

## STANDARD OPERATING PROCEDURE

<b>Name of department/division</b>	Records, Archives and Museums		
<b>Title</b>	Destroying records of the NWU		
<b>SOP no</b>	<b>2.2.4_2.11.2_2020D</b>	<b>Version no</b>	0.001
<b>Date of approval</b>	2021-07-28	<b>Revision date</b>	August 2022
<b>Web address</b>		<b>Page no</b>	1 - 4

### 1 COMPILATION AND AUTHORISATION

Action	Designated person	Signature	Date
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Approved by:	Jacoline Jansen van Vuuren	<i>Jacoline Jansen van Vuuren</i>	2021-07-28

### 2 DISTRIBUTION

Department/Unit	Name	Date
RAM	Eric Swanepoel	2021-07-28
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All RAM staff members	E-mail	2021-07-28
CIGS	Amanda van der Merwe	2021-08-01
All staff members	@NWU/Intranet	2021-08-10

### 3 DOCUMENT HISTORY

Date	Version no	Reason for revision
	1	First SOP developed from previous Procedure manual
	0.001	Revised version for inclusion into Records Management Policy

### 4 PURPOSE OF THE SOP

The purpose of this SOP is to provide an approved procedure for the legitimate disposal (destroying) of official NWU records. Important procedures and processes should be documented to ensure standard and uniform practices.

This SOP supports the rules in the NWU Records Management Policy as amended and/or revised.

### 5 SCOPE

The scope of this document covers the destroying of all official NWU records as defined in the NWU File plan and disposal schedule. It covers the responsibilities and procedure(s) to be followed, the essential elements to be included as well as templates and forms in any format to be used for this procedure.

This SOP applies to all official records of the NWU.

## 6 ABBREVIATIONS AND/OR DEFINITIONS

Abbreviation/definition	Description
SOP	Standard Operating Procedure
RAM	Records, Archives and Museums department
CIGS	Corporate and Information Governance Services
NWU	North-West University
Disposal	The action taken when an official NWU record is either destroyed or transferred to the NWU Archives for permanent preservation. In this SOP disposal and destroy will be used interchangeably.
POPIA	The Protection of Personal Information Act, 3 of 2013
Document	A document is a representation of thought in any medium or format
Record(s)	A record is an approved and/or finalised document that serves as evidence that a certain process or procedure has taken place.
NWU Staff members	All people employed by the NWU in any capacity
Line managers	All staff members assigned with line managerial duties and have other staff members reporting to him/her.
Record owner	The staff member/office responsible for managing a record as determined in the NWU File plan and disposal schedule.
Lifecycle of the record	The cycle of a record starting with the generation/creation of the record, using the record, managing the record, storing the record and disposing of the record.
Records Management Representative	An NWU staff member as nominated and appointed as Records Management representative as determined by the relevant management decision as well as the Records Management Representatives' SOP.

## 7 RESPONSIBILITIES

- It is the responsibility of all **NWU staff members** and **student leadership** to ensure adherence to the NWU Records Management Policy, File plan and disposal schedule and all related processes and procedures.
- It is the responsibility of all **line managers** to ensure that their offices adhere to the disposal instructions and procedures as determined in the NWU File plan and disposal schedule.
- It is the responsibility of the **record owner** as determined in the NWU File plan and disposal schedule to ensure that all official records must be disposed of timeously.
- All **NWU staff members** must ensure that they are conversant with the approved NWU Records Management Policy, NWU File plan and disposal schedule as well as all related processes and procedures.
- Only **approved wastepaper/recycling companies** must be utilised to remove/destroy physical records from the NWU storage facilities. No other service provider may be used for this service.
- **RAM** will authorise whether physical records may be donated to schools or other businesses as wastepaper. Records not authorised may not be donated to schools or any other businesses.
- **RAM** will authorise destruction requests, as no records may be destroyed without authorisation from RAM.

