

ANNEXURE G: e-Submission BRS

DMPR Business Requirements

DEPARTMENT OF MINERAL & PETROLEUM RESOURCES (DMPR)

e-Submission (Memo, Leave & Submission) System

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**mineral &
petroleum resources**
Department:
Mineral and Petroleum Resources
REPUBLIC OF SOUTH AFRICA

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1 Introduction

1.1 Document Purpose

The purpose of this document is to provide in detail the business requirements that must be fulfilled for the successful implementation of e-Submission (Memo, Leave & Submission) system by the DMPR.

1.2 Project Background

DMPR currently follows a paper intensive manual process of managing submissions. In this state, it is virtually impossible to track the progress and whereabouts of a submission as soon as it leaves the office of the initiator (i.e. a submission can be initiated at any level: Director, Chief Director, Branch or Director General Level). This usually leads to delays in approval, the loss of the actual documents in the process, as well as late achievement of Departmental Branch targets due to rework and restarting of the process when documents are lost.

DMPR requires a modern online system to streamline and digitize the submission processes within the organization. The system will serve as a crucial tool in enhancing efficiency, transparency, and accountability across all departments.

1.3 Project Objectives

The primary objectives of the e-Submission (Memo, Leave & Submission) System are to:

- Enable the electronic submission, tracking, and management of documents within the department.
- Improve workflow efficiency by reducing manual handling and processing times.
- Enhance transparency and accountability through audit trails and tracking features.
- Facilitate easy access to submitted documents by authorized personnel.
- Support the Director-General's office with a reliable and secure platform for e-submissions.
- Integrate Microsoft-based technology to ensure compatibility with existing IT infrastructure.
- Utilize SSA-approved LawTrust e-signature for secure and legally compliant electronic document signing.

2 Dependencies and Constraints

The following factors are critical to the success of the project:

- Management support from the relevant or affected business units
- Availability of subject matter experts
- Funding

3 Scope of Work

- Design and Development: Design and develop a user-friendly, secure, and scalable e-Submission System leveraging Microsoft-based technology. See Section 6 (Processes To-Be Automated).
- Integration: Integrate the e-Submission System with existing Microsoft IT infrastructure (e.g., SharePoint, Office 365) and relevant software applications.
- Signature: Implement SSA-approved LawTrust e-signature functionality to ensure secure and legally compliant document signing.
- User Roles and Permissions: Define user roles, permissions, and access levels to ensure secure document handling.
- Training: Provide training sessions for end-users and administrators to ensure smooth adoption of the system.
- Testing and Deployment: Conduct thorough testing to ensure the system's reliability, security, and compliance with e-signature requirements before full deployment.
- Support and Maintenance: Provide ongoing technical support and system maintenance to address any issues post-implementation
- Skills Transfer to internal resources on the maintenance of the system.
- System Documentation:
 - Develop functional requirements specification.
 - Develop system technical specification.
 - Develop Database Schema (Entity Relationship Diagram).
 - System User Manual.

4 Deliverables Or Project Output And/Or Outcome

- A fully functional e-Submission (Memo, Leave & Submission) System tailored to the organization's needs, incorporating Microsoft-based technology and LawTrust e-signature.
- Develop as per the Scope (Section 3).
- Functional three Tier Environment (DEV, TEST, PROD)
- Source code and source control.
- Comprehensive user and technical documentation
 - Functional Specification Document.
 - Technical Specification Document.
 - Entity Relationship Diagram.
 - User Manuals.
 - Detailed implementation report outlining the system's features, deployment process, and any challenges encountered.
 - Training materials and sessions for all relevant personnel.
 - Skills Development/Transfer Plan outlining how the service provider will train DMPR Officials during the duration of the project.

5 High Level Business Requirements

The users stated the following as their high-level requirements for the e-Submissions (Memo, Leave & Submission) Management Systems:

