



DCSR POLICY : RECORDS MANAGEMENT

FILE NAME	RECORDS MANAGEMENT
ORIGINAL AUTHOR	DCSR FULL
REVIEW DATE	2020

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1. Purpose

- 1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Department of Culture, Sport and Recreation 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 Culture, Sport and Recreation 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 Culture, Sport and Recreation considers its records to be a valuable asset to:
- enable the Department of Culture, Sport and Recreation to find the right information easily and comprehensively;
 - enable the Department of Culture, Sport and Recreation to perform its functions successfully and efficiently and in an accountable manner;
 - support the business, legal and accountability requirements of the Department of Culture, Sport and Recreation;
 - 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 the Department of Culture, Sport and Recreation and the rights of employees, clients and present and future stakeholders;
 - support and document the Department of Culture, Sport and Recreation's activities, development and achievements;
 - provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

2. Policy statement

- 2.1 All records created and received by the Department of Culture, Sport and Recreation must 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 Culture, Sport and Recreation:
- The Department of Culture, Sport and Recreation follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - The records management procedures of the Department of Culture, Sport and Recreation comply with legal requirements, including those for the provision of evidence.
 - The Department of Culture, Sport and Recreation follows sound procedures for the security, privacy and confidentiality of its records.

- Electronic records in the Department of Culture, Sport and Recreation are managed according to the principles promoted by the National Archives and Records Service.
- The Department of Culture, Sport and Recreation has performance measures for all records management functions and reviews compliance with these measures.

3. Relationship with other policies

- 3.1 The Department of Culture, Sport and Recreation's Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by the Department of Culture, Sport and Recreation. These policies are managed by the records manager. The following parts exist:
- Electronic records management policy
 - E-mail policy;
- 3.2 Other policies that are closely related to the Records Management Policy are
- the Information Security Policy which is managed by the Security Manager;
 - 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 Culture, Sport and Recreation's work practices for all those who:
- create records including electronic records;
 - have access to records;
 - have any other responsibilities for records, for example storage and maintenance responsibilities;
 - have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.
- 4.2 The policy therefore applies to all staff members of the Department of Culture, Sport and Recreation 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 Culture, Sport and Recreation 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);
 - Electronic Communications and Transactions Act (Act No 25 of 2002).

6. Roles and responsibilities

6.1 *Head of Department of Culture, Sport and Recreation or delegated official*

- 6.1.1 The HOD is ultimately accountable for the record keeping and records management practices of the Department of Culture, Sport and Recreation.

- 6.1.2 The HOD 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 HOD supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 6.1.4 The HOD must appoint the records manager of the Department of Culture Sport and Recreation and must mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of the Department of Culture, Sport and Recreation 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 must lead by example and must themselves maintain good record keeping and records management practices.
- 6.2.3 Senior management must ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior managers must ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

6.3 Records manager

- 6.3.1 The records manager is responsible for:
- the implementation of this policy;
 - staff awareness regarding this policy;
 - 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.
 - Proper implementation of PAIA
- 6.3.2 The specific duties of the records manager are contained in the Records Manager's job description
- 6.3.3 The records manager is mandated to make such training and other interventions as are necessary to ensure that the Department of Culture, Sport and Recreation's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
- 6.3.4 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Department of Culture, Sport and Recreation.
- 6.3.5 The records manager must ensure that all records created and received by the Department of Culture, Sport and Recreation are classified according to the approved file plan and that a written disposal authority is obtained for them from the National Archives and Records Service.

6.3.6 The Assistant Director: Records Management is the records manager for the whole Department of Culture, Sport and Recreation.

6.4 Chief Information Officer (in case of the DCSR it is the Head of Department)

6.4.1 The Chief Information Officer or Deputy 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 or Deputy Information Officer must 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 Security manager

6.5.1 The security manager is responsible for the physical security of all records.

6.5.2 Details regarding the specific responsibilities of the security manager are contained in the information security policy.

6.6 Legal services manager (Deputy Information Officer)

6.6.1 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 Culture, Sport and Recreation.

6.7 Registry staff

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

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

6.8 Staff

6.8.1 Every staff member must create records of transactions while conducting official business.

6.8.2 Every staff member must 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;
- Only the Record Manager has the right to dispose any record created by officials.

6.8.3 Records management responsibilities must be written into the performance agreements of all staff members to ensure that staff is evaluated on their records management responsibilities.

