



**Western Cape  
Government**

Western Cape Education Department

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Knowledge and Information Management

Records Management

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# **WESTERN CAPE EDUCATION DEPARTMENT**

## **RECORDS MANAGEMENT POLICY**


GENERAL RECORD KEEPING AND  
RECORDS MANAGEMENT

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## EXECUTIVE SUMMARY

South Africa is an information society, that is, a society which recognizes the creation, distribution, use, integration and manipulation of information as a significant economic, political, and cultural activity. The important role played by information as an important factor in the process of government administration and management has also been recognized by Governments world- wide including the Western Cape. This recognition is because information feeds many kinds of activities that contribute to service delivery, such as, decision-making, planning, problem-solving, innovation, good governance and accountability. This information is kept in records. In an information society and in the digital working environment, recordkeeping and archiving are demanding and exciting because records are in various formats and Records Managers have to work in challenging multi-dimensional environments.

The focus of records management is on the creation, evaluation, storage, access, retrieval, dissemination, use and disposition of records in any form or media. Records management is therefore not media specific or limited by time and space. Hence the Western Cape Archives and Records Service (WCARS) has adopted the Records Continuum Model (RCM) which integrates records management with business processes and society, upholds the continuous use of records and addresses management of both paper and electronic records.

The advent of technology has led some to assume that records management technologies and electronic records are to some degree, different and supersede paper records. This is because traditionally, the use of information technologies was not considered to be part of records management, but in essence, they are, in so far as the technologies are used for creating, maintaining, using or disposing recorded information. The Records Manager will stay abreast of current and emerging technologies, and evaluate the potential impact on records management, in their selection and use. The professional role of the departmental Records Manager is instrumental in every aspect of managing records, the role encompasses providing guidance, training and oversight to records management practices in the Corporate offices, Regional district Offices, circuit office and support to schools is fundamentally important.

Records Management is the responsibility of every public official involved in one or more aspects of records management. This policy seeks therefore, to provide a high-level direction for managing records to all employees of Western Cape Education Department in terms of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).

The Covid-19 pandemic has already been declared as modern history's gravest health emergency by many countries. The way the world is responding to this unprecedented global crisis will be part of history books. Memory institutions, including national archives, libraries, museums, as well as educational and research bodies, are already recording the decisions and actions being made which will help future generations to understand the extent of the pandemic and its impact on societies.

Against this background and amidst this global health crisis, documentary heritage is an important resource to provide a historical perspective on how governments, their citizens and the international community have addressed pandemics in the past.

Several countries have already issued orders for meticulous preservation of official records related to the pandemic. This not only underlines the gravity of the current situation, but also highlights the importance of memory institutions in providing the records or information management resources necessary for understanding, contextualizing and overcoming such crises in the future. At the same time, records of humanity's artistic and creative expressions, which form a vital part of our documentary heritage, are a source of social connectivity and resilience for communities worldwide.

The International Council on Archives (ICA), the international umbrella body for archival institutions worldwide, issued a statement on the importance of archives and archival services during Covid-19. The ICA's statement affirmed that archives are responsible for the preservation and maintenance of records, an essential service during this historic event of the Covid-19 pandemic. The traditional role of archives in the proper management and care of information (in documentary or electronic form) has become even more important in this time: access to quality information is fundamental to combat fake news in times of such uncertainty; transparency facilitates the control of government acts by society, including its responsibility in the protection of individual liberties and the exercise of social rights in the context of the fight against the virus.

It is essential that we ensure that a complete record of the Covid-19 pandemic exists, so that we can better manage the impact of such global events on society in the future. We all know these are challenging times and managing our records has never been more important.

Despite the intended crucial role played by records, the Records Manager, the Assistant Record Managers, the Sub-Directorate: Records Management and the varied registries of the WCED. This policy is intended to enhance the importance of records and enhance sound records management practices in the Western Cape Education Department amidst the Covid-19 pandemic with regards to our records management practices, and how we can strategize for the "new future".

Regards,

Ms Zaytoen Jones

**On behalf of the WCED Records Management Team**

04 January 2021

(Part and partial of summary narrative adopted from DCAS RM Policy and WCARS Covid Guideline, 2 November 2020).



## Contents

1. Purpose.....	6
2. Policy Scope .....	7
3. Legislative framework.....	7
4. Guiding model.....	9
5. Mandatory compliance (Scope of applicability).....	10
6. Records classification systems and related storage areas .....	11
7. Records other than correspondence systems .....	16
8. Creation or receipt of records.....	17
9. Electronic records management system.....	19
10. Access and Security .....	20
11. Retention/disposal.....	22
12. Maintenance and use.....	25
13. Legal admissibility and evidential weight .....	26
14. Training .....	27
15. Roles and responsibilities.....	28
16. Disciplinary Processes and procedures.....	34
17. Monitoring and Evaluation and Amendment to and review of the policy framework.....	34
18. Adoption and implementation .....	35
APPENDIX 1: Abbreviations .....	36
APPENDIX 2: Definition of key terms .....	37

## 1. Purpose

The purpose of the policy is to provide direction to the Western Education Department (WCED) on the management of records for good governance, accountability as well as corporate and social memory.

