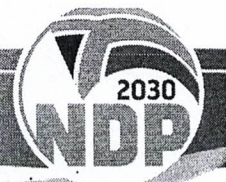




**dlg&hs**

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# **RECORDS MANAGEMENT POLICY**

EFFECTIVE DATE: 01 APRIL 2018

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## 1. POLICY FRAMEWORK

### 1.1 PURPOSE

The purpose of this policy is to:

- 1.1.1 Regulate the management of the Department Local Government and of Human Settlements records in a well structured record keeping system and to set the necessary policies and procedures in place to ensure that record keeping and records management practices comply with the requirements of the National Archives and Records Service Act no.43 of 1996.
- 1.1.2 Maintain and enhance the value of information resources of the Department of Local Government and Human Settlements. Information is a resource of the same importance to good management as other standard resources. The information resources of the Department of Local Government and Human Settlements must consequently be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. The Department of Local Government and Human Settlements considers its records to be a valuable asset to:
  - a) Enable the Department to find the right information easily and comprehensively;
  - b) Enable the Department to perform its functions successfully and efficiently and in an accountable manner.
  - c) Support the business, legal and accountability requirement of the Department;
  - d) Ensure the conduct of the business in an orderly, efficient and accountable manner;
  - e) Support and document policy formation and administrative decision-making;
  - f) Provide continuity in the event of a disaster;
  - g) Protect the interest of the Department and the rights of employees, clients, present and future stakeholders;
  - h) Support and document the Department's activities, development and achievements;
  - i) Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.1.3 Through proper control of the content, storage and volume of record, reduce vulnerability to legal challenges or financial loss and to promote best value in terms of human and space resources through greater co-ordination of the information and storage systems.



## **1.2 POLICY STATEMENT**

- 1.2.1 All records created and received by the Department of Local Government and Human Settlements shall be managed in accordance with the records management principles contained in section 9 of the National Archives and Records Service Act, 43 of 1996 as amended.
- 1.2.2 The following broad principles which apply to the record keeping and records management practices of the Department of Local Government and Human Settlements:
- a) The Department follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
  - b) The records management procedures of the Department comply with legal requirements, including those for the provision of evidence.
  - c) The Department follows sound procedures for the security, privacy and confidentiality of its records.
  - d) Electronic records in the Department are managed according to principles promoted by the North West Provincial Archives and Records Services.
  - e) The Department has performance measures for all records management functions and reviews compliance with these measures.

## **1.3 LEGISLATIVE MANDATE**

- 1.3.1 By managing records effectively and efficiently the Department of Local Government and Human Settlements strives 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).
  - 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
  - Promotion of Administration Justice Act (Act No 25 2002)
  - Public Finance Management Act (Act No 1 of 2008)

- Electronic Communications and Transactions Act (Act No 25 of 2002)
- Treasury Regulations;
- The financial Advisory and intermediary Services Act ,37 of 2002
- The Financial Intelligence Centre Act 38 , of 2001
- 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
- ISO 17799 Information Security Framework, for Public Service
- ISO 17799: Position paper on Security Information

## **1.4 RELATIONSHIP WITH OTHER POLICIES**

1.4.1 The Department 's Records Management Policy shall consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by the Department. These policies shall ultimately be managed by the Records Manager:

- 1.4.1.1 The following additional parts shall exist:
- a) Electronic Records Management Policy
  - b) ICT Security Policy
  - c) Registry Procedure Manual

1.4.2 Other policies that shall exist which are closely related to the Records Management Policy are:

- a) The Security Policy
- b) The Internet Usage Policy

## **1.5 SCOPE OF THE POLICY**

This policy impacts on all records created and received by the Department of Local Government and Human Settlements regardless of form, medium or age.

## **1.6 MANDATORY COMPLIANCE (SCOPE OF APPLICABILITY)**

1.6.1 This policy impacts upon the Department of Local Government and Human Settlements work practice for all those who:

- a) Create records including electronic records;
- b) Have access to records;
- c) Have any other responsibilities for records, for example storage and maintenance responsibilities

1.6.2 This policy is therefore applicable to all business units and employees on the establishment (permanent, probation, fixed term contracts, consultants and interns) of the Department of Local Government and Human Settlements.

1.6.3 This policy however represents only the Department of Local Government and Human Settlements and does not include information and or records kept by the various Municipalities in the North West province.

