

**PROVINCE OF THE EASTERN CAPE
DEPARTMENT OF EDUCATION**



**DEPARTMENT OF EDUCATION:
RECORDS MANAGEMENT**

RECORDS MANAGEMENT POLICY 2024

TABLE OF CONTENTS

Records Management Policy 2024

	Page No.
1. PREAMBLE	2
2. GLOSSARY OF TERMS	3-6
3. PURPOSE	7
4. SCOPE AND INTENDED AUDIENCE	8
5. STATUTORY AND REGULATORY FRAMEWORK	8-9
6. POLICY STATEMENT/POLICY PROVISION	9
7. ROLE PLAYERS AND POLICY OBJECTIVES	9-10
8. RELATIONSHIP WITH OTHER POLICIES	11
9. POLICY ELEMENTS	11
10. IDENTIFICATION AND MANAGEMENT OF PUBLIC RECORDS MANAGER	11-12
11. APPROACH TO DEPARTMENTAL RECORDS a. Creation of records as evidence of business transaction. b. Classification and proper storage of documents and records. c. Regulation of access to and transfer of records and documents. d. Security and protection of records and documents. e. Authorization of disposal of records and documents. f. Development of an electronic records and document management system. g. Inspection by the head of the Provincial Archives and Records service. h. Auditing and assessment of personnel in functions that relates to records and document management.	13-20
12. LEGALITY	21
13. EVALUATION	21
14. REVIEW	22
15. APPROVAL	22

1. PREAMBLE

The Department of Education keeps records to support its operations, as well as to fulfil legal and other obligations. Records should be managed within conformity with the relevant legislations, regulations and rules. The Department of Education policy should also address the overall mandate, vision, mission, objectives, processes and procedures. Records management policy also provides a basis for accountability and transparency. In order to support continuing service delivery and provide the necessary accountability, the Department of Education should create and maintain authentic, reliable and usable records. Sound records management is fundamental for good governance and effective and efficient administration by the Department.

Sound records management also provides a basis for accountability and protecting the rights of individuals. The Department must ensure that the integrity of the records is protected for as long as they are required as evidence of business operations by managing the information resources in terms of the policy guidelines contained in the Provincial Archives and Records Service Act (No.7 of 2003).

The Department established the Records Management Policy contained in this document in order to accomplish this and to link its own unique processes and procedures to the requirements of the Provincial Archives and Records Service Act No 7 of 2003.

Technology and digitization are enablers of efficient management; records still serve as the basis for institutional accountability and compliance with the legislative requirements including the development of cooperate memory for the department.

The policy document will be retained by the Records Manager of the Department and will be updated with such amending or additional instructions as are made available by the Provincial Archive from time to time. The Records Manager will ensure that the information in this document is communicated to all Departmental staff who create records.

It is imperative that all Departmental employees who create records and use existing records, become conversant with the Policy and apply the stipulations contained therein. The success of the Departmental archival system depends on its users and an appeal is made on your positive support and compliance.

2. GLOSSARY OF TERMS

Act:

The Provincial Archives and Records Service Act (Act No. 7 of 2003, as amended.) National Archives Act (43 of 1996).

Appraisal:

The process of determining the eventual disposal of records and the decision regarding the preservation requirements of each document or series of documents.

Archival value:

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

Archives:

Records in the custody of an archives repository.

Closed Volume:

Volumes of records in a current classification system that have reached a thickness of 3 cm or have become full, after which a new volume has been opened.

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.

Disposal:

The action of either destroying/deleting a record or transferring it into archival custody.

Disposal authority:

A written authority issued by the 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.

Disposal instruction:

The specific instruction regarding disposal allocated to each record e.g. D for delete/destroy and A for transferring into archival custody.

Electronic Document Management System:

A system that provides the ability to capture, describe and categorize, store and retrieve, share and reuse electronic documents regardless of specific format.

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 Management System:

A system that supports the medium to long term information needs of an office. It provides functionality over and above that of an electronic document management system to preserve the security, authenticity and integrity of records to enable the permanent preservation of records. Its primary management functions are –

- a) to manage a corporate file plan according to which records are filed;
- b) maintaining the relationships between records and files, and between file series and the file plan;
- c) identifying records that are due for disposal and managing the disposal process;
- d) associating the contextual and structural data within a document;
- e) constructing and managing audit trails;
- f) managing record version control;
- g) managing the integrity and reliability of records once they have been declared as such;
- h) managing records in all formats in an integrated manner.

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, programs and meta data (background and technical information in respect of 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:

An organized arrangement of records on the same subject accumulated in chronological order within the same cover/folder/container. The physical action of allocating file reference numbers to records and placing them inside the cover/folder/container.