The purpose of this policy is to:

- 1.1 Regulate the management of the Ministry of the Western Cape Education Department and the Western Cape Education Department records in a well-structured record keeping system and to set the necessary policies and procedures in place to ensure that record keeping and records management practices comply with the requirements of the Provincial Archives and Records Service of the Western Cape Act, (Act 3 of 2005) as amended and the approved Records Management Policy of Western Cape Governmental Bodies, 2017.
- 1.2 Maintain and enhance the value of information resources of the Ministry of Education and the Western Cape Education Department. Information is a resource of the same importance to good management as other standard resources. The information resources of the Ministry of Education and the Western Cape Education Department must consequently be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. The Ministry of the Education and the Western Cape Education Department considers its records to be a valuable asset to:
  - Enable the Ministry and the Department to find the right information easily and comprehensively;
  - Enable the Ministry and the Department to perform its functions successfully and efficiently and in an accountable manner;
  - Support the business, legal and accountability requirements of the Ministry and the Department;
  - 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 Ministry and the Department and the rights of employees, clients and present and future stakeholders;
- Support and document the Ministry and 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.

1.3 Through proper control of the content, storage and volume of record, reduce vulnerability to legal challenge or financial loss and to promote best value in terms of human and space resources through greater coordination of information and storage systems.

## **2. Policy Scope**

2.1 This policy is applicable to management of records regardless of form or media, created or received in all governmental bodies, that is, any legislative, executive, judicial or administrative organ of state (including a statutory body) at Provincial, Regional and Local level in the Western Cape Province.

2.1.1 All records created and received by the Ministry of Education and the Western Cape Education Department shall be managed in accordance with the records management principles contained in section 9 of the Provincial Archives and Records Service Act 2005,(Act 3 of 2005) as amended and the approved Records Management Policy of Western Cape Governmental Bodies, 2017.

## **3. Legislative framework**

3.1 By managing records effectively and efficiently the Ministry of the Education and the Western Cape Education Department strives to give effect to accountability, transparency and service delivery values contained in the legal framework established by

- The South African Constitution, 1996 section 195;
- Electronic Communications and Transactions Act, 2002 (Act No 25 of 2002),
- National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996 as amended)

- National Archives and Records Services of South Africa Regulations part V, (RI 58 of 20 November 2002),
- Municipal Finance Management Act (Act. No. 56 of 2003),
- Public Finance Management Act, 1999 (Act No 1 of 1999),
- Promotion of Access to Information Act, 2000 (Act No 2 of 2000),
- Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000),
- Protection of Personal Information Act, 2013 (Act No 4 of 2013),
- Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005),
- The Public Finance Management Act (Act 1 of 1999);
- The Treasury Regulations;
- The Financial Advisory and Intermediary Services Act (Act 37 of 2002);
- The Public Service Act (Act 03 of 1994 as amended);
- The Public Service Regulations 2001 (as amended);
- The Financial Intelligence Centre Act (Act 38 of 2001);
- The e-Government Framework and the National e-Strategy;
- ISO 1 7799 Information Security framework, for Public Service;
- ISO 17799: Position paper on Security Information; and the
- The Minimum Information Security Standards;
- Records Management Policy of Western Cape Governmental Bodies, 2017; amended and approved on 2 November 2020.
- E-File Blueprint, Cabinet approval, 2009

### 3.2 Relationship with other Policies

3.2.1 The Ministry and the Department's Records Management Policy shall consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by the Ministry and the Department. These policies shall ultimately be managed by the Departments Records Manager in partnership with the IT Head, of the department:

- a) The following additional parts shall exist:
- Electronic Records Management Policy;
  - E-mail Policy;
  - Digitization Policy;
  - Web Content Management Policy;
  - Registry Procedure Manuals;
  - File request procedure manual; and
  - jTrack File Tracking User Manual.
- b) Other policies that shall exist which are closely related to the Records Management Policy are:



- The Information Security Policy;
- The Internet Usage Policy;
- The Promotion of Access to Information Policy; and
- The E-Mail Usage Policy.
- Data preservation policy

#### **4. Guiding model**

- 4.1 This policy upholds the Records Continuum Model (RCM) which is a conceptual model that helps to understand and explore recordkeeping activities in relation to multiple contexts over space and time. Recordkeeping activities take place from before the records are created by identifying recordkeeping requirements in policies, systems, organizations, processes, laws, social mandates that impact on what is created and how it is managed over space and time.
- 4.2 The RCM challenges the traditional view that separates archives and records as distinct entities. A continuum approach therefore highlights that records are both current and archival at the point of creation as it has been realized that records can be used continuously if they are considered to be of value at the time they are created.
- 4.3 According to the RCM, archival principles are applied throughout the life of a record. In the electronic environment, for instance, technical issues involved in keeping electronic records arise at the moment of their creation to their disposition. The stages that the records undergo are recurring and fall both within archives and records management.
- 4.4 In addition, the model highlights the importance of records and archives management for both managerial and social responsibilities. Adoption of this records management model is thus aimed at facilitating access to records for business and public use as well as integrating and institutionalizing records and archives management with business processes in the Ministry of the Western Cape Department and the Western Cape Education Department.
- 4.5. According to the RCM, there are four stages of records management, namely;
- Creation or receipts (business activities which generate records as evidence of business transactions);

- Classification (ensuring that the record is given the necessary elements such as file numbers and metadata so that it will be available over time);
- Establishment of retention/disposal schedules and their subsequent implementation; and
- Maintenance and use (use by creators and other stakeholders).

4.5.1 All four stages are interrelated, forming a continuum in which both WCG Records Managers and the WCARS are involved, to varying degrees, in the ongoing management of recorded information. Fundamental to this model are the integration of recordkeeping processes into the WCED business systems and processes and the continuing use of records regardless of media or form for transactional, evidentiary, and memory purposes.

4.5.2 Continuum models can include:

- Information Systems (Data) Continuum Model (data modelling and data flow);
- Cultural Heritage Continuum Model (the stories the documents tell and the significance of those stories to others); and
- Publication (Access) Continuum Model (the reach of accessibility and the way the document is issued).

