



NORTH-WEST UNIVERSITY<sup>®</sup>  
YUNIBESITI YA BOKONE-BOPHIRIMA  
NOORDWES-UNIVERSITEIT  
INSTITUTIONAL OFFICE

## Records Management Policy

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<b>Accountable executive manager</b>	Institutional Registrar
<b>Policy owner</b>	Manager: Records Management and Administration
<b>Responsible division</b>	Records Management and Administration
<b>Status</b>	Approved
<b>Approved by</b>	Council
<b>Date of approval</b>	22 November 2013
<b>Amendments</b>	This policy replaces the policy as first approved by Council on 22 September 2006 and re-approved by Council on 20 November 2009 and again re-approved in 2013.
<b>Date of amendments</b>	2013
<b>Review date</b>	2015
<b>Procedures in terms of this policy</b>	Yes – reference numbers 2Pr/2.11.2A, 2Pr/2.11.2B and 2Pr/2.11.3, and form 2.11.3.2.1.1
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## Records Management Policy

### 1 Preamble

As a pre-eminent university in Africa, driven by the pursuit of knowledge and innovation, with a unique institutional culture based upon the values the University espouses, the North-West University has adopted its first Records Management Policy on 22 November 2013.

As part of a regular review process, this policy replaces the previous Records Management Policy adopted by Council on 20 November 2009.

### 2 Policy statement

It is the policy of the North-West University to manage its records in an accountable, effective and efficient manner through the implementation of a records management programme that takes into account related objectives such as orderly classification of records, retention and disposal, accessibility, security and confidentiality, training and performance and quality management.

The North-West University is dependent on its records as its corporate memory to operate efficiently, consistently and productively and to account for its actions. This policy defines a structure for the North-West University to ensure that official records are identified and maintained and that they are managed and controlled effectively and at best value, commensurate with the NWU's vision, values and mission as well as legal, operational and information requirements.

It is furthermore the policy of the NWU to comply with the Promotion of Access to Information Act (No 2 of 2000) (PAIA) and the broad principles of records management that are required by the National Archives and Records Service Act (No 43 of 1996), the International Standard for Records Management (ISO15489) and the South African National Standard for Records Management (SANS 15489) together with the Constitution of the Republic of South Africa and other applicable legislation.

This policy should be read in conjunction with the Archives, Museums and Special Collections Policy of the NWU.

### 3 Definitions

#### 3.1 Records

At the NWU records refer to anything that is produced due to the undertaking of a business activity or legislative requirement, and is evidence of the fact that a process or procedure took place in support of the activity or requirement.

This policy relates to all operational and archival records to include, but not limited to:

- Administrative records (including records on the activities and processes of governance, management, human resources, finances, facilities, branding, marketing and communication, student administration, systems and affairs, teaching-learning, research and implementation of expertise)
- Records other than administrative records such as microfilm, audio-visual (such as CD's and DVD's), paper (photo's, maps, charts), and electronic (e.g. computerised financial, human resource and student systems).
- Records in all electronic formats (including websites, e-mail, etc).
- Records in the Archives of the NWU managed under the Archives and Museums Policy.

#### 3.2 Archives

Archives are either the records/collections housed (according to archival practices and principles) in one of the official NWU Archives or refer to the official Archive buildings situated on the three campuses of the NWU and under the control of the institutional and campus archivists or archive managers.

#### 3.3 Disposal

Disposal refers to the action when a record identified in the NWU file plan as an official NWU record, is either destroyed (according to the set procedure) or archived at one of the official NWU Archives (according to the set procedure) after the expiry of the retention period indicated in the NWU file plan and disposal schedule.

### **3.4 Retention**

Retention refers to the period an official NWU record has administrative or operational value to the NWU and should be kept in safe and secure custody in records storage areas or the network drive or approved electronic system by the relevant record owner until a disposal action is undertaken.

### **3.5 NWU file plan and disposal schedule**

The NWU file plan and disposal schedule is a pre-determined and logical structure into which official NWU records are arranged and stored according to subjects in order to facilitate efficient retrieval and disposal of records. The file plan contains the reference number, subject description and disposal instruction of files/folders held in an office and assigns responsibility for the record to a responsible office/person. The disposal instructions in the NWU file plan and disposal schedule grants a standing disposal authority for all the records mentioned therein.

