

STAKEHOLDER BRIEFING REPORT

As at 25 June 2016

**Integrated Document
Management and
Human Resources Records
Restoration Project**

Document Enquiries

Document enquiries may be directed to:

Attention: Thabisile Khanyile / Jenni Krause – PMO Project Manager
crmcpmo@ecdoe.gov.za | CRMC Call Centre: 087 813 1158 |

Approvals

This document requires the following approvals.

Table 1 Approvals Required

| Name | Signature | Title | Date of Issue | Version |
|---|------------------|------------------|----------------------|----------------|
| 1. Marius Harmse | | Project Owner | 25 June 2016 | 1 |
| 2. Xoliswa Kese | | Project Champion | | |
| 3. Sizakele Nontsikelelo Netshilaphala | | Project Sponsor | | |

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1 RECORDS MANAGEMENT PROJECT

1.1 PURPOSE

The purpose of this document is to provide all Stakeholders with:

- information on the rationale for the *interim* centralisation of records management processes and the establishment of the HR Records Restoration Project;
- an overview of the objectives of the Records Management Project;
- an overview of the envisaged benefits of the records restoration project and the implication thereof for staff currently performing registry functions at Head Office and District Offices; and
- a progress report on Phase 1 of the project implementation.

1.2 "AS IS" BACKGROUND

- Currently the departmental HR, Financial and **SCM registry** functions are operated manually and is paper based. Given the number of employees employed by the Department each with 5 files, approximately 325,000 files need to be maintained in line with a comprehensive set of standards issued by the National and Provincial Archivists.
- A significant number of Personnel Files are incomplete and not compliant with National Minimum Information Requirements (despite several previous "get the record straight" initiatives).
- Qualification Certificates of employees are not verified as prescribed by the South African Qualifications Authority.
- Incomplete Personnel Files resulted in PERSAL not being compliant with systems standards, data files being incomplete and currently unreliable to provide the requisite management information and loss of files. (Education profiles of Educators incomplete/unreliable currently no Educator with a profile matching some of the critical subject offerings).
- Document access and security arrangements are problematic with the ECDOE running a daily risk of unauthorised access to sensitive and personal information.
- Decentralised Registry Offices at the 23 sites and even facilities at Head Office are totally under-resourced both in terms of infrastructure (office space, filing cabinets, ICT support, etc.) and staffing to operate the registry function through manual processes to control the movement of files and documents through hand written registers.

1.3 PROJECT OBJECTIVES

- The main objective of the Project is to transform the current **registry** function of the ECDOE into a **document and records management** function compliant with national norms and standards supported by appropriate ICT technologies to deal with the exceptionally high volume of documents flowing through the Department.
- Other objectives are to:

- Initially run the Project as a pilot and to decentralise a well-tested solution to the newly configured 12 District Offices and Head Office (appropriately resourced).
- Restore all Personnel Records to be compliant with NMIR standards and audit requirements.
- Restore the integrity of the PERSAL system.
- Develop an electronic back-up records management system reducing the need to work from paper based records by HR Practitioners and Supervisors and to prevent as far as possible the loss of documents.
- Trace the location and flow of documents effectively, efficiently and economically in the ECDOE.
- Develop employees currently assigned with **registry** functions in the application of **modern records management practices** and the application of electronic solutions.
- Enhance speedily access to key documents for auditing and other operational reasons from multiple sites by duly authorised users.
- Optimally enhance document and records security protocols.
- Channel time and energy currently being wasted on searching for source documents towards the improvement of work procedures and quality outputs.
- Develop a secure and appropriately configured repository (both in hard and soft copy format) of all departmental financial and supply chain management documents/records to enhance audit outcomes.
- Develop a documents/records archiving and disposal system for the Department.

