

NTINGA O.R TAMBO DEVELOPMENT AGENCY



RECORDS MANAGEMENT POLICY

POLICY NUMBER	2/P
POLICY TYPE	Governance (Corporate Support Services)
COMMENCEMENT DATE	01 May 2021
LAST APPROVAL DATE	30 October 2019
INITIAL APPROVAL DATE	03 August 2017
PREVIOUS REVIEWALS	One
NEXT REVIEW DUE	30 June 2022
RESPONSIBLE MANAGER	Head: Corporate Services

DISCLAIMER

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NB: Notwithstanding the review date herein, this policy must remain effective until such time approved otherwise by the Board and may be reviewed on an earlier date if necessary.

1. EXECUTIVE SUMMARY

Ntinga OR Tambo Development Agency seeks to ensure that all official records of the departments are managed according to the Provincial Archives and Records Service Act NO. 7 of 2003 which requires Ntinga to manage its Records in a well-structured record keeping system, putting the necessary procedures in place to ensure that its record keeping complies with the requirements of the Act.

2. INTRODUCTION AND BACKGROUND.

The National Archives, in its Records Management Policy Manual states that Government Bodies should create and maintain authentic, reliable and usable records to support continuing service delivery and provide necessary accountability.

The Entity in pursuance of its mission creates, receives, maintains and reuses records. These records are vital sources of information for the management of the Entity. It is therefore important that the records are managed in a proper manner so as to :

- a) Add value to the activities of the Entity
- b) Assist in accelerating Service Delivery and improving the public perception about the Entity.
- c) Assist in governance and accountability
- d) Meet legal standards for protection, storage and retrieval
- e) Optimize the use of space.
- f) Destroy outdated records in an appropriate manner.

3. DEFINITION OF TERMS AND CONCEPTS

Word/Term	Definition
Archive	A place or collection of records, documents or other materials created during the course of an organisation's life and selected for permanent or long- term preservation for their historical and research value.
Disposal	The action of either destroying or deleting a record and/or transferring it to archival custody.
Disposal Instruction	Refers to the specific instruction from National Archives regarding disposal allocated to each record.
Document	<p>A hand- written, typed or printed paper that relates to a specific transaction and can be used to furnish decisive evidence or information. Certificates, correspondence between individuals or organization, receipts are some examples of documents.</p> <p>An electronic document is in electronic format or digital format and can be accessible through a computer.</p>
File	An organized arrangement of records on the same subject, arranged chronologically within the same cover/folder/container.
File Number	Refers to a unique number for a file and is used to link a record to its specific subject file and subject grouping. This can be a Numerical, Alphabetical or alphanumerical identifier.
File Plan	A pre-determined logical and systematic structure into which Records are arranged according to subject groups to facilitate efficient retrieval and disposal of records.
Information.	A collection of facts and knowledge acquired through study, experience or instruction and have meaning.
Archives	Records which are in the custody of an Archives Repository or Records Centre
Archival Value	Refers to the long- term use that records may have for purposes other than functional use.

Current Records	Records that form part of a records classification system that are still in use.
Custody	Control of records based upon their physical possession.
Filing System	Plan according to which an institution arranges and file its correspondence so as to serve the office's requirements for information retrieval optimally
Register of files opened	Register listing each file and volume opened for all approved subjects in the master copy of the filing system.
Terminated Records	Records created but are no longer in use.
Redundant	These are records that are no longer required and not archival. This category may be destroyed upon approval by the relevant person.
Record Keeping	Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
Filing System/ File Plan	The collective noun for a storage system like files, boxes shelves in which records are stored in a systematic manner according to a File Plan.
Record	Recorded information regardless of form or medium.
	Evidence of a transaction preserved for the evidential information it contains.
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 off.
Disposal Authority number	AA unique number identifying each disposal authority issued to a specific office.
Retention Period.	The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed /deleted.

4. LEGISLATIVE FRAMEWORK.

The Records Management Policy is informed by the following legislation:

- a) Constitution of the Republic of South Africa 1996
- b) Provincial Archives and Records Service Act, NO.7 of 2003
- c) National Archives and Records Service of South Africa Regulations.
- d) Public Finance Management Act, NO.1 1999
- e) Promotion of Access to Information Act, NO. 2 of 2000
- f) Promotion of Administrative Justice Act, NO.3 of 2000
- g) Electronic Communications and Transactions Act, NO.25 of 2002

5. POLICY PRINCIPLES

This policy is guided by the following main principles:

- a) Consistency
- b) Fairness
- c) Reasonableness
- d) Transparency
- e) Value System
- f) Accountability
- g) Security
- h) Privacy
- i) Confidentiality

6. OBJECTIVES OF THE POLICY

This Policy is designed to:

- 1.1 Enable the Entity to preserve, according to best practice, records that support the delivery of services and meet accountability and archival requirements.
- 1.2 To provide a framework of records management in all departments in whatever format they have been captured.
- 1.3 To establish the departmental standards and requirements for the management of all official records.
- 1.4 To promote a systematic approach to records management for Ntinga OR Tambo Development Agency.
- 1.5 To strive to enforce consistency with regard to management of all official records of the Agency.

