APPOINTMENT OF A SERVICE PROVIDER TO REVIEW AND UPDATE THE DEPARTMENT OF COOPERATIVE GOVERNANCE (DCOG) FILE PLAN FOR A PERIOD OF SIX (6) MONTHS

1. Purpose

The purpose of this project is to appoint a service provider to:

- Conduct a comprehensive review of the existing Departmental File Plan.
- Analyse and document business processes across all branches and business units.
- Identify records created, received and maintained by each business unit.
- Identify gaps, duplication and obsolete classifications in the current File Plan.
- Develop and implement an updated functional File Plan aligned to departmental business functions and activities.
- Ensure compliance with National Archives requirements and records management best practices.
- Obtain business unit validation and management approval of the updated File Plan.
- Prepare supporting documentation required for submission to the National Archives and Records Service of South Africa (NARSSA) where applicable.

2. Scope of Work

The scope of work is structured into six phases. A dedicated Preliminary Investigation and Current State Analysis phase precedes business process mapping and File Plan development, so that both activities are anchored to a validated baseline of the Department's current records, systems and classification practices, rather than proceeding directly to redesign without first establishing what currently exists.

2.1 Scope Boundaries

The following boundaries define the extent of the engagement. The Department must confirm and finalise the precise figures and site list during Phase 1 (Inception and Planning), and the confirmed list forms part of the signed-off Project Plan.

- Organisational scope: the review covers [insert number] branches and [insert number] business units within the Department. The service provider must obtain a definitive, signed-off list of all in-scope branches and business units from the Department during Phase 1, before Phase 2 (Preliminary Investigation) commences.
- Geographic/site scope: the review covers records and business processes at [Head Office only – confirm / Head Office and all provincial and regional offices – confirm]. Unless the Department specifies otherwise, the default assumption is that all sites at which the Department creates or holds records – Head Office, provincial offices and regional/district offices – are in scope. The final site list must be confirmed and documented in the Project Plan.
- Records format scope: the updated File Plan must be applicable to, and cover the classification of, both paper-based (physical) and electronic records held by all in-scope business units. The Preliminary Investigation (Phase 2) must document all systems currently used to create, manage or store records, including any Electronic Document and Records Management System (EDRMS), shared network drives, email systems and physical registries, so that the resulting File Plan can be applied consistently across both physical filing and electronic recordkeeping environments.
- EDRMS scope: where an EDRMS is currently in use, the service provider must document its current configuration and classification structure, and provide recommendations for aligning the updated File Plan's classification scheme to the EDRMS. The design, procurement, configuration or implementation of an EDRMS itself is explicitly excluded from this scope of work, unless separately instructed in writing by the Department.

Phase 1: Inception and Planning

- Conduct an inception meeting with the Department to confirm project scope, governance structure, reporting lines and key stakeholders.
- Develop and submit a detailed Project Plan, methodology and work schedule for approval.

- Identify and confirm the list of branches and business units in scope.

Phase 2: Preliminary Investigation and Current State Analysis

Before any business process mapping or File Plan development begins, the service provider must establish a validated current-state baseline, comprising:

- Review of the Department's legislative and regulatory mandate, strategic plan and organisational structure, to inform the functional basis of the File Plan.
- Review and documented assessment of the existing File Plan, including its classification logic, structure and known weaknesses.
- A records survey/audit across all business units, covering record types, volumes, formats (paper and electronic), storage locations and systems in use (registries, EDRMS, shared drives, archives).
- Assessment of current records management practices and controls against National Archives and Records Service Act 43 of 1996 and related NARSSA regulations and guidelines.
- Production of a Current State Assessment Report, to be reviewed and signed off by the Department before Phase 3 commences. This report forms the baseline against which gaps, duplication and obsolete classifications are identified in later phases.

Phase 3: Business Process Mapping and Consultations

- Conduct functional analysis of each business unit's functions and activities (not limited to the organisational chart), consistent with a functional classification approach.
- Identify records created, received and maintained per function and activity, cross-referenced against the Phase 2 Current State Assessment Report.
- Consult with business units to validate business process maps.

Phase 4: File Plan Review and Development

- Identify gaps, duplication and obsolete classifications by comparing the existing File Plan (Phase 2 findings) against the mapped functions and activities (Phase 3 findings).
- Design the updated functional File Plan, aligned to departmental business functions and activities.
- Draft associated records retention and disposal guidance, where required.

Phase 5: Validation Workshops

- Present the draft File Plan to business units for validation through structured workshops.
- Incorporate feedback and resolve discrepancies raised during validation.

Phase 6: Finalisation and Approval

- Obtain formal management approval of the updated File Plan.
- Prepare the supporting documentation required for submission to NARSSA, where applicable.
- Conduct skills transfer activities (see Section 4).

3. Proposed Timeline

The timeline below reflects the six-phase scope of work, with the Preliminary Investigation and Current State Analysis phase resourced as a distinct activity within Months 1–2, rather than assumed to occur informally during business process mapping.

Activity	Timeline
Inception and Planning	Month 1 (Weeks 1–2)

Preliminary Investigation and Current State Analysis	Month 1–2 (Weeks 2–6)
Business Process Mapping and Consultations	Month 2–3
File Plan Review and Development	Month 3–4
Validation Workshops	Month 5
Finalisation and Approval	Month 6

4. Skills Transfer

The service provider must ensure transfer of skills to departmental officials by:

- Conducting hands-on workshops.
- Training Records Management Officials.
- Providing File Plan maintenance guidelines.
- Providing recommendations for ongoing governance and maintenance.