File plan:

A pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subject groups and subjects to facilitate efficient retrieval and disposal of records. The file plan is used for both current paper-based and current electronic correspondence systems. It usually contains the reference number, title, description and disposal authority of files/folders held in an office.

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.

File reference:

A unique identifier for a file. This can be a numerical, alphanumeric or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.

Governmental body:

Any legislative, executive, judicial or administrative organ of state (including a statutory body) at the Provincial level of government, all provincial administrations and local authorities including municipalities.

Integrated Document Management:

A set of methods and technologies consisting of messaging & "calendar", imaging & scanning, file/document tracking, electronic document management, electronic records management, workflow and search & retrieval functionalities, used to manage the classification, location, movement, security, auditing, retention, and disposal of an organization's records regardless of format.

Non-archival records:

Records with a short-lived interest or usefulness.

Public record:

A record created or received by a municipality 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:

- i) Recorded information regardless of form or medium.
- j) Evidence of a transaction, preserved for the evidential information it contains.

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.

Record 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. The records classification systems prescribed by the Provincial Archives and Records Service and the Provincial Archives and Records Service are a filing system for correspondence systems and the schedule for records other than correspondence systems.

Records management:

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

Record system:

A collection of policies procedures and systems, which capture information according to a records classification system, manage, store and provide access to records and their context over time known as record keeping system.

Retention period:

The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted. As far as non-archival records are concerned the head of the office decides on the retention periods in accordance with the administrative use of the records and the legal obligations the records need to fulfil. In the case of archival records the Provincial Archives and Records Service of Eastern Cape Act, 1996 as amended, determines that such records must normally be kept for twenty years after the end of the year in which they were created, before they are transferred into archival custody.

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.

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:

- k) Schedule for paper-based records other than correspondence files;
- l) Schedule for electronic records systems other than the electronic correspondence system;
- m) Schedule for microfilm records;
- n) Schedule for audio-visual records.

Scheduled:

Records in respect of which a written disposal authority has been issued and which are due for disposal on a specific date.

Terminated records:

Records which were created or received by a Department and which were managed by a records classification system no longer in use.

Unscheduled records:

Records in respect of which a written disposal authority has not yet been issued and which can thus not be disposed of.

Vital/essential records:

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

3. PURPOSE

- a) To support continuing service delivery and provide the necessary accountability, the Department should create and maintain authentic, reliable and usable records.
- b) To emphasize to employees and stakeholders that managing records of the department is an important function.
- c) To give mandate to the activities of a records management program.
- d) To provide a review as way of monitoring quality implementation of a records management programmed.
- e) Provide clear guidance on why records should be kept, and they should be managed in accordance with an organization overall vision and business strategy.
- f) To define the scope of the records management the responsibilities of discharging the functions of records management effectively in accordance with the set-up principles and procedures of managing records.

3.1 The immediate objective of this policy is to ensure the creation of authentic, reliable and usable records, capable of supporting the business functions of the Department of Education.

3.2 The long-term objective of this policy is to ensure that the Department capture, maintain and protect a corporate memory of decisions and actions that impacted on the lives of the people and the environment the Department governs. Information is one of the key resources required to run an efficient organization and this policy is aimed at providing the Department with well-organized records that will –

- a) Develop procedures that will guide the way electronic records should be preserved in the same way as records in other formats. Electronic records that are covered by records management requirements are emails and other electronic messages; social media; website; and records stored on cloud computing servers.
- b) enable the Department to find the right information easily and comprehensively,
- c) enable the Department to perform its functions successfully and efficiently and in an accountable manner
- d) support the business, legal and accountability requirements of the Department,
- e) support the conduct of business in an orderly, efficient and accountable manner,
- f) support the consistent delivery of services,
- g) support and document policy formulation and administrative decision-making,
- h) provide continuity in the event of a disaster,
- i) protect the interests of the Department and the rights of employees, clients and present and future stakeholders,
- j) support and document the Department's activities, development and achievements, provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory of the nation.

4. SCOPE AND INTENDED AUDIENCE

This policy impacts upon Department of Education work practices 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;

- d. Have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.

The policy therefore applies to all staff members of the Department of Education and covers all records regardless of format, medium or age.

5. STATUTORY AND REGULATORY FRAMEWORK

Sound records management exists within the same regulatory framework that requires and governs good governance, accountability and transparency. Efficient records management practices are imperative if the department wants to give effect to the provisions of the Acts mentioned below. The statutory and regulatory framework in which sound record management is founded is the following:

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

Effective, economical and efficient use of resources, Provision of timely, accessible and accurate information and requires that the public administration must be accountable.

5.2 Provincial Archives and Records Service Act (Eastern Cape) No 7.of 2003

Section 13: (2) Management of public records states that “no public records under the control of a governmental body must be transferred to an archive’s repository, destroyed, erased or otherwise dispose of without written authorization of the provincial archivist”.