7. Records classification systems and related storage areas

The DCSR has the following systems that organize and store records:

7.1 Correspondence systems

7.1.1 File plan

- 7.1.1.1 Only the file plan approved in August 2004 and implemented in 2005 must be used for the classification of correspondence records. The file plan must be used for the classification of paper-based and electronic (including e-mail) records.
- 7.1.1.2 Each staff member must allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- 7.1.1.3 When correspondence is created/received for which no subject exists in the file plan, the records manager must be contacted to assist with additions to the file plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager.

7.1.2 Storage areas

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

7.1.2.1.1 The central registry

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

7.1.2.1.2 The Human Resources registry

- 7.1.2.1.2.1 All HR related records are housed in the HR Registry.
- 7.1.2.1.2.2 The general HR subject files as well as HR case files are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.2.1.2.3 The Department of Culture Sport and Recreation maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the HR registry.
- 7.1.2.1.2.4 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 with the assistance of the HR manager.

- 7.1.2.1.2.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the Records Management System

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 Must records be created/received that are not listed in the schedule, the records manager must 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 Culture Sport and Recreation 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.
- 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) must be destroyed (shredded), erased or otherwise disposed of without prior written authorization from the Provincial Archivist.
- 8.4 Retention periods indicated on the file plan and schedule were determined by taking Department of Culture Sport and Recreation's legal obligations and functional needs into account. Must a staff member disagree with the allocated retention periods, the records manager must be contacted to discuss a more appropriate retention period.
- 8.6 All disposal actions must 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 must be safely kept in registry until they are due to transfer to the Provincial Archives Repository. Transfer procedures must be as prescribed by the National Archives in the *Records Management Policy Manual*.
- 8.9 Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

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 must 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* must 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 must at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of the Department of Culture, Sport and Recreation.
- 10.2 Security classified records must be managed in terms of the Information Security Policy which is available from the security manager.
- 10.3 No staff member must remove records that are not available in the public domain from the premises of the DCSR without the explicit permission of the records manager in consultation with security manager.
- 10.4 No staff member must 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 Deputy Information Officer.
- 10.5 Personal information must 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 must disclose personal information of any member of staff or client of the DCSR to any member of the public without consulting the Chief Information Officer first.
- 10.7 Records storage areas must at all times be protected against unauthorized access. The following must apply:
 - 10.7.1 Registry and other records storage areas must be locked when not in use.
 - 10.7.2 Only authorized staff must have access to registry.

11. Legal admissibility and evidential weight

- 11.1 The records of the DCSR must at all times contain reliable evidence of business operations. The following must apply:

11.1.1 Paper-based records

- 11.1.1.1 No records must be removed from paper-based files without the explicit permission of the records manager.
- 11.1.1.2 Records that were placed on files must not be altered in any way.

- 11.1.1.3 No alterations of any kind must be made to records other than correspondence files without the explicit permission of the records manager.
- 11.1.1.4 Must evidence be obtained of them with records, the staff member involved must be subject to disciplinary action.
- 11.1.1.5 Contracts copies to be made, for reference by the relevant section for reference, and the original must be send to registry for filing, within seven working days, after finalization of appointments of the service providers

11.1.2 Electronic records

- 11.1.2.1 The DCSR must 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 must 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 must identify such training courses that are relevant to the duties of the registry staff and must ensure that the registry staff is trained appropriately.
- 12.3 The records manager must ensure that all staff members are aware of the records management policies and must conduct or arrange such trainings as is necessary for the staff to equip them for their records management duties.

13. Monitor and review

- 13.1 The records manager must review the record keeping and records management practices of the DCSR on a regular basis and must adapt them appropriately to ensure that they meet the business and service delivery requirements of DCSR. The Records Management Committee will also assist the Records Manager in monitoring and reviewing record keeping in the department.
- 13.2 This policy must be reviewed on a regular basis and must be adapted appropriately to ensure that it meets the business and service delivery requirements of the DCSR.

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 into archival custody.

Disposal authority:

A written authority issued by the National Archivist specifying which records must be transferred into archival custody or specifying which records must 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 must 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;

15. References

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South African Bureau for Standards: SANS 15801: *Electronic imaging – Information stored electronically – Recommendations for trustworthiness and reliability*.

South African Bureau for Standards: SANS 23081: *Information and documentation – Records Management processes – Metadata for records – Part 1: Principles*.

South African Bureau for Standards: SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*.

POLICY APPROVAL

SIGNED at Mbombela on the 03 day of March 2017


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HOD: DCSR