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ADOPTION AND IMPLEMENTATION OF THE REVISED DEPARTMENTAL RECORDS MANAGEMENT POLICY

Attached for your consideration and approval by your good self, the revised departmental Records Management Policy, which has gone through the relevant consultative process.

Section 13 of the National Archives and Records Services of South Africa Act, 1996 requires the Department of Social Development to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that record keeping and records management practices comply with the requirements of the Act.

....

Ms. E. Botes

Head of Department: Social Development

Recommend/not recommend

Date:.........../.........../...........

Approval

The Revised Records Management Policy for the Department of Social Development is approved by the Member of the Executive Council and shall come into effect from date of approval thereof.

....   17/ 09 / 2013

C.M.CHOTELO (MPL)   **DATE**

Member of the Executive Council for Social Development

social development

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Revised Records Management Policy

Department of Social Development

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Approval by the Executive Authority

1. DEFINITIONS

Archives repository:

The building in which records with archival value are preserved permanently.

Authentic records:

Authentic records are records that can be proven to be what they purport to be. They are also records that are considered by the creators to be their official record.

Authoritative records:

Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.

Correspondence system:

A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

Custody:

The control of records based upon their physical possession.

Disposal:

The action of either destroying/deleting a record or transferring it into archival custody.

Disposal authority:

A written authority issued by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

Disposal authority number:

A unique number identifying each disposal authority issued to a specific office.

Electronic records:

Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than correspondence system.

Electronic records system:

This is a collective noun for all components of an electronic information system, namely: electronic media as well as all connected items such as source documents, output information, software applications, programmes and meta data (background and technical information i.r.o; the information stored electronically) and in hard copy. All these components are defined as records by the Act. They must therefore be dealt with in accordance with the Act's provisions.

File plan:

A pre-determined classification plan which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

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Filing system:

The collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.

Information Management:

The collection and management of information from one or more sources and the distribution of that information to one or more audiences.

Non-archival records:

Records with a short lived interest or usefulness.

Public record:

A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

Records other than correspondence systems:

Records that do not form part of a correspondence file, or case file e.g. registers, maps, plans, electronic records, audio-visual records, etc.

Record:

1. Recorded information regardless of form or medium.
2. Evidence of transaction, preserved for the evidential information it contains.

Records classification system:

A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

Recording:

Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.

Record keeping:

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

Records management:

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.

Retention period:

The length of time records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

Schedule for records other than correspondence systems:

A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records. It consists of the following parts:

- Schedule for paper-based records other than correspondence files;
- Schedule for electronic records systems other than the electronic correspondence system;
- Schedule for microfilm records;
- Schedule for audio-visual records.

System technical manual:

A manual containing information regarding the hardware, software and network elements that compromise the system and how they interact. Details of all changes to a system should also be documented.

System procedures manual:

A manual containing all procedures relating to operation and use of electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding -

- Document capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures
- File transmission
- Information retention
- Information destruction
- Backup and system recovery
- System maintenance
- Security and protection
- Use of contracted services
- Workflow
- Date and time stamps
- Version control
- Maintenance of documentation

A systems procedure manual should be updated when new releases force new procedures.

2.   PURPOSE

2.1   Section 13 of the National Archives and Records Services of South Africa Act, 1996 requires the Department of Social Development to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that record keeping and records management practices comply with the requirements of the Act.

2.2   Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Department of Social Development must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. Department of Social Development considers its records to be a valuable asset to:

> Enable Department of Social Development to find the right information easily and comprehensively;
> Enable Department of Social Development to perform its functions successfully and efficiently and in an accountable manner;
> Support the business, legal and accountability requirements of Department of Social Development;
> Ensure the conduct of business in an orderly, efficient and accountable manner;
> Ensure the consistent delivery of services;
> Support and document policy formation and administrative decision-making;
> Provide continuity in the event of a disaster;
> Protect the interest of Department of Social Development and the rights of employees, clients and present and future stakeholders;
> Support and document the Department of Social Development's activities, development and achievements;
> Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

2.3   Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge of financial loss and promotes the best value in terms of human and space resources through greater co-ordination of information and storage systems.

3.   POLICY STATEMENT

3.1   All records created and received by Department of Social Development shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Services Act, 1996.

3.2   The following broad principles apply to the record keeping and records management practices of Department of Social Development:

- The Department of Social Development follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.

- The records management procedures of Department of Social Development comply with legal requirements, including those for the provision of evidence.
- The Department of Social Development follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in the Department of Social Development are managed according to the principles promoted by the National Archives and Records Service.
- The Department of Social Development has performance measures for all records management functions and reviews compliance with these measures.

