QualityProcedure

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Purpose

This procedure is established and maintained to ensure that the appraisal and disposal of records are carried out systematically and in accordance with the approved procedure.

Scope

This procedure covers the appraisal and disposal of records management activities as stipulated under Section 14(1)(d) of the Sarawak State Library Ordinance, 1999. It is applicable only to the Records Management Sector, Pustaka Negeri Sarawak.

This procedure includes the appraisal and disposal of public records for requests submitted via Borang Pemisahan Rekod and through the Archival Records Management System (ARMS).

Procedure Details:

1.0 Application for records disposition

Based on the guidelines in *Carta Aliran Penilaian Rekod Am* and *Carta Alir Pelupusan Rekod Kewangan* issued by Pustaka Negeri Sarawak, Archival Records Management System (ARMS) shall be used for any application for records disposal from government departments/agencies.

1.1 Upon receiving the application from the department/agency, the Designated Officer (DO) shall ensure the application is correctly classified as either non-financial records or financial records. If the information provided is incorrect, the application shall be rejected, and the department/agency must resubmit it.

1.3 Once assigned as the assessment officer, the DO shall complete the assessment and ensure that all records are classified as open (Terbuka) and have reached five (5) years after the file closure date (Fail Tutup).

2.0 Planning and preparation for physical records appraisal

If requests from department/agency using *FRM-RM-04 Borang Pemisahan* Rekod, proceed to procedure 2.1. If request from department/agency using ARMS, proceed to procedure 2.2.

2.1 Planning and Preparation for Physical Records Request (Borang Pemisahan Rekod)

2.1.1 DO shall contact the person in-charge of records from the department/agency to arrange the appraisal.

2.1.2 Once the person in-charge has been contacted, DO shall issue a letter via CACTUS to the department/agency to schedule an at for appointment at least ten (10) working days prior to the schedule appraisal, with details as follows:

a) Date
b) Time
c) Numbers of designated officer from Pustaka and department/agency.
d) Venue and facilities needed for the appraisal

2.1.3 In the event of an urgent request resulting from a disaster such as floods, fire, or infestation of insects and mold, the DO shall arrange for an immediate assessment and notify the relevant officer from the Archives Management Sector to conduct the assessment jointly with the DO from the Records Management Sector.

2.1.4 After the assessment, the DO shall document the findings, including the extent of damage and recommended recovery actions, and submit the report to the relevant management for approval and further action.

2.2 Planning and Preparation for Physical Records Request (ARMS)

2.2.1 DO shall contact the person in-charge of records from the department/agency to arrange the appraisal.

2.2.2 Once the person in-charge has been contacted, DO shall issue a letter via CACTUS to the department/agency to schedule for appointment at least ten (10) working days which includes:

a) Date
b) Time
c) Numbers of designated officer
d) Requirement for space and facilities to conduct appraisal

2.2.1 Once the person in charge has been contacted and the date has been confirmed, the Designated Officer (DO) shall complete the relevant details in the ARMS.

2.3 After the appointment has been scheduled, DO shall prepare item to bring during the appraisal process **(Refer to Checklist: Records Appraisal Process Tools & Equipment).**

3.0 Conduct the physical records appraisal

If requests from department/agency using *FRM-RM-04 Borang Pemisahan* Rekod, proceed to procedure 3.3. If request from department/agency using ARMS, proceed to procedure 3.4.

3.1 Before appraisal, DO shall brief person in-charge of the department/agency on the appraisal process.

3.2 After briefing session, DO shall conduct appraisal of records as request by department/agency.

3.3 Conduct the physical records appraisal (Borang Pemisahan rekod):

3.3.1 Each records will be checked by minimum two (2) designated officers (Grade S5 and above) by referring *Kriteria Penilaian Rekod* and *Jadual Pelupusan Rekod Am*. Remarks shall be recorded in the Catatan column.

3.3.2 During appraisal process, *Slip Penilaian Rekod* will be attached on the file that has been checked with the recommended appraisal criteria.