1.4 PROJECT DELIVERABLES

The Project will be executed in various distinct phases (some will run concurrently) as follows:

- | | |
|-----------------|--|
| Deliverables 1: | Project Set-up inclusive of turnkey solution and infrastructure development. |
| Deliverables 2: | File and Document Collection (Including the sorting records and development of an Electronic Inventory of Files and Records). |
| Deliverables 3: | File audit and restoration inclusive of SAQA verification PERSAL updating and digitalisation of all files/records. |
| Deliverables 4: | Development and deployment of a Tracking Solution in the 23 Districts and Head Office. |
| Deliverables 5: | Development of a decentralised solution in the 12 Districts and Head Office inclusive of employee, systems and appropriate ICT infrastructure development. |
| Deliverables 6: | Operational monitoring, evaluation and systems alignment. |

The following key milestones are reported since starting with the Project mid-May 2016:

- Project Set-up and District Scoping Exercise completed. This included pre-lifting sensitisation and change management sessions conducted with Cluster Chief Directors, District and Head Office Staff.
- Central Records Management Centre (Document Warehouse) set-up in line with NARS requirements completed including initial access security arrangements.
- OptiMIS Solution implemented to support the Sorting and Ordering Process, with work stations installed and tested.
- Documents lifted from 23 District Offices and Head Office Components under tightly controlled and in line with strict audit standards.

- File and records cataloging process initiated on a shift basis to ensure the development of an electronic inventory of all records within a period of 2 weeks. The shifts have been increased 3 shifts a day due to the volume of files that have been received.
- Document Management Call Centre established to support departmental users to secure, in line with protocol standards, documents or files required for auditing purposes and critical transactions like leave gratuity payments, etc.
- Synchronisation arrangements with other Special Projects like the CPC and PILIR Project established (the arrangement whereby HR PERSAL Users will in future work on dual computer screens displaying the PERSAL Screen and the Electronic File of the Employee will for instance be piloted at the CPC).

1.5 PROJECT BENEFITS

The main benefits of the Project are:

- A records management system compliant with legislatives imperatives and standards determine by the National and Provincial Archivists.
- Secure Repository(ies) of departmental documents, records and files.
- An electronic back filing system accessible from multiple sites (according to access protocols) eliminating the need to transport/courier documents at risk over substantial distances) as well as the loss of documents.
- HR Records fully compliant with NMIR requirements and a reliable PERSAL database to inter-alia inform departmental planning and reporting processes.
- Streamlined work processes for HR staff to do appointment, service benefit, leave administration and exit benefit transactions within the shortest possible times thereby increasing staff satisfaction and indirectly learning outcomes.
- A platform for fast and reliable auditing procedures eliminating the waste of time and energy to search for source documents. Better audit outcomes.
- Significantly reduce the time to capture transactions on PERSAL and BAS and the correctness thereof.
- Assist the Department to restore the integrity of its leave administration practices and then more specifically the auditing of capped leave credits which significantly decrease the recorded liability of approximately R3bn.
- **Enhance the internal control environment.** It has come to light that some staff responsible for PERSAL and BAS transactions are at times processed without reference to source documents.

NOTE 1: Section 38 (1)(a)(i) of the Public Finance Management Act 1 of 1999 (PFMA) assigns the responsibility of ensuring that the department maintains effective, efficient and transparent systems of financial and risk management and internal control to the accounting officer.

NOTE 2: An Accounting Officer who fails to comply with the Section 38 of the PFMA is guilty of an offence and liable on conviction to a fine, or imprisonment for a period not exceeding 5 years (sect 86(1) of PFMA)

1.6 IMPACT ON STAFF

It is envisaged that-

- no employee will lose his or her job;
- dedicated staff development programmes will enable employees in the records management domain to perform optimally;
- staff will be exposed to best practice models and technology and to work SMART;
- “fit for purpose” office accommodation will be provided at all District Offices;
- appropriate tools of the trade facilities and ICT systems will be provided to document management staff to perform their work;
- time and energy wasted on search expeditions will be re-directed towards quality enhancement;
- the current registry function will be “professionalised” opening up other career opportunities for staff; and
- the morale of employees will be enhanced as a better service will be delivered to them by HR Components.

2 HIGH LEVEL PROGRESS REPORT

The project is at the completion of Phase 1 and is now entering phase 2

Phase 1 comprised of the following:

- Situation analysis and assessment of all Upliftment sites
- Established of Central Records Management Centre CRMC, including the following infrastructure
 - Security
 - ICT
 - Furniture and fittings
- Identification of compliance requirements
- Risk and benefits report, establish single upliftment vs staggered upliftment
- Change Management and Communication
 - District Manager Presentation – all DM's present
 - Individual presentations to clusters, including Deputy Directors

3 STATUS QUO: SYNCHRONISED UPLIFTMENT

3.1 PRE-ASSESSMENT PROCESS

As part of the Upliftment preparations, pre-assessment site visits of all Upliftment points were conducted to inform:

- Volume of documents to be uplifted
- Location of all documents to be uplifted was known
- Any logistical requirements to be incorporated

The above then informed the overall upliftment planning.

