



social development

Department:
Social Development
PROVINCE OF KWAZULU-NATAL

RECORDS MANAGEMENT POLICY

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1 INTRODUCTION

- 1.1 The Records Management Policy seeks to identify, create, manage, store and retain business records and other forms of information sources in order to protect the interest of employees, clients, stakeholders and the Department.
- 1.2 Section 13 of the National Archives and Records Service Act of South Africa (No. 43 of 1996) as amended requires the Department to manage its records in a well-structured system and to put the Policies and Procedures in place to ensure that it's records keeping and records management Practices comply with requirement of the Act.

2. LEGISLATIVE FRAMEWORK

Constitution of the Republic of South Africa 1996(Act No.108 of 1996)

Electronic Communications and Transactions Act (Act no. 25 of 2002)

KwaZulu-Natal Archives and Records Service Act 2011(Act No. 08 of 2011)

National Archives and Records Services Act, 1996 (Act no 43 of 1996) as Amended

National Migration Act 1958 – Section 488

Promotion of Administrative Justice Act, 2000 (Act no.3 of 2000)

Promotion of Access to Information Act, 2000 (Act no.2 of 2000)

Public Finance Management Amendment Act, 1999 (Act no 1 of 1999)

Public Audit Act, 2004 (Act no. 25 Of 2004) and

Public Service Act proclamation no. 1994 (Act no 103 of 1994) as amended

3. SCOPE OF APPLICABILITY

This Policy is applicable to all employees, who have access to records, create or receive records including Electronic Records and have any other responsibilities for records.

4 DEFINITION OF TERMS

- 4.1 **“Archives Repository”** means any archives repository contemplated in section 20 Kwazulu-Natal Archives and Records service act 2011.
- 4.2. **“Department”** means the KwaZulu-Natal Department of Social Development.
- 4.3. **“Correspondence File”** means a record which must be punched and filed in a correspondence file cover.

- 4.4. **“Deputy Information officer”** means any person appointed in terms of section 17 (1) and duly authorised in terms of section 17(3) and section 17(6)(a) of the Promotion of Access to Information Act 2 of 2000 to render the Departmental accessible as reasonably possible for requesters of its records;
- 4.5. **“Disaster Recovery/Management Plan”** means a plan for the protection and recovery of vital records;
- 4.6. **“Disposal Instruction”** means the disposal authority allocated to each record to be disposed of and transferred into archival custody for permanent preservation;
- 4.7. **“Disposal Authority”** means a written authority issued by the Provincial Archivist in terms of section 18 (2) specifying Records to be preserved or documents to be disposed of;
- 4.8. **“Employee”** means any person, excluding an independent contractor, who works for another person or for the state and who receives, or is entitled to receive, any remuneration; and any other person in any manner assisting in carrying on or conducting the business of an employer, and “employee” and “employed” have meanings corresponding to that of “ employee”;
- 4.9. **“GITO”** means Government Information Technology Officer;
- 4.10. **“HOD”** means Head of Department of Social Development.
- 4.11. **“HR”** means Human Resource Management;
- 4.12. **“ICT”** means Information Communication Technology;
- 4.13. **“Master Copy”** means the file plan reflecting the records classification system for correspondence files that contain all approved subject-matters and which indicates how files are opened and closed;
- 4.14. **“MEC”** means a member of the Executive Council in the Provincial Government of the KwaZulu-Natal who is responsible for Social Development;
- 4.15. **“Officer”** means the employee of the Department;
- 4.16. **“Province”** means the Province of KwaZulu-Natal established in terms of the Constitution Act, 1996 (Act No. 108 of 1996);
- 4.17. **“Record”** means recorded information regardless of form or medium and includes electronic and digital information;
- 4.18. **“Records Management Forum”** means a forum established to oversee the records management function;

- 4.19. **“Records Manager”** means an official of the Department appointed and responsible for records management;
- 4.20. **“Records Schedule”** means a record classification system for all records that cannot be physically put in a file, for example registers, video, cassettes etc;
- 4.21. **“Records Retention Schedule”** means a length of time that records should be retained in the Department before they are transferred into archival custody or destroyed/deleted in an electronic document management system, the length of time a record is kept offline before it is moved to near-line or off-line storage in a hierarchical storage management system;
- 4.22. **“Records Classification System”** means classification plan for the identification, arrangement, storage and retrieval of records. It includes a records control schedule for records other than correspondence files, and classification system for electronic records;
- 4.23. **“Sensitivity Classifications”** means material that government body claims is sensitive information that requires protection of confidentiality, integrity, or availability. Access is restricted by law or regulation to particular group of people, and mishandling can incur criminal penalties and loss respect.