5.3 National Archives and Records Service of South Africa Regulations (158 of 20 Nov. 2002)

Part V: Management of Records contain the specific parameters within which the governmental bodies should operate regarding the management of their records.

5.4 The Public Finance Management Act (Act 1 of 1999):

The purpose of the Act is to regulate financial management in the public service and to prevent corruption by ensuring that all governmental bodies manage their financial and other resources properly.

5.5 The Promotion of Access to Information Act (Act 2 of 2000):

The purpose of the Act is to promote transparency, accountability and effective governance by empowering and educating the public to –

- understand and exercise their rights,
- understand the functions and operation of public bodies, and
- effectively scrutinize, and participate in, decision-making by public bodies that affects their rights.

5.6 The Promotion of Administrative Justice Act (Act 3 of 2000):

The purpose of the Act is to ensure that administrative actions are lawful, reasonable and fair and properly documented.

5.7 The Electronic Communications and Transactions Act (Act 25 of 2005):

The purpose of the Act is to legislate electronic communications and transactions.

5.8 Minimum Information Security Standards (MISS)

The documents forms the standards of documents security and regulations how registries must function in compliance with the standards set by National Intelligence Agency. It underscores the importance of records management and defines issues of classification, access and security clearance matters.

6. POLICY STATEMENT/ POLICY PROVISION

It is the responsibility of the Head of the Department to ensure that all records of the department receive proper care, are protected by appropriate security measures and are managed in terms of the records policy document of the Department. All records created and received by Department of Education shall be managed in line with records management principles containing in Section 13 of the National Archives and Records Service Act, 1996.

- a) The following broad principles apply to the records keeping and records management practices of Department of Education. Department of Education follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- b) The records management procedures of Department of Education comply with legal requirements, including those for the provision of evidence.
- c) The Department of Education follows sound procedures for the security, privacy and confidentiality of its records.
- d) Electronic records in the Department of Education are managed according to the principles promoted by the National Archives and Records Services.
- e) Department of Education has performance measures for all records management functions and reviews compliance with these measures.

7. ROLE-PLAYERS AND POLICY OBJECTIVES

Various role-players are involved in the management of records of the Department:

7.1. Senior Managers

The Head of the Department and senior managers are responsible for the implementation of this policy in their respective departments and compliance with the policy. As senior managers shall lead by example and shall themselves maintain good record keeping and records management practices. Senior management shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations. Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

7.2. The Records Manager

- a) The Department must designate a records manager who will be responsible for the effective, efficient and accountable control of all the public records in that office. Departmental employees are responsible for creating and retaining departmental records within the

appropriate records classification and retention schedule in a format and media that ensures the records authenticity, integrity and security.

- b) The records manager should be an official in a relatively senior central position in the organization and must be able to communicate easily with division heads and senior management.
- c) The records should have knowledge of the department organizational structure, functions and records classification systems.
The records manager should ensure that the policy is adopted and endorsed by the head of the department

7.3 The **Head of the Registry** is responsible for the day-to-day operations of the Registry and the management of records.

7.4. The **Registry staff** is responsible for the physical handing of the records. The day-to-day management of the records are contained in the Registry Procedural Manual.

7.5. The **IT Manager** is responsible for the day-to-day maintenance of electronic systems that stores records. 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.

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. 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.

The IT manager shall ensure that electronic records in all electronic systems remain accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence. 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. The IT manager shall ensure that back-ups are stored in a secure off-site environment. The IT manager shall ensure that systems that manage and store records are virus free. Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- a) the Electronic Records Management Policy;
- b) the E-mail policy;
- c) the Web content management policy;
- d) document imaging policy; and the
- e) Information security policy.

7.6 The **Manager Legal services** 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 Education.

7.7 The Manager administers requests for information in terms of the Promotion of Access to Information Act. The Manager shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

8. RELATIONSHIP WITH OTHER POLICIES

Department of Education Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by Department of Education. These policies are managed by the Records Manager. The following parts exist:

- a) Electronic records management policy
- b) E-mail policy;
- c) Document imaging; and
- d) Web content management policy
- e) Other policies that are closely related to the Records Management Policy are:
- f) the Information Security Policy which is managed by the Security Manager;
- g) the Internet Usage Policy which is managed by the IT Manager; and the
- h) Promotion of Access to Information Policy which is managed by the CIO.

