

RULES FOR RECORDS, ARCHIVES, AND MUSEUM MANAGEMENT

1 Purpose

The purpose of this set of rules is to give effect to paragraph 9 of the Records, Archives and Museum Management (RAM) Policy¹ (approved by Council on 23 June 2022) by providing rules for the management and administration of records, archives, and museums at the NWU.

The University Management Committee (UMC) approved this set of rules on 22 August 2022.

2 Objectives

At the principled level, the NWU views the information contained in records as an indispensable strategic asset and enabler to improve operational effectiveness and efficiency and ensure a competitive advantage.

The implementation of records, archives, and museum management practices in a fully integrated way will result in:

1. The support of good decision-making, integrity, accountability, and transparency are essential to delivering good business outcomes.
2. The understanding that business value regarding information assets is created in the relevant business process or line-management environment.
3. The provision of records of high quality, accurate and relevant, accessible, and supported by appropriate technical and administrative systems.
4. The creation of an environment for the optimal records, archives, and museum management processes and systems levels.

3 Rules

3.1 Records Management

These rules are written based on the responsibilities of all NWU employees and student leadership that produce records in the undertaking of business activity or legislative requirement and are evidence of the fact that a process has taken place in support of the activity or requirement.

These rules support the records management aspects as contemplated in the RAM policy:

- creation of records
- classification
- records storage (paper-based and electronic)
- electronic records management systems
- retention, disposal and training, and awareness.

The role and responsibilities of line managers, record owners, records management representatives, and the Records, Archives and Museum (RAM) department in each aspect are listed below:

3.1.1 Line managers

The line managers must –

1. take overall responsibility for all records management aspects in the business entity as contemplated in these rules paragraphs 3.1 – 3.3;
2. ensure that the business entity adheres to these rules and relevant standard operating procedures (SOPs);
3. ensure that all employees in the business entity attend the compulsory records management training within three (3) months of appointment but within three (3) months after an appointment and that the training must be repeated every three (3) years.

¹ NWU Records, Archives and Museum Management Policy: https://www.nwu.ac.za/sites/www.nwu.ac.za/files/files/i-governance-management/policy/2022/RAM%20management/2P_2.11_2022_e.pdf

4. nominate records management representatives in the respective business entity and update the details of these representatives at least once every twelve (12) months; and
5. ensure that the records management duties of the records management representatives are included in the KPAs and the performance evaluated.

3.1.2 Record owner

As contemplated in the RAM policy all NWU employees are responsible for the day-to-day administration and effective records management and those who create, store, share, and dispose of records must adhere to these rules.

A record owner must –

1. create records on the approved NWU style sheets as contemplated in the standard operating procedure for generating or creating official NWU records;²
2. classify and file records according to the NWU File Plan and Disposal Schedule³ and ensure that the records display the correct reference number visibly and clearly;
3. keep and maintain records in safe and secure storage for the retention period determined in the NWU File Plan and Disposal Schedule in accordance with the standard operating procedure for the maintenance of storage areas for physical records;⁴
4. ensure that the records are accessible, complete, and authentic for as long as they are retained or required to be maintained;
5. not retain records for longer than determined in the NWU File plan and disposal schedule.
6. use the prescribed and protected NWU cloud storage;
7. store records only on the following platforms:
 - NWU Network drives (shared and individual);
 - Protected cloud storage approved and supported by the NWU (i.e Nextcloud, OneDrive, and NWU Google drive)⁵;
8. not use the following to store records:
 - any unprotected or unsupported or open-source cloud service (including, but not limited to Dropbox and WeTransfer);
 - C-drives/desktop of computers; and
 - any removable storage device (including but not limited to memory sticks, disks, and external hard drives).
1. destroy the records at a certain point in the records lifecycle as determined by the NWU File plan and disposal schedule; (this is also underpinned by the regulations of the Protection of Personal Information Act (POPIA))⁶;
2. initiate the destruction of the records as determined in the NWU File Plan and disposal schedule and in some instances the destruction will be executed by the records management representative as per para 3.1.3(6) above.
3. not destroy records without adherence to the disposal instructions in the NWU File Plan and disposal schedule without following the standard operating procedure⁷ and obtaining an authorisation number.
4. attend the compulsory records management training sessions as soon as possible, but within three (3) months after an appointment and repeat the training every three (3) years.