## 8 PROCEDURE/S

No official NWU record(s) may be disposed of without adherence to the NWU Records Management Policy as well as the disposal instructions in the NWU File plan and disposal schedule. No NWU records may be disposed of without following this procedure and obtaining an authorisation number.

## 8.1 Destruction of records

Records must be destroyed 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 <sup>1</sup> (POPIA).

1. The record owner must download the approved template to list all records due for destruction from the RAM website (this template is available from the RAM-offices as well as linked in this SOP under reference documents).
2. The record owner must list all records due for destruction on the template as contemplated in section 1 and save the list in PDF format on an approved electronic storage platform.
3. The record owner must sign into the [Online environment](#) with the undermentioned login details:  
Username – [12345678@staff365.msfed.nwu.ac.za](mailto:12345678@staff365.msfed.nwu.ac.za) (replace 12345678 with your own NWU number)  
Password – Network password
4. The record owner must complete all the information requested on the [disposal website/form](#), attach the list of records as contemplated in section 2 and submit the request.

**Note: These records are not authorised for destruction at this stage. Please wait for approval and the authorisation number before destroying any records.**

5. RAM will receive the request as submitted in section 3.
6. RAM will ensure that the submission meets all the requirements for the records to be destroyed.
7. RAM will provide the record owner/requestor/records management representative with an authorisation number for the specific set of records.

**Note: These records are now authorised for destruction.**

8. The record owner/requestor/records management representative must arrange with the NWU technical services to have the records removed and destroyed after obtaining the authorisation number. RAM may assist in this process
9. Once the records are removed/destroyed, the record owner/requestor/records management representative must inform RAM of this by completing the information on the [final destruction website](#) and uploading the destruction certificate on the website (if available).
10. The destruction will then be entered into the official destruction register of the NWU, held and managed by RAM, and will be noted for records and auditing purposes.

## 9 POPIA COMPLIANCE

### 9.1 Receipt/collection of personal information

Personal information will be received/collected from NWU staff members and student leadership when they apply for destroying official NWU records. This personal information includes (but is not limited to):

- Name and surname
- NWU number
- E-mail address
- Telephone number
- Department/Section/Faculty/nosiness entity name
- Campus

This personal information will be supplied on a webform on the NWU website and will be exported in Excel format and stored in a safe and secure online storage environment/platform for an indefinite period.

### 9.2 Processing activities

Personal information will only be used to establish communication and to identify the staff member requesting the destruction of records as well as for reporting purposes as determined by the relevant legislation.

The personal information provided as part of this procedure, will not be used in any other procedure at the NWU.

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<sup>1</sup> Act 4 of 2013

### **9.3 Generation of personal information**

In this process, no personal information is generated by RAM.

### **9.4 Storage of personal information**

Personal information will be stored in electronic format only, on a database on the NWU network, with controlled and/or limited access to the personal information.

### **9.5 Sharing of personal information**

The personal information collected and used in this process may be shared with any “internal” office upon request and when justified/approved (motivations for availability of information will be requested in serious instances).

The personal information will only be shared with a third-party who has a legitimate right to access to the information and/or allowed for by legislation.

### **9.6 Disposal of personal information**

In this process all personal information will be kept on a permanent basis, as provided for in the NWU File plan and disposal schedule.

If any personal information must be published at any stage, personal information will be de-identified by removing all identifying numbers or symbols as well as names and surnames before such publication takes place.

## **10 REFERENCE DOCUMENTS**

[NWU File plan and disposal Schedule](#)

[List for records to be destroyed](#)

[Website – Request destruction of records](#)

[Website – Complete/finalise destruction of records](#)

[Website – RAM department](#)

[NWU Privacy statement](#)

[NWU Records Management Policy](#)

Original details: (11664754) C:\Users\11664754\Documents\SOP-Test.docm  
11 March 2020

Current details: (11664754) C:\Users\11664754\Documents\SOP-Test.docm  
11 March 2020

File reference: 2.2.4\_2.11.2\_2021