9. POLICY ELEMENTS

9.1 DESIGNATION OF RECORDS MANAGER

The Records Manager is responsible for the:

- a) The implementation of this policy and Staff awareness regarding this policy.
- b) The management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
- c) 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 and development and maintenance of Department of Education file plan.
- d) The Records Manager is mandated to make such training and other interventions as they are necessary to ensure that the Department of Education records keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
- e) The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Department of Education.
- f) The Records Manager shall ensure that all records created and received by Department of Education are classified according to the approved file plan, and that a written disposal authority is obtained for them from National Archives and Records Services.
- g) The Records Manager shall ensure and keep up to date with legislations relating records management.

10. IDENTIFICATION AND MANAGEMENT OF PUBLIC RECORDS: RECORDS MANAGER

As the official charged with the responsibility of managing the records of the Department, the Records Manager needs to:

- Identify the regulatory environment that affects the activities/functions of the Department and should ensure that the activities/functions of the Department are documented to provide adequate evidence of compliance with legislation governing the departmental environment and to ensure compliance with the provisions of the Promotion of Administrative Justice Act, (Act No 3 of 2000).

- Ensure that public records are classified and stored according to the classification system (file plan) for paper based and electronic records so that they are easily accessible, thereby facilitating transparency, accountability and democracy.
- Assist the department to obtain a written disposal authority by the Provincial Archivist in respect of all records in all formats in his/her custody before any records are destroyed, deleted, transferred into archival custody or otherwise disposed of.
- Ensure that paper-based records that are microfilmed or captured in electronic format are not destroyed merely because they now exist in another format. A written disposal authority for the destruction of the paper-based records should be obtained from the Provincial Archives and Records Service before they are destroyed.
- Ensure that the department complies with the conditions suitable for the effective storage of the various types of records, including electronic records, as determined by the Provincial Archivist. The Records Manager may be requested to provide the Provincial Archivist with detailed information on the custody, storage, treatment, classification and disposal of all public records in his/her care. The Provincial Archivist can, on the grounds that the records are not managed and stored properly, require the Department to take the necessary steps to ensure that records are managed and stored properly.
- Assist the department, should functions be moved from the Department to another governmental body or from another governmental body to the department, to inform the Provincial Archivist in writing at least sixty days in advance that records would be transferred between offices falling under the Act. This notification must include a complete list of the records to be transferred.
- Manage access to records by members of the public in terms of the Promotion of Access to Information Act, (Act No 2 of 2000), and other relevant legislation recorded in the Schedules to that Act. To this end the Records Manager should ensure that he/she documents all disposal actions taken in respect of records and that all cases of lost or damaged records are properly investigated, documented and reported in writing to the Provincial Archivist, to ensure that the department is not held liable for concealing or willfully destroying records in terms of section 90 of the Promotion of Access to Information Act, 2000.
- Ensure that the Human Resources Manager utilizes the Department of Public Service and Administration's Best Practice Model to Keep and Manage Paper-Based Employee Records, as well as the Provincial Minimum Information requirements (NMIR) circulated in the DPAS's circular 4 of 2001 to manage Human Resources records. Financial records should be managed according to the regulations in terms of the Public Finance Management Act, 1999 and the best practices contained in the Auditor-General's Audit Information Manual.
- Strive to benchmark the records management programs of the Department against the South African Provincial Standard (ISO) 15489-1 Information and Documentation – Records Management, Part 1 General and South African Provincial Standard (ISO) 15489-2 Information and Documentation – Records Management, Part 2 Guidelines.
- Ensure that, in the transition to e-government, sufficient attention is given to the management of paper-based records generated by the Department and ensure that all the requirements for the management of paper-based records prescribed in the Records Management Procedure Manual of the Department of Education are adhered to.

11. APPROACH TO EASTERN CAPE DEPARTMENT OF EDUCATION RECORDS MANAGEMENT

A. CREATION OF RECORDS AS EVIDENCE OF BUSINESS TRANSACTION

- Ensure that all records received during the execution of the Department's functions (including electronic records, e.g. e-mail) are public records and must be managed in accordance with the determined policy guidelines.
- Records creation and receipt is the responsibility of all staff.
- Records Management in the Eastern Cape Department of Education shall be integrated with the activities that promotes the core mission and vision of the organization instead of being considered as an add-on section. The Eastern Cape Department of Education shall apply and follow sound procedures for the creation, maintenance, retention, and disposal of all records.
- Records created by Eastern Cape Department of Education must be usable, accurate, authentic, have integrity and be reliable to ensure their evidential weight and legal admissibility, to conform to a record usability and preservation.
- All documents must be referenced according to the file plan of the governmental body that has been created by the Department Sport, Recreation, Arts and Culture. Approval authorities should refrain from approving any documentation that has not been referenced.
- All records created by contractors or consultants performing work on behalf of the Eastern Cape Department of Education are public records and shall remain the property of the institution throughout their life cycle. Contracts with service providers should state clearly that ownership of such records resides with the Eastern Cape Department of Education.
- Files should be created and closed in line with a documented and approved file plan. They should also be updated regularly to ensure that they are complete, accurate and reliable.
- All records created in pursuance of the activities of Eastern Cape Department of Education shall remain in their custody throughout their life cycle (thus until they are officially destroyed or transferred to the relevant archives repository).
- Eastern Cape Department of Education records are created as evidence of decisions, actions and transactions, they therefore must be created at the time of the transaction or incident to which they relate, or soon afterwards, such as documenting the minutes of a meeting from recording made during the meeting. Reliability will be approved if there is evidence that the records were created and captured as part of a legitimate business process. The operational context or business process within which a record has been generated or managed should also be visible.
- Electronic records management system used to create, provide access to and manage records (including hardware, software and network infrastructure must be reliable, for example, be capable of continuous operation. Documentation to prove reliability must be kept and provided when needed. Security measures must be in place to protect records from unauthorized access alteration and disposal.