## **2. ROLES AND RESPONSIBILITIES**

### **2.1 HEAD OF THE DEPARTMENT OF LOCAL GOVERNMENT AND HUMAN SETTLEMENTS**

2.1.1 The Head of Department:

- a) Is ultimately accountable for the record keeping and records management practices of the Department;
- b) Is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained;
- c) Support the implementation of this policy and requires each staff member to support the values underlying in this policy;
- d) Shall appoint the Records Manager of the Department of Local Government and Human Settlements 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.

## **2.2 SENIOR MANAGERS**

- 2.2.1 Senior Management along with the Records Manager shall ensure that all staff is made aware of their record keeping and records management practices;
- 2.2.2 Senior Managers are responsible :
- a) For the implementation of this policy in their respective units
  - b) To lead by example and shall themselves maintain good record keeping and records management practices;
  - c) To ensure that the management of records including email is a key responsibility in the performance agreements of all the staff in their units.

## **2.3 RECORDS MANAGER**

- 2.3.1 The Records Manager is responsible for:
- a) The overall implementation of this policy;
  - b) Staff awareness regarding this policy
  - c) The management of all records according to the records management principles contained in the in the National Archives and Records Services Act No. 43 of 1996.
  - d) The determination of retention periods in consultation with the users by taking into account the functional, legal and historical need of the Department to maintain its records of the transactions.
- 2.3.2 The Records Manager is mandated to offer training and other interventions as are necessary to ensure that the Department 's record keeping and records management practices comply with the records management principles contained in the Provincial Archives and Records Services National Archives and Records Services Act No. 43 of 1996.
- 2.3.3 The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Department.
- 2.3.4 The Records Manager shall ensure that all records created and received by the Department are classified according to an approved file plan and records control schedule and that a written disposal authority is obtained for them from the North West Archives and Records Services
- 2.3.5 The practical work connected to his responsibilities may be delegated to Registry officials and subordinates. However, the Records Manager's responsibility to ensure that the Department's records management practices comply with the requirements of Act may not be delegated.



2.3.6 The specific duties of the Records Manager are contained in the Job Description of the incumbents, and it is kept on the file.

## **2.4 DEPUTY INFORMATION OFFICER**

2.4.1 In terms of the Promotion of Access to Information Act 2 of 2000; the Head of the Department is the Information Officer.

2.4.2 The Information Officer delegated his/her power and duties by designating the Records Manager or any official to act as the Deputy Information Officer.

2.4.3 The Deputy Information Officer is responsible:

- a) For the effective administration of the Promotion of Access to Information Act in the implementation and execution thereof;
- b) For approval of requests for information in terms of the Promotion of Access to information Act;
- c) To inform the Administration Officer: Records Management if a request for information necessitates a disposal to be placed on records that are due for disposal

## **2.5 INFORMATION TECHNOLOGY SYSTEMS MANAGER**

2.5.1 The Information Technology Systems Manager:

- a. Is responsible for the day-to-day maintenance of electronic systems that stores records;
- b. Shall work in conjunction with the Records Manager to ensure that electronic records in his /her area of operation are properly managed ,protected and appropriately preserved for as long as they are required for business ,legal and long term preservation purposes;
- c. Shall ensure that appropriate systems technical manuals and systems procedures manual are designed for each electronic system that manages and stores records;
- d. 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;
- e. Shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platform when there is a danger of technology obsolescence including media and format obsolescence;
- f. Shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on daily ,weekly and monthly basis to enable the recovery of authentic ,reliable and accessible records should a disaster occur;
- g. Shall ensure that all precautionary measures are taken to keep electronic systems that manage and store records virus free. She/he shall in instances where such virus outbreaks occur ensure that its effects are limited.

2.5.2 Comprehensive details regarding specific responsibilities of the Information Technology System Manager shall be contained in the:

- a) Electronic Records Management Policy
- b) ICT Security Policy

## **2.6 SECURITY MANAGER**

2.6.1 The Security Manager together with Records Manager is responsible for the physical security of all records.

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

2.6.3 Shall liaise with the Information technology systems manager to ensure that back-ups are stored in a secure off-site environment.

## **2.7 RECORDS MANAGEMENT STAFF**

2.7.1 Records Management staff is responsible for the day-to-day management of records in their care.

2.7.2 Detailed responsibilities regarding the day-to-day management of records shall be contained in the Registry Procedure Manual for the Departments main registry as well as procedure manual for other record storage areas (i.e Human Resource Registry Procedure manual). These manuals must be approved by the North West Provincial Archives and Records Service.