3.3.3 Upon completion of appraisal process, records that have been appraised shall be segregated based on the following decision:

a) Retain in department/agency or;
b) Transfer to Pustaka Negeri Sarawak or;
c) Disposal.

3.3.4 Upon the completion of segregation of records, DO shall fill in the *FRM-RM-05 Laporan Ringkas Penilaian Rekod* and brief the person in-charge of the department/agency on the outcomes of the appraisal work. One (1) copy of *FRM-RM-05 Laporan Ringkas Penilaian Rekod* will be given to the department/agency, and another copy will be kept by Pustaka Negeri Sarawak.

3.3.5 Once appraisal session has been done, the department or agency representative shall fill in *FRM-RM-13 Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod.*

3.4 Conduct the physical records appraisal (ARMS):

3.4.1 Based on appraisal criteria, each records will be checked by minimum two (2) designated officers (Grade S5 and above) by referring *Kriteria Penilaian Rekod* and *Jadual Pelupusan Rekod Am* and give remarks at the *Assessment Remark* column in *ARMS.*

3.4.2 During appraisal process, *Slip Penilaian Rekod* will be attached on the file that has been checked with the recommended appraisal criteria.

3.4.3 Upon completion of appraisal process, records that have been appraised shall be segregated based on the following decision:

a) Retain in department/agency or;
b) Transfer to Pustaka Negeri Sarawak or;
c) Disposal.

3.4.4 Upon the completion of segregation of records, DO shall fill in the *FRM-RM-05 Laporan Ringkas Penilaian Rekod* and brief the person in-charge of the department/agency on the outcomes of the appraisal work. One (1) copy of *FRM-RM-05 Laporan Ringkas Penilaian Rekod* will be given to the department/agency, and another copy will be kept by Pustaka Negeri Sarawak.

3.4.5 Once appraisal session has been done, the department or agency representative shall fill in *FRM-RM-13 Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod.*

4.0 Preparing physical appraisal report

If requests from departments or agencies using ***Borang Pemisahan*** **Rekod**, proceed to procedure **4.1**. If request from department or agencies using **ARMS,** proceed to **procedure 4.2.**

4.1 Preparing physical appraisal report (Borang Pemisahan Rekod):

4.1.1 After the appraisal work completed, DO shall prepare and compile report of the appraisal according to the format (Refer to annexes 3: *FRM-RM-06 Laporan Penilaian Rekod*) and submit the hardcopy format to HOD for comments and endorsement within sixty (60) working days upon completion of physical appraisal.

4.1.2 After HOD endorsement, the report and official letter shall be sent to the department/agency via CACTUS or post within seven (7) working days after signing by HOS.

4.1.3 Records recommended for transfer to Pustaka Negeri Sarawak, shall refer to **QP-AM-01: Transfer and Receive of Department/Agency Records and Archives**. Report on appraisal recommended for transfer will be handed over to *Unit Pemindahan, Bahagian Pengurusan Arkib* by using FRM-RM-07 *Penerimaan Laporan Penilaian Rekod* within seven (7) working days after the letter sign by HOS. Records recommended for disposal shall refer to process in **No.6.0.**

4.2 Preparing physical appraisal report (ARMS)

4.2.1 After the appraisal work has been completed, the Designated Officer (DO) shall notify the relevant department/agency via email that the appraisal has been conducted and that the appraisal report can be referred to in ARMS using the department's request ID within ten (10) working days.

4.2.2 One (1) copy of the records appraisal report shall be printed for the purpose of filing in the *Pelupusan Rekod Pentadbiran* file.

4.2.3 Designated Officer (DO) shall notify *Unit Pemindahan rekod jabatan, Bahagian Pengurusan Arkib* via email within seven (7) working days after appraisal has been conducted. Records recommended for transfer to Pustaka Negeri Sarawak, shall refer to **QP-AM-01 Transfer and Receive of Department/Agency Records and Archives**. Records recommended for disposal shall refer to process in **No.6.0.**

5.0 Preparing for Disposal of Housekeeping and Functional Records (Borang Pemisahan Rekod and ARMS)

If request from departments or agencies using *Borang Pemisahan* Rekod, proceed to procedure 5.1. If request from department or agencies using ARMS, proceed to procedure 5.2.