4.5.3 In this model we acknowledge that paper records continue to grow, even in the electronic environment and as such must be managed as records in a hybrid form.

## **5. Mandatory compliance (Scope of applicability)**

5.1 This policy impacts upon the Ministry of the Education and the Western Cape Education Department 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; and
- d) Have management responsibility for staff engaged in any of these activities, or manage, or have design input into information technology infrastructures.

5.2 This policy is therefore applicable to all business units and employees on the establishment (permanent, probation, fixed term contracts, consultants and interns) of the Ministry of Education and the Western Cape Education Department.

## **6. Records classification systems and related storage areas**

**6.1** The Ministry of Education and the Western Cape Education Department shall only have the following record keeping systems in place that organize and store records:

### 6.1.1 Correspondence systems

#### 6.1.1.1 File Plan:

- a) The functional file plan main series approved for the Western Cape Education Department by the Provincial Archives 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
- b) The file plans must meet the requirements of staff using the plans and shall facilitate easy access and the implementation of an effective disposal programme.
- c) The various WCED Registries, in consultation with the Records Manager and Records Management Practitioners, shall centrally control and maintain the respective file plan inclusive of the Human Resources records, including Employee Relations and Finance records, however the guiding implementation will be managed by the respective Assistant Record Managers of the varied registries.
- d) The file plan of the Ministry shall be under the control of the Registry Clerk in the Ministry and the file plan of the Department shall be under the control of the Assistant Records Managers in the Department who will report request for amendments and additions to the Records Manager, through the various forums, committees and workgroups established for Records Management.
- e) Each staff member shall allocate file reference numbers to all correspondence system records (paper, electronic and e-mail) according to the approved subjects in the file plan.

- f) When correspondence is created / received for which no subject exists in the file plan, the Records Manager shall assist with requests for additions and amendments to the file plan.
- g) File references and subjects may under no circumstances be added to the respective file plan unless it has been approved by the Records Manager.

## **6.2 Records classification**

- 6.2.1 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 over time and space (thus 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 processes.
- 6.2.2 Records classification shall be performed when the record is created, since the individual creating the record 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 the WCED records classification system.
- 6.2.3 The Records Manager shall compile a records classification system which must be approved by the Western Cape Archives and Records Service before embarking on records management processes.
- 6.2.4 Amendments and additions can be done to the records classification system when the need arises in consultation with the Records Manager and Assistant Record Managers and further approval by the WCARS.

- 6.2.5 WCARS has adopted the WCG Uniform File Plan (UFP) as a transversal records classification scheme for use by WCED. The benefit of the Uniform File Plan is mainly to standardize records management in the Western Cape government departments that consist of common classification records and provide easier access to governmental records once the records of archival value is transferred to the WCARS. The UFP shall be the only records classification scheme used in the ECM/MyContent by the WCED, for the common classification records.
- 6.2.6 WCED has an approved a business specific main series file plan as approved by the WCARS. The benefit of the business specific main series caters for records that has business specific functions and activities who content is non-identical to WCG departments.
- 6.2.7 The main series file plan shall be the only records classification scheme used in the ECM/MyContent by the WCED, for the electronic storage of business specific records.
- 6.2.8 Records classification systems must be used to assign file reference numbers to records created and received.
- 6.2.9 Records Control Schedules shall be developed by the Records Manager and maintained by the Assistant Record Managers for records other than correspondence, not part of the UFP and Main Series File plan.

### **6.3 List of Series of Separate Case Files**

- a) The Chief Directorate: People Management Practices and Chief Directorate: Financial Management maintains a set of paper-based staff personnel case files for each staff member of the WCED in a Human Resources registry or Finance Registry.
- b) These case files forms part of correspondence records system and shall be managed as part of the *List of Series of Separate Case Files* which is attached as an annexure to the approved WCED File Plan.

#### **6.4 Terminated correspondence system records**

- a) The Directorate: Knowledge and Information Management; Sub-Directorate: Records Management shall maintain correspondence system records of terminated file plans and terminated functional subject file lists for the Ministry as well as for the Western Cape Education Department.
- b) No record may be removed and placed (transferred) on the current file plans unless approved by the Record Manager (Case files which existed under the old systems may be transferred to the new system and re-numbered, but this should only be done in respect of cases becoming active. In this way the unnecessary transition of large numbers of case files is eliminated).

#### **6.5 Related storage areas**

##### 6.5.1 Correspondence system records in the **Main registry and Ministry of Education** (not Human Resource registry and Finance registry related):

- a) Correspondence files in the approved file plan and correspondence files in the terminated file plans and terminated functional subject file lists that are not human resource or finance related are centralized and kept in the custody of:
  - The Ministerial Registry.
  - The Records Management Office; and
  - If a satellite office exists, only correspondence files as identified by the Records Manager, in the Records Management Office situated in the satellite office, to ensure business continuity.
- b) These Registry Offices shall be under the control of the Records Manager with support to the Head of Ministry of Education.
- c) Terminated correspondence files that do not bear a classification of confidential/secret/top secret may be stored with an approved offsite record storage facility provided that:
  - Written approval has been granted by the Western Cape Archives and Records Service;
  - The conditions as determined by the Western Cape Archives and Records Service for off-site storage of records are adhered to;
  - Disposal Authorities have been obtained;

- Appropriate retention periods have been allocated;
  - A disposal programme has been agreed with the off-site records storage facility.
- d) The registry of the Ministry of Education and the various registries of the Department has secure storage areas and only Records Management staff is allowed in the records storage area.
- e) Staff members that need access to files in these registries shall place a request (as prescribed in the file request procedure manual) for the files.
- f) The registry of the Ministry of Education and the varied registries of the Department shall be locked when registry is not in operation.