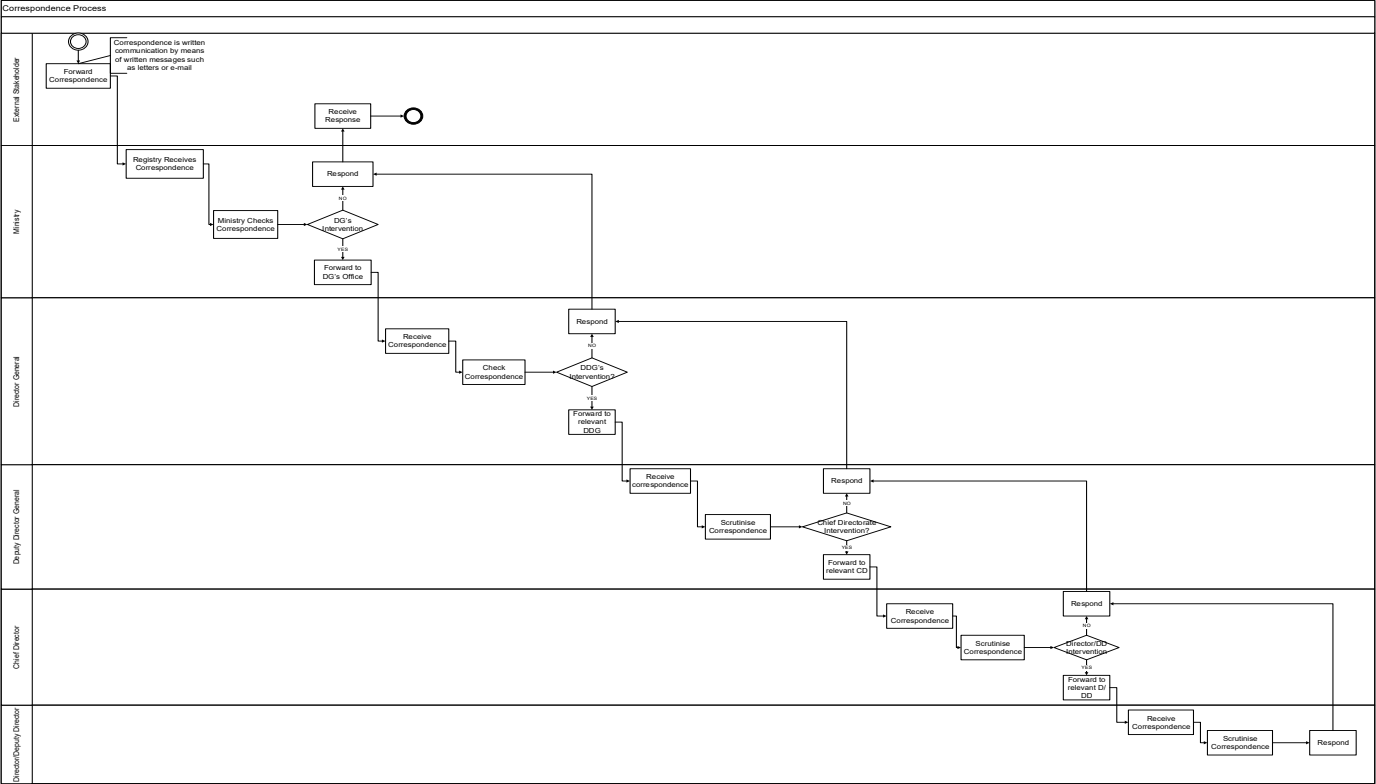
- The system must be web based so that users can have access even when they are outside of the office.
- The system should be accessible to users at Head Office and Regions.
- The system must provide Users with the capability to upload submissions and route them to the relevant personnel in the reporting lines (Memo, Leave & Submission).
- Users must have the capability to track at any time which office the submission is currently at.
- The system must have Digital Signature capabilities at all levels (Director, Chief Director, Deputy Director General, Director General's Office, Deputy Minister's Office and the Office of the Minister) for approval of submissions.
- The system must have an automated workflow to route / reroute the submission between approvals at least 5 levels (depending on the type of approval e.g. Memo, submission, leave, etc) and escalations.

- The system must have the capability to prevent alterations of submissions already in the process. Alterations should be made only when an amendment request is made, and then only the initiating office will have the capability to amend the submission.
- Users must have the capability to check the progress of a submission within the reporting line.
- The system must provide alerts (notifications) via e-mail/sms to relevant officials within the reporting line when the submission reaches their office, i.e. when the Director has endorsed a submission, an alert must be sent to the relevant Chief Director informing them about the submission.
- The system must also provide alerts to all officials whom the submissions has been to their office when amendments are requested, i.e. if the DDG requests amendments be made on a submission, alerts should be sent to the Chief Director, Director as well as to the actual official who compiled and uploaded the submission on the system.
- The system must have the capability to block out all other offices when a submission reaches the Registry in the Minister's Office. Only officials in the Ministry should have access to comments & advise given while the submission moves between the Registry, Director in Ministerial Office, Chief of Staff and the Minister.
- The system must prevent the destruction or deletion by users of any submission already in the process.
- The system must automatically route a submission along the correct reporting lines, i.e. a submission made in SDM must be, upon being uploaded, be routed to the Director: SDM, Chief Information Officer, Chief Financial Officer, Director General then to the Minister.
- The system must provide alerts if submissions are routed to an office and not executed within a specified period of time, i.e. if a submission is sent to the Chief Information Officer and not executed in time, an alert should be sent to a higher authority (Chief Financial Officer) informing them about the submission.
- The system must process data and convert it to meaningful information, i.e. management reports for decision-making purposes.
- The system must have the capability to present data in graphical formats, (graphs, bar-charts, pies, etc.).
- The system must have the capability to produce consolidated and user defined reports.

