the process of developing this policy. The schedule takes into account various categories of records with different retention periods depending on the nature and importance of the records. (See Appendix 1 attached).

6.3 Monitoring and Evaluation

The Records Manager in consultation with the University Records Management Advisory Committee shall be responsible for overseeing the implementation of record-keeping practices, monitoring and evaluation of the policy.

This policy shall be reviewed from time to time in order to ensure that it complies with the changing national and international operational procedures, including technological advancement like electronic records keeping and national legal and policy frameworks. The review shall be done on regular basis depending on the need to accommodate the prevailing situation in the field of Records and Archives Management.

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APPENDIX 1: RECORDS RETENTION AND DISPOSITION SCHEDULES

No.	Records Category	Disposal Period	Initiator of the Process/ UDSM Officer in-charge	Final Approval
1.	University Examinations -Univ. exam. scripts, -Question papers	13 months following final decision of the Senate	Heads of Departments	Vice Chancellor
2.	Administrative Records -Subject files	5 years and transferred to the Records Centre for appraisal	Principals/Deans/ Directors for College/school/Institute records/ Heads of Administrative Units	DVC Administration

3.	Personnel Records -Personnel Files,	5 years after termination of employment/deceased; and then transferred to the archives for permanent preservation	Director Human Resources and Administration	DVC Administration
4.	Student Records -Copies of Student certificates, -Student awards, -general Correspondences.	Permanent Preservation	Principals/Deans and Directors of Colleges/schools and institutes	-
5.	Vital Records -University Act -University Charter -Licenses, -By laws	Permanent Preservation	Vice Chancellor	-
6.	Records of Enduring Value: -Contracts; -Agreements -MoUs; - -Land records and leases - University Policies etc	Permanent Preservation	DVC Administration	-
7.	Medical Records (i) Staff Medical Records (ii) Students Medical Records	5 years after the death of a staff member or retirement 2 years after the graduation of a student	Medical Doctor In-Charge of the University Health Centre "	DVC Administration
8.	Research Reports	Permanent Preservation	Director of Research	-
9.	Library Records -Book record cards	10 years after conversion into electronic records	Director of the Library "	DVC Academic

	-Book acquisition records	As in Procurement records		
10..	Financial Records -Payment Vouchers, -Receipts	10 years after the transaction. Longer period may be needed if the accounts have not been audited.	Deputy Director Finance (University Bursar)	Vice Chancellor
12.	Procurement records and university asserts records	5 years and then transferred to the Records Centre for appraisal	Procurement Manager	DVC Administration
13	Estates Records (i) Records of university buildings, maps, (ii) Day to day operations of the Estate (Administrative records)	Permanent preservation. 5 years and then transferred to the Records Centre for appraisal.	Estates Manger Estates manager	DVC Administration