



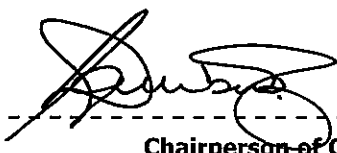
**WALTER SISULU UNIVERSITY
RECORDS MANAGEMENT POLICY**

Policy library ID

Reg: 07



Records Management Policy

Sponsor division	Registrar's Division
Responsible Department	Records Management Unit
Related WSU Policies	
Acceptable Use Policy	
ICT Service Desk Policy	
Computing Password Policy	
Related Legislation	
Constitution of the Republic of South Africa, (Act No. 108 of 1996)	Higher Education Act, (Act No. 101 of 1997) as amended
Companies, (Act No. 71 of 2008)	National Archives and Records Services of South Africa (Act No. 43 of 1999)
Promotion of Access to Information (Act No. 2 of 2000)	Protection of Personal Information (Act No. 4 of 2013)
Electronic Communication and Transactions Act (Act No. 25 of 2002)	Promotion of Administrative Justice (Act No. 3 of 2000)
Related International Standards	
International Standard Organization (ISO15489)	South African National Standards (SANS15489)
Change History	
Approval Authority	Council
Approval Date	24 November 2017
Latest Revision Date	November 2020
Effective Date	Immediately
 ----- Chairperson of Council	

1. Policy Statement

The Walter Sisulu University (WSU) views records as vital assets for both the institutional memory and ongoing business transactions which need to be properly managed from their creation, receipt, use, maintenance, retention and disposition according to the records management principles as contained in section 13 of the National Archives and Records Service Act 43 of 1996 (NARSA).

2. Preamble

The Walter Sisulu University, through day to day business function generates volumes of both electronic and non-electronic records which need to be properly captured, recorded and secured in order to ensure their authenticity, integrity, reliability and accessibility. The Records Management Policy is an instrument that the University will use to guide and regulate the records management process across all business units and in compliance with the prescripts of the National Archives and Records Services Act 43 of 1996 (NARSA).

3. Purpose

The WSU Records Management Policy outlines processes and procedures for proper recordkeeping, responsibilities and appropriate records management control over creation, receipt, maintenance, orderly classification, use, security, confidentiality, enhanced quality, accessibility and their disposal in accordance with the relevant legislation as well as rules and regulations of the University.

4. Scope

The policy is applicable to all staff members of Walter Sisulu University and includes all records regardless of format, medium or age.

5. Definitions of Key Words or Concepts

5.1 Record

A recorded information from business operations or legislative requirement including microfilm, audio-electronic (such as CD's and DVD's), paper (photos, maps, charts) and records in all electronic formats (including websites, e-mail).

5.2 Authoritative records

Records that are complete, authentic, reliable, trustworthy and unaltered.

5.3 Active Record

A specific individual record (regardless of classification) that is required in everyday operations of WSU.

5.4 Semi-Active Record

A specific individual record (regardless of classification) that contains information that is not used in the everyday operations of WSU nor referenced frequently (typically less than once a month) but which must be retained for regulatory, legal and/or operational purposes.

5.5 Non-Active Record

A record that no longer fulfils its purpose due to irrelevance.

5.6 Archives

A building in which records are kept and a collection to be preserved permanently.

5.7 Access

The right, opportunity, means of finding and retrieving of information.

5.8 Disposal

The action of either destroying/deleting a record or transferring it into archival custody.

5.9 Disposal Authority

A written authority issued by the Registrar specifying which records are to be transferred into archival custody or to be destroyed/deleted.

5.10 File plan

A pre-determined classification plan by which records are filed and/or electronically indexed in order to facilitate efficient retrieval and disposal.

5.11 Migration

The act of moving records from one system to another, while maintaining their authenticity, integrity, reliability and use.

5.12 Retention Schedule

A schedule that constitutes a report identifying the approved retention periods for records of WSU.

5.13 Disposal Schedule

A timetable, regulating the life cycle of records in the office/repository from creation to their final disposition through transfer to archives or delete.

5.14 Retention Period

The period in which records are kept in order to meet legal or other requirements before they are either transferred into archival custody or destroyed/deleted.

