

Ref no. : 2/6/P

Policy no 11 of 2004

POLICY ON RECORDS MANAGEMENT

1. PREAMBLE

The Department acknowledges its responsibility to keep its information resources in order to support its operations, as well as to fulfill its legal and other obligations through sound records management practices.

2. PURPOSE

- 2.1 To promote effectiveness and efficiency in the creation, maintenance, storage, retrieval and disposal of records for the Department of Public Works.
- 2.2 To ensure preservation of records of permanent value.
- 2.3 To support both protection of privacy and freedom of information services throughout the Department.
- 2.4 To ensure accessibility, accountability and good governance in the public service.

3. LEGAL AND PROCEDURAL FRAMEWORK

CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA (ACT NO. 108 OF 1996)

Section 41(1)© provide that“ all spheres of government and all organs of state within each sphere must provide effective, transparent, accountable and coherent government for the Republic as a whole.”

NATIONAL ARCHIVES OF SOUTH AFRICA, ACT (ACT NO. 43 OF 1996)

Section 13(1), (2) (b) and (5) (1) The National Archivist shall be charged with the proper management and care of public records in the custody of the Department. (2)(b)

- (i) The National Archivist shall be the one which determines records classification systems to be applied by the Department.
 - (ii) Determine conditions subject to which records may be microfilmed or electronically reproduced
 - (iii) Determine the conditions subject to which electronic records system should be managed.
- (5) (a)The head of the Department shall subject to any law governing the employment of personnel of Public Works designate an official to be the Records Manager.

NATIONAL ARCHIVES REGULATIONS (R126 of 97.01.24)

Part IV provides that the Head of Department shall be responsible for ensuring that all records are protected and managed in terms of standing orders and the Department and shall use a records classification system approved by the National Archivist.

PROVINCIAL ARCHIVES ACT

States that the Provincial Archivist shall be appointed and shall therefore be contacted by the Records Manager in terms of disagreements regarding the disposal authority and the Provincial Archivist shall liaise with the National Archivist

PROMOTION OF ACCESS TO INFORMATION ACT OF 2000 (CHAPTER 3.)

17. (1-7) refers to designation of an officer by the Head of Department as the Deputy Information Officer of the Department who will handle requests in terms of the Act.

PUBLIC FINANCIAL MANAGEMENT ACT

Section 58(1) (b) states that External auditors have the right to access at all reasonable times to the accounting records, including all books vouchers, documents and other property of the public entity and the Auditor may require from the accounting authority for that public entity such information and explanation as necessary for the purpose of audit.

4. RECORDS MANAGER

The Head of Department is required to appoint or designate an official occupying a relatively senior central position as a Records Manager to head a component sub-divided into two, namely Human Resource Records and General Records (Roads, Buildings and Properties).

5. IDENTIFICATION OF A RECORD

All records that are created or received by the Department of Public Works in pursuance of its activities shall be managed in accordance with the provision of this policy.

6. CLASSIFICATION

The Department of Public Works shall use records classification systems approved by the National Archives in line with legislations. This provision shall affect both electronic and paper based records. No one shall make revision or addition to an approved classification systems without the prior approval by the Head of Department on the recommendation of Records Manager.

7. DISPOSAL OF RECORDS

The Records Manager shall timeously identify records whose operational needs, legal requirements and audit requirements have been met and dispose them off after obtaining approval of the National Archives through the Head of Department. No Public Works record shall be destroyed, erased or disposed of without the prior approval from the National Archivist. Archival records will be kept in the Department for a period of 20 years and thereafter transferred to Archives Repository for permanent preservation and storage.

Factors such as transparency, accountability and legal obligation shall be taken into consideration when determining retention period for the non-archival records.

8. CUSTODY OF RECORDS

The Records Manager of the Department of Public Works shall ensure proper custody of all records including records with archival value prior to submission to Archives.

The Records Manager must ensure the existence of Registry Office for keeping of records and that off side storage must be approved by the National Archivist.

The Records Manager must ensure that Registry Procedure Manual is in place as a guide on Registry Procedures.

The Records Manager must ensure that a reliable back up system for records is in place.

9. TRANSFER OF RECORDS FROM THE DEPARTMENT TO ANOTHER DEPARTMENT

When functions of the Department are transferred to another Department and such functions are transferred permanently the Records Manager must inform the National Archivist and a complete list of relevant records must be sent to the receiving office should also be submitted to the National Archives.

10. SECURITY

The Records Administrators on the instruction by the Records Manager must put systems and procedures in place to ensure security of records and take the necessary steps to prevent an unauthorized access, removal, destruction or damage.

12. TRAINING

Records Managers and Registry Heads and Registry clerks should attend the Records Management Courses offered by the National Archivist.

The Records Manager should supervise overall control and training of all staff members regarding records management practices.

Records Manager should ensure that all staff members are conversant with proper registry procedures.

Where deemed necessary the services of the National Archives/ Provincial Archives or other experts on records management will be used.

13. INSPECTIONS

The National Archivist is entitled to full and free access, at all times, to all Departmental records.

Records Managers should conduct regular inspections to individual components to ensure that records management practices conform to the standards promulgated in the legislations.

The Records Manager must set aside a specific time each year or more frequently to check if transfers or disposal of records is done properly.

14. PROMOTION OF ACCESS TO INFORMATION

The Records Manager shall interact with the Deputy Information Officer designated by the Head of the Department in terms of section 17 of the promotion of Access to Information Act in all matters related to requests, approval, providing, refusal and appeals in terms of the said Act.

14. EVALUATION

The Records Manager shall at least once every year conduct surveys with all the stake holders determine responsive service levels and degree of satisfaction.

15. EFFECTIVE DATE

The contents of this policy shall take effect from the 1st November 2004.

This policy shall be reviewed annually.

Signed
GENERAL MANAGER: CORPORATE

12/10/2004
DATE

Signed
HEAD OF DEPARTMENT

22/10/2004
DATE