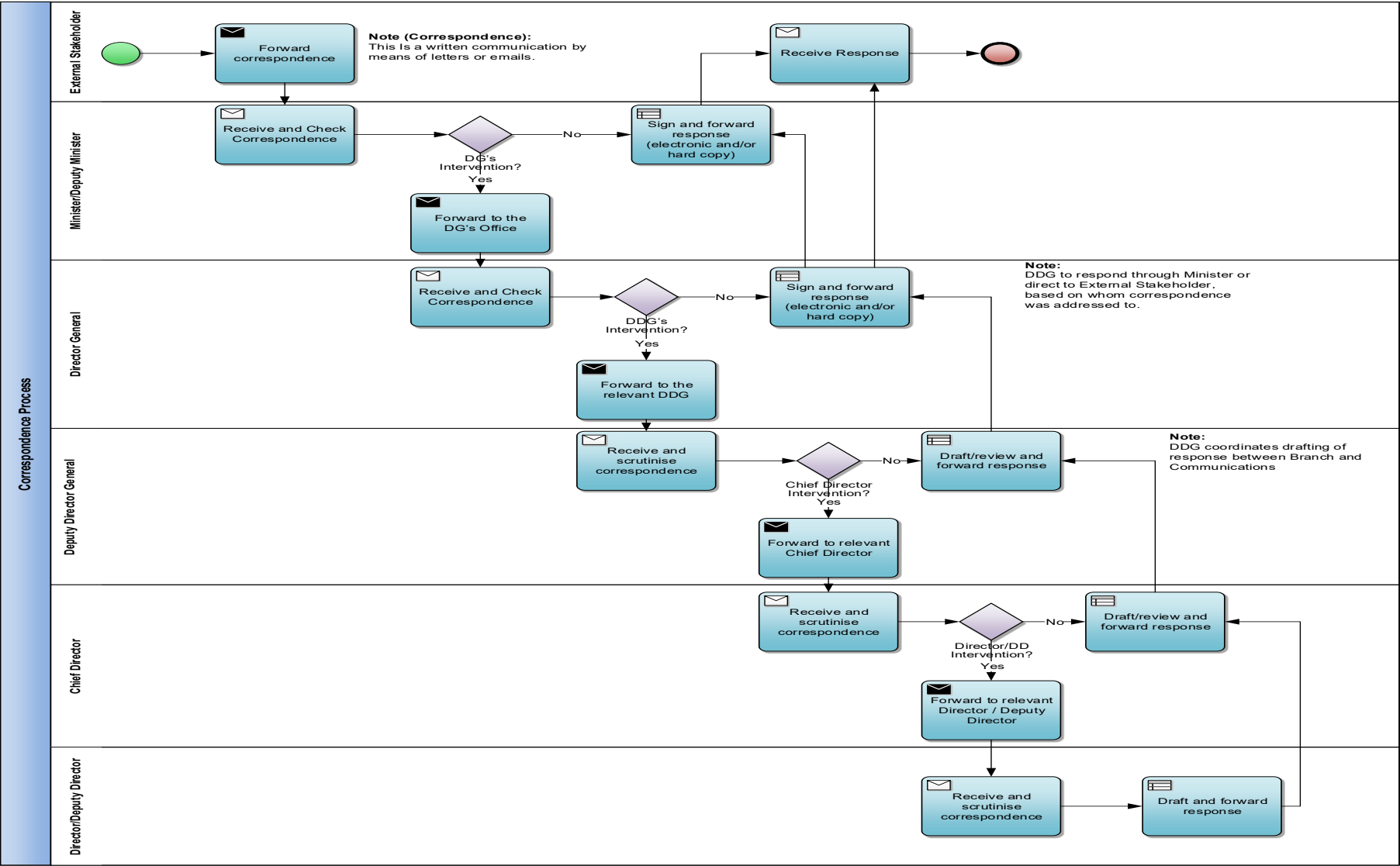
6 Section PROCESSES TO-BE AUTOMATED

Diagrams illustrate the e-Submission processes to be automated.