B. CLASSIFICATION AND PROPER STORAGE OF DOCUMENTS AND RECORDS

- Only classification systems that have been approved by the Provincial Archivist may be used for both paper-based and electronic records.
- Records classification is an important method of procedural control over records creation (thus contributing to the reliability of records), as well as a critical means for the identification of records in context overtime and space (this contributing to establishing and maintaining the records authenticity). Records classification facilitates efficient management and retrieval of records and lays a foundation for other records management process.
- Records classification shall be performed when the records is created since the individual creating the records is in the best position to provide its proper classification. The Records Manager and records management practitioners are, however, responsible for the overall maintenance and management of Eastern Cape Department of Education records classification systems.
- Records should be stored in a way that minimizes potential damage. Records, including those in boxes, should not be stored on the floor, but should be stored in environmental conditions that are appropriate to their format and retention.
- The shelving, equipment and containers for records storage should ensure that records are secure, accessible and protected from deterioration.
- File at home; a photocopy of relevant documents should be made.
- All control registers shall be available and maintained in all offices. The location of each file shall be recorded and updated at every movement to ensure that records, as assets, can be accounted for in the same way as other institutional assets.
- Where records are to be transferred are to be transferred to a storage space other than the Provincial Archives, written application and authorization must be solicited from the Provincial Archivist, and any outside storage facility must meet certain norms and standards as defined in the Policy Framework. Eastern Cape Department of Education must comply to procedure for off sight documents.
- Files shall be stored in the active storage facility for as long as they are actively utilized for administrative purposes.
- Eastern Cape Department of Education must establish fully functioning registries and or records management units. Such units should be maintained, managed by competent and appropriately qualified personnel. Files should only be transferred to a semi-active storage when the demand for them declines.
- When difficulties are experienced with the allocation of reference numbers the Head of Registry must be contacted.
- No revisions and additions may be made to the classification systems (file plans with records control schedule) without the Records Manager's prior approval.
- All records shall be stored in purpose-built records storage areas. Employees should minimize the number of files they keep at their workstations. It is advisable that only working files should be maintained by officials.
- The Records Manager and the registry staff must be trained in classification and file plan maintenance procedures. The Head: Registry assists the Records Manager to train users of the file plan to understand and use the file plan correctly, as well as to understand basic

registry procedures. The Head: Registry also assists the Records Manager to monitor and assess the user requirement regarding revisions and additions to the file plan and the disposal authority. These responsibilities include the following:

- a) Maintenance of the Master Copy and the Register of Files Opened, and ensure that the electronic version and the paper-based version of the file plan is always synchronized
- b) File/folder closure practices, the allocating of the correct reference numbers to records and Efficiency of document flow.
- c) Correct use of the paper-based and electronic subject folders to ensure that records are not misfiled and correct use of paper-based and electronic policy, routine enquiry, parent files
- d) Filing order, preparation and maintenance of file covers,
- e) Physical care of files, and excessive loading of files that are not adequately sub-divided, or a too detailed division of files which should rather have been combined. Further responsibilities of the Head: Registry in this regard includes assisting the Records Manager with supervising the disposal of closed records.
- f) Continual observation regarding the functioning of the system in practice against the needs of the Department.
- g) The reporting of revisions and additions made to the file plan by the Records Manager (who controls the expansion of the file plan in Department to the Archives and Records Service to obtain the Provincial Archivist's approval. (The responsibilities of the Head of Registry are detailed in the Registry Procedure Manual of the Department).