4. RELATIONSHIP WITH OTHER POLICIES

4.1 The Department of Social Development's Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by Department of Social Development. These policies are managed by the records manager. The following parts exist:
- E-mail policy;

4.2 Other policies that are closely related to the Records Management policy are
- The Information Security Policy which is managed by the Security Manager;
- The Internet Usage Policy which is managed by the IT Manager; and the
- Promotion of Access to Information Policy which is managed by the CIO.

5. SCOPE AND INTENDED AUDIENCE

5.1 This policy impacts upon Department of Social Development's work practices for all those who:
- Create records including electronic records;
- Have access to records;
- Have any other responsibilities for records, for example storage and maintenance responsibilities;
- Have management responsibility for staff engaged in these activities; or manage, or have design input into, information technology infrastructure.

5.2 The policy therefore applies to all staff members of the Department of Social Development and covers all records regardless of format, medium or age.

6. REGULATORY FRAMEWORK

6.1 By managing its paper-based records effectively and efficiently Department of Social Development strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:
- Constitution, 1996;
- National Archives and Records Services of South Africa Act (Act № 43 of 1996 as amended);
- National Archives and Records Services of South Africa Regulations;
- Public Finance Management Act (Act № 1 of 1999);
- Promotion of Access to Information Act (Act № 2 of 2000);
- Promotion of Administrative Justice Act (Act № 3 of 2000);
- Electronic Communications and Transactions Act (Act № 25 of 2002);
- E-Government Framework and National E-Strategy.

7. ROLES AND RESPONSIBILITIES

7.1 HEAD OF DEPERTMENT OF SOCIAL DEVELOPMENT

7.1.1 The Head of Department is ultimately responsible for the record keeping and records management practices of Department of Social Development.

7.1.2 The Head of Department is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

7.1.3 The Head of Department supports the implementation of this policy and requires each staff member to support the values underlying this policy.

7.1.4 The Head of Department shall designate a senior manager to be the records manager of the Department of Social Development and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of Department of Social Development to enable compliance with legislative and regulatory requirements.

7.2 SENIOR MANAGERS

7.2.1 Senior managers are responsible for the implementation of this policy in their respective units.

7.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.

7.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

7.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all staff in their units.

7.3 RECORDS MANAGER

7.3.1 The Records Manager is responsible for:
- The implementation of this policy;
- Staff awareness regarding this policy;
- The management of all records according to the records management principles contained in the National Archives and Records Services Act, 1996;
- The determination of retention periods in consultation with users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

7.3.2   The specific duties of the records manager are contained in the Records Manager's job description which filed on file *H2.8.4*.

7.3.3   The records manager is mandated to make such training and other interventions as are necessary to ensure that the Department of Social Development's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Services Act.

7.3.4   The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Department of Social Development.

7.3.5   The records manager shall ensure that all records created and received by Department of Social Developmentare classified according to the approved file plans and that written disposal authority is obtained for them from the National Archives and Records Services.

7.3.6   The *Assistant Director* is the records manager for the whole Department of Social Development.

7.4   CHIEF INFORMATION OFFICER

7.4.1   The Chief Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

7.4.2   The Chief Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

7.5   IT MANAGER

7.5.1   The IT manger is responsible for the day-to-day maintenance of electronic systems that store records.

7.5.2   The IT manager shall work in conjunction with the records manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long term preservation purposes.

7.5.3   The IT manager shall ensure that appropriate *systems technical manuals and systems procedure manuals* are designed for each electronic system that manages and stores records.

7.5.4   The IT manager shall ensure that all electronic systems capture appropriate systems Generated metadata and audit trail data fir all electronic records to ensure that authentic and reliable records are created.

7.5.5   The IT manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is danger of technology obsolescence including media and format obsolescence.

7.5.6   The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

7.5.7   The IT manager shall ensure that back-ups are stored in a secure off-site environment.

7.5.8   The IT manager shall ensure that systems that manage and store records are virusfree.

7.5.9   Comprehensive details regarding specific responsibilities of the IT manager are contained in:
- The Electronic Records Management Policy;
- The E-mail Policy;
- The Web Content Management Policy;
- Document Imaging Policy; and the
- Information Security Policy.

7.6   SECURITY MANAGER

7.6.1   The Security manager is responsible for the physical security of all records.

7.6.2   Details regarding the specific responsibilities of the security manager are contained in the information security policy.

7.7   LEGAL SERVICES MANAGER

7.7.1   The Legal services manager is responsible for keeping the Records Manager updated about developments in legal and statutory environment that may impact on the record keeping and records management practices of Department of Social Development.