3.2 UPLIFTMENT METHOD

In order to establish the optimum upliftment method, a document was compiled, analysing the 2 upliftment methods, namely:

- Single, synchronized day
- Staggered upliftment

This document outlined all the positives and negatives for each option, together with any compliance elements that impacted on them. This was then supplied to the department for consideration.

Single, synchronized upliftment was approved, as it offered the following benefits:

- For the first time, the department will have known population of ALL HR and PVR files within a 2 week period:
 - Able to identify missing files – i.e. payment made on BAS, no payment voucher in the registry
 - Able to access files and supply to AG etc easily as their physical location, down to the box number, is known

3.3 13TH JUNE UPLIFTMENT DELAY

- The single, synchronized upliftment was scheduled for the 13th June 2016
- A postponement was forced to the impact of the taxi strike on the 10th June due to the impact on the numerous logistical elements
- All logistics were rescheduled for the 20th June

3.4 20TH JUNE UPLIFTMENT

3.4.1 PROCESS

- On the morning of the 20th June, the Upliftment Teams were present at each Upliftment Site 8am
- The teams comprised of:
 - Authorised Department Officials from Records and Registries were assigned to accompany each of the teams
 - Auditors from Sizwe Ntsaluba and Gobodo to oversee and enforce the necessary controls
 - Coordinator to oversee the labour packing the boxes
 - Minimum 2 security guards per site
 - 1 Armed Response Vehicle per site to accompany each truck
 - Local Labour to pack the boxes
- Upliftment Process Summary:
 - Change Management and Communication with District Manager and identified officials
 - Files and documents boxed and sealed
 - Boxes loaded into the truck
 - Number of boxes recorded on a checklist and signed by Auditor
 - Seal secured once the truck is full
 - Seal broken at warehouse only after:
 - Photo of untampered seal is taken
 - Registration number of the truck documented
 - Department official confirming that seal intact on delivery
 - Auditor at warehouse confirms correct number of boxes off loaded at CRMC

- Boxes secured in CRMC

3.4.2 OUTCOMES

The following are some of the outcome realized from the Upliftment Process:

- All files now secured at the CRMC
- All seals correctly checked and intact on delivery to the CRMC
- No incidents experienced with the Transport Vehicles
- All labour involved with the upliftment process paid

3.4.3 CHALLENGES

- We were not able to achieve a single day upliftment, essentially because of the following elements:
 - Resistance by district officials, ranging from clerks to the teachers themselves
 - Resistance by organized labour unions
- Despite having all the necessary strategies and authorization, various interventions were required to complete the collection of files, including:
 - Arrangement of police and police escorts
 - Supply of locksmiths
 - Additional staffing and transport
- The full Team, both from a staffing and transport perspective, extended through the nights to manage the logistics to secure the files. This sometimes extended through the night, some way past the 24 working period.
- Financial Implications of these challenges and interventions are contained in a separate departmental report which is not yet finalized.

Table below, highlights these challenges and overall impact:

| District Site Name | District Official Challenges | Union Intervention in Process Challenges | Unrest on site | Intervention required | | | | Impact |
|--------------------|------------------------------|--|----------------|-----------------------|--------------------|-------------------------------|-------------|-------------------------------------|
| | | | | Police Arranged | Locksmith Arranged | Discussion with Union Members | Riot Police | |
| COFIMVABA | y | y | y | y | y | y | | Alternate Procedures - 5 days delay |
| LADY FRERE | y | y | y | y | y | y | | Alternate Procedures - 3 days delay |
| QUEENSTOWN | y | y | | y | y | y | | Alternate Procedures - 3 days delay |
| STERKSPRUIT | y | y | y | y | y | y | | Alternate Procedures - 3 days delay |
| CRADOCK | y | y | y | y | | y | | 3 Day delay |
| FORT BEAUFORT | y | y | y | | | y | | 3 Day delay |
| PORT ELIZABETH | y | | | | | | | 3 Day delay |
| UITENHAGE | y | | | | | | | 3 Day delay |
| KINGWILLIAMSTOWN | y | | | | | | | 2 Day delay |
| LIBODE | y | | | | | | | 2 Day delay |
| LUSIKISIKI | y | | | | | y | | 2 Day delay |
| MALUTI | y | | | | | | | 2 Day delay |
| MOUNT FLETCHER | y | | | | | | | 2 Day delay |
| BUTTERWORTH | y | | | | | | | 1 Day delay |
| DA GAMA | y | | | | | | | 1 Day delay |
| DUTYWA | y | | | | | | | 1 Day delay |
| GRAAFF REINET | y | | | | | | | 1 Day delay |
| GRAHAMSTOWN | y | | | | | | | 1 Day delay |
| HANKER SITE | y | | | | | | | 1 Day delay |
| MTHATHA | y | | | | | y | | 1 Day delay |
| QUMBU | y | | | | | | | 1 Day delay |
| RUBUSANA | y | | | | | | | 1 Day delay |
| THEMBALABANTU | y | | | y | | | y | 1 Day delay |
| ZWELITSHA | y | y | y | y | | y | y | 4 Day delay |
| BIZANA | | | | | | | | No problems Experienced |
| MOUNT FRERE | | | | | | | | No problems Experienced |
| NGCOBO | | | | | | | | No problems Experienced |
| TOTALS | | | | | | | | |