6.5.2 Correspondence system records in the **Human Resource registry and Finance registries:**

- a) Correspondence in the approved file plan belonging to a *Separate List of Isolated Case Files* in the current and terminated file plans and terminated functional personnel are kept in kept in the custody of:
- Directorate: Service Benefits.
  - Directorate: Recruitment and Selection
  - Directorate: Employee Relations and;
  - Directorate: Financial Accounting
  - For satellite registry offices, only case files as identified by the Assistant Records Managers, in consultation with the Records Manager will be stored in custody of the satellite office, to ensure business continuity.
- b) These satellite registry offices shall be under the control and management of the WCED Assistant Records Managers.

6.5.3 Correspondence system records in the **Regional Education District Offices:**

- a) Correspondence files in the approved file plan and correspondence files in the terminated file plans and terminated functional subject file lists that are in some instance human resource or finance related are decentralized and kept in the custody of each district office:
- Cape Winelands
  - Eden and Central Karoo
  - Overberg

- West Coast
- Metropole Central
- Metropole East
- Metropole North
- Metropole South

b) These Registry Offices shall be under the control and management of the Regional Assistant Record Managers.

## **7. Records other than correspondence systems**

7.1 Schedule for records **other than correspondence** systems:

a) The Department has various sets of paper-based records other than the correspondence systems that are kept in various offices and managed by the Assistant Records Managers as per their area of responsibilities.

b) The Sub-Directorate: Records Management shall maintain the schedule of all records other than the correspondence systems which shall be under the control of the Records Manager who will report to the Director: Knowledge and Information Management within the Chief Directorate: Business Intelligence; Branch Education Planning.

c) The schedule shall consist of parts namely:

- Schedule for paper-based records other than correspondence records;
- Schedule for electronic records systems other than correspondence systems;

d) The schedule for records other than the correspondence systems shall contain a description of each set of records other than the correspondence systems and shall indicate the storage location and retention periods of these records regardless of its format.

e) Should records be created/received that are not listed in the schedule, the WCED Records Manager must be contacted to assist with requests for additions to the schedule.



7.2 Schedule for **electronic record systems** other than correspondence systems:

- a) The Ministry and the Department has a number of electronic records systems in operation which are not part of the correspondence system, which organize and store electronic records.
- b) The IT manager will be the liaison with the Centre for Innovation, DotP to assist the Record Manager to ensure electronic record systems day-to-day maintenance is managed properly.
- c) Detailed guidance regarding the management of these systems shall be contained in the Electronic Records Management Policy Manual in consultation with the IT Manager.
- d) All electronic records shall as far as possible be stored and protected against all elements that may cause damage or destruction to it.

## **8. Creation or receipt of records**

8.1.1 Records creation and receipt is the responsibility of all staff, all records created and received by the WCED shall be managed in accordance with the records management principles contained in section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).

8.1.2 Records management in the WCED shall be integrated with the activities that promote the core mission and vision of the organisation instead of being considered as an add-on section. The Western Cape Education Department shall apply and follow sound procedures for the creation, maintenance, retention and disposal of all records.

8.1.3 Records are created internally or received from external sources and bear evidence of internal and external activities of an organisation. This evidential quality of records distinguishes them from any other type of information resource which may be produced and retained solely for reference purposes.

8.1.4 Records creation can occur in many ways using a variety of devices, such as personal computers, laptops and hand-held devices.

- 8.1.5 Records are important resources for planning, decision-making, accountability, good governance, research and to support service delivery. Creators of records must bear this in mind when records are created.
- 8.1.6 The Western Cape Education Department shall follow sound measures for the security, privacy and confidentiality of its records and conduct regular reviews to ensure compliance with these measures.
- 8.1.7 Records created by Western Cape Education Department 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.
- a) **WCED correspondence must bear all the following:**
- The logo and address of the Western Cape Government
  - Record creation date,
  - File reference number (from a file plan approved by WCARS),
  - Author/s of the record,
  - Addressee,
  - Signature of the author or delegate. In the case of electronic records, sections 13(4) and 28(2) of the electronic communications and transaction Act,2002 (Act 25,2002) apply,
  - Indication of attachments and or links to other records, and
  - Subject matter.
- 8.1.8 The record must be unabridged, unchanged and not reformatted. If for example, someone alters the minutes of a meeting after they have been approved, the minutes can no longer be considered an accurate record of the meeting. Complete and accurate records lead to efficiency and effectiveness, ensure straightforward audits and reduced legal risks.
- 8.1.9 WCED 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 recordings made during the meeting. Reliability will be apparent 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.

- 8.1.10 Processes associated with individual records such as version control must be documented to reduce the risk of working from or updating the wrong version of a document or sending out the wrong version.

## **9. Electronic records management system**

- 9.1 An electronic records management system used to create, provide access to and manage records (including hardware, software and network infrastructure must:
- a. be reliable, for example, be capable of continuous operation. Documentation to prove reliability must be kept and provided when needed,
  - b. have security measures in place to protect records from unauthorized access, alteration or disposal,
  - c. be capable of implementing all records management processes according to the RCM,
  - d. be capable of retaining the authenticity, reliability and integrity of records should there be a system change, migration or discontinuation.
  - e. be approved by WCARS as stipulated in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).
  - f. Enterprise Content Management (ECM)/MyContent is the approved electronic records management system for Western Cape Government (WCG) departments. The WCARS encourages all WCG departments inclusive of the Western Cape Education Department to use approved electronic records management systems for electronic record keeping.