## **2.8 STAFF**

2.8.1 Every staff member shall create records of transactions while conducting official business as indicated in the Code of conduct for government employees (Chapter 2 and 3)

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

- a) Allocating reference numbers and subjects to correspondence records according to the file plan;
- b) Sending paper-based records to various registries for filing if the file is stored at the registry;

## **3. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS**

The Department of Local Government and Human Settlements shall only have the following record keeping system in place that organize and store records:



## **3.1 CORRESPONDENCE SYSTEMS**

### **3.1.1 File Plan:**

- a. The file plan must be approved by the Provincial Archives and shall be used for the classification of the correspondence records. The file plan shall be used for classification of paper-based and electronic (Including e-mail) records.
- b. The file plan must meet the requirements of staff using the plan and shall facilitate easy access and the implementation of an effective disposal programme.
- c. The Sub-Directorate Records Management shall maintain the file plan except in the case of the human resource part of the file plan which shall be maintained by the Directorate: Human Resource Management.
- d. The file plan shall be under the control of the Chief Registry Clerk who will report to the Records Manager.
- e. Each staff member shall allocate file reference numbers to all correspondence system records (paper, electronic and e-mail) according to the approved subjects in the file plan.
- f. When correspondence is created /received for which no subject exists on the file plan, the Records Manager shall assist with the request for additions and amendments to the file plan.
- g. File references and subjects may under no circumstances be added to the file plan unless it has been recommended and approved by the Records Manager.

#### **3.1.1.1 List of Series of separate Case Files**

- a) The Directorate: Human Resource Management maintains a set of paper-based correspondence case files for each staff member.

These case files forms part of the correspondence system records and shall be managed as part of the list of series of separate case files which shall be attached as an Annexure to the approved file plan.

#### **3.1.1.2 Terminated correspondence system records**

- a. The Sub-Directorate: Records Management shall maintain correspondence system records of terminated file plans and terminated functional subject file lists.
- b. No record may be removed and placed (transferred) on the current file plan unless approved by the Record Manager (Case files which existed under the old system may be transferred to the new system and re-numbered, but this should only be done in respect of cases becoming active. In this way the unnecessary transition of large numbers of case files is eliminated).

### **3.1.2 Related storage areas**

#### **3.1.2.1 Correspondence system records in the central registry (not human resource related)**

- a. Correspondence files in the approved file plan and correspondence files in the terminated file plans and terminated functional subject file lists that are not human resource related are centralized and kept in the custody of Registries
- b. These Registry Offices shall be under the control of the Records Manager
- c. The registry is a secure storage area and only Record Management staff is allowed in the record storage area.
- d. Staff members that need access to the files in the registry shall place a request (as prescribed in the file request procedure manual of the department) for the files.
- e. The registry shall be locked when registry is not in operation.

#### **3.1.2.2 Human resource correspondence system files**

- a) The Department of Local Government and Human Settlements maintains a set of paper based case files for each staff member as part of the approved file plan. These are personnel files, confidential in nature and are located in the HR registry.
- b) This Registry shall be under the direct control of the Assistant Director: Human Resources.
- c) The files exist only in paper-based format and the physical tracking and movement of files are managed with the file control sheet.

### **3.2 RECORDS OTHER THAN CORRESPONDENCE SYSTEMS**

#### **3.2.1 Schedule for records other than correspondence systems**

- a) The Sub-Directorate: Records Management shall maintain the schedule of all records other than correspondence systems which shall be under the control of the Records Manager who will report to the Director: ICT and Management
- b) The schedule shall consist of four (4) parts namely:

PART 1: Schedule for paper-based records other than correspondence records;

PART 2: Schedule for electronic records systems other than correspondence systems

PART 3: Schedule for micrographic records;

PART 4: Schedule for audio-visual records

- c) The schedule for records other than the correspondence systems shall contain a description of each set of records other than the correspondence systems and shall indicate their storage



- d) Location and retention periods of these records regardless of its format. The details schedule shall be made available on the intranet.
- e) Should records be created/received that are not listed in the schedule, the Records Manager must be contacted to assist with requested for additions to the schedule.

#### **3.2.1.1 Schedule for paper based records other than correspondence systems**

- a) The department has various sets of paper based records other than the correspondence systems that are kept in various offices and managed by the designated managers as per their area of responsibilities.