Mop-up collections and day-to-day files will be arranged an uplifted on a monthly basis going forward.

3.5 COMMUNICATION STRATEGY

Communication and Change Management is regarded as a vital component to the support all the deliverables and activities of the project.

This theme had been broken into essentially 3 phases namely:

- Pre-upliftment
- During upliftment
- Post-upliftment

Pre-upliftment: Communication during this stage was as follows:

- 21 April 2016 – Presentation of project to the Registry Clerks from all districts
- 31 May 2016 – Full project overview presented to Top Management (District Manager, Senior Managers).
- 2 June 2016 – Staff from HR, Finance, Document Management and Registries at Head Office were provided with a project brief.
- Additional presentations were made to all District Directors in all 3 Clusters. In 2 of these Clusters, Deputy Directors HR and Finance were also present.

The information on the upliftment method, upliftment times and security measures was purposefully withheld to manage the risk associated with this type of project.

During the upliftment:

- A memorandum accompanied the upliftment teams. This detailed the processes that would be followed, the training program that would be put in place post upliftment, as well as the necessary authorization to uplift the files
- A short presentation was done at some of the Collection sites informing the District Officials about the project, its purpose and the anticipated benefits.

Post-upliftment: Various Communication and Change Management activities are planned, including the following:

- Comprehensive engagement sessions will be held in all District Offices were initially scheduled for 21 & 22 June, (to directly follow the upliftment) however, the delays experienced with the planned “single, synchronized upliftment” of files and the resistance encountered, necessitated these interventions to be aborted and rescheduled.
- Sensitization sessions with Union Leaders as well as Inter-Governmental Partners will take place within the next week. Dates will be finalised and communicated.
- Review and Re-setting: A rationalization session with the client to determine a support program is being planned for the need of further Change Management engagement with employees
- An Official Circular was distributed to leadership within the Department, informing them about the current status of the project.
- Pamphlets and Posters were printed and distributed to Head Office and District Offices, depicting the overview of the project and the benefits to the Department and the employees.
- An advertorial was placed in the local newspaper, The Daily Dispatched, published on the 25th June 2016

- A Media Conference is scheduled for Monday, 27th June at 11am at the Document Warehouse. Invited to this session are various Stakeholders, Media houses as well as SABC, eNCA and Local Radio Stations
- A pre-recorded radio advertisement will be compiled for local radio as a recurring message about the project's short and long term benefits. This will be done in 4 languages IsiXhosa, English, Afrikaans and SeSotho.
- Follow-up Editorials will be compiled by the Communication Team be used for the purpose of media release, focusing on the key components and milestones reached during the project lifecycle. This will be sent out every two weeks.
- Regular updates on staff training will be disseminated to highlight progress as well as updates on the digitalization progress per district
- Social media campaigns: An integrated Facebook Campaign is scheduled to go live early July.
- A monthly electronic News Letter on progress, milestones reached and any updates relating to the project
- Communication using bulk SMS's on a regular basis to keep stakeholders and employees informed
- Merchandise with key and core messaging will give the project visibility and longevity

