KILIMANJARO CHRISTIAN MEDICAL UNIVERSITY COLLEGE
(A Constituent College of Tumaini University Makumira)

RECORDS AND ARCHIVES POLICY AND PROCEDURES

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Abbreviations

CGB	College Governing Board
DHRMA	Director of Human Resources Management and Administration
DPA	Deputy Provost for Administration
DRC	Directorate of Research and Consultancy
GSHC	Gender and Sexual Harassment Committee
HRSAC	Human Resource and Students Affairs Committee
KCMUCo	Kilimanjaro Christian Medical University College
PMU	Procurement Management Unit
TCU	Tanzania Commission for Universities
TUMA	Tumaini University Makumira

FOREWORD

I am honoured to present the Records and Archives Policy and Procedures of Kilimanjaro Christian Medical University College (KCMUCo). I recognize the critical importance of effective records and archives management in supporting the mission and goals of the College.

Records and archives are vital assets that document the history, activities, and achievements of an institution in our case the College. They provide evidence of academic, administrative, and research undertakings, and serve as valuable resources for the future. To this end it is imperative that the College has established clear policy and procedures/guidelines to ensure the proper management, retention, and disposal of records and archives.

This policy and accompanying procedures outline the responsibilities, processes, and best practices for the creation, classification, organization, access, security, retention, disposal, and preservation of records and archives at KCMUCo. It also emphasizes the importance of training and awareness programs to equip our staff members with the necessary knowledge and skills to effectively manage records and archives.

Compliance with this policy and procedures is essential to ensure the integrity, reliability, and accessibility of our records and archives. It is our collective responsibility to adhere to these guidelines and contribute to the successful implementation of this policy. By doing so, we can enhance transparency, accountability, and efficiency in our daily operations and decision-making processes.

I would like to express my gratitude to the Records and Archives Manager and the team involved in the development of this policy and procedures. Their expertise, dedication, and commitment have been instrumental in creating a comprehensive framework that aligns with international standards and best practices.

I encourage all members of the KCMUCo community to familiarize themselves with this policy and procedures and actively participate in its implementation. Together, we can safeguard our institutional memory, promote effective records and archives management, and contribute to the academic excellence and reputation of KCMUCo.

Prof. Ephata E. Kaaya
PROVOST

TABLE OF CONTENTS

1.0 INTRODUCTION

1.1 Background

The Kilimanjaro Christian Medical University College (KCMUCo) Records Management Policy and Procedures provides a guideline to ensure that all the College's legal and operational records keeping obligations are identified and met. The College has a firm commitment to creating, managing, and ensuring the integrity of records and archives in their whole life cycle. The Policy and procedures ensure that both students and staff have the right to safe learning, working, and living conditions. The security of records and archives might be in danger if the College is not subjected to Records Management policy and Procedures.

Records and archives are a valuable business asset and the lifeblood of any organization. Records and archives form the basis for legal evidence in the case of disputes. They are the means for proving or disproving claims or complaints (IRMT 2009). Records and Archives provide platform to access information about the past by researchers, scholars, students, journalists, lawyers, and others who want to know about people, places, and events in the past (Aku, Makun and Makun, 2019). Without an organized records and archives management framework there is a deficit in information access created, preserved, and disposed. Such deficit contributes to inadequate and improper decision making within organizational and national establishments.

Records and archives should be treated with the utmost concern as the keyways organizations are held accountable for their actions. Understanding how to manage records, requires understanding the legal context in which records can and should be created and managed. Governments use legislation to ensure that their records and archives are appropriately managed and preserved over time for accountability and historical reasons. The Policy has a direct impact on the ways in which organisations and individuals carry out their daily affairs. It affects the way in which people create and use records.

A good records management framework consists of information-related laws, policies and programmes, records management standards and practices, and the necessary qualified human resources to implement and manage the systems (Makwae, 2021). The legal and policy frameworks ensure a strategic approach to building capacity to capture, process, store, use, conserve, and preservation of records for national heritage.

The Government of Tanzania is not silent on records management as the security of records and archives is enshrined in the National Records and Archives Management Policy of 2011 which ensure putting in place records and archives

management systems and guidelines to support adherence to standards and best practices. Besides, the Policy ensures accountability and compliance to records and archives management. Therefore, Records and archives management are well translated into practice in Tanzania's several legislations, policies, programmes. Therefore, records should be treated with the utmost concern as the key ways organizations are held accountable for their actions.

