



the dr&pw

Department:
Roads and Public Works
NORTHERN CAPE PROVINCE
REPUBLIC OF SOUTH AFRICA

RECORDS MANAGEMENT POLICY

Version 2
February 2019

Content

1.	PURPOSE	3
2.	POLICY STATEMENT.....	3
3.	RELATIONSHIP WITH OTHER POLICIES	4
4.	SCOPE AND INTENDED AUDIENCE.....	4
5.	REGULATORY FRAMEWORK.....	4
6.	ROLES AND RESPONSIBILITIES	4
6.1	<i>HEAD OF DEPARTMENT: ROADS AND PUBLIC WORKS</i>	4
6.2	<i>SENIOR MANAGERS</i>	5
6.3	RECORDS MANAGER	
6.4	<i>CHIEF INFORMATION OFFICER</i>	5
6.5	<i>IT MANAGER</i>	6
6.6	<i>SECURITY MANAGER</i>	6
6.7	<i>LEGAL SERVICES MANAGER</i>	6
6.8	<i>REGISTRY STAFF</i>	7
6.9	<i>STAFF</i>	7
7.	RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS	7
7.1	CORRESPONDENCE SYSTEMS	7
7.1.1	File plan.....	7
7.1.2	Letters	7
7.1.3	Storage areas.....	8
7.1.3.1	The central registry	8
7.1.3.2	The decetralised registry	8
7.2	RECORDS OTHER THAN CORRESPONDENCE SYSTEMS.....	9
7.2.1	Schedule for records other than correspondence systems	9
7.2.2	Storage areas.....	9
8.	DISPOSAL OF RECORDS	9
9.	STORAGE AND CUSTODY.....	10
10.	ACCESS AND SECURITY	10
11.	LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT.....	10
11.1.1	Paper-based records.....	11
11.1.2	Electronic records.....	11
12.	TRAINING.....	11
13.	MONITOR AND REVIEW	11
14.	DEFINITIONS	12
15.	REFERENCES	14
16.	AUTHORIZATION.....	14

1. Purpose

- 1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Department of Roads and Public Works 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 Roads and Public Works must therefore 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 Roads and Public Works considers its records to be a valuable asset to:
- enable the Department of Roads and Public Works to find the right information easily and comprehensively;
 - enable the Department of Roads and Public Works to perform its functions successfully and efficiently and in an accountable manner;
 - support the business, legal and accountability requirements of the Department of Roads and Public Works;
 - 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 Roads and Public Works and the rights of employees, clients and present and future stakeholders;
 - support and document the department of Roads and Public Works' 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 the Department of Roads and Public Works 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 the Department of Roads and Public Works:
- The Department of Roads and Public Works follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - The records management procedures of the Department of Roads and Public Works comply with legal requirements, including those for the provision of evidence.
 - The Department of Roads and Public Works follows sound procedures for the security, privacy and confidentiality of its records.
 - Electronic records in the Department of Roads and Public Works are managed according to the principles promoted by the National Archives and Records Service.

- The Department of Roads and Public Works 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 IT Policy which is managed by the IT Manager; and the
 - Promotion of Access to Information Policy which is managed by the CIO.

4. Scope and intended audience

- 4.1 This policy impacts upon the Department of Roads and Public Works' work practices for all those who:
- Create or receive 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 of 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 Roads and Public Works and covers all records regardless of format, medium or age.

5. Regulatory framework

- 5.1 By managing its paper-based records effectively and efficiently the Department of Roads and Public Works strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:
- Constitution, 1996;
 - National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);
 - 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)

6. Roles and responsibilities

6.1 *Head of Department of Roads and Public Works*

- 6.1.1 The Head of Department is ultimately accountable for the record keeping and records management practices of the Department of Roads and Public Works.
- 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 manager to be the records manager of the Department of Roads and Public Works 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 of Roads and Public Works 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 are made aware of their record keeping and records management responsibilities and obligations.

6.3 Records manager

- 6.3.1 The records manager is responsible for:
- the implementation of this policy;
 - staff awareness regarding this policy;
 - the management of all records according to the records management principles contained in the National Archives and Records 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 specific duties of the records manager are contained in the Records Manager's job description which is filed on file H2.8.4
The records manager is mandated to make such training and other interventions as are necessary to ensure that the Department of Roads and Public Works' 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 of Roads and Public Works.
- 6.3.5 The records manager shall ensure that all records created and received by the Department of Roads and Public Works are classified according to the approved file plan and that a written disposal authority is obtained for them from the National/ Provincial Archives and Records Service.
- 6.3.6 Ms Z Dibeco is the records manager for the whole Department of Roads and Public Works.

6.4 Chief Information Officer

- 6.4.1 The Chief Information Officer is responsible for 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 appropriate *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 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 that 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:
- Information Technology 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 of Roads and Public Works.

6.8 Registry staff

- 6.8.1 The registry staff are 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 and electronic records according to the file plan;
 - sending paper-based records to the registry for filing immediately after creation;
 - ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.