3.6 TRAINING

- Training was planned for each of the upliftment sites on the 2 days of following the upliftment. However, due to the challenges experienced, this was not possible
- Trainers are available to commence with training as soon as they receive confirmation of dates from Cluster Chief Directors. This training will be done either for an individual district in a district office or on a cluster basis in a central venue.
- The training will comprise of:
 - Impact on the current document management SOP
 - Management of day-to-day files
 - Use of the OptiMIS TrackIT application, that will track each file/document to the point of receipt at the Central Records Management Centre.
 - Access to files residing at the CRMC, via the Document Management Call Centre and OptiMIS
- All users, including Supervisors will undergo training

4 STATUS QUO: SORTING AND ORDERING (INDEXING)

4.1.1 OBJECTIVES

The Sorting and Ordering (Indexing) Process has 3 key objectives:

1. Creating an electronic inventory of all Personnel and Payment Vouchers (including Journals). This will enable the department for the first time to:
 - a. Report on the completeness of their registry, i.e. what physical files are missing or duplicated
 - b. Easily locate requested files
2. Identifying 'special files', namely:
 - a. Files required by the AG and any other special projects
 - b. Files requiring SAQA verification. These are ring fenced and controlled separately from the registry
3. Separating Active from Inactive Files

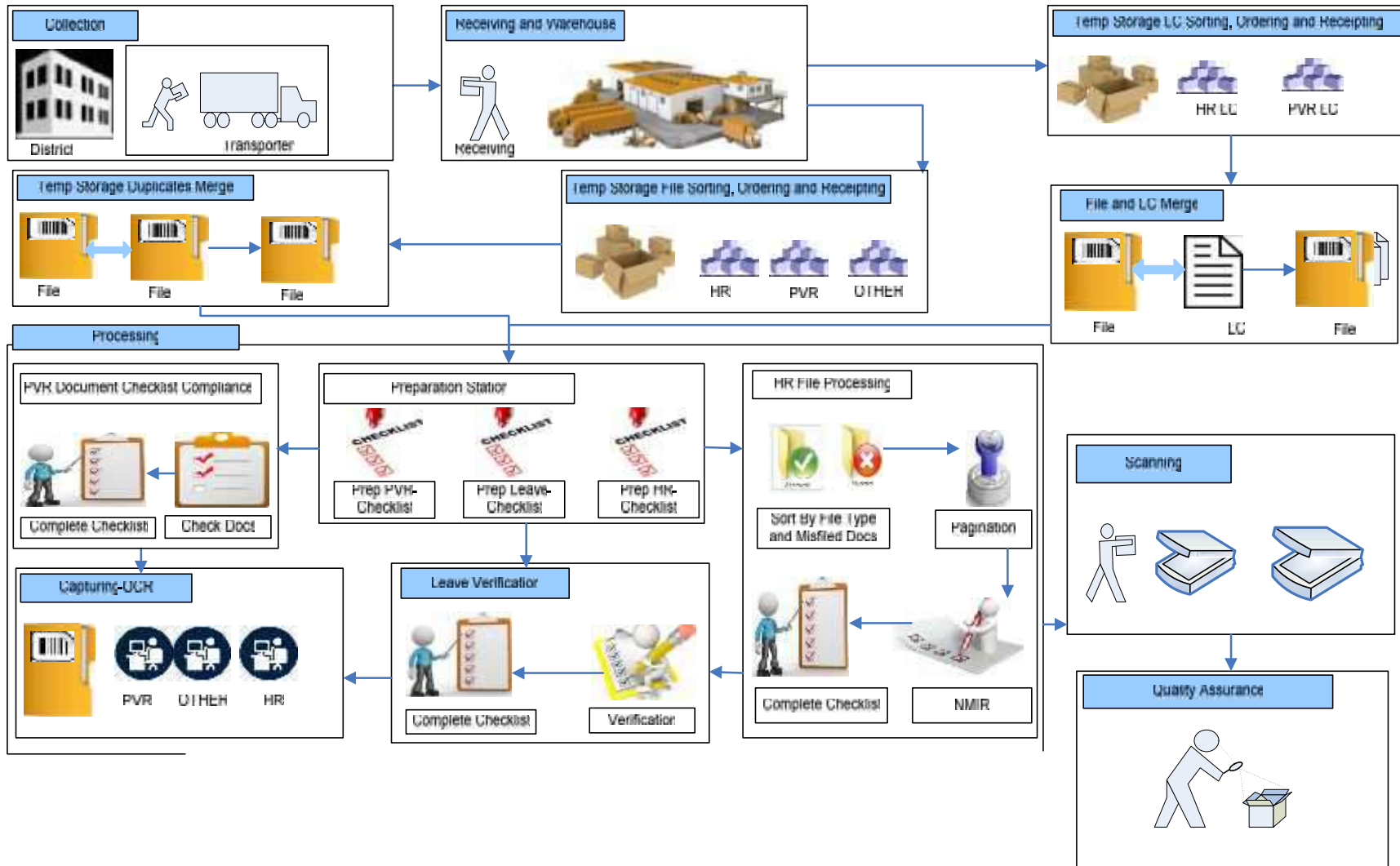
4.1.2 PROGRESS

The files would be indexed within a 2 week period. To support this, double shifts were put in place, with processing commencing on the 21st June. In order to get all files indexed within 2 weeks, as agreed with the department PMO, double shifts were put in place. This will be followed by the merging of duplicate files and loose correspondence.

With the challenges in upliftment process, as highlighted above, the team was only able to establish the true volume of files on Friday, 24th June, when all but Sterkspruit's files, were in the Central Registry. The volumes received at the Central Registry are significantly higher than anticipated. To address these volumes and maintain the 2 week indexing period, the processing team will be increasing their capacity from 2 shifts in week one (16 hours), to around the clock (24 hour) processing from week two.

5 CONTENT AUDIT AND SCANNING

On completion, the necessary content audit and scanning processes will commence.



5.1 NMIR

- Staffing compliment at the warehouse has been increased from 60 to 120
- This will support with the timely commencement of scanning

5.2 SAQA

- The personnel records will undergo SAQA verification.
- These are being identified up front via the sorting and ordering process
- This allows for these files to be prioritised if necessary as they have been ring fenced up front

5.3 QUALITY ASSURANCE

- This is done on a daily basis across all processes on the floor