5.1 DO shall prepare and compile report on records recommended for disposal based on FRM-RM-06 *Laporan Penilaian Rekod*.

5.2 After preparing the report for records recommended for disposal, DO shall arrange State Records and Archives Retention Committee (SRARC) meeting with date, time and location. For applications submitted through ARMS, the DO shall update the relevant information in ARMS (meeting date, time and venue).

5.3 During the SRARC meeting, files recommended for disposal shall be presented to the committee by providing appraisal report and listing. For applications submitted through ARMS, the DO shall update the relevant information in ARMS based on the decisions made during the SRARC meeting.

5.4 The decision made during the SRARC meeting will be forwarded to Pustaka's Board of Management meeting for endorsement and approval.

5.4.1 Upon approval, DO shall issue a letter of approval to department/agency via CACTUS to conduct disposal of records. The department/agency will be given three (3) months to conduct the disposal activities from the date of letter issued. While if not approved, send letter to inform the department/agency to retain or transfer their records to Pustaka Negeri Sarawak.

Note: Proceed to process **No.6.0** for disposal of Housekeeping and Functional Records.

6.0 Disposal of Housekeeping and Functional Records

6.1 Once the records recommended for disposal are approved, the department/agency shall submit an official confirmation letter via CACTUS stating the proposed disposal date, location, and time at least ten (10) working days prior to the actual disposal date.

If the disposal cannot be carried out on the proposed date, the DO shall notify the department/agency of the postponement via email within ten (10) working days.

6.2 Once received the letter from the department/agency, the DO will witness the destruction of records according to the date, location and time as agreed between the department/agency and Pustaka Negeri Sarawak.

6.3 Upon completion of disposal process, *Sijil Pelupusan Rekod Am* of records disposal will be issued to the department/agency. Once it has been duly signed by the SRARC Chairman, the hardcopy will be returned to the department/agency via an official letter within ten (10) working days. And, for request from department or agencies using ARMS, Sijil Pelupusan rekod Am will be uploaded in ARMS.

6.4 Once disposal session has been done, the department or agency representative shall fill in *FRM-RM-13 Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod.*

7.0 Disposal of Financial Records (Application request through ARMS)

7.1 Based on the guidelines in *Carta Aliran Penilaian Rekod Am* and *Carta Alir Pelupusan Rekod Kewangan* issued by Pustaka Negeri Sarawak, Archival Records Management System (ARMS) shall be used for any application for records disposal from government department/agency.

7.2 DO shall notify the department/agency via email to inform them on the following matters in fifteen (15) working days:

a) To get approval for disposal from *Jabatan Audit Negara Negeri Sarawak* and *Jabatan Perbendaharaan Negeri Sarawak (for State Ministries/State Departments)* or State Financial Secretary *(for State*

Statutory Bodies) or *Kementerian Kesihatan Awam, Perumahan dan Kerajaan Tempatan Sarawak* (for Local Authorities agencies) and Suruhanjaya Pencegahan Rasuah Malaysia (SPRM) (if it involves a case under investigation).

b) The department/agency must upload the approval for disposal from *Jabatan Audit Negara Negeri Sarawak* and *Jabatan Perbendaharaan Negeri Sarawak (for State Ministries/State Departments)* or State Financial Secretary *(for State Statutory Bodies)* or *Kementerian Kesihatan Awam, Perumahan dan Kerajaan Tempatan Sarawak* (for Local Authorities agencies) in ARMS.

7.3 Upon receipt of complete approval from the department, the Designated Officer (DO) shall proceed to request an assessment in ARMS and shall ensure that:

i. The application is correctly classified as either non-financial records or financial records.

ii. The records are classified as open *(Terbuka)*.

iii. Have reached the retention period according to *Arahan Perbendaharaan 150* or Local Authority Financial Regulation (LAFR) or any other financial regulation.

If the information provided is found to be incorrect, the application shall be rejected. The department/agency shall resubmit the application. The reason for rejection shall be recorded in the remarks section

7.4 The DO shall notify the relevant department/agency through an official letter within twenty (20) working days upon approval of the application.