### **3.6 NWU records management programme**

The NWU records management programme is the systematic and consistent control of all NWU records as identified in the NWU file plan and disposal schedule throughout their lifecycles and includes the sub programmes related to identification, classification, disposal, maintenance, risk management, compliance monitoring, quality and performance management, training, etc.

### **3.7 Records storage areas and off-site storage for hard copy records**

Records storage areas refer to areas/rooms in buildings designated for the safe and secure storage of official NWU records for the duration of the retention period and until a disposal action is undertaken.

Records may also be stored off-site at the approved off-site storage facility, with the provision that the necessary documentation is completed to record such transfers.

## **4 Rules and procedures**

These rules and procedures are applicable to both paper-based, micrographic, audio-visual and electronic records.

- 4.1 Council is responsible for the existence and monitoring/review of a Records Management Policy. Institutional Management, in particular the Vice-Chancellor (as chief information officer according to PAIA) with powers of delegation to the Institutional Registrar, has overall responsibility for ensuring that records are managed responsibly within the NWU.

The Records Management and Administration department under leadership of the Institutional Registrar is responsible for instituting, implementing, facilitating and coordinating a records management programme at the NWU. The Manager: Records Management and Administration is also the records manager of the NWU.

Campus Registrars, through the records management representatives on the campuses, as well as all line managers on the campuses and in the Institutional Office are responsible for ensuring that the records management policy is implemented in their individual areas of responsibility.

It is the responsibility of all staff and student leadership to ensure that they keep appropriate records (as defined by the NWU file plan) of their work at the NWU and manage those records in keeping with this policy.

- 4.2 All records created during execution of the NWU's activities and processes (paper based, electronic, micrographic and audio-visual) are the property of the NWU, and must be managed in accordance with this policy.
- 4.3 All records must be classified and filed according to a classification and filing system known as the NWU file plan and disposal schedule managed by the Records Management and Administration department. This classification system may not be revised or added to without the approval of Records Management and Administration. The NWU file plan and disposal schedule will be updated annually or on an ad hoc basis as required by the record owners.
- 4.4 No records may be disposed of without adherence to the disposal instructions in the NWU file plan and disposal schedule. Disposal of records must take place according to the disposal instructions in the NWU file plan by the indicated record owner to ensure records and the information within them can be efficiently retrieved by those with a legitimate right of access thereto, for as long as the records are held by the university. These disposal instructions were compiled in accordance with statutory requirements and the operational needs of the department/faculty. The procedure for the disposal of records must be followed. Proper and legal disposal is a legitimate restriction to the right of access to information as provided by the Promotion of Access to Information Act.

- 4.5 The disposal actions undertaken will be documented in the transfer lists of the Archives, or the destruction register held by the Records Management and Administration department.
- 4.6 All records should be kept in safe and secure custody (either in records storage areas or off-site storage in case of hard copy records or on approved electronic systems in case of electronic records) according to prescribed procedures and guidelines provided by the Records Management and Administration department and Information Technology, according to an Information Governance Framework.
- 4.7 Generic and specific training in records management as well as records management awareness campaigns will be presented at regular intervals. Identified staff should attend training in records management as provided by the Records Management and Administration department.
- 4.8 In order to ensure compliance with this policy, the Records Management and Administration department will undertake sporadic compliance audits with the guidance of Internal Audit in order to ensure risk abatement and record owners are obliged to partake in these audits.
- 4.9 Annual performance and quality management of the records management programme will transpire to ensure the quality and integrity of the programme and to monitor the application of records management procedures against agreed indicators and to take action to improve records management standards as necessary.
- 4.10 An Electronic Records Management (ERM) programme (Insinq SHARE) with complete records management capabilities has been implemented with the assistance and support of Information Technology This ERM programme forms part of the Electronic Content Management (ECM) strategy of the NWU. It is compulsory that all official NWU records be stored on this system (or a system that forms part of the NWU ECM strategy) and that all official records are created on the official NWU style sheets in order to safeguard authenticity, integrity and corporate identity application.

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