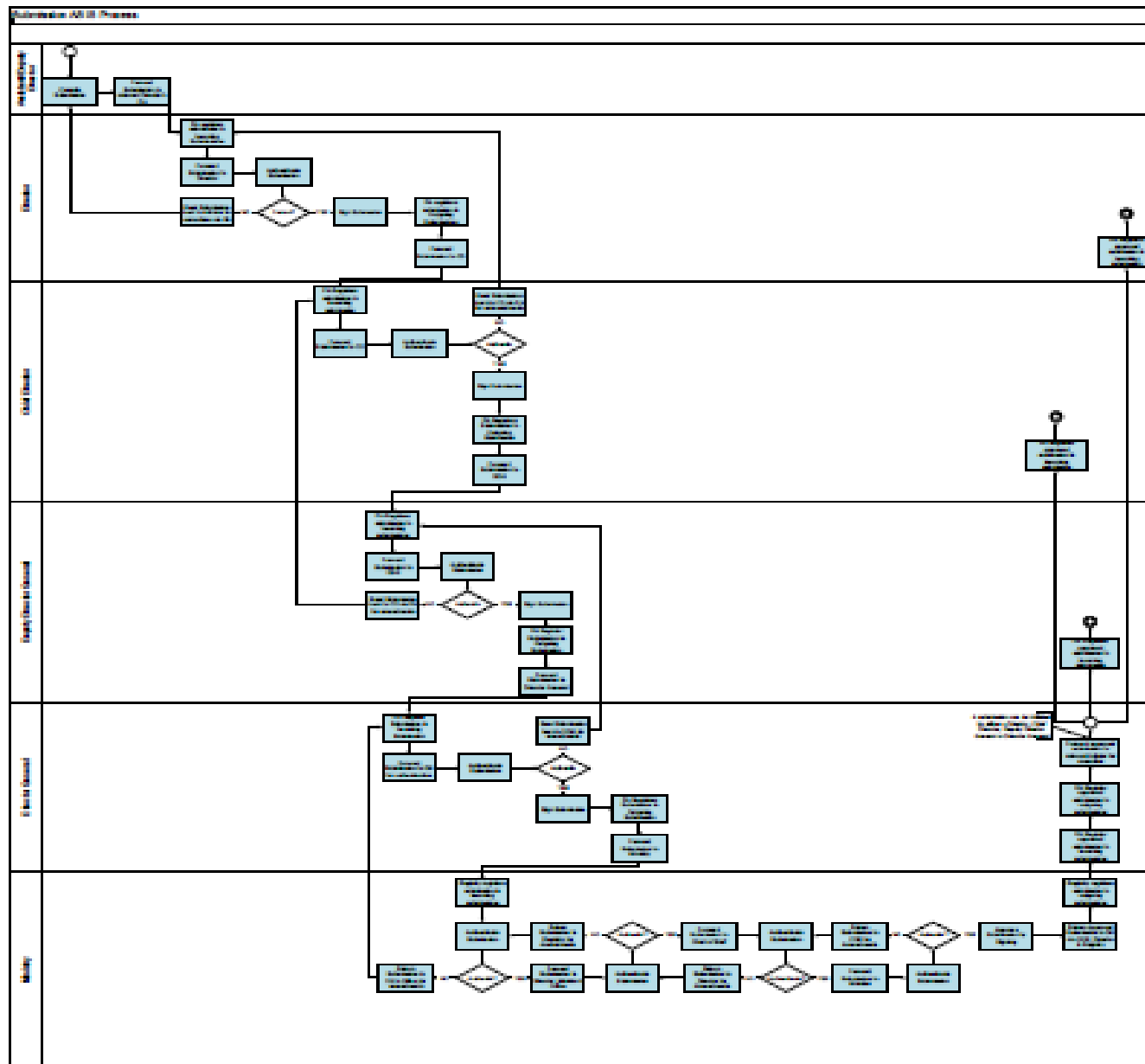
6.1 Correspondence As-Is Processes (Annexure A):



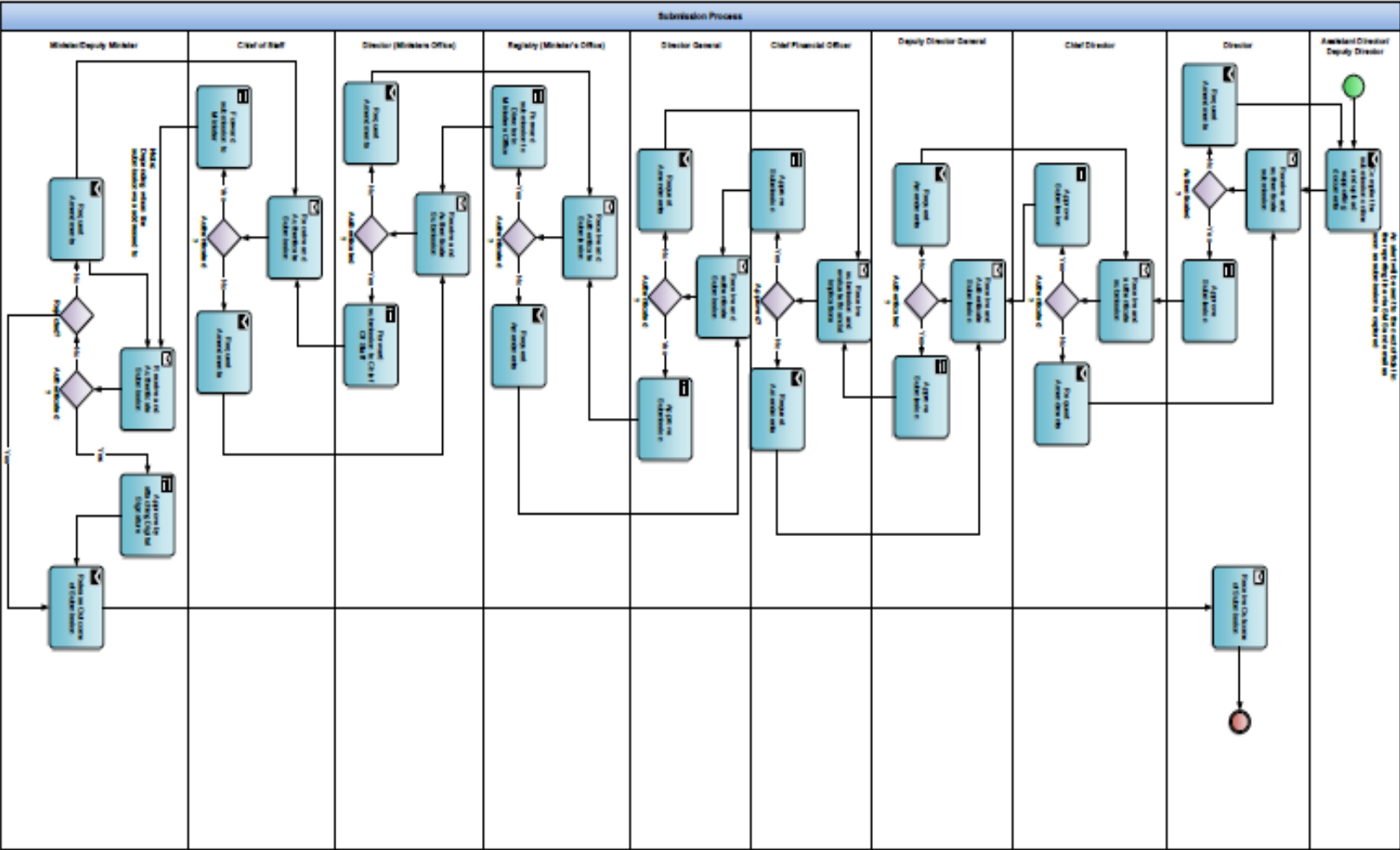
6.2 Correspondence to be processes automated (Annexure B)



