

STANDARD OPERATING PROCEDURE

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|------------------------------------|--------------------------------------|----------------------|-------|
| Name of department/division | Records, Archives and Museums | | |
| Title | Records Management Training Sessions | | |
| SOP no | 2.2.4_2.11.4 | Version no | 0.002 |
| Date of approval | 2021-10-27 | Revision date | |
| Web address | | Page no | 1 - 5 |

1 COMPILATION AND AUTHORISATION

| Action | Designated person | Signature | Date |
|----------------|----------------------------|-----------------------------------|------------|
| Compiled by: | Alleta Tshukudu | <i>Alleta Tshukudu</i> | 2021-10-27 |
| Checked by | Eric Swanepoel | <i>Eric Swanepoel</i> | 2021-10-27 |
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2 DISTRIBUTION

| Department/Unit | Name | Signature | Date |
|-------------------|-------------------------------|-----------|------------|
| RAM | All RAM staff members | <i>ES</i> | 2021-10-30 |
| CIGS | Amanda van der Merwe | <i>ES</i> | 2021-10-30 |
| All staff members | Placement on website and @NWU | <i>ES</i> | 2021-10-30 |

3 DOCUMENT HISTORY

| Date | Version no | Reason for revision |
|-----------------|------------|--|
| 13 August 2021 | 0.001 | Development of SOP for Records Management Training Sessions for NWU staff members. |
| 27 October 2021 | 0.002 | Updated information on the SOP to align with business process/activity. |

4 PURPOSE OF THE SOP

The purpose of this SOP is to provide an approved procedure and guideline for the records management training sessions that are presented for all NWU staff members. 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 SOP covers the preparations and presentation of the records management training. It covers the responsibilities and procedure(s) to be followed, the essential elements to be included as well as templates to be used for these procedures and processes where applicable.

The SOP applies to all NWU staff members.

6 ABBREVIATIONS AND/OR DEFINITIONS

| Abbreviation/definition | Description |
|-------------------------|---|
| SOP | Standard Operating Procedure |
| NWU | North-West University |
| CIGS | Corporate and Information Governance Services |
| RAM | Records, Archives and Museums |
| RMT | Records Management Training |
| HOD | Head of Department |
| POPIA | The Protection of Personal Information Act, 4 of 2013 |
| PI | Personal Information |

7 RESPONSIBILITIES

- It is the responsibility of the RAM department to publish the dates for the Records Management training on the RAM website page annually, and to update these dates when applicable.
- It is the responsibility of the RAM department to acquire the list of the new employees from People and Culture at the beginning of every month or as soon as possible thereafter depending on operational matters.
- It is the responsibility of the RAM department to send out invitations for the Records Management Training to all newly appointed NWU employees identified from the list received from People and Culture.
- It is the responsibility of the RAM department to send out an invitation by means of the intranet to all NWU staff members, current employees that have not attended the training and employees where training has lapsed.
- It is the responsibility of the RAM department to update the various lists of invitations and attendance after conclusion of each training session.
- It is the responsibility of the relevant NWU staff member to ensure that he/she registers for the Records Management Training by means of the webform provided on the RAM website.
- It is the responsibility of the relevant NWU staff member to ensure that he/she attends the training after such registration.

8 PROCEDURE/S

8.1 Records Management Training

- 8.1.1 The RMT is presented online using the preferred electronic platform, unless otherwise agreed upon and communicated.
- 8.1.2 The RMT is divided into four sessions, where one session is scheduled for a period of 2 hours.
- 8.1.3 The sessions are presented monthly as scheduled on the RAM services website.

8.2 Publishing of RMT dates

- 8.2.1 Annually, determine the monthly dates, starting from February until November for the training sessions.
- 8.2.2 Submit the RMT dates to HOD for approval.
- 8.2.3 Upon approval, publish the dates on the RAM website.

8.3 Invitations

New staff members

- 8.3.1 Request a list of newly appointed NWU staff members from People and Culture.
- 8.3.2 Invite all newly appointed staff members to the training via email.

Current staff members with lapsed training

Training sessions should be repeated every four (4) years and therefore lapses four (4) years after attending a training session, for these staff members, the following steps must be followed.