Without an organized records and archives management framework there is a deficit in information access created, preserved, and disposed. Such deficit contributes to inadequate and improper decision making within organizational and national establishments. The Policy has a direct impact on the ways in which organisations and individuals carry out their daily affairs. It affects the way in which people create and use records. KCMUCo, therefore, demonstrates the importance of records and archives through this Records and Archives Policy and procedures.

1.2 KCMUCo Records and Archives Management Situational analysis

KCMUCo has been considering security of records and archives in its operational activities. However, historical, economic, and traditional reasons might have limited the desire to achieve the intended records and archives management. The fact that there is no any Records and Archives Policy or framework that guide the management of records and securities at KCMUCo.

Currently, KCMUCo manage and secure records through alphanumeric system which is improper in the management of records and archives as it might lead to losing files or storing them incorrectly. Therefore, KCMUCo has never been immune to the challenges that emanate from records and archives management and procedures in its course of operations. Experiences show that there are reported incidences to the relevant College's authorities including loss of files, documents and misfiling, misplacement of files, leakage of information, and access of information to unauthorized personnel. This situation, led to the formulation of the Records Management Policy and Procedures which is the first document to address issues related to records and archives management and procedures. This is to avert the challenge regarding records and archives management, preservation, and conservation necessary to be anchored in with effective policy framework hence promulgation of this Records and Archives Policy and Procedures.

1.3 Purpose of the Policy

This policy is expected to provide a framework to establish accountability and ensure that records and archives keeping practices comply with legal and regulatory requirements. It aims at ensuring that the College's records and

archives are secure, complete, and accurate, and that only necessary records and archives are retained to provide evidence of its operations.

1.4 Scope of the Policy

This policy applies to all formats of records and archives including electronic and physical records and archives created or received during execution of all institutional activities within KCMUCo. The Policy also applies to all employees, students, adjuncts, staff, volunteers, trainees, people on work placements, independent consultants, and contractors, who manage, view, or create records and archives.

1.5 Related Policies

This policy will be implemented closely with:

(i)   Records and Archives Retention and Classification Schedule
(ii)   Records and Archives Disposition Procedures
(iii)   Library Policy and Procedures
(iv)   Tanzania Records and Archives Management Act, 2002
(v)   Tanzania Access to Information Act, 2016
(vi)   E-government Act No. 10 of 2019 and its Regulations
(vii)   And any other related documents.

1.6 Policy Objectives

The objective of the Records and Archives Policy and Procedures is to ensure that KCMUCo attains integrity, confidentiality and availability of records and archives. The specific objectives of this policy are to:

(i)   support continuity and consistency in management and administration of records and archives to enhance access, retrieval, use and services;
(ii)   create and capture authentic and reliable records and archives to demonstrate evidence, accountability and information about its decisions and activities.
(iii)   keep track of records and archives to have a clear plan for their retention and disposal;
(iv)   ensure records and archives are created, maintained, and disposed in a consistent and efficient manner.
(v)   ensure records and archives are preserved and protected from unauthorized access, use, or destruction for the history of the College.
(vi)   ensure the College complies with applicable laws and regulations of records and archives management.
(vii)   identify and preserve securely the vital records and archives deemed worthy of permanent preservation and;
(viii)   improve the efficiency and effectiveness of College operations.

1.7   Definition of Key Terms

For this Policy the following definitions apply:

Active Records: Records regularly used for the conduct of current business by the College and maintained in offices of creation or receipt.

Archival Management: The functions of selecting, appraisal, and acquisition; arrangement and description; reference services and access; preservation and protection; and outreach, advocacy, and promotion in respect of archival materials.

Archival Record: A record that has been appraised as having continuing historical value, either for business or research and is selected for permanent retention, following its business life cycle.

Archival Repository: a building or part of building in which archives are preserved and made available for consultations.

Continuing Value: Records that contain information that is of administrative, legal, fiscal, evidential, or historical value to the College.

Classification Scheme: Systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system.

Disposal authority: refers to the approved College policies for the retention and disposal of records or information.

Disposal of Records: A final administrative action taken by the College, regarding records including destruction, transfer to another entity, or permanent preservation.

Disposal Schedule: A records disposal schedule sets out the minimum amount of time specific types of records must be kept.

Ephemeral/Transitory Record: refers to a record of little or no continuing value to the College such as drafts and duplicates and only need to be kept for a limited or short period of time, such as a few hours or few days.

Inactive Records: Records which are no longer frequently referred to in the originating department of the College but are retained for established periods of time because of continuing administrative, legal, or other values.

Indexing: refers to the process of establishing access points to enable retrieval of records or information.

Non-current records: These are records which are rarely needed by the office of origin to conduct current business.