- 1.6 To serve as a guideline for all staff members and Heads of the Enterprises of the entire Agency on Records Management.
- 1.7 To ensure that information as a resource is of the same importance to good management as other resources like people, money and facilities and must be managed as a valuable asset.
- 1.8 To get and keep records credible
- 1.9 To ensure records are complete, accurate, reliable and provide evidence and information of the Agency.

7. SCOPE OF APPLICABILITY

The Policy will be applicable to all employees of Ntinga OR Tambo Development Agency and Trading Enterprises as well as prospective employees.

8.POLICY PROCEDURES AND CONTENT

8.1 Created/creation of a Record

- 8.1.1 Records created must include transactions that concern official business and involve the following criteria:
 - a) Request for a reply or action
 - b) A decision or a response
 - c) Advice or recommendations
 - d) Notes or records that explain the decision or advice
 - e) Board/ Management resolutions
- 8.1.2 When a record is created in any office of the Agency, it passes from being an individual resource into an organizational resource. Therefore, the record is no longer managed by its creator but by the Records Management Office on behalf of the Agency.
- 8.1.3 Records created must be assigned relevant file numbers emanating from the file plan, for easy access, storage and disposal. The records Management Unit should be consulted for assistance concerning file numbers.
- 8.1.4 Records created must contain information that is confidential, authentic, reliable and worthy of short, medium and long term preservation.
- 8.1.5 Records must be created in such a way that it would be easy to establish the context of the record i.e who created the record, when created, during which business processes, its relationship to other records and its purpose for easy reference.

- 8.1.6 No files may be opened, closed and disposed without a written approval from the designated authority/ person.
- 8.1.7 The Agency will in the future move towards Electronic Document Management therefore a distinction must be made between electronic documents and manual document.
- 8.1.8 During the transition from manual records management to electronic records management, the Records Manager must for, ensure that original paper records are retained for legal purposes.

8.2 Submission of Records to the Records Management Office

- 8.2.1 Every employee from each department submit every document or record to Records Management Office for filing purposes.
- 8.2.2 Records are to be organised according to File numbers to facilitate easy access
- 8.2.3 Under no circumstances should the filing numbers and sequence be changed
- 8.2.4 Should a need arise for a new file the HOD should notify the Records Manager, who will provide a new file number.
- 8.2.5 The Records Manager should keep a record of file numbers.

8.3 Storage, Access and Security

8.3.1 Storage

All records regardless of category must be stored in secured facilities free of hazards which could lead to loss and premature deterioration of records e.g dust, pests, uncontrolled temperature, pollution, sunlight, fire and water.

- a) Records must be stored in a lockable store room, even a highly confidential information.
- b) Shelving equipment and containers for records must be of good standard so that records are secured and protected from deterioration.

- c) Records not used for supporting business activities on a daily basis, but have historical, legal, operational or research value, must be transferred from various offices to the Records Management office for Storage.

8.3.2 Access.

- a) All records must be handled carefully to prevent damage and deterioration.
- b) All records transferred to the Records Management Office must be numbered for easy access.
- c) Records will be made available for use to the office of origin, and/or other authorized officials and authorized members of the public.
- d) Access to records will be authorized when it meets the disclosure of information as defined in the Act.

8.3.3 Security

- a) Privacy and confidentiality must be maintained, inappropriate disclosure of information may harm the Agency or infringe on the privacy of individuals.
- b) To maintain the integrity of records, no unauthorized alterations or deletions should be made after the record has been submitted to the office of the Records Manager for filing. Should a need arise for deletions and /or alterations an addendum should be made.
- c) Records must be locked in cabinets at the close of each day for their safety from loss, theft or natural hazards. Where possible a lockable store-room would be appropriate for storage.
- d) Outflow of records from the Records Management Office must be controlled by the Records Manager.
- e) Strict security and control measures must be exercised to protect and trace records by the Records Manager
- f) Only Records Manager must have access to Archive storage areas.