6.3 Submission As-Is Processes (Annexure C):

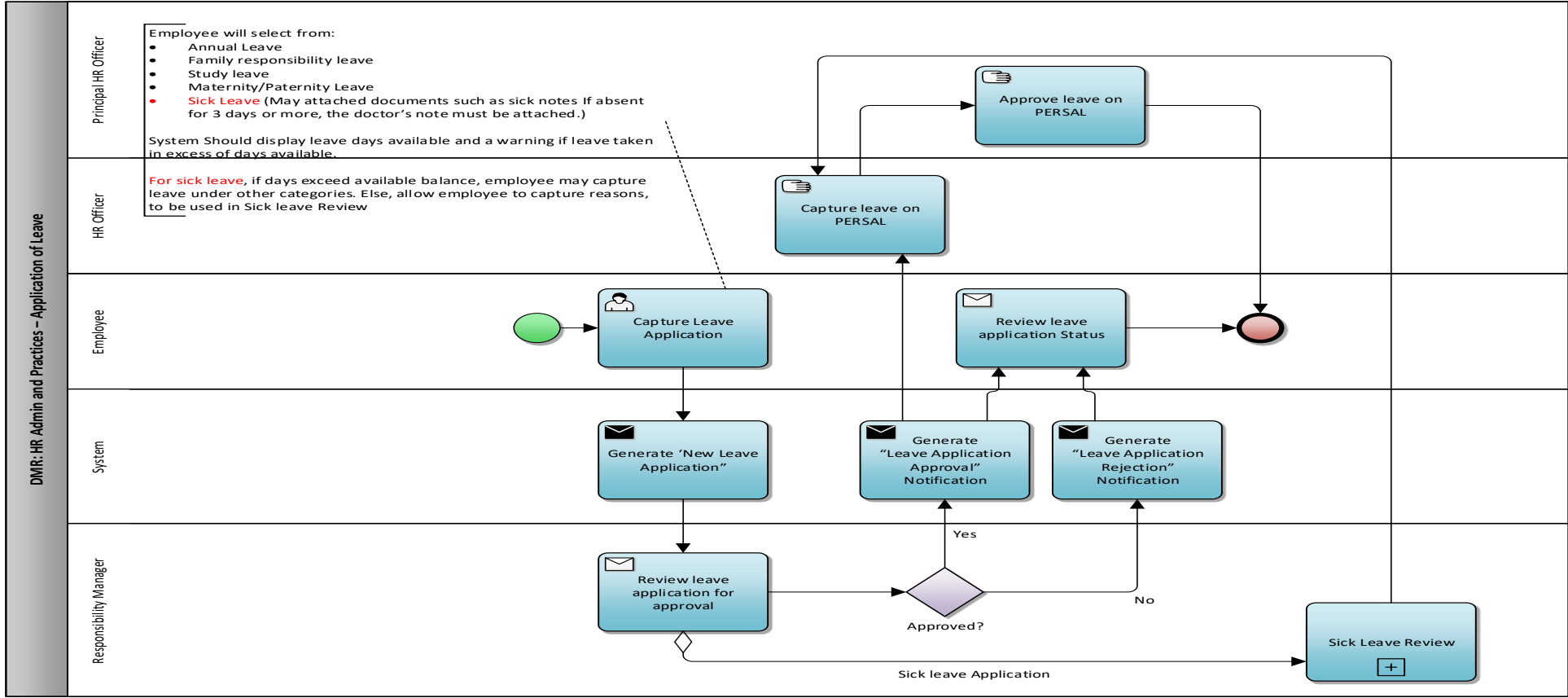


6.4 Submission processes to be automated (Annexure D)

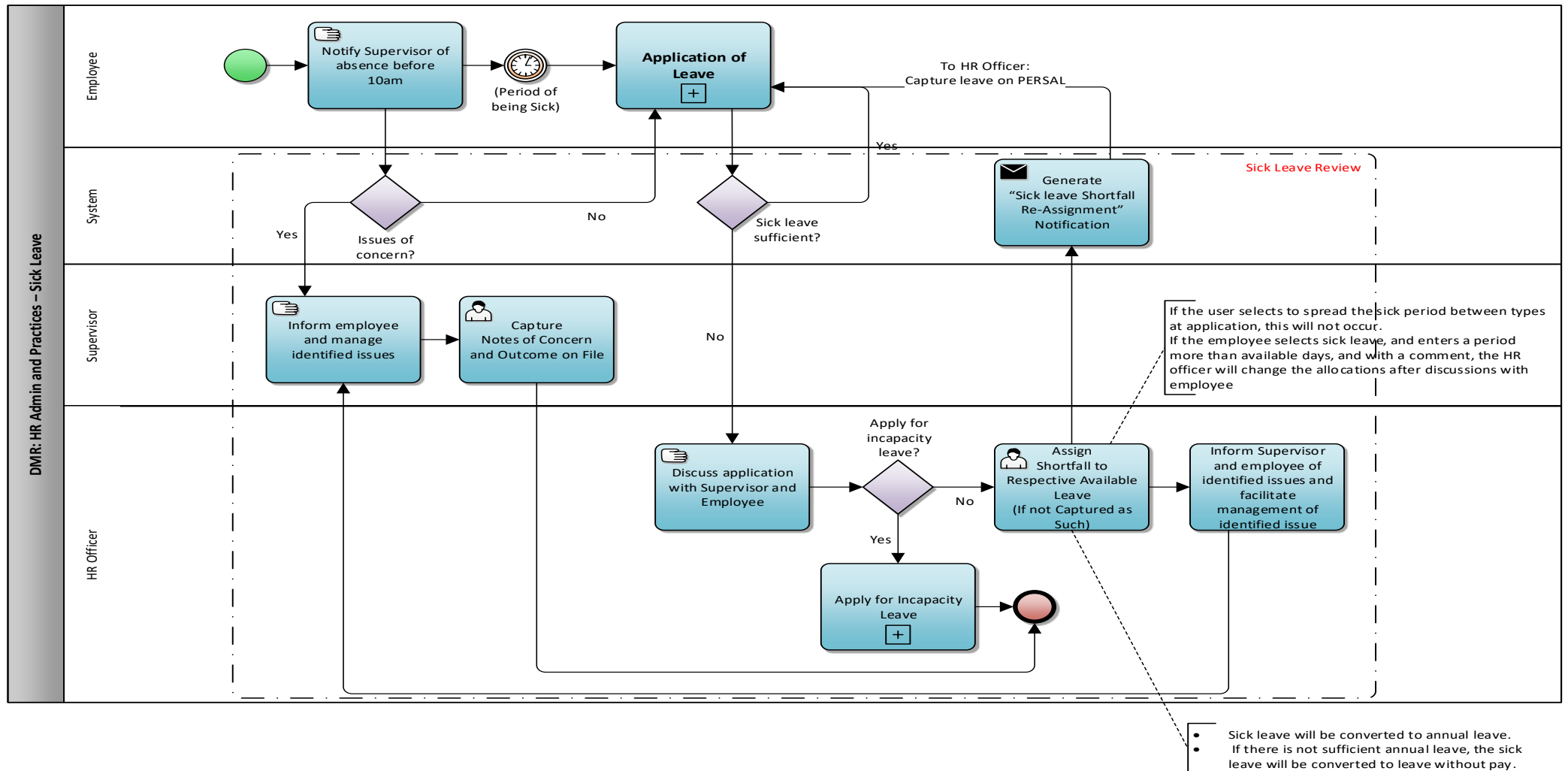


6.5 Leave Processes to be automated (Annexure E: Normal, Sick & Incapacity)

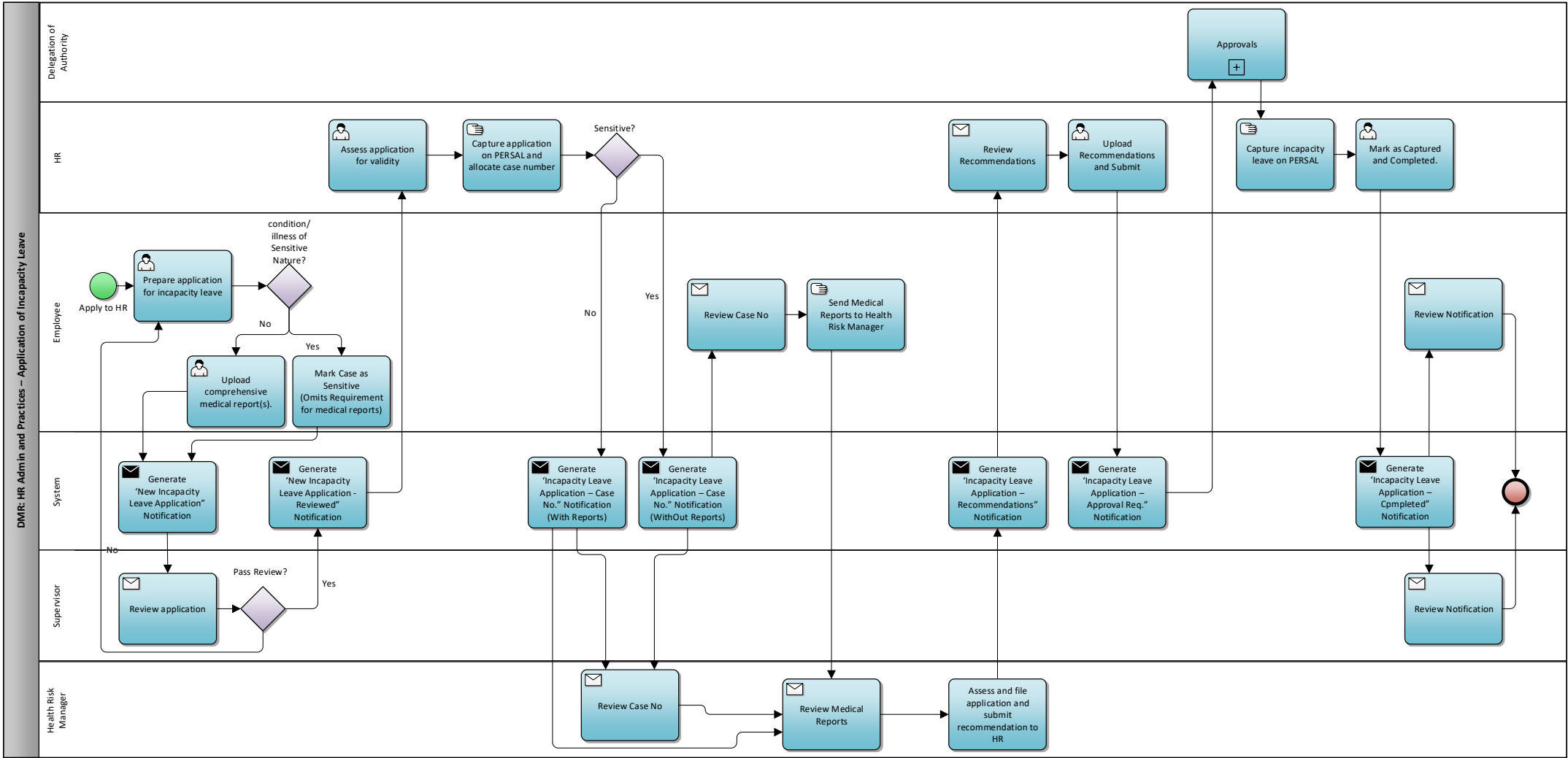
Management of Normal Leave:



Management of Sick Leave:



Incapacity Leave:



6.6 Templates (Annexure F:

Submission Template:

<p>SUBJECT</p> <p>1. <u>PURPOSE</u></p> <p>2. <u>BACKGROUND</u></p> <p>3. <u>MOTIVATION</u></p> <p>4. <u>FINANCIAL IMPLICATIONS</u></p> <p>5. <u>RECOMMENDATIONS</u></p> <p>Drafter</p> <p>-----</p> <p>Name</p> <p>Title: Director</p> <p>Date</p> <p>Supported / Not Supported</p> <p>-----</p> <p>Name</p> <p>Title: Chief Director</p> <p>Date</p> <p>Supported / Not