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PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF SOCIAL DEVELOPMENT

RECORDS MANAGEMENT POLICY

1ST VERSION 2011

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SOCIAL DEVELOPMENT-RECORDS MANAGEMENT POLICY

1. PURPOSE

- 1.1 Section 13 of the National Archives and Records Service 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 its record keeping and records management practices comply with the requirements of the Act.
- 1.2 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 [name of governmental body];
 - 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 interests 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.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

2. POLICY STATEMENT

- 2.1 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 Service Act, 1996.
- 2.2 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.

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- The Department of Social Development has performance measures for all records management functions and reviews compliance with these measures.

3. RELATIONSHIP WITH OTHER POLICIES

3.1 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.
- E-mail Policy which is managed by the IT Manager.
- Web Content Management Policy which is managed by the IT Manager.
- Promotion of Access to Information Policy which is managed by the CIO.

4. SCOPE AND INTENDED AUDIENCE

4.1 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 any these activities; or manage, or have design input into, information technology infrastructure.

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

5. STATUTORY AND REGULATORY FRAMEWORK

5.1 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 of the Republic of South Africa, (Act No. 108 of 1996);**
Section 14(1)(c) provide that "all spheres of government and all organs of state within each sphere must provide effective, transparent, accountable and coherent government for the Republic as a whole".
- **National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);**
Section 13(1), 2(b) and (5)(1) The National Archivist shall be charged with the proper management and care of public records in the custody of the Department (2) (b).
 - (i) The National Archivist shall be the one which determines records classifications systems to be applied by the Department.
 - (ii) Determine conditions subject to which records may be microfilmed or electronically reproduced.
 - (iii) Determine the conditions subject to which electronic records system should be managed.(5)(a) The Head of the Department shall subject to any law governing the employment of personnel of Social Development designate an official to be the Records Manager.

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- National Archives and Records Service of South Africa Regulations;
- Public Finance Management Act (Act No 1 of 1999);
- Promotion of Access to Information Act (Act No 2 of 2000);
- Promotion of Administrative Justice Act (Act No 3 of 2000);
- Electronic Communications and Transactions Act (Act No 25 of 2002)
- National Archives Instructions.
- Northern Province Archives Act (Act No. 5 of 2001)
- National Minimum Information Requirements (Circular No. 4 of 2001 by DPSA)
- Labour Relations Act (Act 42 of 1995)
- Basic Conditions of Employment Act (Act 75 of 1997)
- Public Services Act, No. 103 of 1994 and the Public Services Regulations, 2001
- Best Practice Model for Keeping and Managing Paper-Based Employee Records

6. ROLES AND RESPONSIBILITIES

6.1 Head of Department of Social Development

- 6.1.1 The Head of Department is ultimately accountable for the record keeping and records management practices within the Department.
- 6.1.2 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.
- 6.1.3 The Head of Department supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 6.1.4 The Head of Department shall designate a Senior Manager/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 the Department to enable compliance with legislative and regulatory requirements.

6.2 SENIOR MANAGERS

- 6.2.1 Senior Managers are responsible for the implementation of this policy in their respective units.
- 6.2.2 Senior Managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 6.2.3 Senior Management shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior Managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

6.3 RECORDS MANAGER

- 6.3.1 The Records Manager is responsible for:
- the implementation of this policy;
 - staff awareness regarding this policy;

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- the management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
- The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

6.3.2 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 Service Act.

6.3.4 The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Department.

6.3.5 The Records Manager shall ensure that all records created and received by the Department are classified according to the approved file plan and that a written disposal authority is obtained for them from the Provincial Archives and Records Service.

6.3.6 The Manager is the records manager for the whole Department of Social Development.

6.3.7 The District Managers and Managers of Vertical Programs are responsible for sound records keeping within their institutions/offices.

6.4 CHIEF INFORMATION OFFICER

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

6.4.2 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.

6.5 IT MANAGER

6.5.1 The IT Manager is responsible for the day-to-day maintenance of electronic systems that stores records.

6.5.2 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.

6.5.3 The IT Manager shall ensure that all electronic systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.

6.5.4 The IT Manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.

6.5.5 The IT Manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms

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when there is a danger of technology obsolescence including media and format obsolescence.

6.5.6 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.

6.5.7 The IT Manager shall ensure back-ups are stored in a secure off-site environment.

6.5.8 The IT Manager shall ensure that systems that manage and store records are virus free.

6.5.9 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.

6.6 SECURITY MANAGER

6.6.1 The Security Manager is responsible for the physical security of all records.

6.6.2 Details regarding the specific responsibilities of the Security Manager are contained in the Information Security Policy.

6.7 LEGAL SERVICES MANAGER

6.7.1 The Legal Services Manager is responsible for keeping the Records Manager updated about developments in the Legal and Statutory environment that may impact on the record keeping and records management practices of the Department.

6.8 REGISTRY STAFF

6.8.1 The registry staff is responsible for the physical management of the records in their care.

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

6.9 STAFF

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

6.9.2 Every staff member shall manage those records efficiently and effectively by:

- allocating reference numbers and subjects to paper-based records according to the approved file plans;

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- 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 Provincial Archivist.
- 6.9.3 Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff is evaluated on their records management responsibilities.

7. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

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

7.1 CORRESPONDENCE SYSTEMS

7.1.1 FILE PLAN

- 7.1.1.1 Only the file plan approved in October 2011 and implemented in November 2011 shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic records.
- 7.1.1.2 Each staff member shall allocate file reference numbers to all correspondence (paper) according to the approved subjects in the file plan.
- 7.1.1.3 When correspondence is created/received for which no subject exists in the file plan, the Records Manager should be contacted to assist with additions to the file plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the Records Manager.