3.1.3 Records management representatives

The records management representatives must –

1. understand the business processes and activities of the business entity according to the quality manual of the relevant entity;
2. understand which records need to be created to serve as evidence of these business processes and activities in accordance with the NWU File plan and disposal schedule;
3. know which employees of the NWU in the business entity are responsible for creating or managing records;
4. support electronic records integrity by ensuring that:

² Standard operating procedure for creating records http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/SOPs/2.2.4_2.11.Gen_2020_0.pdf

³ NWU File plan and Disposal Schedule https://intranet.nwu.ac.za/system/files/2.11.1_2021_2022Fileplan.pdf

⁴ Procedure and guidelines for the maintenance of storage areas for physical records http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/SOPs/2.2.4_2.11.3_2020.pdf

⁵ A list of the approved cloud storage is available from IT and the RAM department

⁶ Act 4 of 2013

⁷ Standard operating procedure for disposal of records: http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/SOPs/2.2.4_2.11.2_2020_e.pdf

- the records are created on the official NWU style sheets and the corporate identity of the NWU is correctly applied to these records;
 - records have the correct reference number and minimum metadata, and adhere to naming conventions of records;
5. assist the record owner with managing the paper-based records of the business entity (physical storage spaces etc.);
 6. assist the record owner to submit a list(s) of records for destruction to the senior records officer for approval;
 7. liaise with the RAM department relating to all records management matters; and
 8. complete the records management training as soon as being nominated as a records management representative.

3.1.4 RAM (Senior Records Officer)

The RAM staff must –

1. establish records, archives, and museum management practices to be implemented by all NWU employees and student leadership;
2. ensure that the record owner creates records on official NWU stylesheets as contemplated in the standard operating procedure. *(Records not created on an official stylesheet will not be regarded as an official record of the NWU and are non-compliant in terms of the RAM policy creating legal risk for the NWU);*
3. compile an NWU File plan and disposal schedule which structure and arrange NWU records according to subjects to facilitate efficient retrieval and disposal of records are updated annually and published on the intranet.
4. providing guidance and support to records owners that their records display the correct reference number visibly and clearly.
5. ensure that all physical storage areas in the business entities are managed and maintained by the responsible staff member as contemplated in the standard operating procedure.
6. obtain a HEMIS space usage list from the Facilities Department to create a database of records storage areas which will be kept and maintained. *(This database contains information relating to the various storage areas in each building of the NWU as well as the staff member responsible for the specific storage area);*
7. inform staff members to update the details of the storage areas at least twice a year through entering data in an electronic form.
8. ensure that records are destroyed as contemplated in the standard operating procedure and the authorisation number entered into an official destruction register of the NWU for records and auditing purposes, and
9. provide training in all records management elements monthly.
10. ensure records management awareness through the development of awareness campaigns on an annual basis;
11. undertake sporadic records management assessment and monitoring reviews of identified business entities which aim to evaluate the records, archives, and museum management practices according to compliance with the RAM policy and standard operating procedures.

3.2 Archives management

These rules for archive management support the aspects contemplated in the RAM policy.

The role and responsibilities of line managers, record owners, records management representatives, and the Records, Archives and Museum (RAM) department about these aspects are listed below:

3.2.1 Line managers

The line managers must –

1. take overall responsibility for all archives management aspects in the business entity as contemplated in these rules;
2. ensure that the business entity adheres to these rules and relevant standard operating procedures (SOPs);

3.2.2 Record owner

A record owner must –

1. ensure, in collaboration with the records management representative, that records created and classified as "A" records (Archival Records) in the NWU File plan and Disposal schedule, be transferred to the RAM

- department with the support of the University Archives for permanent preservation as contemplated in the standard operating procedure⁸ for transferring records to the archives;⁹ and
2. transfer archival records to the Archives as contemplated in the standard operating procedure and obtain an authorisation number.

3.2.3 Records management representatives

The records management representatives must –

1. understand which records created are of archival value and need to be transferred to the Archives for permanent preservation; and
2. assist the record owner with the transfer of the archival records to the archives as contemplated in the standard operating procedure.

3.2.4 RAM (university archivist)

The RAM staff must –

1. source the records from the record owners and the required transfers must be followed up by the university archivist;
2. preserve the archival records for historic and research purposes. (*The records will become the administrative responsibility of the university archivist*).
3. manage and apply any access restrictions placed on records held by the NWU Archives consistently to all users.
4. grant or limit the access to the records and access to NWU records must be provided in accordance with the provisions of the Promotion of Access to Information Act (PAIA)¹⁰.
5. manage the access to non-corporate records in terms of agreements negotiated between the NWU and the relevant donors of private collections;
6. in some instances, charge fees for the reproduction of any archival material as determined by the RAM department after consultation with the relevant director and the registrar.
7. ensure that the records are correctly described and catalogued to ensure easy retrieval on a database;
8. re-evaluate and re-appraise special collections according to applicable criteria, standards, legislation, and donor agreements and/or as contemplated in the standard operating procedure.