Official Record: A record made or received by the College in the conduct of its business, but excluding ephemeral or transitory record, draft that is not for further use or reference and record delivered to another person or body.

Record keeping System: Refers to manual or automated coordinated policies and procedures that enable records and archives to be collected, organized, and categorized to facilitate their management, including preservation retrieval, use, and disposition.

Records Centre: refers to the designated facility for the temporary custody, management, and storage of hard or electronic records as part of the College's Records and Archives Management programme.

Retention Period: Period that records are retained in their offices of origin or in records centres before they are transferred to the Archives for preservation or otherwise.

Retention Schedule: A timetable that defines how long records are kept. It provides disposition guidelines for how records shall be discarded or transferred to an archive.

2.0 Creation of the College Archival and Records Department.

2.1 Policy Statement

KCMUCo generates print and e-records yearly from academic and administrative businesses. Currently, KCMUCo has a Registry Unit for administration of files both confidential and non-confidential. For the accuracy and complete, retention and disposal of records and archives to foster accountability, decision making and evidence for a unique reputation of the KCMUCo, College shall elevate what is now a Registry Unit to a department.

2.2 Procedures

(i) The College shall expand the current Registry Unit to a department with appointed head of department under DPA;

(ii) The College shall establish Records and Archives Management Committee;

(iii) The College's Records and Archives Management Committee shall develop a retention and disposal schedule for all types of information;

(iv) The Director of Research and Consultancy (DRC) shall establish a Research Data Centre to serve for Archival Repository for all research related information;

(v) Access to the Archival Repository shall be according to provisions by Tanzania Access to Information Act, 2016;

(vi) The College shall establish a Museum to keep historical information as permanent records and archives;

(vii) There shall be a central indexing of all information in electronic or print format around the College and;

(viii) The Archival Repository shall be checked for integrity in every two years and a schedule shall be maintained.

3.0 Creation and Retention of Paper Records.

3.1 Policy Statement

The creation of paper records at KCMUCo emanate from academic, research, administrative, estates, finance, and procurement activities. The creation growth out spaces the College capacity hence increase of costs of storage, retention, and disposal of paper records. Therefore, the College shall maintain archives for paper records for the continuous need as per the policies.

3.2 Procedures

(i) The College recognizes that Registry is part of the archives;

(ii) All administrative documents, transactions and staff files shall remain under the custodian of Registry under DPA;

(iii) The Admissions Office shall maintain achieves for admission records academic transcripts, student registers and examination results under the supervision of the DPAA in accordance with existing policies;

(iv) The host departments shall retain student examination scripts for a period of 5 years, after which the department shall seek permission to destroy them from the College Management and;

(v) Upon issuance of permits, the College shall seek the guidance of the Records and Archives Management Committee to destroy any of the documents which are no longer needed in accordance with the policies.

4.0 Creation and Retention of Electronic Records.

4.1 Policy Statement

The College creates electronic records in all activities including admission of students, examination results, research, management transactions, procurement, and finance. It is important to develop the capacity to assure proper archiving of such records that support long-term maintenance and easy retrieval. The College shall create capability for long-term retention of electronic records in a safe and easily retrievable formats.

4.2 Procedures

(i) The Directorate of ICT shall support departments, administrative and academic units of the College in safely maintaining well backed-up electronic records generated in their daily activities.

(ii) Multiple backup devices and multiple locations shall be created to assure the security of electronic archives.

(iii) important paper records shall be digitised.

(iv) There shall be locations to secure space for backup of e- records.

(v) The Records and Archives Management Committee shall request College Management a permission and support to destroy e- records two years old or longer, as the case may be.

(vi) Certain electronic records such as transcripts and student registers shall be kept permanently.

(vii) The duration for retention or erasure of e-mails generated within the College electronic systems shall be in accordance with guidelines of the existing policies.

(viii) staff shall be encouraged to create records of important e-mails needed for their use beyond two years of retention in the mail servers.

(ix) The College shall endeavour to develop capacity for cloud storage of electronic records.

(x) A guided procedure shall be instituted in ensuring that disposal of electronic records in computers is effective and does not expose the College to any residual risk and.

(xi) The College Institutional Repository shall be used as one mechanism for managing electronic records.

5.0 Management of research and Clinical Data

5.1 Policy Statement

if properly archived, research and clinical data can inform future research, health interventions, Policy, and product development. Therefore, the College shall create, manage, and maintain archives of information generated from or during the conduct of research.

5.2 Procedures

(i) The College shall own and maintain records of all research and clinical data generated from projects in paper or electronic form.

(ii) Records and research data for archive shall include patient epidemiological and medical records, filled in questionnaires/surveys data, audio-visuals, videos, x-rays, medical images, and biological specimens.