7.1.2 STORAGE AREAS

7.1.2.1 Paper-based correspondence files are kept in the custody of-

7.1.2.1.1 The central and HR registry

- 7.1.2.1.1.1 All paper-based correspondence system records including all records that are HR related are housed in the central registry.
- 7.1.2.1.1.2 The general HR subject files as well as HR case files are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- 7.1.2.1.1.3 The registry is a secure storage area and only registry staff is allowed in the records storage area.
- 7.1.2.1.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter.
- 7.1.2.1.1.5 The registry shall be locked when registry is not in operation.
- 7.1.2.1.1.6 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 HR registry.

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7.1.2.1.1.7 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Records Manager.

7.1.2.1.1.8 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.

7.1.2.1.2 Electronic Correspondence Records

7.1.2.1.3.1 All electronic correspondence records are stored in an electronic repository (Server) that is maintained by the IT Section.

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

7.2 RECORDS OTHER THAN CORRESPONDENCE

7.2.1 Schedule for records other than correspondence systems

7.2.1.1 The Records Manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.

7.2.1.2 Should records be created/received that are not listed in the schedule, the Records Manager should be contacted to add the records to the schedule.

7.2.2 Storage areas

7.2.2.1 Paper-based

7.2.2.1.1 The Department has the following sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on daily basis, General, Personnel and Other Records.

7.2.2.1.2 These records are under the control of the Records Manager who is mandated to ensure that they are managed properly.

7.2.2.2 Electronic systems other than the correspondence systems

7.2.2.2.1 The Department has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records.

- Persal
- BAS
- FINEST
- SDIMS

7.2.2.2.2 The IT Manager is responsible for the day-to-day maintenance of these systems.

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7.2.2.2.3 The records maintained in these systems are under the control of the Records Manager who is mandated to ensure that they are managed properly.

8. STORAGE AND CUSTODY

8.1 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.

9. ACCESS AND SECURITY

9.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of The Department.

9.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the Security Manager.

9.3 No staff member shall remove records that are not available in the public domain from the premises of the Department without the explicit permission of the Head of Department through the Records Manager in consultation with the Information Security Manager.

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

9.5 All access to Departmental records by members of the public shall be in accordance with the provisions of the Promotion of Access to Information Act (guidelines are contained in the Department's Section 14 Manual on the Promotion of Access to Information Act).

9.6 Departmental employees wishing to access their own personnel records for their own purpose other than official duties they should direct their request through Human Resource Management and Salary Management respectively.

9.7 All records created within the Department shall be allocated a Security Classification Level in line with the Minimum Information Security Standards (e.g. Top Secret, Secret and Confidential).

9.8 No staff member shall disclose personal information of any member of staff or client of the Department to any member of the public without consulting the Deputy Information Officer first.

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

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

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

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10. DISPOSAL OF RECORDS

- 10.1 No public records (paper-based and electronic) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist.
- 10.2 Retention periods indicated on the file plan and schedule were determined by taking the Department'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.
- 10.3 All disposal actions should be authorized by the Records Manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 10.4 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.
- 10.5 Paper-based archival records shall be safely kept in the Departmental Records Storage 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*.
- 10.8 All Personnel Records within the Department shall be kept for a period of 20 years after termination of service by an employee; thereafter these records would be disposed in accordance with the disposal authority.

11. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

11.1.1 Paper-based records

- 11.1.1.1 No records shall be removed from paper-based files without the explicit permission of the Records Manager.
- 11.1.1.2 Records that were placed on files shall not be altered in any way.
- 11.1.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Records Manager.
- 11.1.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

11.1.2 Electronic Records

- 11.1.2.1 The Department shall use systems which ensure that its electronic records are:

- Authentic;
- Not altered or tampered with;

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- Auditable; and
- Produced in systems which utilize security measures to ensure their integrity.

11.1.2.2 The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

12. TRAINING

- 12.1 The Records Manager shall successfully complete the National Archives and Records Service's Records Management Courses, as well as any other records management training that would equip him/her for his/her duties.
- 12.2 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 are trained appropriately.
- 12.3 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.

13. MONITOR AND REVIEW

- 13.1 The Records Manager shall review the record keeping and records management practices of the 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.
- 13.2 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.

14. DEFINITIONS

Archives repository:

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

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:

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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.

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 the correspondence system.

File plan:

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

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 a 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 a 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.

Record keeping:

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

16. INSTRUCTION

16.1 Disciplinary actions will be taken against any Registry officials who do not file documents according to the instructions stipulated in this procedure manual.


17. REVIEWAL OF THE REGISTRY PROCEDURE MANUAL

17.1 The Registry Procedure Manual shall be reviewed after three (3) years when there is a need.

18. APPROVAL AND IMPLEMENTATION OF THE REGISTRY PROCEDURE MANUAL


18.1 The Registry Procedure Manual shall be implemented after the approval by the Head of Department and the MEC of the Department of Health and Social Development.

SIGNED AT POLOKWANE ON THIS ^{4th}..... DAY OF ^{May}.....20¹²...



HEAD OF DEPARTMENT

SIGNED AT POLOKWANE ON THIS ^{5th}..... DAY OF ^{May}.....20¹²...



MEMBER OF EXECUTIVE COUNCIL
HEALTH AND SOCIAL DEVELOPMENT