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**TITLE:THE MANAGEMENT OF PENSION RECORS AT BOTSWANA PUBLIC
OFFICERS PENSION FUND:IMPLICATIONS ON ACCESS TO THE PENSION
FUND**

OUTLINE

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INTRODUCTION

- ❖ EVERY ORGANIZATION CREATES PERSONNEL RECORDS WHICH DOCUMENT PERSONAL DETAILS OF EMPLOYEES.
- ❖ THEY POSE ONE OF THE GREATEST CHALLENGES DUE TO THEIR LONGEVITY, BULKINESS AND SENSITIVITY.
- ❖ BOTSWANA HAD HER PROBLEMS WITH PAYMENT OF PUBLIC SERVANTS PENSIONS (SUNDAY STANDARD 2008).
- ❖ THE MANAGEMENT OF PENSION RECORDS IS A COMPLEX PROCESS (BPOPF, DPSM & MFDP).
- ❖ THIS PROCESS IS MADE POSSIBLE BY SHARING OF RECORDS.

CONT' INTRODUCTION

- ❖ IT IS NOT CLEAR HOW BPOPF MANAGES THE PENSION RECORDS THEY RECEIVE FROM DPSM
- ❖ HENCE A NEED TO EVALUATE ITS RECORDS MANAGEMENT PRACTICES TO SEE HOW THEY AID EFFECTIVE MANAGEMENT OF THE PENSION PROCESS.

THEORETICAL FRAMEWORK

❖ THE STUDY USED THE LIFE CYCLE MODEL AS A GUIDE TO UNDERSTAND THE FOLLOWING:

-CREATION

-DEVELOPMENT OF FILE AND MAIL MANAGEMENT TOOLS

-FILE CLASSIFICATION

-RETENTION AND DISPOSAL SCHEDULE

❖ THE MODEL GUIDED THE STUDY IN FRAMING THE RESEARCH QUESTIONS, DESIGNS AND OUTCOMES.

BACKGROUND AND LITERATURE REVIEW

- ❖ DESPITES THE ATTEMPTS BEING MADE TO IMPROVE PUBLIC SECTOR RECORDS WORLDWIDE, PROBLEMS PERSIST IN THE WAY PENSION RECORDS ARE MANAGED.
- ❖ TAKAYAMA (2009) SERIOUS RECORDS KEEPING IN JAPAN, 69000 PENSION SALARIES RECORDS WERE SUSPECTED TO BE FRAUDULENT.
- ❖ UGANDA (2010) DELAYS IN PROCESSION PENSION BENEFITS DUE TO; POOR FILE TRACKING AND RETRIEVAL SYSTEMS.
- ❖ TANZANIA NATIONAL SECURITY FUND DEPARTMENT- INFORMATION SCATTERED AS RECORDS KEEPING WAS NOT TAKEN SERIOUSLY.

CONTD BACKGROUND AND LITERATURE REVIEW

- ❖ BPOPF ESTABLISHED 2001 WITH THE RESPONSIBILITY OF INVESTING THE PENSION CONTRIBUTIONS OF PUBLIC SERVANTS.
- ❖ ITS OPERATIONS ARE GUIDES BY THE FOLLOWING:
 - NBFIRA ACT OF 2008
 - PENSION AND PROVIDENT FUND ACT 1988
 - INCOME TAX 1995
 - RULES OF BPOPF 2004

STATEMENT OF THE PROBLEM

- ❖ SURFACED FROM THE NEWSPAPER REPORTS THAT THERE WERE DELAYS IN PAYING PENSION BENEFITS.
- ❖ WITHOUT PROPER RECORDS MANAGEMENT IT IS DIFFICULT TO ACCOUNT FOR ANY DECISION TAKEN,
- ❖ BPOPF RECORDS WERE MANUALLY CREATED AND MAINTAINED THUS SUSCEPTIBLE TO ERRORS.
- ❖ CHALLENGES WERE OBSERVED SUCH AS MISSING AND MISPLACED RECORDS; RAISED QUESTIONS OF HOW RECORDS ARE MANAGED

OBJECTIVES

- ❖ TO FIND OUT POLICIES AND PROCEDURES GOVERNING THE MANAGEMENT OF PENSION RECORDS.
- ❖ TO FIND OUT THE AVAILABILITY AND USAGE OF RECORDS MANAGEMENT TOOLS.
- ❖ TO FIND OUT THE ADEQUACY OF STAFF AND THEIR RECORDS MANAGEMENT QUALIFICATIONS.
- ❖ TO DETERMINE THE LEVEL OF RECORDS MANAGEMENT SECURITY AT BPOPF.

SIGNIFICANCE

- ❖ PROVIDES THE TRENDS AND PRACTICES WHICH REVEALED CHALLENGES ENCOUNTERED AND SOLUTIONS.
- ❖ STRATEGIC RESOURCE WHICH COULD BE USED TO DEVELOP POLICIES RELATING TO THE CREATION, MAINTENANCE AND USE OF RECORDS.
- ❖ LITERARY RESOURCE WHICH COULD INFORM RESEARCH INTO PENSION RECORDS MANAGEMENT.

METHODOLOGY

- ❖ PURPOSIVE SAMPLING WAS USED TO SELECT RESPONDENTS WHO HAD RELIABLE INFORMATION.
- ❖ IN-DEPTH INTERVIEWS USED-TAPE RECORDED,NOTES TAKEN,TRANSCRIBED.
- ❖ 16 RESPONDENTS SELECTED (TARGET POPULATION) AND 14 RESPONDENTS WERE INTERVIEWED.
- ❖ RESPONSE RATE WAS 87.5%.
- ❖ PERSONAL OBSERVATIONS WERE USED-ARRANGEMENT AND CLASSIFICATION OF RECORDS.