## 9.2 Server rooms and storage areas for electronic media:

- a. Access to storage areas where electronic records are stored is limited to the Information Technology and Registry staff that has specific duties regarding the maintenance of the hardware, software, media and safekeeping of electronic of information on electronic mediums.

## 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 the Ministry of Education and the Western Cape Education Department.
- 10.2 Security classified records shall be managed in terms of the Minimum Information Security Standards (MISS) and ISO/IEC 27002:2005.
- 10.3 **No staff member** shall remove records that are not available in the public domain from the premises of the Ministry of Education and the Western Cape Education Department without the explicit permission of the Records Manager in consultation with the Senior Manager of the staff member.
- 10.4 **No staff member** shall provide information and records that are not in the public domain to the general public without consulting the appointed Deputy Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information manual (section 14 manual) which is maintained by the Deputy 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 off privacy legislation is enacted.
- 10.6 No staff member shall disclose personal information of any member of staff or client of the Ministry of Education and the Western Cape Education Department to any member of the public without consulting the Deputy Information Officer, their respective Senior Management or Director: Communications.

- 10.7 All records shall as far as possible be protected against any unauthorized alterations or deletions.
- 10.8 The Records Manager is mandated to report in writing to the Western Cape Archives and Records Service, without delay all cases of serious damage, loss or unauthorized destruction of the Ministry and the Department's records should it occur.
- 10.9 An audit trail shall be logged of all attempts to alter/edit paper-based, and electronic records and their metadata.
- 10.10 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 IT Manager.
- 10.11 Records storage areas (Registries) shall at all times be protected against unauthorized access. The following shall apply:
- Only registry and records management staff are allowed in all record storage areas.
  - Records storage areas will be locked when not in operation.
  - Staff members that need access to the original files held by registry or the records management office shall place a request for the files on the jTrack file tracking system or at the Physical Registry Service hubs.
  
  - Files will only be issued on level of accessibility.
  - Windows or hatches to the records management office will be fitted with appropriate burglar proofing. Doors to the records management storage areas shall be fitted with a high security locks/access controlled.
  - The records management offices and records storage areas shall be equipped with sufficient fire protection equipment and fire protection measures shall be implemented and adhered to.
  - All records shall be kept safe from any possible water/liquid damage and water pipes may as far as possible not be inside or near the records storage areas.

## **11. Retention/disposal**

- 11.1 Due to the evidentiary nature of records, it is important that they are retained. Records shall be kept for as long as they are needed to satisfy operational, legal, regulatory, research or historical requirements.
- 11.2 All records irrespective of medium (paper based or electronic) in which they are stored shall have a retention period.
- 11.3 Scanned records are for reference purposes and easier access and are not meant to be retained permanently. Retention periods assigned to their original paper-counterparts shall be applicable. This also applies to printouts of born digital records. If this is not done, physical and electronic storage, system performance, access and retrieval time frames can be compromised.
- 11.4 The Records Manager shall develop a records inventory to provide an indication of the number, format and type of records within WCED and where they are stored, series description and recommended retention. The records inventory shall also be used to develop and update records retention schedules and analyse the value of records.
- 11.5 The application for the issuing of a disposal authority (a written authority specifying which records to be destroyed or transferred into the custody of the Western Cape Archives and Records Service for preservation at the WCARS) must be submitted to WCARS through the Records Manager.
- 11.6 Records retention schedules shall be developed by the records management practitioners to record retention periods and submitted to the WCARS through the WCED Records Manager regularly.
- 11.7 The Head of the WCED shall through delegation to the Records Manager, nominate a departmental team with decision-making powers and business professional knowledge to support the Records practitioners to develop retention periods for the department. The retention schedules shall be reviewed regularly to effect changes which affect management of records, for example when new directorates or sections are created. The

retention schedule can also be used to note the security classification of records and period allocated for destruction, retain or transfer of records.

- 11.8 The respective Branch Heads, Chief Directorates, Directorates and Sub-Directorates are responsible for the identification of their record retention periods.
- 11.9 Destruction of records poses a risk to any organisation and therefore must be approached with caution. Officials must not destroy any record without approval of the Head of the WCED. The Records manager as delegated, must obtain written destruction approval from WCARS on behalf of the WCED. All requests for the destruction of records must be submitted to the WCED Records manager.
- 11.10 The file plan of the WCED must be two years and older before application for disposal can be approved by WCARS.
- 11.11 The retention periods for non-archival records must be determined by the WCED record creators after disposal authority has been obtained.
- 11.12 Transparency, accountability, the requirements of democracy and any other legal obligations as well as the WCED's own functional (administrative value) needs must always be considered when determining retention period.
- 11.13 Transfer of records to the WCARS, another governmental body, another office, electronic records management system, or to commercial off-site storage (including off-site data centres and cloud storage) shall take place in consultation with WCARS.
- 11.14 Archival paper-based records to be kept for heritage preservation must be kept for a period of 20 years before they are transferred to an Archives repository (WCARS) unless agreement on a shorter retention period has been reached with the WCED Records Manager with liaison to the WCARS, Provincial Archivist.