7. Records classification systems and related storage areas

The Records Manager has the following systems that organize and store records:

7.1 Correspondence systems

7.1.1 File plan

- Only the file plan approved on 09 March 2001 and implemented on 09 March 2001 shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.
- Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- 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 LETTERS

Official letters addressed to persons by name shall be opened by the registry staff and delivered to them in the appropriate manner.

The mail bag is received in the Registry, opened and sorted out by at least two officials, to whom this function has been assigned in writing.

Staff members are advised not to use the official postal address for private business as this will lead to their private correspondence being opened unintentionally. The Registry accepts no responsibility for private post. In order

to ensure that public resources are used exclusively for the purpose for which they were intended, the following procedures pertain to private mail:

- A staff member newly appointed in the department shall be given the privilege of using the Departments' Private Bag as his/ her postal address for a period not exceeding three months.
- After the three month period, it is expected that the official concerned would have secured his/her own postal facilities.
- Once three month period has passed ALL the private mail of the official concerned shall be placed in the cardboard box intended for this purpose outside the Registry door. The Official concerned is responsible him/herself for going through the box to determine which of its contents belong to him/her.
- The above procedure will come into effect for all existing officials in the Department of Roads and Public Works on the day that this policy is signed by the HoD From that date onwards, existing officials will have a three month period in which to make arrangements for their private mail facilities.

7.1.3 Storage areas

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

7.1.3.1.1 The central registry

- 7.1.3.1.1.1 All paper-based correspondence system records are housed in the central registry.
- 7.1.3.1.1.2 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.3.1.1.3 The registry is a secure storage area and only registry staff are allowed in the records storage area.
- 7.1.3.1.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter.
- 7.1.3.1.1.5 The registry shall be locked when registry is not in operation.

7.1.3.2 The Finance, Property and Roads registry

- 7.1.3.2.1 All the above-mentioned decentralized sections' related records are housed in their own Registries.
- 7.1.3.2.2 The subject files of the above mentioned decentralized registries are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.3.2.3 The Department of Roads and Public Works maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the central registry.
- 7.1.3.2.4 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.

- 7.1.3.2.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Uniform Personnel file Plan of the Northern Cape.

7.2 Records other than correspondence systems

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 of Roads and Public Works 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 a daily basis.

Plans of buildings
Maps

- 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.

8. Disposal of records

- 8.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist/Provincial Archivist.
- 8.2 The records manager manages the disposal schedule for correspondence files.
- 8.3 The records manager manages the disposal schedule for records other than correspondence/ other records.
- 8.4 Retention periods indicated on the file plan and schedule were determined by taking the department of Roads and Public Works' 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.
- 8.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 8.7 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.

- 8.8 Paper-based archival records shall be safely kept in [all approved registries] until they are due to transfer to the National/Provincial Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.

9. Storage and custody

- 9.1 See par. 7 for an identification of all record keeping systems and their storage locations.
- 9.2 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.
- 9.3 Specific policies for the management of electronic storage media are contained in the electronic records management policy.

10. Access and security

- 10.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Roads and Public Works department.
- 10.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.
- 10.3 No staff member shall remove records that are not available in the public domain from the premises of the Department of Roads and Public Works without the explicit permission of the records manager in consultation with the information security manager.
- 10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Chief Information Officer.
- 10.5 Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.
- 10.6 No staff member shall disclose personal information of any member of staff or client of the Department of Roads and Public Works to any member of the public without consulting the Chief Information Officer first.
- 10.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.
- 10.8 Records storage areas shall at all times be protected against unauthorized access. The following shall apply:
- 10.8.1 Registry and other records storage areas shall be locked when not in use.

11. Legal admissibility and evidential weight

- 11.1 The records of the Department of Roads and Public Works 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 of Roads and Public Works shall use systems which ensure that its electronic records are:
- authentic;
 - not altered or tampered with;
 - auditable; and
 - produced in systems which utilize security measures to ensure their integrity.

12. Training

- 12.1 The records manager shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip 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 Roads and Public Works on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Department of Roads and Public Works.
- 3.2 This policy shall be reviewed every five [5] years and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of the Department of Roads and Public Works.

14. Definitions

Archives repository:

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

Authentic records:

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

Authoritative records:

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

Correspondence system:

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

Custody:

The control of records based upon their physical possession

Disposal:

The action of either destroying/deleting a record or transferring it from one office to the another or into archival custody.

Disposal authority:

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

Disposal authority number:

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

Electronic records:

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

Electronic records system:

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

File plan:

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

Filing system:

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

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.

Recording:

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

Record keeping:

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

Records management

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

Retention period:

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

Schedule for records other than correspondence systems:

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

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

System technical manual:

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

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

15. References

National Archives and Records Service: *Records Management Policy Manual*, April 2006.
National Archives and Records Service: *Performance criteria for records managers in governmental bodies*, April 2006..

16. Authorization

This policy was approved by the Head of Department: Roads and Public Works on

DATE:

A handwritten signature in black ink, consisting of several loops and a long horizontal stroke extending to the right.

HEAD OF DEPARTMENT
DATE: 05.3.19