8.4 Maintenance of Records.

- 8.4.1 Records must be checked annually by Records Manager for mould and pest infestations and other signs of deterioration for example tearing, staining etc.
- 8.4.2 Old, fragile and brittle records may not be issued out to officials but a copy can be made by a Records Manager

8.5 Disposal of Records.

- 8.5.1 All records are governed by disposal schedules according to the Agency File Plan.
- 8.5.2 Only the Records Management Committee must recommend the disposal of Documents
- 8.5.3 Documents must be kept for five years, thereafter they may be destroyed unless approved by the Chief Executive Officer after consultation with the relevant Head Of Department.

9. ROLES AND RESPONSIBILITIES

9.1 Ntinga Employees

9.1.1 The role of all Ntinga employee is to promote, support and monitor compliance to this policy to ensure that it fulfills its regulatory and legislative responsibilities. Therefore they are required to uphold good governance to maintain the following:

- a) Corporate memory;
- b) a sound basis for historical research;
- c) assure accountability over time;
- d) Provide information on past actions and decisions which in turn inform future decision-making.

9.2 Records Manager

- a) Implement and monitor this Policy
- b) Promote staff awareness regarding this policy
- c) Physical management of the records in his/her care
- d) Safekeeping of the records
- e) Issue circulars and instructions regarding record keeping and records management practices.
- f) Opening of files
- g) Issuing of files

9.3 Head: Corporate Services

- a) Committed to transparency and improvement of records management.
- b) Ensuring that sound records management practices are implemented and maintained.
- c) Supports the Implementation of this policy and requires each employee to support the values underlying in this policy.
- d) Monitoring the quality of Record Keeping
- e) Monitoring and ensuring compliance to this Policy.

9.4 Manager: Information & Communication Technology (ICT)

- a) To maintain day to day electronic systems that stores records.
- b) To work in conjunction with the Records Manager to ensure that public records are properly managed, protected and appropriately preserved.
- c) To ensure that appropriate systems and systems procedures manuals are designed for each electronic system that manages and stores records.
- d) To 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) To ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.
- f) To ensure that back-ups are stored in a secure off-site environment.
- g) To ensure that systems that manage and store records are virus free.

10. RECORD KEEPING.

Documentation concerning the entire Records Management processes needs to be maintained by the Records Manager for a prescribed period as per the legislation.

11. BUDGET AND RESOURCE IMPLICATIONS.

- 11.1 All departments must submit their records management needs for coordination and management of the budget requirements.
- 11.2 Corporate Services Department will provide resources required in terms of the budget.

12. IMPLEMENTATION, MONITORING AND EVALUATION

- 12.1 This policy will be implemented and effective once recommended by the Senior Management and approved by the Board of Directors.
- 12.2 All Ntinga employees are responsible for the implementation of this policy.
- 12.3 The Corporate Services Department will be responsible for monitoring the implementation of this policy.

13. COMMUNICATION AND CONSULTATION

This policy will be communicated to all Employee using the full range of communication methods available to the entity and posted on the entity's website. Communication and awareness of this policy will be the responsibility of Corporate Support Services.

14. PENALTIES

Non-compliance to any of the stipulations contained in this policy will be regarded as misconduct, which will be dealt with in terms of the Agency's Disciplinary Code.

15. DISPUTE RESOLUTION

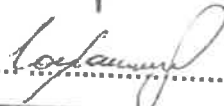
Internal dispute resolution process must be followed in the event of any grievances and disputes arising out of the implementation of this policy.

16 POLICY REVIEW.

The Policy must be reviewed in three years from its effective date to determine its effectiveness and appropriateness. It may be reviewed before that time as necessary to reflect substantial organizational changes or any change required by the law.

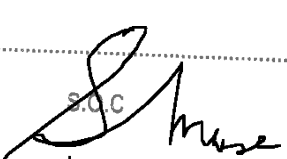
17. APPROVAL AND SIGNATURES

FORMULATED BY:  DATE 01/05/2021

CEO RECOMMENDATION:  DATE 01/05/2021

BOARD APPROVAL:  DATE 01/05/2021

Section 1.01

BOARD APPROVED COPY	
NTINGA O.R. TAMBO DEV. AGENCY	
Date:.....	
Signature: 	

NTINGA O.R. TAMBO DEVELOPMENT AGENCY SOC LTD



REMUNERATION POLICY

POLICY NUMBER	3/P
POLICY TYPE & CATEGORY	Human Resources Policy
COMMENCEMENT DATE	01 May 2021
LAST APPROVAL DATE	08 August 2018
INITIAL APPROVAL DATE	08 August 2018
PREVIOUS REVIEWS	Nil
NEXT REVIEW DUE	30 June 2020
RESPONSIBLE MANAGER	Head: Corporate Services