7.8   REGISTRY STAFF

7.8.1   The registry staff are responsible for the physical management of the records in their care.

7.8.2   Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedures Manual.*

7.9   STAFF

7.9.1   Every staff member shall create records of transactions while conducting official business.

7.9.2   Every staff member shall manage those records efficiently and effectively by:
- Allocating reference numbers and subjects to paper-based and electronic records according to the file plans;
- Sending paper-based records to the registry for filing;

- Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.

7.9.3 Records management responsibilities shall be written into performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

8. RECORDS CLASSIFICATON SYSTEMS AND RELATED STORAGE AREAS

The Department of Social Development has the following systems that organizeand store records:

CORRESPONDENCE SYSTEMS

8.1.1 FILE PLANS

8.1.1.1 Only the file plans approved on *01April 1998,* and implemented on *01 March 1999*shall be used for the classification of correspondence records. The file plans shall be used for the classification of paper-based and electronic (including e-mail) records.

8.1.1.2 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, mail) according to the approved subjects in the file plans.

8.1.1.4 When correspondence is created/received for which no subject exists in the file plans, the records manager should be contacted to assist with additions to the file plans. Under no circumstances may subjects be added to the file plans if they have not been approved by the records manager.

8.1.2 STORAGE AREAS

8.1.2.1 **Paper-based correspondence files** are kept in the custody of-

8.1.2.1.1THE CENTRAL REGISTRY

8.1.2.1.1.1 All paper-based correspondence systems records as well as HRrelated are housed in the central registry.

8.1.2.1.1.2 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.

8.1.2.1.1.3 Department of Social Development maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the central registry.

8.1.2.1.1.4 The case files are managed as part of the List of Series of Separate Case Files that are maintained and managed by the records manager.

8.1.2.1.1.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System.

8.1.2.1.1.6 The registry is a secure storage area and only registry staff is allowed in the records storage area.

8.1.2.1.1.7 Staff members that need access to files in the registry shall place a request for the files at the counter.

8.1.2.1.1.8 The registry shall be locked when registry is not in operation.

8.1.2.2 **Electronic correspondence records** should be stored in an electronic repository that is maintained by the IT section, as the climate in the registry is not conducive to store electronic records.

8.1.2.2.1 Access storage areas where electronic records are stored is limited to the Information Technology staff that have specific duties regarding the maintenance of the hardware, software and media.

9. DISPOSAL OF RECORDS

a. No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization form the National/Provincial Archivist.

b. The National/Provincial Archivist has issued Standing Disposal Authority for the disposal of records classified against the file plans. The records manager manages the disposal schedule.

c. The National Archivist has issued Standing Disposal Authority Number on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

d. Retention periods indicated on the file plans and schedule were determined by taking Department of Social Development's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.

e. Disposal in terms of these disposal authorities will be executed annually in December.

f. All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.

g. Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.

h. Paper-based archival records shall be safely kept in the *registry* until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the Provincial Archives in the *Records Management Policy Manual.*

i. Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

10. STORAGE AND CUSTODY

a. See par.7 for an identification of all record keeping systems and their storage locations.

b. All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.

c. Specific policies for the management of electronic storage media are contained in the electronic records management policy.

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11. ACCESS AND SECURITY

a. Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of business of Department of Social Development.

b. Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.

c. No staff member shall remove records that are not available in the public domain from the premises of Department of Social Development without the explicit permission of the records manager in consultation with the information security manager.

d. No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Chief Information Officer.

e. Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.

f. No staff member shall disclose personal information of any member of staff or client of Department of Social Development to any member of the public without consulting the Chief Information Officer first.

g. An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.

h. Records storage areas shall at all times be protected against unauthorized access. The following shall apply:

    i. Registry and other records storage areas shall be locked when not in use.

    ii. Access to server rooms and storage areas for electronic records media shall be managed with key card access.

12. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

a. The records of Department of Social Development shall at all times contain reliable evidence of business operations. The following apply:

12.1.1 PAPER-BASED RECORDS

1. No records shall be removed from paper-based files without the explicit permission of the records manager.

12.1.1.2 Records that were placed on files shall not be altered in any way.

2. No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.

3. Should evidence be obtained of tampering with records, staff members involved shall be subject to disciplinary action.

13. TRAINING

i) The records manager shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip her for her duties.

ii) The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff is trained appropriately.

iii) The records manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

14. MONITORING AND REVIEW

The records manager shall review the record keeping and records management practices of Department of Social Development on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Department of Social Development.

This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of the Department of Social Development.