C. REGULATION OF ACCESS TO AND TRANSFER OF RECORDS AND DOCUMENTS

- Ensure that all departmental records are stored and filed in a systematic and orderly manner. Records classification systems approved by the Provincial Archivist should be used for this purpose.
- Records shall all the time be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence.
- All access storage facilities shall be designed and built in a manner that minimizes unauthorized access to records.
- Any transfer of public records and documents to a private off-site data/records storage facility shall be informed by an approved Provincial Records Management Policy Framework and, the established norms and standards that will be made available.
- No records or documents shall be transferred to a private off-site data/ records storage facility without prior authorization from the Eastern Cape Department of Education and the Provincial archives office.
- Officials wishing to access records for their own purpose other than official duties shall be subject to the permission by the Head of Department and or delegated person, and the requests should be recorded in relevant registers.
- All records shall as far as possible be protected against any unauthorized alterations or deletions
- Records storage areas (Registries) shall always be protected against unauthorized access.
- The Records Manager is mandated to implement a vital records protection programme its scope and the choice of on-site or off-site security storage this shall be determined in consultation with the Security Manager and Information Technology Manager.

D. SECURITY AND PROTECTION OF RECORDS AND DOCUMENTS

- Records and records storage areas shall always be protected against unauthorized access and tampering to protect their authenticity. Records shall be managed in accordance with (MISS) Minimum Information security standards and other related policies.
- No records shall be removed from the Department of Education premises without the permission of the Records Manager. Department of Education personnel shall manage, provide and disclose information and records in accordance with the Department of Education Promotion of Access to Information Act Manual and all internal related policies. A detailed account of preventative measures for records damage is contained in the Registry Procedure Manual. Guidelines regarding the security of information systems and resources include:

General Physical Security

The Department Corporate/Strategic Services is the custodian of personal and general correspondence, agenda and contracts. As such, it obligates staff to take the necessary measures to ensure that these records are protected. For the purpose a Disaster Plan was approved by Department as a plan of action if the Department is struck by a disaster. The undermentioned should be read in conjunction with the Disaster Recovery Plan for Records:

General

Records are constantly subjected to perils that may either damage or destroy the physical record. Ideally, records should be stored in facilities specifically built and equipped for effective storage. In this way records would be completely protected and thus ensuring their durability. It is essential that all records be effectively stored and protected. The Records Manager must ensure that adequate steps are taken to ensure that the records in the custody of the Department are protected against the dangers discussed below.

Fire

This can be one of the most destructive dangers to records and all possible precautions should be taken to protect records. In this regard, special attention should be given to the position of records storage areas, the construction of storage areas, shelving and cabinets, fire sources, smoke detectors and fire extinguishers.

Water

Water on documents results in the records becoming illegible. Every precaution should be taken to avoid records being damaged by this peril.

Pests

Pests, plagues, fish moths, cockroaches, termites, rodents like rats and mice, etc. sometimes damage records. Records that are stored in cellars, attics and outbuildings are particularly vulnerable to these hazards. Damage can be prevented by not storing records in these areas. The relevant storage areas, strong rooms and registry are fumigated regularly by a pest control contractor.

Extremes of temperature and humidity

This peril is one that is gradual and least observed. In extremely damp and humid conditions, paper-based records become mildewed. While in extremely dry conditions, paper-based records become brittle and break easily. The best way of protecting records against these conditions is to select premises that are not exposed to extremes of temperature and humidity.

Light

When records are exposed to light, their durability is severely affected. Paper-based records bleach and writing fades. This is particularly the case with records exposed to direct sunlight. However, even exposure to indirect sunlight and artificial light damages records over time. Thus, no direct sunlight should be allowed to shine on records. In the storage areas of records consulted less frequently all light should be switched off when nobody is working in the storage area.

Dust

The record storage area should be cleaned and dusted regularly. Records should be kept in boxes and in cabinets to protect the records against dust.

Handling

Constant handling results in records becoming damaged. Documents should be stored securely in file covers to provide protection from handling.

Control over the Removal of Resources/Records

To ensure the security of records, control measures utilizing a control card system under the supervision of the Head: Registry is followed when records are removed from their place of custody or from the control of the responsible person.

Protection of Privacy and Confidentiality

The right to privacy is entrenched in legislation. To prevent the inappropriate disclosure of information which may harm the Department or infringe on the privacy rights of individuals, the Department implemented the control measures

E. AUTHORISATION OF DISPOSAL OF RECORDS AND DOCUMENTS

- The disposal of records is done either by destroying records that have been identified as being non-archival in nature, or by transferring archival records into archival custody. It is imperative that no public records be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist. It is emphasized that retention periods for non-archival records must be determined by the Department itself.
- Transparency, accountability, the requirements of democracy, any other legal obligations as well as the Department's own functional needs must always be considered when determining retention periods. The Records Manager must be contacted whenever the staff disagrees with an allocated retention period. It is also emphasized that archival paper-based records must be kept for a period of 20 years before they are transferred to an

archive's repository, unless agreement on a shorter retention period has been reached with the Provincial Archivist.