(iii) The College Research and clinical Data Centre shall oversee and organize archived data sets to facilitate re-analysis or meta-analysis, retention, and disposal and.

(iv) The Academic departments shall properly manage research and clinical data generated by its staff and support the Directorate of Research and Publications in ensuring that no research and clinical data generated by academic staff are wasted.

6.0 Management of Research Ethics Committee

6.1 Policy Statement

The Research Ethics Committee of the Directorate of Research and Publications receives, reviews, and recommends award of ethical clearance for research and clinical trials conducted by staff, local and international students, and collaborators.

6.2 Procedures

(i) After award of ethical clearance, the Directorate of Research and Consultancy (DRC) shall retain copies of proposals awarded ethical clearance.

(ii) The DRP shall create capacity for a retrievable archive of research proposals and ethical clearance letters of all proposals handled by the Directorate.

(iii) The Institutional Review Board (IRB) of the DRC shall create an electronic archive and backup of research proposals and ethical clearance letters for a minimum period of 10 years.

(iv) All heads of departments shall ensure the archival of copies of research proposals implemented by their faculty in the Institutional Repository and.

(v) Ethical approval letters for high-risk research and clinical trials shall be permanently preserved.

7.0 Archival of Biological Samples Generated from Research

7.1 Policy Statement

There shall be collection of different types of biological material, including tissues and blood samples, some of which shall be archived in storage freezers within the College.

7.2 Procedures

(i) This Policy shall guide all procedures related to this archival of biological samples.
(ii) The College shall recognize the biological samples bank as a part of its Archival Repository.

8.0 Retention and Disposal of Financial and Related Records

8.1 Policy Statement

The College generates numerous paper and electronic records related to Finance, Payroll, Personnel, Insurance, Tax Management, Investments/Treasury, Rent and Lease Administration and Estates Management. The College shall retain and dispose of its financial documents and records in compliance with applicable laws, regulations, and standards.

8.2 Procedures

Procedures stipulated in the College Financial Regulations covering retention and disposal of Finance, Payroll, Personnel, Insurance, Tax Management, Investments/Treasury, Rent and Lease Administration and Estates Management paper and electronic records shall be the guiding principle regarding classification of records, retention period and disposal.

9.0 Funds and Resource Mobilization

9.1 Policy statement

College management shall devise innovative mechanisms for ensuring the availability of adequate resources to facilitate maintenance of the College records and archives.

9.2 Procedures

(i) The College shall mobilize resources internally and externally from the Government, the private sector, and industry in the form of grants or endowments to fund retention and disposal of the materials outlined in this Policy.
(ii) The College management shall work closely with Registry Unit include in its annual budgets a component for supporting retention and disposal of records and documents and.
(iii) The College shall work closely with Registry Unit to support the creation, maintenance of records and archives.

10.0 Institutional Authority and Responsibility

10.1 Authority and Responsibilities of the Deputy Provost Administration.

The Office of Deputy Provost Administration (DPA) shall: -
  (i)   Provide training to all staff in their responsibilities under this Policy.
  (ii)   Assess the systems regarding their abilities to meet the retention and protection and establish standards for convention for integrity of the records and archives.
  (iii)   Develop procedures, guidelines, and tools to support implementation of the Records and archives Policy and Procedures.
  (iv)   Ensure compliance with the Policy and clearly delegating responsibility in the faculties, directorates, institutes, departments, units, and sections to determine operational value of records.
  (v)   Determine the approved repositories for records and archives based on evaluation of the abilities to meet the retention and protection integral aims of this Policy.
  (vi)   Authorise the disposition of records and archives in compliance with this Policy and other related policies.

10.2 Authority and Responsibilities of the Deans, Directors, heads of departments, units, and sections.

The faculties, directorates, institutes, departments, units, and sections shall: -
  (i)   Ensure that all staff in their respective faculties, directorates, institutes, departments, units, and sections understand their personal responsibilities for compliance with the policy and procedures.
  (i)   Retain records and archives for the full duration of retention period.
  (ii)   Develop and establish local procedures to apply the Policy in their day-to-day operations such as complete inventories, classified as per the Policy to ensure retention periods are tracked and they undergo disposition procedures once a year.
  (iii)   Develop sufficient procedures manual to support the Policy.
  (iv)   The Directorate of Library Services is responsible for appraisal of the historical values of records and archives to help determine the appropriate disposition of records and archives.