Supported</p> <p>-----</p>	<p>Name</p> <p>Title: Deputy Director General</p> <p>Date</p> <p>Budget Confirmed by</p> <p>-----</p> <p>Name</p> <p>Title: Director Budget</p> <p>Date</p> <p>Recommended/ Not Recommended</p> <p>Name</p> <p>Title: Chief Financial Officer</p> <p>Date</p> <table><tr><td><p>Approval 5 approved</p><p>DIRECTOR - GENERAL</p><p>DATE:</p><p>Comments/amendments -----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p></td><td><p>Approval 5..... not approved</p><p>DIRECTOR - GENERAL</p><p>DATE:</p><p>Comments/amendments -----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p><p>-----</p></td></tr></table>	<p>Approval 5 approved</p> <p>DIRECTOR - GENERAL</p> <p>DATE:</p> <p>Comments/amendments -----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>	<p>Approval 5..... not approved</p> <p>DIRECTOR - GENERAL</p> <p>DATE:</p> <p>Comments/amendments -----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>
<p>Approval 5 approved</p> <p>DIRECTOR - GENERAL</p> <p>DATE:</p> <p>Comments/amendments -----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>	<p>Approval 5..... not approved</p> <p>DIRECTOR - GENERAL</p> <p>DATE:</p> <p>Comments/amendments -----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p> <p>-----</p>		

1

2

Leave Template:

G.P.S. 06/24

DMRE-HR: 154048

APPLICATION FOR LEAVE OF ABSENCE

Z 1(a)

Surname		Initials	
PERSONAL Number		Shift Worker	
Address during the Leave Period:		Yes <input type="checkbox"/> No <input type="checkbox"/>	
		Casual Employee	
		Yes <input type="checkbox"/> No <input type="checkbox"/>	
		Department	
		Component	
Tel. No.:			