3.3 Museum management

These rules for museum management support the aspects contemplated in the RAM policy.

The role and responsibilities of line managers, records management representatives, and the RAM department in these aspects are listed below:

3.3.1 Line managers

The line managers must –

1. take overall responsibility for all museum management aspects in the business entity as contemplated in these rules;
2. ensure that the business entity adheres to these rules and relevant standard operating procedures (SOPs);

3.3.2 Records management representatives

The records management representatives, in collaboration with the university archivist, must –

1. assist with the identification/acquisition/sourcing of museum objects/artifacts; and
2. inform the university archivist of any displays/exhibitions in the business entity which should be registered at RAM.

3.3.3 RAM (university archivist)

The RAM staff must –

1. identify and source museum objects/artifacts with historical value relating to the history of the NWU as well as other items from private persons with historical relationship to the NWU;

⁸ Standard operating procedure for disposal of records: http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/SOPs/2.2.4_2.11.2_2020_e.pdf

⁹ Standard operating procedure for transfer of archival records: http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/Archive/SOPs/2Pr_2.12_SOP%20for%20transferring%20records%20to%20archives.pdf

¹⁰ Act 2 of 2000

2. catalogue, process, and capture all acquisitions on the electronic inventory as contemplated in the standard operating procedure for museum management;¹¹
3. care, handle and store all museum items/artifacts as contemplated in the standard operating procedure for museum management and relevant legislation;
4. maintain all information about the museum items/artifacts within the museum collection which support the collections and exhibitions in accordance with the standard operating procedure for museum management;
5. re-evaluated and re-appraised museum objects/artifacts/collections as contemplated in the standard operating procedure considering relevant legislation and donor agreements;
6. ensure that decentralised displays of museum items/artifacts displayed in offices/departments be registered at the RAM department and managed in accordance with the relevant rules and legislation; and
7. ensure that as soon as the display is dissembled and not used anymore, must be transferred to the NWU Museum.

3.4 Digitisation management

These rules for digitisation management support the aspects contemplated in the RAM policy.

The role and responsibilities of line managers, record owners, records management representatives, and the RAM department about these aspects are listed below:

3.4.1 Line managers

The line managers must –

1. take overall responsibility for all digitisation management/ aspects in the business entity as contemplated in these rules; and
2. ensure that the business entity adheres to these rules and relevant standard operating procedures (SOPs);

3.4.2 Record owner

The record owner in collaboration with the records management representative must assist with the identification of digitisation projects and consult with RAM about such projects.

3.4.3 Records management representatives

The records management representatives in collaboration with the record owner must assist with the identification of digitisation projects and consult with RAM about such projects.

3.4.4 RAM

The RAM staff must –

1. undertake digitisation projects to ensure the long-term accessibility of identified records as contemplated in the standard operating procedure for digitisation of records¹²;
2. consult and advise NWU employees about decentralised digitisation projects;
3. assist with decentralised digitisation projects if there is capacity in terms of staff and equipment; and
4. prepare, scan, capture metadata, quality assure, digitally upload, and store the records as contemplated in the standard operating procedure.

4 Reporting

1. The implementation of these rules for records, archives, and museum management are reported to the Information Management Committee (IMC) in accordance with the principles laid down in the NWU Information Strategy and Framework for Information Governance¹³.
2. The IMC report to the University Management Committee regarding the implementation of the records, archives, and museum management practices.

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¹¹ Standard operating procedure for museum management: http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/Museums/2Pr_2.20_SOP%20museum%20management.pdf

¹² Standard operating procedure for digitisation of records: http://services.nwu.ac.za/sites/services.nwu.ac.za/files/files/records-archives-museum/Archive/SOPs/2.2.4_2.11.6_2022_e%20DIGITISATION.pdf

¹³ NWU Information Strategy and Framework for Information Governance: https://www.nwu.ac.za/sites/www.nwu.ac.za/files/files/i-governance-management/policy/2021%20Update/1P_1.16.1/1P_1.16.1_2021_e.pdf