- 11.15 Commercial offsite storage areas are not recommended for storage of WCED paper records since records management processes ensure that there is a proper flow of records. However, if a need arises for off-site storage to be used, this shall be done in consultation with the Records Manager and the WCARS.
- 11.16 When approval has been granted to transfer records to the WCARS, arrangement for transfer of such records shall be made with the WCARS prior to the transfer of the records.
- 11.17 Retention periods for ephemeral records shall be determined by Senior Managers in consultation with the Records Manager by taking transparency, accountability, the requirements of democracy the Ministry of Education and the Western Cape Education Department 's legal obligations and functional needs into account when determining retention periods.
- 11.18 No record created or received by Ministry of Education and the Department which is not covered by a Disposal Authority may be destroyed, erased or otherwise disposed of. Approvals for all disposal of current and terminated records classified against the file plan, must be obtained from the WCARS.
- 11.19 Records that are covered by a Disposal Authority may only be destroyed once the retention period allocated to it has lapsed. WCARS no longer issue General Disposal Authority.
- 11.20 All disposal actions should be authorized by the Records Manager prior to any disposal action to ensure that archival and vital records are not destroyed inadvertently.
- 11.21 The Sub-Directorate: Records Management manages the disposal schedule and disposals in terms of Disposal Authorities which will be executed annually.
- 11.22 Destruction certificates must be submitted to the WCARS after each successful disposal action.



- 11.23 Non-archival records that are needed for litigation or Public Administrative of Justice Actions may not be destroyed until such time that the Senior Manager has indicated that the destruction hold can be lifted.
- 11.24 Non-archival records that are needed in terms for Promotion of Access to Information requests may not be destroyed until such time that the Deputy Information Officer has indicated that the destruction hold can be lifted.
- 11.25 Specific guidelines regarding the disposal of electronic records shall be contained in the Electronic Records Management Policy Guidelines to be drafted by the Records Manager.

## **12. Maintenance and use**

- 12.1 The Records Manager shall develop a records management policy and procedures to ensure the overall administration of records management processes of the governmental body. The policy and procedures shall be approved by the WCARS.
- 12.2 It is however every official's responsibility to ensure that records in their care are protected from perils and any harmful materials which can damage records.
- 12.3 Records shall not be kept in offices but in the registry for central access, until their disposal or transfer. Access and use shall be according to registry procedures of the governmental body.
- 12.4 Inactive records shall be stored in the prescribed storage areas approved by WCARS. These records shall be organised logically to facilitate easier retrieval when needed and transferred to WCARS or destroyed at the appropriate time.
- 12.5 Security measures shall be in place in and around the various departmental registries and records storage areas to prevent unauthorised access, managed and facilitated by the WCED Assistant Records Managers.
- 12.6 Security classified records shall be managed and used according to Chapter 4 of the Minimum Information Security Standards (MISS) and ISO/IEC

27002:2005. The WCED Records Manager shall provide further access and guidelines to these standards.

- 12.7 Records management practitioners shall conduct regular records inspections in their respective units (HR, Employee Relations, Finance, General Registry and 8 District Offices Registries) to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.
- 12.8 WCARS shall conduct periodic records management audits in the WCED to monitor compliance to the Act and this policy.
- 12.9 The Records Manager and Information Technology Officers shall develop disaster management and disaster recovery plans and submit them to WCARS for approval before implementation.

### **13. Legal admissibility and evidential weight**

The records of the Ministry of Education and the Western Cape Education Department shall at all times contain reliable evidence of business operations. The following shall apply:

#### 13.1 Paper-based records

- a) No records shall be removed from paper-based files without the explicit permission of the Records Manager in writing.
- b) Records that were placed on files shall not be altered in any way.
- c) No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Records Manager

#### 13.2 Electronic records

The Ministry of Education and the Western Cape Education Department shall use systems which ensure that its electronic records are:

- a) Authentic;
- b) Not altered or tampered with;

- c) Auditable; and
- d) Produced in systems which utilize security measures to ensure their integrity.

13.3 The Electronic Records Management Policy that will be drafted by the Records Manager shall contain specific information regarding the metadata and audit trail information that shall be captured to ensure that records are authentic.

#### **14. Training**

14.1 All records management staff, including the Record Manager, Assistant Records Managers, Registry practitioners, work study officials, trainers and registry staff must attend the Western Cape Archives and Records Service's Records Management Course and Registry Clerks Course as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act. Records management staff shall in turn train departmental officials to effect sound record keeping practices.

14.2 Records Managers and IT practitioners are encouraged to embark on continuing professional development to keep up with trends and rapid changes in records management, relevant legislation, and technology.

14.3 Records management is the responsibility of everyone who creates and receives records, therefore training is compulsory for all staff of the Department and the Ministry. All staff shall be trained to use an electronic records management system and will be notified of updates and changes.

14.4 The Record Manager shall take advantage of information and communication technology to enhance staff training, such as e-learning, electronic records management guides and manuals.

14.5 The Records Manager shall ensure that all staff members are aware of the Records management policies, manuals and procedures and shall conduct or arrange such training as necessary for staff to equip them for their records management duties.

## **15. Roles and responsibilities**

### 15.1 The Head of Department:

- a) Is ultimately accountable for the record keeping and records management practices of the Department;
- b) Is committed to enhance accountability, transparency, and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- c) Supports the implementation of this policy and requires each staff member to support the values underlying in this policy; and
- d) Shall designate a manager to be the Records Manager of the Western Cape Education Department 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 to enable compliance with legislative and regulatory requirements.

### 15.2 The Head of Ministry

- a) Is ultimately accountable for the record keeping and records management practices of the Ministry;
- b) Is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained;
- c) Supports the implementation of this policy and requires each staff member to support the values underlying in this policy; and
- d) Shall mandate the Records Manager of the Western Cape Education Department to perform such duties as are necessary to enhance the record keeping and records management practices of the Ministry to enable compliance with legislative and regulatory requirements.

### 15.3 Branch Heads and Chief Directors

#### 15.3.1 Shall ensure that all staff is :

- a) made aware of their record keeping and records management responsibilities and obligations.