- No public records shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist. The National Archivist has issued Standing Authority Number C13-S9NA for the disposal of ephemeral or none-archival records for Provincial Offices and C13-S8NA Human Resource Management records. The records manager manages the disposal schedule.
- Retention period indicated on the file plan schedule were determined by taking Department of Education legal obligations and functional needs into account. Should staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period. Disposal in terms of these disposal authorities will be executed annually. All disposal action should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed unintentionally. None-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.
- Management and disposal of electronic records are subject to the same requirements provided for in the Provincial Archives and Records Service Act that apply to the management and disposal of other records. The Act, in sections 9(2)(b)(ii) and 9(2)(b)(iii) provides for the Provincial Archivist to determine the conditions according to which records shall be electronically reproduced and the conditions to which electronic records systems shall be managed. The conditions determined by the Provincial Archivist cover aspects such as the classification/filing, retrieval, disposal and long-term preservation of records. Detailed guidelines for the management of electronic records are contained in the National Records and Archive Service's Managing Electronic Records in Governmental Bodies: Policy Guidelines. In essence, the Provincial Archive and Records Service require the Department to have a strategy for the effective management of electronic records in place. This entails that the Records Manager should:
 - Ensure that all electronic records systems, (including e-mail and websites, electronic correspondence systems and electronic records systems other than the correspondence systems) are managed according to the guidelines contained in Managing Electronic Records in Governmental Bodies: Policy Guidelines; ICT Security Controls Policy and Communication Policy of Department of Education.
 - Recognize that notwithstanding the provisions of any other Act of Parliament to the contrary (e.g. the Electronic Communications and Transactions Act, 2002) no electronic records may be deleted without a prior written disposal authority issued by the Provincial Archivist. He/she should guarantee that this is strictly adhered to. He/she should ensure amongst others that a detailed written policy document and a reliable auditory process support the destruction of original records after they have been imaged.
 - Ensure that reliable electronic records are maintained as evidence of official business for accountability, operational continuity, disaster recovery as well as institutional and social memory.
 - The Provincial Archives and Records Service should document and implement policies and procedures which control the classification/filing, retrieval, access to, disposal and long-term preservation of records to ensure that the context of the records is identified and that records are protected against unauthorized addition, deletion and alteration.

F. DEVELOPMENT OF AN ELECTRONIC RECORDS AND DOCUMENT MANAGEMENT SYSTEM

- To ensure the appropriate physical care of electronic records, precautions should be taken against fires and other hazards. In the case of incoming correspondence, as soon as a document is scanned, indexed and filed, no changes can be made to the scanned image of the document. Regarding outgoing correspondence, internal memorandums, reports etc. a MS Word document will be uploaded onto the system, where applicable. Once a document is uploaded, changes can only be made if a new version of the document is loaded. However, no changes can be made to the original document.
- In the case of a "growing" document, that follows a prescribed workflow path, authorized additions and annotations are made when new versions are loaded during the workflow to add e.g. comments, approvals, translations and technical reviews. Each step is allocated to a specific user or user groups with the authority to make additions and annotations. Each time a document is changed a new version must be loaded. All changes to the documents are traceable as all previous versions are kept.
- Any alterations as well deletions and transfers of electronic records must be captured for the purpose of an audit and a transactions history and must be kept as a record. For this purpose, each transactional step of the prescribed workflow can be viewed in the "Workflow History". This includes the responsible user, the task identification, the date the task was allocated, the date the task was completed or if applicable, the percentage completed. When a document is transferred to another user the new responsible person, to whom the document was transferred, is updated on the workflow history. Records can only be deleted by the authorized Records Manager when it is filed or re-filed in the "Delete Folder". This folder is used specifically for records to be deleted or records that should not be kept in the File Plan as a record in accordance with the Provincial Archive Regulations.
- Mandatory and site-specific metadata fields are currently implemented to support the Correspondence and Decision Management processes. During the workflow design, the mandatory as well as other specific metadata fields are specified by the client:
- All records shall be kept in secure storage areas that are appropriate for the types of medium. The National Archives and Records Services guidelines shall be applied. The Records manager shall be the custodian of all the records in the Department.
- The Department has a written disposal agreement with the Provincial Archives and Records Service in place covering both paper-based and other records. It contains special arrangements regarding the disposal for records.
- The Department of Education utilizes the OptiMIS and all current records are processed and kept in electronic format. However, hard copy source documents of records are scanned into the OptiMIS and these are the only documents of the Department which are kept in both electronic format and hard copy.