SECTION A: For periods covering full day

Type of Leave Taken as Working Days	Start Date	End Date	Number of Working Days
Annual Leave			
Normal Sick Leave ¹			
Temporary Incapacity Leave	This application form must not be used to apply for temporary incapacity leave. Temporary incapacity leave must be applied for on the application form prescribed in terms of the Management Policy and Procedure on Incapacity Leave and fit-to-work Retention for Public Service Employees. Please contact your personnel office for further information.		
Leave for Occupational Injuries and Diseases			
Adoption Leave ²			
Family Responsibility Leave (Provide Evidence)			
Pre-natal Leave (Provide Evidence)			
Paternity Leave (Provide Evidence)			
Special Leave			
Specify Type of Special Leave			
Leave for Union Office Bearers (Provide Evidence)			
Leave for Union Shop Stewards (Provide Evidence)			
Specify Union Affiliation			
Type of Leave Taken as Calendar Days/Months	Start Date	End Date	Number of Calendar Days
Unpaid Leave (Provide Motivation)			
Maternity Leave (Attach Medical Certificate)			No. of Calendar Months
Surrogacy Leave: Commissioning Parent (Provide supporting evidence)			No. of Calendar Months
Surrogacy Leave: Surrogate mother (Provide supporting evidence)			No. of Weeks

SECTION B: For periods covering parts of a day or fractions

Type of Leave Taken as Working Days	Date	Start Time	End Time	Number of Hours/Minutes
Annual Leave				h m
Normal Sick Leave				h m
Family Responsibility Leave (Provide Evidence)				h m
Pre-natal Leave (Provide Evidence)				h m
Paternity Leave (Provide Evidence)				h m
Special Leave				h m
Specify Type of Special Leave				
Leave for Union Office Bearers (Provide Evidence)				h m
Leave for Union Shop Stewards (Provide Evidence)				h m
Specify Union Affiliation				

I hereby certify that I have acquainted myself of my available leave credits and with the rules governing the leave I have applied for. Further, I am certifying that the information provided is correct. Any falsification of information in this regard may form ground for disciplinary action. Furthermore, I fully understand that if I do not have sufficient leave credits from my previous or current leave cycle to cover my application, my capped leave as at 30 June 2020 will be automatically utilised.

EMPLOYEE'S SIGNATURE _____ DATE _____

Recommendation By Supervisor/Manager (Mark with X)

Note: Completion is not required if the supervisor/manager is also the delegated authority responsible to approve the application.

Recommended	Not Recommended	Rescheduled
-------------	-----------------	-------------

REMARKS (if not recommended, please state the reasons & the dates in the case of rescheduling):

MANAGER'S/SUPERVISOR'S SIGNATURE _____ DATE _____

Approval By Head of Department (Mark With X)

Approved With Full Pay	Approved Without Pay	Not Approved
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REMARKS (if approved with a change in condition of payment or not approved, please provide motivation):

SIGNATURE OF EXECUTIVE AUTHORITY, HOD OR DESIGNEE _____ DATE _____

Data Capturing

CAPTURED BY: _____	CAPTURED ON: _____	Signature _____
CHECKED BY: _____	CHECKED ON: _____	Signature _____

¹ Applications in respect of sick leave of three or more days must be accompanied by a medical certificate issued by a registered medical practitioner.

² Applications for adoption leaves must be accompanied by a declaration on how the entitlement will be used in the case where both spouses are employed in the Public Service.

Memo Template:



**mineral &
petroleum resources**
Department:
Mineral and Petroleum Resources
REPUBLIC OF SOUTH AFRICA

DMPR 15

TEL: [REDACTED], FAX: [REDACTED]

INTERNAL MEMO

Date	[REDACTED]	File no:	[REDACTED]
To:	[REDACTED]	From:	[REDACTED]
SUBJECT [REDACTED]			

7 Usability

Requirement	Preference
The system's look and feel must be aligned to that of the Departmental Website (the watermarks, branding, colours, icons, etc.).	M
The system must be in compliance with the government corporate identity specifications and guidelines.	M

8 Performance

Requirement	Preference
Produce Real Time Information - the system must be up to date with the most recent information and must maintain this status.	M
System Availability - the system must be available during working hours and be 100% up and running. Any form of downtime should be communicated to the users beforehand. The system must be accessible through the web platform.	M
Integrity and reliability of information - information should be accurate, correct and utilizable to users, reliable at all times and not to be changed without verification.	M
High User Volume - the system should be able to handle large volumes of users without hanging or crashing. It should be able to accommodate approximately all Department Officials from Head Office and Regions combined.	M

9 Security

Requirement	Preference
The system must be password protected.	M
The system must provide access based on user defined roles.	M
The system must have back-up and data recovery procedures.	M
The system must allow access levels according to user groups for	M

Requirement	Preference
create, update, delete, retrieve and read purposes.	
<p>The system must provide a detailed record of activity (audit trails) performed within the system e.g. who accessed the system and for what actions were performed and the levels of security as defined below:</p> <ul style="list-style-type: none"> • Read Only: Can only view data on the system. • Read and Write: can view data and add data on the system • Update, Create, Delete: Can create, update, and delete data on the system. • System Administrator Access: Have full access and can also change user passwords. 	M

10 User Rights

Define who has access to the product, what they can access and how this can be done. Can be extended to define user profiles, certain functions, data or operations that are restricted.

More details on system rights will be defined on the functional and technical specification document.

11 Transition Requirements

The following are the few transitional requirement, more detailed will be define in the Functional requirements documentation.

Requirement	Preference
A change management process must be followed to prepare and train the users during development and post implementation of the project.	M
Data migration, as the current submission process is manual, the current data/documents will be migrated to the online system.	M