- Daily statistics are supplied to monitor the output of this process

5.4 SCANNING

- This will commence after 3 weeks. i.e. on completion of:
 - Sorting and Ordering Process, both document and Loose correspondence
 - Merging of duplicate files

5.5 STAFFING COMPLIMENT

- 1000 staff utilized to facilitate the upliftment of the files across the province
- 300 processing staff to support the above mentioned processes in the warehouse

6 VENUE

- The Central Records Management Centre (warehouse) has been deemed as the ECDoE site by the Provincial Archivist, and certified as compliant with limited exemptions.
- The venue is National Archives and Records Services (NARS) compliant, with continuous updates being applied
- Security:
 - Access control:
 - currently being managed via a formal sign-in process and the use of personalized name tags
 - Digitised access soon to be installed
 - Electric fence nearing completion
 - Numerous security guards on site
 - CCTV installation nearing completion
 - Actual registry is fenced off and secure
- Cleaning staff on site
- OHS in place
- Demarcated working areas, including dry-walling and carpets. Currently on 'Sorting and Ordering' area, with the others to follow while Sorting and Ordering is completed

7 DOCUMENT MANAGEMENT CALL CENTRE (DMCC)

The EC DoE Document Management Call Centre is based at the Central Records Management Centre (warehouse) and has been implemented to assist districts with file related queries, whilst files are undergoing processing and auditing. The DMCC is supported by a web based Call Centre Management System, configured to automate call management processes for the duration of the project.

Districts have been supplied, where possible, with the necessary SoP and Call Centre number when the files were uplifted. Further training will be supplied to all upliftment sites to ensure correct understanding of the processes.

7.1.1 OBJECTIVES

- Support district offices with electronic file requests whilst physical files are being processed and audited at the CPC.
 - Access to files/information will be done a controlled process as signed off by the Department
 - Only electronic/soft copies will be supplied unless authorized by the Department
- Operated by qualified, experienced departmental staff
- Support callers with queries related to the project
- Call centre links directly with registry, allowing Call Centre Staff to create their list of required documents and facilitate their drawing from the registry.
- Registry Support staff pick and transfer ownership of files to collecting official
- Scan individual pages or entire file, which then forms part of electronic image repository
- Emailed to authorized individual
- Manage outbound communications via the DMCC
- Is it intended to grow the DMCC into a fully integrated Call Centre, thereby allowing callers to contact the Call Centre on queries outside the Document Management Project. The scope of this will be defined in the next 2 weeks.

SIYACOCA, SIKHAWULEZILE SILIPHONDO
OWNING UP, CLEANING UP AND SPEEDING UP