G. INSPECTIONS BY THE HEAD OF THE PROVINCIAL ARCHIVES AND RECORDS SERVICE.

- In terms of section 9(2)(c) of the Provincial Archives and Records Service, the Head of the Provincial Archives and Records Service must inspect governmental bodies, including departments, to determine if their records management practices conform to policies, procedures and guidelines prescribed in terms of the Act. The Records Manager should conduct regular inspections in the individual components of the Department to ensure that their records management practices conform to the standards promulgated in the Act. Ideally these inspections should be done on an annual basis. A lot can happen in records management in a year, especially when the high turnover in registry staff is considered. The objective of the inspection is to measure how efficiently and accurately the physical system is being maintained. The following aspects should receive attention:
 - a) Does the master copy of the file plan correlate with the Provincial/National Archivist's master copy?
 - b) The appropriateness of maintenance procedures (e.g. register of files opened; the supervisory and management functions of the Head: Registry; etc.) and the accuracy of document subject classification - includes misfiling.
 - c) The degree of efficiency of the flow of files in an office, in other words the demand, supply and location thereof.
 - d) The correct use of policy, routine enquiry and parent files and the filing order of documents on a file.
 - e) Preparation and maintenance of file covers and closure procedures of files, administration and storage of closed files and Physical care of all files.
 - f) If the processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Provincial Archives and Records Service.
 - g) Systems compliance and monitoring should be documented, and reports submitted to the Head of the Department. Copies of these reports should also be submitted to the Provincial Archivist.
 - h) The Records Manager should retain contact with the Provincial Archives and Records Service and should, when necessary, request the Provincial Archives and Records Service to conduct inspections.

H. AUDITING AND ASSESSMENT OF PERSONNEL IN FUNCTIONS THAT RELATE TO RECORDS AND DOCUMENTS MANAGEMENT

- The Records Manager should attend the Records Management Course presented by the Provincial Archives and Records Services. The Records Manager should ensure that all staff is conversant with the proper registry procedures to enable them to support the Registry to function properly. In this regard, the relevant Records Management Training Courses should be followed.
- Several private companies offer training for registry clerks, and it is the responsibility of both the Records Manager and the Head of Registry to ensure that all registry staff attend the relevant courses. The Information Manager/Head of Registry is/are responsible for training staff in the allocation of reference numbers. The Information Manager/Head of Registry is/are responsible for the training of the registry staff. The Information/Records

Manager should ensure that all staff is conversant with the proper registry procedures to enable them to ensure the Registry to function properly.

- A clear standardized organizational development structure to implement records and document management must be developed with the purpose of implementing the new proposed Policy on record and documents management.
- The Department of Sport, Recreation, Arts and Culture will coordinate and drive an audit and assessment of all personnel currently located at functions that relate to records and documents management in terms of their suitability, capability, understanding and appreciation of documents and records management in terms of the National Archives of South Africa 1996 (Act no. 43 of 1996).

12. LEGALITY

It is essential that Departmental records are admissible as evidence in court. In order to address this need, the Records Manager as well as the Information Manager should ensure that all relevant legal aspects be taken into consideration regarding the management of public records as stipulated in the Provincial Archives and Record Service Act.

Procedures should be identified and followed to ensure that all legal obligations relating to information management are satisfied regarding Tax Laws, the Public Finance Management Act (No 1 of 1999) (with special emphasis on audit requirements), the Promotion of Access to Information Act (No 2 of 2000), the Promotion of Administrative Justice Act (No 3 Of 2000), copyright, etc.

13. EVALUATION

The Head of the Department should ensure that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented. The Records Manager should conduct regular inspections in the individual components of the Department to ensure that their records management practices conform to the standards promulgated in the Act.

If processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Provincial Archives and Record Service's Records Management Division. Systems compliance and monitoring should be documented and reports maintained. Copies of these reports should be submitted to the Provincial Archivist. The Records Manager should retain contact with the Provincial Archives and Record Service and should, when necessary, request the Provincial Archives and Record Service to conduct inspections. The Records Management Performance Criteria of the Provincial Archives is utilized by the Records Manager of the Department to evaluate records management compliance. This document is kept in possession of the Records Manager.


14. REVIEW

The Records Manager shall review the record keeping and records management practices of the Department of Education on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of Department of Education.

This policy shall be reviewed on a 5 yearly basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Department of Education.

15. APPROVAL


Creator : Ms S Nieuwenhuys

Signature : 

Position : Acting Director: Facilities, Security Knowledge Management Services

Date Authorised : 26/07/2024

Recommended : L. Mtiki (Provincial Archivist)

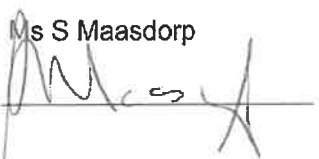
Signature : 

Date of last review : 28/10/2024

Date of next review : WHEN THE NEED ARISES

This policy replaces : 30/10/2024 (Name of the policy it replaces)

Approval : Ms S Maasdorp

Signature : 

Position : Acting Head of Department