15.3.2 Senior Managers are responsible:

- a) For the implementation of this policy in their respective units
- b) To lead by example and shall themselves maintain good record keeping and
- c) records management practices; and
- d) To ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

15.4 Records Manager

15.4.1 The Records Manager is responsible for:

- a) The overall implementation of this policy in the Ministry and in the Department;
- b) Staff awareness regarding this policy;
- c) The management of all records according to the records management principles contained in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005); and
- d) The determination of retention periods in consultation with the users by taking into account the functional, legal and historical need of the Ministry and the Department to maintain its records of transactions.

15.4.2 The Records Manager is mandated to offer training and other interventions as are necessary to ensure that the Ministry and Department's record keeping and records management practices comply with the records management principles contained in the Provincial Archives and Records Service of the Western Cape Act, 2005(Act 3 of 2005).

15.4.3 The Records Manager may from time-to-time issue circulars and instructions regarding the record keeping and records management practices of the Ministry and the Department.

15.4.4 The Records Manager shall ensure that all records created and received by the Ministry and the Department are classified according to approved file plans

and records control schedules and that a written disposal authority is obtained for them from the Western Cape Archives and Records Services.

15.4.5 The appointed Records Manager for the Department is Ms Zaytoen Jones. The practical work connected to her responsibilities may be delegated to Registry and Records Management staff in the Department. However, the Records Manager's responsibility to ensure that the Ministry and Department's records management practices comply with the requirements of the Act may not be delegated. The specific duties of the Records Manager are contained in the Job Description of the incumbent and is kept on file.

#### 15.5 Assistant Records Manager

15.5.1 Paragraph 15.1 of the WCED Record Management Policy read in conjunction with sections 9(5) and 13(5) of the Provincial Archives and Record Services Acts makes provision for the Head of Department to delegate the roles and responsibilities of the Records Manager and Assistant Records Managers, to officials within the department.

15.5.2 The Assistant Records Managers will be mandated with the following roles and responsibilities:

- a. Assist to review all current Records Management policies in line with WCG Records Management Policy, to ensure all components within WCED conform to standardization of practices, policies, and prescripts.
- b. Assist to review the Records Management policies, registry procedure manuals for the General, Finance, HR and District offices of the WCED.
- c. Attendance, recommendations, and assistance for the creation of a WCED Records Management Forum to develop and manage records management programmes, practices and requirement with mandatory leadership that will create a collaborative platform for the Records Manager and Assistant Records Managers to address strategic records management matters.

- d. Assist to unify the records keeping practices within the various directorates, in consultation with the Record Manager.
- e. To ensure collaboration of Archival prescripts to maintain and update the Uniform file plan and ensure the execution of the Uniform file plan in all registries of the WCED.
- f. Assist to conduct and facilitate Records Management audits to all district offices and Head office, with the guidance and support of the Records Manager.
- g. Assist with the implementation of the ECM system to maintain the records lifecycle for the electronic document and records management workflows.

#### 15.6 Deputy Information Officers

15.6.1 In terms of the Promotion of Access to Information Act 2 of 2000; the Head of the Department is the Deputy Information Officer.

15.6.2 The Deputy Information Officer is responsible:

- a) For the effective administration of the Promotion of Access to Information Act in the implementation and execution thereof.
- b) For approval of requests for information in terms of the Promotion of Access to Information Act
- c) To inform the Sub-Directorate: Records Management Practitioners if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

#### 15.7 Information Technology Systems Manager:

15.7.1 Is responsible for the day-to-day maintenance of electronic systems that stores records and;

- a) Shall work in conjunction with the Records Manager to ensure that electronic records in his / her area of operation are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes;
- b) Shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records;
- c) 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;
- d) 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;
- e) 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;
- f) Shall ensure that back-ups are stored in a secure off-site environment; and
- g) Shall ensure that all precautionary measures are taken to keep electronic systems that manage, and store records are virus free. He/she shall in instances where such virus outbreaks occur ensure that its effects are limited.

15.7.2 Comprehensive details regarding specific responsibilities of the Information Technology Systems Manager shall be contained in the Electronic Records Management Policy to be drafted by the various departmental representatives in terms of information and records usage, maintenance and preservation.



## 15.8 Security Manager

- 15.8.1 The Security Manager and the Security Management unit, shall work in conjunction with the Records Manager, Assistant Records Managers, Records Management Practitioners and the various Chief Registry Clerks to ensure physical security of all records.
- 15.8.2 Details regarding the specific responsibilities of the Security Manager are contained in the Security Policy.
- 15.8.3 Records Management staff of the varied WCED Registries inclusive of the Regional Education District offices.
- 15.8.4 Records Management staff (registry) is responsible for the day-to-day management of records in their care.
- 15.8.5 Records Management staff will conduct regular records inspections to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.
- 15.8.6 Detailed responsibilities regarding the day-to-day management of records shall be contained in the Registry Procedure Manual for the Ministry and Departments registry as well as procedure manuals for other records storage areas. These manuals must be approved by the Western Cape Archives and Record Service.

## 15.9 Staff of the Western Cape Education Department

- 15.9.1 Every staff member shall create records of transactions while conducting official business as indicated in the Code of Conduct for government employees (Chapter 2 and 3).
- 15.9.2 Every staff member shall manage those records efficiently and effectively by:
  - a) Allocating file reference numbers and subjects to correspondence records according to the approved file plan when records are created and or received;
  - b) Sending paper-based records to the various registries for filing if the file is stored at the registry; and

- c) Ensuring that records are destroyed/deleted only in accordance with a written disposal authority issued by the Western Cape Archives and Records Service.