8.3.3 Refer to the list of all employees available in the RAM department.

8.3.4 Identify staff members whose training has lapsed.

8.3.5 Invite the identified staff members to the next training session via e-mail

General invitation

8.3.6 Post a @NWU notice on the intranet inviting all current employees to the training, and provide the registration link

8.4 Training sessions arrangements

8.4.1 After registration, all registered staff members are scheduled in GroupWise for the training session.

8.4.2 On the day of the training, an email is sent out to all scheduled staff members one (1) hour before the training session commences. The email contains the link to the training and all logistical arrangements.

8.4.3 Another reminder is sent via e-mail as soon as the virtual training room is open (about 30 minutes prior to the session).

8.4.4 For physical training sessions, the reminder e-mail will be sent on the day prior to the training session.

8.4.5 Staff members are required to sign into the virtual training room and requested to complete the attendance register.

8.4.6 Training is presented online.

8.4.7 For physical training sessions, the venue and arrangements will be communicated to all registered staff members.

8.5 RMT Assessment

8.5.1 After attending of all four sessions of the training, staff members are required to complete an assessment to measure the effectiveness of the training. There is a set timeline to complete the assessment after the training has been completed.

8.5.2 Staff members are added to the RMT teams where they can access the training material (recording and PowerPoints).

8.5.3 The link for the assessment and training material is sent out to all staff members that attended and completed the attendance registers via email.

8.6 RMT Proof of attendance Certificates

8.6.1 When the completion timeline for the RMT assessment has lapsed, the data is extracted from the webform and saved as an Excel spreadsheet and stored in electronic format.

8.6.2 The data collected from the excel sheet is transferred into an excel spreadsheet that is used to request the printing of certificates.

8.6.3 An email is sent to Graphikos, with the link of the excel sheet which contains the list of the staff members that completed the assessment.

8.6.4 Graphikos sends a "proof" of the certificates for approval to the RAM-department before proceeding with printing.

8.6.5 The RAM-department ensures that all the information on the certificates is correct and gives approval for printing.

8.6.6 After printing, an email is sent to the RAM-department for collection of certificates.

8.6.7 The RAM-department collects the certificates, and the certificates are signed by the HOD and facilitator of the training session before distribution.

8.6.8 After signing, the certificates are categorised into the three different campuses. Mahikeng campus certificates are sent via courier services to the RAM offices on the Mahikeng campus, the

Vanderbijlpark campus certificates are sent via internal mail to the Vanderbijlpark campus. Potchefstroom campus certificates are kept in the RAM office on the Potchefstroom campus.

8.6.9 Communication regarding the logistics of the certificates is sent out via email to all attendees receiving the attendance certificates.

9 POPIA Compliance

As determined by the POPIA, all personal information in possession of the NWU must be protected and processed in accordance with the legislation and/or any policies, rules, and guidelines as set by the NWU.

9.1 Receipt of personal information

Personal Information received from staff members in this process will include:

- NWU number
- Name and Surname
- Contact details
- Department/Division employed at

9.2 Processing activities

The personal information as contemplated in paragraph 9.1 will be used to contact staff members and to manage the process of the records management training.

9.3 Generation of personal information

No personal information is generated as part of this business process.

9.4 Storage of personal information

Personal information will be stored as provided for in the NWU File plan and disposal schedule. Personal information will be retained permanently as proof that the training was attended.

Personal information will be disposed after a request for disposal by the data subject is approved.

All personal information will be stored in a safe and secure electronic environment.

9.5 Sharing of personal information

Personal information will not be shared with any other party/and/or person and /or department unless the conditions contemplated in this SOP, the NWU Personal Information Privacy Policy and the Protection of Personal Information Act is met for sharing such personal information.

9.6 Disposal of personal information

In this process personal information will be kept as determined by the NWU File plan and disposal schedule.

9.7 Privacy Notices

Not applicable

10 REFERENCE DOCUMENTS

- [NWU File plan and disposal schedule](#)
- [Records Management Training Registration Form](#)
- [Records Management Training Assessment](#)