10.3 Authority and Responsibilities of the College Staff.

Each member of staff in their respective faculties, directorates, institutes, departments, units, and sections shall be responsible for understanding their obligations and legal responsibilities under the policy and procedures to create or capture and maintain records and archives and disposal.

10.4 Authority and Responsibilities of the Head of Registry.

The Head of Registry shall be responsible for: -
- (i) General responsibilities to ensure that the Policy and procedures are observed and implemented.
- (i) Ensure compliance of the policy and procedures and prepare reports required by the Records and Archives Management Committee are submitted.
- (ii) Follow the Records and archives Management Policy and Procedures including capturing, classification, release, dissemination, archival and retention schedules, disposition of transitory records and archives according to their discretion.
- (iii) Ensure records and archives are stored in an approved repository.
- (iv) Advise the senior management of the College on the appropriate ways on the Records and Archives Policy and Procedures.

11.0 Coordination, Monitoring and Evaluation

The Records and Archives Policy and Procedures shall establish an effective and efficient coordination framework that shall handle all issues of records and archives coordinated by DPA in collaboration with the Human Resources Office, faculties, directorates, institutes, departments, units, and sections.

11.1 Coordination

There shall be Records and Archives Management Committee (RAMC) shall be chaired by Deputy Provost for Administration (DPA) who shall be responsible for overseeing the efficient implementation of the policy and the coordination of all matters related to records and archives management at KCMUCo. The DPA shall be assisted by the Head of Human Resource and Administration. The Records and Archives Management Committee shall report administrative issues to the DPA and provide quarterly implementation reports to the Human Resources and Students Affairs Committee of the through the responsible Management Committee.

11.2 Monitoring and Evaluation (M&E)
- (i) The Records and Archives Management Committee shall work together with other actors in the M&E in their respective faculties, directorates, institutes, departments, sections, and units.
- (ii) RAMC shall develop guidelines and indicators to be used for M&E of the policy and related activities.
- (iii) All actors shall be responsible for the M&E of this policy for activities falling within their jurisdiction.

(iv) The M&E mechanisms shall focus on the analysis of the policy progress in the achievement of goals and objectives of the policy.

(v) RAMC shall monitor and evaluate records and archives management at KCMUCo.

(vi) RAMC shall report quarterly and annually on the activities and state the status of records and archives management at KCMUCo to the Management and stakeholders.

(vii) The quarterly report shall be used to review the policy for the purpose of improving it.

12.0 Implementation of the Policy

Records and Archives Management Committee shall oversee the implementation of this policy. The Committee shall be composed of:

(i) Deputy Provost Administration who shall be a Chairperson.

(ii) Head of Registry unit who shall be a secretary of the Committee.

(iii) Legal Counsel

(iv) Dean of Students

(v) Head of Human Resource Management and Administration

(vi) Academic staff member

(vii) Administrative staff member

(viii) Any other member as shall be appointed by the Provost where situation dictates.

12.1 The Mandate of the Records and Archives Management Committee (RAMC)

The RAMC shall have the mandate to:

(i) Developing, writing and implementation of the policy, procedures, manual and guidelines, training, and awareness programmes.

(ii) Coordinating and implementing the policy.

(iii) Monitoring and evaluating all records and archives related issues within the College.

(iv) Advising and assisting Sections, Units, Departments, Faculties, Institutes and Directorates on the records and archives management.

(v) Approving short, medium, and long terms implementation programmes for the Records and Archives Management.

(vi) Taking active roles in addressing records and archives related issues affecting KCMUCo community.

(vii) Translating Records and Archives Management related issues into implementable programmes.

(viii) Establishing networks with other organizations working on Records and Archives Management related issues.

(ix) Establishing and maintaining a Records and Archives resource centre at KCMUCo.

(x) Mobilizing resources for the implementation of Records and Archives Management related issues.

(xi) Planning for maintaining central records and archives on College correspondence, minutes, agendas of the Committee.

(xii) Reviewing Records and Archives Management Policy and Procedures.

13.0 Policy Status

This is a new Policy.

14.0 Key stakeholders

The key stakeholders of this policy are KCMUCo staff, students, deans, directors, heads of departments, units, sections, service providers and any other collaborating partners.

15.0 Effective Date of the Policy

This Policy shall be operational immediately after the approval by the College Governing Board.

16.0 Next Review Date

This Policy shall be reviewed as necessary and at least every three years. The College Records and Archives Management Committee is responsible to monitor and review this Policy.

17.0 Policy Owner

College Governing Board

18.0 Policy Custodian

Head of Human Resources Management and Administration

19.0 Approval Details

This Records and Archives Policy and Procedures is hereby approved by the College Governing Board in its meeting held on 28th September 2023.