5.15 Records Classification System

A plan for the systematic identification and logical arrangement of business activities and/or records into categories according to methods and procedural rules represented in the classification system.

5.16 Transfer

The change of custody, ownership and/or responsibility for records.

5.17 University Staff

All WSU employees and other person(s) offered access to the University.

6. Acronyms

PAIA: Promotion of Access to Information Act (Act no. 2 of 2000).

POPIA: Protection of Private Information Act (Act 4 of 2013).

RMU: Records Management Unit.

SFP: Standardized File Plan.

NARSA: National Archives and Records Services Act.

WSU: Walter Sisulu University.

Section A

7. Guiding Principles and Policy Content

The guiding principles and policy content are based on section 13 of NARSA.

These principles include:

7.1 Records Classification

7.1.1 Records Management Unit shall be responsible for the overall records classification system.

7.1.2 A Standardized File Plan (SFP) will be used as a transversal records classification system.

- 7.1.3 Records classification will be performed when the record is created to provide its proper classification.
- 7.1.4 A file reference number will be assigned to all records that are created and received.

7.2 Retention and Disposal

- 7.2.1 Records will be kept for as long as they are needed to satisfy operational, legal, regulatory, research or historical requirements.
- 7.2.2 All records irrespective of medium in which they are stored shall have a retention period.
- 7.2.3 Records with enduring value will be transferred to the University Archives for indefinite preservation and access.
- 7.2.4 Records that are no longer useful to the university will be destroyed at the date specified in the University Records Retention Schedule.
- 7.2.5 Records will be disposed of by means of destruction and transfer to archives.
- 7.2.6 No record will be destroyed without the disposal authority.

7.3 Records Migration

- 7.3.1 Records will be migrated from the manual to the digital system.
- 7.3.2 Digital records will also be migrated to the back- up system.

7.4 Preservation and Conservation

- 7.4.1 The Records Management Unit (RMU) will develop a records inventory to provide an indication of the number, format and type of records within the institution and where they are stored, series description and recommended retention period.
- 7.4.2 The records inventory will be used to develop and update records retention schedules and analyze the value of records.

- 7.4.3 Appraisal of records shall take place when records series are determined.
- 7.4.4 Records retention schedules will be developed to record retention periods. The retention schedules shall be reviewed regularly to effect changes that affect management of records, such as when new directorates or sections are created. The retention schedule will also be used to note the security classification of records.

7.5 Access

- 7.5.1 Access to records will be in accordance with the Promotion of Access to Information Act 2 of 2000 (PAIA) and within the constraints of security, confidentiality, privacy and archival access conditions and the Protection of Personal Information Act 2013 (POPIA).
- 7.5.2 A request access form to information will be filled by anyone who seeks access to a particular information.
- 7.5.3 The university reserves the right for access to information in accordance with (POPIA).

Section B

8. Policy Procedures

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

- a) All records created during execution of the WSU's activities and processes (paper based, micrographic and audio-visual electronic format including emails) are the property of the WSU, and will be managed in accordance with this policy.

- b) All records will be classified and filed according to a classification and filing system known as the WSU file plan and disposal schedule managed by the Records Management Unit.
- c) The WSU file plan and disposal schedule will be updated annually or on an ad hoc basis as per requirements.
- d) When correspondence is created/received for which no subject exists in the existing File Plan, the RMU will be contacted to assist with additions to the file plan.
- e) No records will be disposed of without the adherence to the disposal instructions in the WSU file plan and disposal schedule. Disposal of records must take place according to the disposal instructions in the WSU file plan to ensure records and the information within them can be efficiently retrieved by authorized person(s) with right of access, for as long as the records are held by the University. These disposal instructions will be compiled in accordance with statutory requirements and the operational needs of the divisions.
- f) All records will be kept in safe and secured custody according to prescribed procedures.
- g) Periodic compliance audits will be conducted with the guidance of Internal Audit in order to ensure risk reduction on records management.

9. References

- 9.1 Cape Peninsula University of Technology (2017) Records Management Policy.
- 9.2 Central University of Technology
- 9.3 North West University, (2009) Records Management Policy.
- 9.4 University of South Africa, (2007) Records Management Policy.

