



dhsps&l

Department:
Human Settlements, Public Safety & Liaison

North West Provincial Government
REPUBLIC OF SOUTH AFRICA

RECORDS MANAGEMENT POLICY

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1. PREAMBLE

The Department of Human Settlements, Public Safety and Liaison acknowledges the importance of sound records management. As proper records keeping will enable the Department to exercise transparency, accountability and good governance. Department is committed to ensure that all public records in its control are managed according to mandatory sound records management practices as prescribed by legislation governing Records Management in South Africa.

2. SCOPE OF APPLICATION

This policy applies to all people who are working with records in the department and also applies to those people who want to see or to work on departmental records as stakeholders or from the public (e.g. researchers)

3. OBJECTIVES

The objectives of this policy documents is to:

- Ensure that departmental records irrespective of form or medium are properly created, maintained, accessed, and disposed of through a systematic disposal programme.
- Ensure that the department captures, maintains and protects memory of decisions and actions that impact on the lives of the people and the environment it governs.
- Promote proper classification and storage of records
- Comply with legislation and records management standards

4. LIST OF TERMS

"Act" refers to the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) as amended

Archival repository: Building in which records with archival value are preserved permanently.

Archives : Records in the custody of an archives repository

Archival value: Those values, administrative, legal, evidential and / or informational, which justify the indefinite or permanent retention of records.

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Case files:	A file created for each person or item within a specific group (e.g. personal files)
Custody:	The control of records based upon their physical possession.
Department:	refers to North West Department of Human Settlement Public Safety and Liaison.
Disposal Authority:	A written authority issued by the Provincial/National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/ deleted or otherwise disposed of.
Disposal:	The action of either destroying or deleting a record or transferring it into archival custody.
Electronic Records:	Information generated electronically and stored by means of computer technology.
Information Security:	to protect Information and information systems from an unauthorized access, use, disclosure, disruption and modification.
File plan:	A predetermined logical and systematic structure into which records are arranged and intellectually stored according to subjects groups to facilitate efficient retrieval and disposal of records. The file plan is used for current paper-based and current electronic correspondence systems.
MISS:	Minimum Information Security Standards (there is a component which is responsible for security services in the Department).
Public Record:	A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
Record:	Recorded information regardless of form or medium or evidence of a transaction, preserved for the evidential information it contains.
Records Audit:	Regular inspections of records to ensure proper implementation of records management legislations.

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Records officials: These are the personnel of registry and records management staff.

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.

Records Control Schedule: An inventory to control records other than correspondence files, according to which those items are identified, retrieved and disposed of (eg. maps, pictures etc)

Records Management: The field of management responsible for the proper creation, receipt, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance.

Records Office: Component where active files of governmental body are managed and stored.

Retention Period: The length of time that records should be retained in offices before they are transferred to archival custody or destroyed.

5. THE STATUTORY AND REGULATORY FRAMEWORK FOR RECORDS MANAGEMENT

The framework that provides guidance and assurance that records are created, managed, used and maintained in support of accountability in the department include the following:

- Constitution of the Republic of South Africa, (Act No. 108 of 1996).
- Promotion of Access to information Act (Act No. 2 of 2000)
- The National Archives of South Africa Act (Act 43 of 1996 as amended),
- National Archives Regulations, 1997 and National Archives Instructions.
- Protection of Information Act (Act No. 84 of 1982)
- Public Services Act, No 103 of 1994 and the Public Service Regulation, 2001

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- Promotion of Administrative Justice Act (Act No 25 2002)
- Public Finance Management Act (Act No 1 of 1999)
- Electronic Communications and Transactions Act (Act No 25 of 2002)
- Labour Relations Act (Act 42 of 1995)
- Basic Condition of Employment Act (Act 75 of 1997)
- Resolution of the Public Service Bargaining Council (Number 3 of 1999 and 7 of 2000)
- National Minimum Information Requirements circulated in the DPSA's circular no. 4 of 2001.
- Minimum Information Security Standards.
- White Paper on Human Resource Management in Public Service, 1997
- E-Government Framework and the National e-Strategy
- Best Practice Model for Keeping and Managing Paper-Based Employee Records

6. DEPUTY INFORMATION OFFICER/RECORDS MANAGER

6.1 Departmental Records Manager: Edward Jimla

Contact details: Department of Human Settlement, Public Safety Liaison
Private Bag x 19
Mmabatho
2735
Tel: (018) 388 2874

6.2 Assistant Records Manager (Personal Records): Botlhale Segwai

Contacts details: Department of Public Safety
Private Bag x 19
Mmabatho
2735
Tel: (018) 388 1352

6.3 Assistant Records Manager(General Records): EDDIE KHUTO

Contacts details: Department of Public Safety
Private Bag x 19
Mmabatho
2735
Tel: (018) 388 1352