5. **PURPOSE OF THIS POLICY**

The Policy ensures that all records created and received in all formats shall be managed in accordance with Section 13 of the National Archives and Records Service of South Africa Act (No. 43 of 1996) as amended.

6. **OBJECTIVES OF THIS POLICY:**

- 6.1. To ensure good corporate governance, through the implementation and compliance with proper records management norms and standards, thus enabling the department to perform its functions efficiently and effectively.
- 6.2. To ensure that business processes are conducted in an orderly, efficient and accountable manner.
- 6.3. To enable the Department to retrieve accurate and appropriate information through proper use of approved records classification systems.
- 6.4. To provide continuity in the event of a disaster.
- 6.5. To document and support the Department’s functions, activities, developments and achievements in order to provide evidence of the Department’s business.

- 6.6. To ensure the implementation of a systematic disposal programme through records management audits/inspections.

7. ROLES AND RESPONSIBILITIES

7.1. HEAD OF DEPARTMENT IS RESPONSIBLE FOR:-

- 7.1.1. In terms of the National Archives and Record Service of South Africa Act, 43 of 1996, the Head of Department is responsible and ultimately accountable for records management practices.
- 7.1.2. designating an employee to be the Records Manager to perform records management practices.
- 7.1.3. enhancing accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained
- 7.1.4. establishing a Records Management Forum.

7.2. LINE MANAGERS ARE RESPONSIBLE FOR:-

- 7.2.1. implementation of this Policy in their respective units. Line Managers shall lead by examples and shall themselves maintain good record keeping and records management practices.
- 7.2.2. ensuring that all employees are made aware of their records keeping and records management responsibilities and obligations
- 7.2.3. managing of records including e-mails is a key responsibility in the performance agreements of all employees in their units.

7.3. RECORDS MANAGER IS RESPONSIBLE FOR:-

- 7.3.1. implementing a systematic disposal program, and regularly update and maintain the Retention Schedule to reflect any changes in legal and operational retention requirements;
- 7.3.2. managing all records according to the records management principles contained in the National Archives and Records Services Act, 1996 (Act no 43 of 1996) as well as KwaZulu-Natal Archives and Records Services Act, 2011 (Act no 08 of 2011).

- 7.3.3 maintaining records classification systems for the records in the department, including Master Copy of the File Plan, Records Control Schedule and Electronic Document and Records Management Systems;
- 7.3.4 conducting training/development programmes as are necessary to ensure that the department's record keeping and records management practices comply with records management principles.
- 7.4. EMPLOYEES ARE RESPONSIBLE FOR:-**
- 7.4.1. keeping of records of all transactions while conducting official business in a manner prescribed in this Policy.
- 7.4.2. compliance with the procedures and guidelines as outlined in this Policy.
- 7.5. RECORDS MANAGEMENT FORUM IS RESPONSIBLE FOR:-**
- 7.5.1. setting up proper registries as required and promulgated by the Archives legislation;
- 7.5.2. ensuring that effective and efficient registries are in place;
- 7.5.3. facilitating the implementation of approved records classification systems;
- 7.5.4 monitoring compliance with records management prescripts;
- 7.5.5 facilitating the implementation of systematic disposal of records programme;
- 7.5.6 serve as a general platform for development, sharing of information and expertise in records management field;
- 7.5.7 monitoring progress and address concerns that may arise during implementation of sound records management prescripts; and
- 7.5.8 facilitating developmental programmes for registry and records personnel on sound records management practices.
- 7.6. GITO MANAGER IS RESPONSIBLE FOR:-**
- 7.6.1. maintenance of electronic system that stores data/records;
- 7.6.2. ensuring that Departmental Electronic Records are properly managed, protected and appropriately preserved for as long as they are required for business, Legal and long-term preservation purposes.
- 7.6.3. ensuring that back-ups are stored in a secure off-site environment.

8. OWNERSHIP OF RECORDS

- 8.1. All records, irrespective of format, (i.e. both paper and electronic, including emails) created or received by the Department employees in the course of official duties are the property of the Department.
- 8.2. Employees leaving the Department or changing positions within the Department are to leave records.