#### **3.2.1.2 Schedule for electronic record system other than correspondence systems**

- a) The Department has a number of electronic records systems in operation which are not part of the correspondence system, which organize and store electronic records,
- b) The IT manager is responsible for the day-to-day maintenance of these systems.
- c) The records maintained in these systems shall be under the overall control of the Manager who is mandated to ensure that they are managed properly.
- d) Detailed guidance regarding the management of these systems shall be contained in the Electronic Records Management Policy.

#### **3.2.1.3 Schedule for micrographic records**

- a) The Department does not have any microfilm records.
- b) Should the need arise to microfilm records approval for such purpose shall be requested by the Records Manager from the Provincial Archives and Records Services of North West.
- c) If the approval is granted to microfilm records, the Records Manager shall ensure that the specific conditions set for microfilming of records are adhered to:

#### **3.2.1.4 Schedule for audio-visual records**

- a) The Department has various categories of audio-visual records that are stored at the Directorate: Media and Communications, various officials use them on daily basis.
- b) These records shall be under the overall control of the Records Manager who is mandated to ensure that they are managed properly.

### **4. DISPOSAL**

- 4.1 No records shall be destroyed, erased or otherwise disposed without prior written authorization from the Provincial Archivist.

- 4.2 The Records Manager is ultimately responsible to ensure that all records in the custody of the Department are issued with a disposal authority, and that retention periods are allocated against all records.
- 4.3 Retention periods for ephemeral records shall be determined by Senior Managers in consultation with the Records Manager by taking transparency, accountability, the requirements of democracy the Department of Local Government and Human Settlements legal obligation and functional needs into account when determining retention periods.
- 4.4 No records created or received by the Department which is not covered by a General Disposal Authority may be destroyed, erased or otherwise disposed of until such time that Standing and Limited Disposal Authorities for the disposal of current and terminated records classified against the file plan, subject filing lists and records control schedule has been obtained from the North West Archives and Records Services.
- 4.5 Records that are covered by a General Disposal Authority may only be destroyed once the retention period allocated to it has lapsed.
- 4.6 All disposal actions should be authorized by the Records Manager prior to any disposal action to ensure that archival and vital records are not destroyed inadvertently.
- 4.7 The Sub-Directorate Records Management manages the disposal schedule and disposal in terms of Systematic Disposal Programme and will be executed annually.
- 4.8 Destruction certificates must be issued to the Provincial Archives and Records Services after each successful disposal action.
- 4.9 Non-archival records that are needed for litigation or Public Administration of Justice Actions may not be destroyed until such time that the Senior Manager has indicated that the destruction hold can be lifted.
- 4.10 Non-archival records that are in terms of Promotion of Access to information requested may not be destroyed until such time that the Deputy Information Officer has indicated that the destruction hold can be lifted.
- 4.11 Paper based records with archival value shall safely be stored in the General Registry or if as shortage in storage space occurs, an offsite storage facility approved by the Provincial Archives and Records Services of the North West until such time that its retention periods have lapsed before it can be transferred to an archive repository.



Transfer procedures shall be as prescribed by the Provincial Archives in the General Record Keeping and Records Management Policy Guidelines.

## **5. STORAGE AND CUSTODY**

5.1 Specific guidelines regarding the disposal of electronic records shall be contained in the Electronic Records Management Policy Guidelines.

5.2 All records shall as far as possible be stored and protected against all elements that may cause damage or destruction to it.

5.3 Specific procedure for the management of electronic storage media shall be contained in the Electronic Records Management Policy Manual.

## **6. ACCESS AND SECURITY**

6.1 Registries are secure storage areas and only records management staff is allowed in this area.

6.2 The Registry shall be locked when not in operation.

6.3 Records shall at all times be protected against unauthorized access and tempering to protect their authenticity and reliability as evidence of the business of the Department of Local Government and Human Settlements.

6.4 Security classified records shall be managed in terms of the Minimum Information Security Standard (MISS)

6.5 No staff member shall remove records that are not available in the public domain from the premises of the Department of Local Government and Human Settlements without the explicit permission of the Records Manager in consultation with the Senior Manager of the staff member.

6.6 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 manual (section 14 manual) which is maintained by the Deputy Information Officer and available on the Department of Local Government and Human Settlements website.

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

6.8 No staff member shall disclose personal information of any member of staff or clients of the Department of Local Government and Human Settlements to any member of the public without consulting the Director Human Resource Management and Administration first

6.9 All records shall as far as possible be protected against any unauthorized alteration or deletions.

6.10 The Records Manager is mandated to report in writing to the Provincial Archivist without delay all cases of serious damage, loss or authorized destruction of the Department's records should it occur.