15.9.3 It is recommended that record keeping responsibilities be written into the performance agreements of staff members that create and store records to ensure that every employee aligns to their responsibility of creating and keeping such records as may be necessary to fully and accurately record the functions, transactions, operations, decisions, administration and management of the department.

## **16. Disciplinary Processes and procedures**

- a) Deliberate tampering with records, wilful damage and illegal disposal/destruction of public records is a criminal offence and may lead to criminal proceedings.
- b) Transgression of this policy constitutes misconduct and where necessary, disciplinary procedures will be taken.

## **17 Monitoring and Evaluation and Amendment to and review of the policy framework**

17.1 The impact of this policy on record keeping and records management practices of the Ministry of the Education and the Western Cape Education Department will be monitored by the Records Manager, Assistant Record Managers and designated Records Management staff who will report on its effectiveness to the Head of Department with recommendations of how to improve on efficiency if any deficiencies / shortcomings are identified.

17.2 The Records Manager shall periodically monitor implementation of this policy by the Western Cape Education Department.

17.3 The policy will be reviewed when the department relocates to new offices, new record storage areas are created, and the need arises to accommodate new developments and changes.

## **18. Adoption and implementation**

18.1 The implementation date of this Policy in the Ministry of Education and in the Western Cape Education department is with effect from 01 February 2022.

## **APPENDIX 1: Abbreviations**

ARM-Assistant Records Managers

ARMF-Assistant Records Managers Forum

DCAS- Department of Cultural Affairs and Sport

ECM- Enterprise Content Management

ISO- International Organization for Standardization

ISO/IEC-International Organization for Standardization/international Electro technical Commission

ISO/TR- International Organization for Standardization/Technical Report

IT- Information Technology

MISS- Minimum Information Security Standards

RCM- Records Continuum Model

RMP-Record Management practitioners

UFP- Uniform File Plan

WCARS- Western Cape Archives and Records Services

WCG- Western Cape Government

WCGB- Western Cape Governmental Bodies

WCED- Western Cape Education Department

## APPENDIX 2: Definition of key terms

<b>Act:</b>	Provincial Archives and Records Service of the Western Cape Act, 2005(Act 3 of 2005)
<b>Archival value:</b>	Those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records.
<b>Archives Repository:</b>	The building in which records with archival value are preserved permanently example, The Western Cape Archives and Record Services (WCARS).
<b>Authentic records:</b>	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.
<b>Classification:</b>	Systematic arrangement of records in groups or categories according to established criteria
<b>Correspondence system:</b>	A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.
<b>Current records:</b>	Records that form part of a records classification system still in use.
<b>Custody:</b>	The control of records based upon their physical possession
<b>Department:</b>	Western Cape Education Department
<b>Disposal:</b>	The action of either destroying/deleting a record or transferring it into archival custody.
<b>Disposal Authority:</b>	A written authority issued by the Western Cape Archives and Records Service specifying which records should be

transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

**Electronic records:** Information which is generated electronically and stored by means of computer technology.

**Electronic records management:** A electronic system that contains business rules to manage records to ensure that they are authentic and reliable e.g. Electronic Records Management applications

**File Plan:** A pre-determined classification plan approved by the Western Cape Archives and Records Service by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of.

**Functional subject file list** pre-determined non approved file reference lists created by which records were filed to facilitate retrieval

**Public record** A record created or received in pursuance of the Department's activities, regardless of form or medium

**Ministry** Ministry of Education

**Off-site Storage:** A remote storage facility or site equipment to provide protected storage for magnetic/optical media, microfilm, and paper records.

**Record:** Recorded information arising from transactions. It is created as a by-product of social and organisational activity in the course of transacting business of any kind, whether by governments, businesses, community organisations or private individuals. It is therefore defined by its contextuality and transactionality. The documentation of transactions may be in any storage media and is increasingly an electronic process, such as emails, internet content blogs, wikis, and media sharing services,

social networking systems, collaborative tools or any information that is paper based.

## **Records Classification**

### **Scheme:**

A tool used to classify records based on the business activities that generate records and also referred to as a file plan. Records classification schemes are not based on organisational structure but reflect and support the organisation's business functions and activities.

### **Records Continuum Model (RCM):**

The Records Continuum Model is a conceptual model that helps to understand and explore recordkeeping activities in relation to multiple contexts over space and time. Recordkeeping activities take place from before the records are created by identifying recordkeeping requirements in policies, systems, organizations, processes, laws, social mandates that impact on what is created and how it is managed over spacetime. The implication of an RCM approach to records and archives is that systems and processes can be designed and put in place before records are even created. A continuum approach therefore highlights that records are both current and archival at the point of creation

## **Records**

### **Management:**

The capturing and maintaining of accurate, complete, reliable and useable documentation of activities of an organisation in order to meet legal, evidential, accountability and social/cultural requirements.

### **Records other than correspondence system:**

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

**Retention period:**

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

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.

**Regional District Office:**

An office that forms part of the Western Cape Education Department that is in another building, region or area (i.e. Metropole North and Overberg).

**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.

**Terminated records:**

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

**Transitory records:**

Records created by officials but not required by the Department for which they work to control, support or document the delivery of services, or to carry out operations, to make decisions, or to give account of activities of the Department. Such records are needed by officials for only limited time to facilitate the completion of routine actions or to prepare a subsequent record required by the Department for the above-mentioned reasons.

**Vital records:**

Records that protect the enduring civil, legal, financial, property and other rights of the citizens of a country.

Records that are needed to continue operational responsibilities under disaster conditions.

Records that protect the legal and financial rights of the department.