FINDINGS AND DISCUSSIONS

POLICIES AND PROCEDURES:

- ❖ 12 PARTICIPANTS INDICATED THAT THERE WAS NO POLICY AND 2 PARTICIPANTS THERE IS A RECORDS MANAGEMENT POLICY.
- ❖ OBSERVATION MADE NO RECORDS MANAGEMENT POLICY, PROCEDURES AND REGISTRY MANUAL PROVIDED.
- ❖ IMPLICATIONS: RECORDS MANAGEMENT PERSONNEL ARE NOT AWARE OF THEIR ROLES AND RESPONSIBILITIES TOWARDS RECORDS MANAGEMENT.
- ❖ RECORDS ARE NOT MANAGED FROM CREATION UNTIL DISPOSITION HENCE MINI RECORDS UNITS, DUPLICATION AND LOSS OF RECORDS OF ADMINISTRATIVE VALUE.

CONTD FINDINGS AND DISCUSSIONS

RECORDS MANAGEMENT TOOLS

- ❖ INCOMPLETE FILE CLASSIFICATION SCHEME- IMPLICATIONS LED TO MISFILING OF INFORMATION AND DELAYS IN RETRIEVAL AND DISSERMINATION OF INFORMATION.
- ❖ HEAPS OF FILES PILED ON THE FLOOR UNDER THE TABLES, SOME ARRANGED RANDOMLY-DELAYS PROCESSING OF TERMINAL BENEFITS.

RETENTION AND DISPOSITION SCHEDULE

- ❖ NO RECORDS RETENTION AND DISPOSITION SCHEDULE-LED TO KEEPING RECORDS FOR A LONG TIME;LACK OF SPACE,PREMATURE DESTRUCTION.

CONTD FINDINGS AND DISCUSSIONS

- ❖ IMPLICATIONS: USERS USED THEIR OWN PERSONAL EXPERIENCE AND LONG STANDING PROCEDURES TO DETERMINE HOW LONG RECORDS WERE REQUIRED.

MAIL AND FILE MANAGEMENT TOOLS

- ❖ 11 PARTICIPANTS REVEALED THAT MAIL REGISTERS WERE AVAILABLE FOR REGISTRATION OF MAIL.
- ❖ PERSONAL OBSERVATION SHOWED THAT FILE MANAGEMENT TOOLS SUCH AS MINUTE SHEET, FILE MOVEMENT CARDS BRING UP DIARY WERE PARTIALLY USED.
- ❖ IMPLICATIONS; LOSS OF RECORDS WITHOUT TRACE AND FAILURE TO COMPLY WITH THE SET REGULATIONS.

CONTD FINDINGS AND DISCUSSIONS

RECORDS MANAGEMENT PERSONNEL QUALIFICATIONS

Job Description	Qualifications	Areas for Further Training
Principal Records Officer(*1)	BA (Honors) Archival Science (UNISA) Diploma in Archives and Records Management (U.B)	Short Course on Information Communication Skills and Master of Arts Degree in Archives and Records Management
Records Officer (*1)	Diploma in Archives and Records Management (U.B)	Short Course on Information Communication Skills and Degree in Archives and Records Management

CONTD FINDINGS AND DISCUSSIONS

STORAGE AND SECURITY

- ❖ 11 PARTICIPANTS REVEALED THAT RECORDS ARE KEPT IN THE RECORDS MANAGEMENT UNIT CABINETS WHEREAS 3 PARTICIPANTS INDICATED THAT THEY ARE KEPT IN THEIR OFFICES.
- ❖ LACK OF SPACE FOR THE EVER INCREASING RECORDS.
- ❖ SECURITY- A SERVICE COUNTER AVAILABLE

RECOMMENDATIONS

- ❖ DEVELOPMENT OF A RECORDS MANAGEMENT POLICY
- ❖ FORMATION OF A RECORDS MANAGEMENT COMMITTEE
- ❖ CREATION OF AN IN-HOUSE RECORDS CENTRE COMPRISING OF HEADS OF DIVISIONS
- ❖ FURTHER TRAINING SEE TABLE 2
- ❖ DEVELOPMENT OF FUNCTIONAL FILE CLASSIFICATION, RECORDS MANUAL AND RETENTION AND DISPOSITION SCHEDULE.
- ❖ RECORDS MANAGEMENT TO BE INCLUDED IN THE STRATEGIC PLAN OF THE ORGANIZATION.

CONCLUSION

- ❖ AS MY PRESENTATION TODAY HAS SHOWN, I WOULD LIKE TO CONCLUDE THAT RECORDS MANAGEMENT AT BPOPF WAS NOT GIVEN THE STATUS IT DESERVES.
- ❖ LACK OF RECORDS MANAGEMENT POLICY HAD A NEGATIVE IMPLICATION AS IT CONTRIBUTED TO IMPROPER RECORDS MANAGEMENT.
- ❖ RECORDS PERSONNEL WERE FACED WITH DIFFICULTIES OF MANAGING RECORDS DURING THEIR CONTINUUM OF ACTIVITIES.

CONTD CONCLUSION

- ❖ INCOMPLETE FUNCTIONAL FILE CLASSIFICATION LED TO MISFILING OF INFORMATION AND DELAYS IN INFORMATION RETRIEVAL AND THE PROCESSING OF TERMINAL BENEFITS.
- ❖ LACK OF PROVEN ELECTRONIC EXPERTISE- LED TO DIFFICULTIES IN MANAGING ELECTRONIC RECORDS FROM CREATION UNTIL DISPOSITION.

THE END

THANK YOU

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