6.11 Records storage areas shall at all times be protected against unauthorized access.

The following shall apply:

**6.11.1 Registry:**

- a. Only records management staff is allowed in the records storage areas
- b. Records storage area will be locked when not in operation
- c. Staff members that need access to the original files in the Registry shall place a request for the files on the file tracking sheet or at the counter.
- d. Files will only be issued on level of accessibility
- e. Windows or hatches to the Registry will be fitted with appropriate burglar proofing. Doors to the records management storage areas shall be fitted with high security lock (5-lever lock)

**6.11.2 Server rooms and storage areas for electronic media**

Access to storage areas where electronic records are stored is limited to the information technology staff that has specific duties regarding the maintenance of the hardware, software media.

**7. DISCIPLINARY PROCESSES AND PROCEDURES**

7.1 Deliberate tampering with records, wilful damage and illegal disposal/destruction of public records is a criminal offence and may lead to criminal proceedings.

7.2 Transgression of this policy constitutes misconduct and where necessary, disciplinary procedures will be taken



## 8. MONITORING AND EVALUATION

The impact of this policy on record keeping and records management practices of the Department will be monitored by the Records Manager and designated Records Management staff who will report on its effectiveness to the Records Manager with recommendations of how to improve on efficiencies /shortcomings identified.

## GLOSSARY

**“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.

**Authentic records:** 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.

**Archives means:** Records in the custody of an archives repository

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

**Case files:** A file created for each person or item within a specific group (e.g. personal files)

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

**Current records:** Records that form part of a records classification system still in use.

**Custody:** The control of records based upon their physical possession.

**Department:** It refers to North West Department of Human Settlements

**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:** 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.

**Electronic Records Management System:**

An electronic system that contains business rules to manage records to ensure that they are authentic and reliable.

**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.

**File reference:** A Unique identifier for a file. This can be a numerical, alphanumerical or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.

**Functional subject file lists:** Pre-determine non approved file reference lists created which records were filed to facilitate retrieval.

**MISS or Minimum Information Security Standards:** Component which is responsible for security services in the Department.

**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.

**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 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:** Instrument to control records other than correspondence files, according to such items are identified, retrieved and disposed of.

**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.

**Registry:** Component where active files of governmental body are managed and stored.

**Retention Period:** (a) The length of time that records should be retained in offices before they are transferred to archival custody or destroyed/deleted.  
(b) In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.

**Satellite office:** An office that forms part of the Department of Local Government and Human settlements that is located in another building

**Schedule for records other than correspondence systems:** A control mechanism for records other than correspondence files (other records), which contains description and the disposal instructions and retention periods of all other records.

**Terminated Records:** Records that were created or received by the Department and were managed by a records classification system no longer in use.

**Transitory Records:** Records created by official but not required by the Department for which they work to control, support or document the delivery of services, or to carry out operations, to make decisions, or to give account of activities of the department. Such records are needed by officials for only limited time to facilitate the completion of routine actions or to prepare a subsequent record required by the department for the abovementioned reasons.

**Vital Records:**

- a) Records that protect the enduring civil, legal, financial, property and other rights of the citizens of a country.
- b) Records that are needed to continue operational responsibilities under disaster conditions.

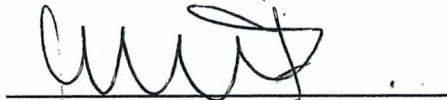


- c) Records that protect the legal and financial rights of Government.

## 9. REVIEW

This policy will be reviewed in three years or if there are any amendments of legislative framework.

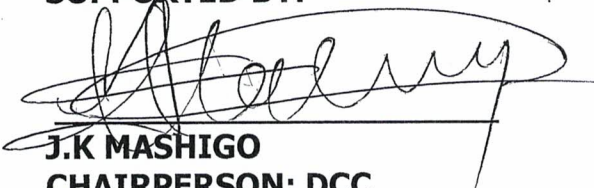
### RECOMMENDED BY:



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01/04/2018  
**DATE**

### SUPPORTED BY:



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**CHAIRPERSON: DCC**

01/04/2018  
**DATE**

### APPROVED BY:



**P.E MOTOKO**  
**HEAD OF DEPARTMENT**

09/04/2018  
**DATE**