7. ROLES AND RESPONSIBILITIES

There are key stakeholders who have a direct role to play in records management. The stakeholders and their roles are set out below:

- 7.1 The Head of Department is responsible for sound records management within the Department and has to ensure that records management practices within the Department comply with the provisions of the National and Provincial Archives Act.
- 7.2 Heads of Districts are responsible for sound record keeping within their areas of responsibility.
- 7.3 Records management function has been delegated to Directorate Management Services and Planning, Sub-Directorate Records Management. They must monitor and audit compliance. Records management division is responsible for the management of records management program in the Department including:
 - 7.3.1 Compilation of Records Management Procedure Manual.
 - 7.3.2 Development and reviewing of Records Management Policy.
 - 7.3.3 Control over the maintenance and application of the file plan and records control schedule.
 - 7.3.4 Conduct inspection and survey on records to ensure compliance.
 - 7.3.5 Manage and monitor disposal of records
 - 7.3.6 Coordinate training for records management staff.
 - 7.3.7 Training of records staff including districts
 - 7.3.8 Ensure the safe custody and storage of all records in all formats
 - 7.3.9 Day-to-day management of files
- 7.4 Executive and all Department Managers must ensure that this policy and appropriate records management procedures are implemented within their business units.

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7.5 All employees must implement record keeping requirements as provided in the Departmental Records Management Policy and Records Management Procedure Manual in performing their duties. They have an obligation to ensure that the records they create are:

- 7.5.1 Allocated correct reference numbers
- 7.5.2 Registered in record keeping system
- 7.5.3 Transferred to appropriate record keeping systems
- 7.5.4 Not destroyed without authorization.

7.5.5 IT and MISS both deal with information security which is our core function as records custodians

7.5.6 Legal services and Auditors are dependable on records for evidential purposes and for these records to act as proof during litigation

8. RECORD KEEPING AND RECORDS MANAGEMENT PRINCIPLES

8.1 CREATION AND IDENTIFICATION OF RECORDS

- 8.1.1 All records created and received during the execution of departments functions are public records (this includes electronic records) and should be managed according to the National Archives Directives G5 which can also be accessed from National archives website: www.national.archives.gov.za.
- 8.1.2 Before the creation of all departmental circulars, file reference must be obtained from the Records Manager or Records Office Head
- 8.1.3 Files are opened only when a need arises, not on the basis that they have been provided for in the file plan.
- 8.1.4 Files must be updated regularly to ensure that they are complete, accurate and reliable.
- 8.1.5 Records officials are responsible for opening of files, replacing of worn out file covers and closing of files when they reach 3cm thickness.

8.2 CLASSIFICATION

All Departments' records (including circulars) must be properly classified (according to approved file plan) and stored in records offices for easy retrieval and accessibility. Only records classification system (Departmental File Plan) approved by the National/ Provincial Archivist shall be used for paper-based and electronic records for reference allocation.

8.2.1 All records created with incorrect or no reference will be returned to the authors (handwritten correction is not allowed).

8.2.2 Allocation of reference numbers in case of difficulties should be done in consultation with Records Manager.

8.2.3 Under no circumstances may records classification system be altered without prior approval of the Records Manager.

8.2.4 Only National Intelligence Agency approved security classification grade of Restricted, Confidential, Secret and Top Secret must be used for both paper based and e-records. Please note that security classification (Restricted, Confidential, Secret and Top Secret) differs from records classification (file plan)

8.2.5 Case files such as staff personal files, bursary files, disciplinary files etc must be classified using a PERSAL number/alphabetically according to surnames. Classification or numbering systems for all case files are outlined in the "List of series of Separate Case Files" Annexure A of the approved file plan.

9. CUSTODY

9.1 All records created or received by the Department in pursuance of its activities regardless of form or medium should be kept in the Records offices: Personnel, General Records, HOD and office of the Executing Authority (MEC)

9.2 Records should not be put in offices as this is in contravention with records management legislations, corrective measure will be taken to ensure that records are kept centrally for sound records keeping practice

9.3 These records shall be managed in accordance with policies and guidelines of North West Department of Human Settlements, Public Safety & Liaison.

- 9.4 Post will be collected, opened, sorted and distributed by the Main Records Office. All records officials responsible to receive and open the mail should be authorized (in writing) to do so by the Head of Department. These written instructions should be filed in the personal files of the relevant officials.
- 9.5 Fax machine and photocopiers will be placed in the Records Offices of MEC, HOD, Chief Directors and Directors. Information security must be observed at all times by officers in charge.
- 9.6 All officials responsible handling correspondence should sign an Oath of Secrecy.**

10. LEGALITY

The records of the Department are admissible as legal evidence in the court of law. Information/records kept by the department is (are) compliant with relevant legislation.