9. CLASSIFICATION OF RECORDS

- 9.1. Records (both paper and electronic) may only be classified according to the approved Department File Plan and the Records Control Schedule.
- 9.2. All employees should implement the approved department file plan and all correspondence must be dealt with on a prescribed file cover.
- 9.3. No additions or revisions may be made to the File Plan without the approval of the HOD or his/her designee.
- 9.4. Only approved paper-based file plan must be used for correspondences.

10. ACCESS TO RECORDS

- 10.1. Access to records is governed by the "sensitivity classifications" allocated to record series and detailed in the Sensitivity Classification Scheme.
- 10.2. Active records may only be accessed through Deputy Information Officer and the request should be made in writing. Inactive records housed in the archives may only be accessed through the Records Manager. They may only be accessed, copied and used upon the written authorization of the Head of Department.
- 10.3. In order to ensure continued access to electronic records that are migrated across technologies and technology platforms, such migration must be undertaken in accordance with National Records Migration Policy.

11. STORAGE MEDIA AND FILE FORMATS

- 11.1. When selecting storage media and file formats for electronic records, due consideration must be given to the security, integrity, and accessibility requirements of records.

11.2. STORAGE AREAS

11.2.1. Paper –Based correspondence files are kept in the custody of the central Registry.

11.2.1.1. All paper-based correspondence records that are not HR related are housed in the central Registry.

11.2.1.2. All these records are under the management of the Records Manager who is mandated to ensure they are managed properly.

11.2.1.3. Registry is a secure storage area and only Registry employees are allowed in the Records Storage Area.

11.2.1.4. employees that need access to files in the Registry shall place a request for the files at the counter

11.2.1.5. Registry shall be locked when Registry is not in operation.

11.3. HUMAN RESOURCES REGISTRY

11.3.1 All HR related records are housed and accounted for in the HR Registry.

12. ELECTRONIC RECORDS MANAGEMENT SYSTEM

12.1. Where an electronic records or document management system is implemented for the management, use, storage and/ or preservation of records, such a system must be approved by the National Archives and Records Service Act, 1996 (Act no 43 of 1996).

13. RECORDS RETENTION

13.1. All original electronic and paper records are to be retained for the period stipulated in the File Plan under the column “Disposal”.

13.2. Any deviations from these stipulated retention periods are to be authorized by HOD or his/her designee.

14. RECORDS DISPOSAL

14.1. The procedure for disposal of paper and electronic records is detailed in the Records Retention and Destruction Procedures and must be adhered to at all times. All original records covered by this Policy document are to be disposed of using these procedures.

- 14.2. Paper or electronic records are not to be destroyed where litigation or audit investigations are pending or in process. The destruction may only take place after the finalization of the audit processes.
- 14.3. On destruction of any departmental record, a Certificate of Destruction must be produced by the Records Manager for submission to the Provincial Archives Service, indicating the reason for the destruction of the original file, and to meet statutory and regulatory requirements.
- 14.4. Unauthorized destruction or disposal of records or information sources is strictly prohibited, and may result in disciplinary action where applicable. The liability of damages and losses may be borne by the employees.

15. RECORDS INTEGRITY

- 15.1. All records shall be identified, classified, retained, stored and protected in such a manner that their integrity is not compromised.
- 15.2. The Records Manager shall ensure that processes and applicable technology are implemented to safeguard the integrity of records throughout the record lifecycle.
- 15.3. The Records Manager shall provide guidelines and practices to ensure that records are admissible evidence in courts or disciplinary proceedings notwithstanding the fact that such records were created, distributed or stored in electronic format.
- 15.4. The Records Manager in consultation with Information Technology Manager shall ensure that the necessary technology is employed to prevent unauthorized access, tampering and destruction of electronic records.

16. NON COMPLIANCE WITH RECORDS MANAGEMENT POLICY

- 16.1. An employee who fails to comply with this Policy shall be guilty of an act of misconduct.
- 16.2. Any uncertainty as to the provisions of this Policy or any duty detailed herein shall be directed to the Records Manager.

17. MONITORING AND EVALUATION

The Policy will be monitored, evaluated and reviewed after three years or as and when the need arises.

18. POLICY VERSION

This is the 2nd version of the Policy and is available in English version.

19. EFFECTIVE DATE

This Policy is to be effective immediately on the date of approval.

20. THE TITLE OF THE POLICY

This Policy shall be called Records Management Policy.

21. POLICY APPROVAL

This Policy supersedes all other policies in existence. This revised Policy is approved with effect from the 21st day of May in the year 2014


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ACTING HEAD OF DEPARTMENT
DEPARTMENT OF SOCIAL DEVELOPMENT

21/05/14