7.5 The department/agency must also notify Pustaka Negeri Sarawak on the time, date and location for disposal activities through an official letter in ten (10) working days before the actual disposal date via email or CACTUS to Pustaka Negeri Sarawak to witness the process.

7.5 Once received the letter from the department/agency, the DO will witness the destruction of records according to the date, location and time as agreed between the department/agency and Pustaka Negeri Sarawak.

7.6 Upon completion of the disposal process, the *Pengesahan Pelupusan Rekod Kewangan* will be prepared and issued to the department/agency. Once it has been duly signed by the CEO, the hardcopy will be returned to the department/agency via an official letter within ten (10) working days. DO also shall uploaded the *Pengesahan Pelupusan Rekod Kewangan* in ARMS.

7.7 Once disposal session has been done, the department or agency representative shall fill in *FRM-RM-13 Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod.*

8.0 Retention of Documented Information

8.1 After the completion of the records appraisal process, the following documents shall be placed in the Penilaian Rekod Awam Negeri Sarawak file and the file shall be kept in the State Records Repository Registry:

a) Letter to conduct appraisal
b) Reports of records appraisal

8.1.1 The Penilaian Rekod Awam Negeri Sarawak file shall be categorised as "Open" records.

8.1.2 The Penilaian Rekod Awam Negeri Sarawak file shall be kept in perpetuity from the date of its creation. As the documented information is designated for permanent retention, it shall not be disposed of and shall be preserved and maintained in accordance with the Sarawak State Library Ordinance 1999.

8.2 The following documents shall be placed in the State Records and Archives Retention Committee (SRARC) file and the file shall be kept in the State Records Repository Registry:

a) Invitation letter for SRARC meeting
b) Minutes of SRARC meeting
c) SRARC meeting attendance list
d) Decision form of SRARC meeting

8.2.1 The State Records and Archives Retention Committee (SRARC) file shall be categorised as "Open" records.

8.2.2 The State Records and Archives Retention Committee (SRARC) file shall be kept in perpetuity from the date of its creation. As the documented information is designated for permanent retention, it shall not be disposed of and shall be preserved and maintained in accordance with the Sarawak State Library Ordinance 1999.

8.3 The following documents shall be placed in the *Pelupusan Rekod Pentadbiran* and the file shall be kept in the State Records Repository Registry:

a) Notification letter of approval to department/ agency
b) Letter from department / agency on date, time and location for destruction of records.
c) Copy of certificate of disposal.

8.3.1 The *Pelupusan Rekod Pentadbiran* file shall be categorised as "Open" records.

8.3.2 The *Pelupusan Rekod Pentadbiran* file shall be kept for perpetuity period from the dates of its creation. As the documented information is designated for permanent retention, it shall not be disposed of and shall be preserved and maintained in accordance with the Sarawak State Library Ordinance 1999.

8.4 The following documents shall be placed in the *Pelupusan Rekod Kewangan* file and the file shall be kept in the State Records Repository Registry:

a) Notification letter of approval to department / agency
b) Letter from department / agency on date, time and location for destruction of records.
c) Copy of certificate of disposal.

8.4.1 The *Pelupusan Rekod Kewangan* file shall be categorised as "Open" records.

8.4.2 The *Pelupusan Rekod Kewangan* file shall be kept for perpetuity period from the dates of its creation. As the documented information is designated for permanent retention, it shall not be disposed of and shall be preserved and maintained in accordance with the Sarawak State Library Ordinance 1999.

8.5 The *Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod* shall be placed in the BSC RMD folder and kept in the Records Management staff workspace.

Annexes

a) *Borang Pemisahan Rekod*
b) *Laporan Ringkas Penilaian Rekod*
c) *Laporan Penilaian Rekod*
d) *Penerimaan Laporan Penilaian Rekod*
e) Checklist: Records Appraisal Process Tools & Equipment
f) *Borang Tahap Keberkesanan Perkhidmatan Pengurusan Rekod*