11. RECORDS AUDIT

- 11.1 Subject to the exemption provision contained in section 13(2) (c) of the National Archives and Records Service of South Africa (Act No. 43 of 1996). The Provincial /National Archivist are entitled to full and free access, at all times, to all public records in North West Department of Public Safety' s custody.
- 11.2 Records Managers shall conduct audits in all Departmental Records Offices on a regular basis and advise the head of the institution accordingly.
- 11.3 Reports of all audits shall be managed in line with this policy.

12. DISPOSAL OF RECORDS

- 12.1.1 No records (both paper-based and electronic) under the control of the Department shall be destroyed, erased, disposed of or transferred to the Provincial Archives repository without the written authorization of the National /Provincial Archivist.

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- 12.1.2 Institutions and employees who wish to initiate the disposal of records must acquire approval from the Provincial archivist before they are destroyed. Note not all employees can acquire disposal authority from Provincial Archivist but Records Manager
- 12.1.3 Non archival records shall be kept for the period which shall be determined by the Departmental retention schedule. Retention periods must be determined in consultation with all employees as creators of records.
- 12.1.4 Transparency, accountability, requirements of democracy, any other legal obligations as well as office's own functional needs must always be considered when determining retention period.
- 12.1.5 Head of records management division must be contacted whenever there are queries in relation to allocated retention period.
- 12.1.6 Archival paper-based records shall be kept for a period of 20 years before being transferred to the Provincial Archives for permanent preservation.
- 12.1.7 Human Resource Management records under the control of the Department shall be kept for a period of 10 years after an employee has terminated service. After this period, these records would be disposed in accordance with the disposal authority.

13 SECURITY AND PROTECTION

13.1 Control

- 13.1.1 Paper based records shall be kept in the Records Office as provided for in the Records Management Procedure Manual and the Head of Records Office shall ensure compliance with the applicable records keeping measures. When classified records are not in use, they must be stored in the following manner:

- Restricted : Normal filing cabinets/shelves
- Confidential : Reinforced cabinets
- Secret : strong room/reinforced cabinets
- Top secret : Strong room, safe or walk-in safe

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- 13.1.2 Electronic records shall be kept in the Server as provided for in the Information Security Policy and the Head of Information Technology shall ensure compliance with information storage and backup plan.

13.2 Access

- 13.2.1 All records can be accessed by the departmental employees subject to all relevant legislation, policies and procedures within the Department.
- 13.2.2 The Head Records Office must ensure that no unauthorized person may, or is able to gain access to the records office, or records storerooms during or after office hours. Officials with no direct records management responsibility should only be allowed inside the Records Office after signing on the access registers.
- 13.2.3 Access to records for researchers and the persons who wish to consult records from outside and within the department is controlled by the Records Manager because of the absence of Deputy Information Officer (DIO) in accordance with section 17 of Promotion of Access to Information Act (Act No 2 of 2000).
- 13.2.4 All requests from researchers, auditors and other clients who wish to access records must be submitted in writing to the Records Manager. All such requests would be handled in accordance with the department's manual in terms of Promotion of Access to Information.
- 13.2.5 Records Manager must personally ensure that the applicant's perusal will not be detrimental to the Department.
- 13.2.6 Records Manager may refuse request for access and applicant notified thereof in accordance with section 25 of Promotion of Access to Information Act (Act No. 2 of 2000)
- 13.2.7 Researchers consulting records must do it either in the records offices under the supervision of the Records Office Head. In this manner the supervisor must note that:
- 13.2.7.1 The greatest care must be exercised in the handling of the records as stipulated in the Procedure Manual

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13.2.7.2 If the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of the Records Manager who must also ensure that the relevant items are not damaged in the process; and

13.2.7.3 No researcher may remove items from the office for any reason at all.

13.2.7.4 The Records Manager must first inspect and approve any researcher's work before it is published or in any way duplicated. He/she may consult with line/staff function Managers as deemed fit in the process. Such a researcher must also be requested beforehand to donate two annotated copies to the Head of the offices. One copy of this must be sent to the Provincial Archivist.

14. Training

14.1 Regular training of the Records personnel must be conducted. Records Management workshops/courses shall be arranged in accordance with the Department Skills policy.

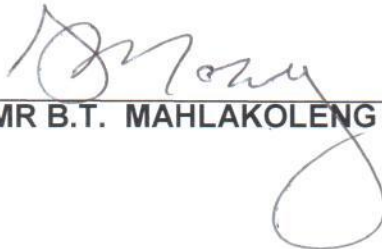
14.2 The Records Manager / Head of Records office shall conduct training in the allocation of reference numbers.

13.3 The Records Manager / Head of Records Office should ensure that all staff members are conversant with proper records management procedures to the records office's full functionality.

15 EVALUATION AND MONITORING

The Records Manager shall be responsible for monitoring the implementation of this policy and review when a need arises.

APPROVED BY THE HEAD OF DEPARTMENT/ACTING HEAD OF DEPARTMENT


MR B.T. MAHLAKOLENG


DATE

