PERFORMANCE CRITERIA

FOR RECORDS MANAGERS OF

GOVERNMENTAL BODIES

CONTENTS

PREFACE

Records are the output of the business and administrative processes of a governmental body. In other words, records are the final proof that a business or administrative process was transacted. As essential proof of the business that was conducted, records should remain unaltered over time for as long as they are needed.

While the National Archives and Records Service of South Africa Act, 1996 assigns responsibility for the regulation of government's records management practices to the National Archivist, the heads of governmental bodies are accountable for the implementation of the National Archives and Records Service's requirements.

One of the most crucial provisions of the National Archives and Records Service Act, 1996 is that heads of governmental bodies should designate officials of their governmental bodies to take responsibility for the management of the records of those bodies. Without a records manager to co-ordinate the management of records in all formats, it is impossible to implement and sustain sound records management practices.

The National Archives and Records Service's policy with regard to the designation of records managers in governmental bodies is contained in the pamphlet *Records managers and the law: What governmental bodies need to know.* The specific duties and performance criteria of records managers contained in this publication should be read in conjunction with that overall policy.

Dr. Graham Dominy
NATIONAL ARCHIVIST
April 2006

1.   INTRODUCTION

Sound record keeping and records management practices are key elements of good governance. Records are created while offices undertake their business. These records are evidence of official business. They have on-going use as a means of accountability, operational continuity, legal evidence and disaster recovery. They also form the memory of the institution that created them and by extension, they are part of society's memory and the broader cultural heritage.

A body's ability to function efficiently and give account of its actions could be negatively affected if sound record keeping and records management practices are not applied. Records enshrine the accountability of governmental bodies to the government and to the citizens. To this end it is imperative that each governmental body should take responsibility to ensure that the office's records management practices are aligned with the broader principles of good governance and Batho Pele.

1.1   STATUTORY AND REGULATORY FRAMEWORK

Section 13(5) of the National Archives and Records Service Act, 1996 as amended, requires each governmental body to designate a records manager to take responsibility for the management of the body's records. The records manager is responsible for all aspects of records management, including the design, implementation and maintenance of records classification systems and record systems as well as for training of all employees regarding the application of sound records management in the governmental body.

1.2   BENCHMARK

In support of the requirements of the National Archives and Records Service Act the National Archives and Records Service endorses SANS 15489 *Information and documentation – Records management – Part 1: General and Part 2: Guidelines* as the required benchmarking tool for records management and, in terms of its statutory mandate, requires governmental bodies to put the necessary infrastructure, policies, strategies, procedures and systems in place to ensure that records in all formats are managed in an integrated manner. The National Archives and Records Service also recommends compliance with the National Intelligence Agency's *Minimum Information Security Standard*[1] and the Department of Public Service and Administration's *Draft Information Security Policies*[2].

The National Archives and Records Service also endorses the following national standards with a view that they would guide governmental bodies in creating authoritative and reliable records:
* SANS 15801: *Electronic imaging – Information stored electronically – Recommendations for trustworthiness and reliability;*
* SANS 23081: *Information and documentation – Records management processes – Metadata for records – Part 1: Principles; and*
* SANS 17799: *Information technology – Security techniques – Code of practice for information security management*.[3]

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1   To obtain copies of this standard contact the National Intelligence Agency, Private Bag X87,   PRETORIA, 0001, tel. (012) 427 4000, fax (012) 427 4651.
2   Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age.* http://www.info.gov.za/otherdocs/2001/infosecure.pdf
3   This code of practice could be used by governmental bodies that are not subject to the *Minimum Information Security Standard* to guide the design of information security implementation. Governmental bodies that are subject to the *Minimum Information Security Standard* should consult with the National Intelligence Agency before they use this code. To obtain copies of all these standards contact the South

Detailed information regarding the management of public records is contained in the National Archives and Records Service's other publications:

- *Records Management Policy Manual;*
- *Managing electronic records in governmental bodies: Policy, principles and requirements;*
- *Draft Functional Specification for Integrated Document and Records Management Solution;* and
- *Managing electronic records in governmental bodies: Metadata Requirements.*

These publications are available on the National Archives and Records Service's website http://www.national.archives.gov.za or can, alternatively, be requested in hard copy from the Records Management Division. Tel.: (012) 3235300, Fax (012) 323 5287, e-mail rm@dac.gov.za.

1.3   OBJECTIVE OF THIS PUBLICATION

While the National Archives and Records Service of South Africa Act, 1996 assigns responsibility for the regulation of government's records management practices to the National Archivist, the heads of governmental bodies are accountable for the implementation of the National Archives and Records Service's requirements.

This document describes the specific records management responsibilities of the records manager as required in terms of the National Archives and Records Service of South Africa Act, as amended, and can be used to formulate a job description and performance agreement of such a post. The document should be read together with the National Archives and Records Service's pamphlet *Records managers and the law: What governmental bodies need to know.*

The document contains guidelines regarding the knowledge and skills that records managers should possess to enable them to manage and preserve records in all formats. Records managers, in acquiring new skills, should keep in mind that they should stay focused on records management. They should be records managers who can speak the language of the technologists and understands how various data and information systems function. They should also be able to perform some basic tasks relating to modeling and describing business processes.

In the execution of their functions, record managers should form partnerships with the decision and support personnel, IT personnel, systems analysts, risk managers and the internal auditors to enable them to work together to create records systems that are trustworthy and that produce reliable and authentic records.

1.4   INTENDED AUDIENCE

This manual is applicable to all governmental bodies viz. any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government, and until provincial archival legislation takes effect, also all provincial administrations and local authorities. As soon as archival legislation comes into force in a specific province, such provincial offices and local authorities will receive specific guidelines from the relevant provincial archives service. The guidelines issued by the provincial archives services will not be inconsistent with these guidelines. Should a provincial archives service prefer to continue using these guidelines the guidelines

African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Telefax: (012) 428-6928; E-mail: sales@sabs.co.za.
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should be read in conjunction with that province's specific archives and records management legislation.

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2.   PERFORMANCE GUIDELINES

2.1   PURPOSE OF THE POST

2.1.1 To develop and manage an organisation-wide records management programme designed to ensure that record keeping and records management practices effectively meet the organization's objectives; and

2.1.2 To ensure that the records management practices of this office comply with the requirements of the National Archives and Records Service of South Africa Act, 1996 as amended or its provincial equivalent.

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2.2.   DESCRIPTION OF TASKS

> *Key objective 1*
> *To ensure that records management is an objective in the body's strategy and strategic plan.*

Specific outcomes
a) Analyze the requirements of good governance and relate them to the objectives of the office;
b) Relate good record keeping and good records management practices to the objectives of the office;
c) Secure top management's buy-in into good record keeping and good records management practices;
d) Ensure that good record keeping and good records management are added to the broader information management strategy and strategic plan.

> *Key objective 2*
> *To determine what the current record keeping and records management situation is and to ensure that relevant information is available regarding the record keeping and records management practices of the body.*

Specific outcomes
a) Conduct an audit of record keeping and records management practices[4] against the legal requirements to determine if:
  i.   the business units/directorates/branches of the office are creating records that adequately document their activities;
  ii. there is a records management policy in place;
  iii. the records management programme has the necessary resources to enable it to fulfill its functions;
  iv. all electronic documents are linked with the appropriate metadata that describes them and provides for their structure and context;
  v.   a properly documented metadata schema exists;
  vi. records are filed in classification systems which provide for quick and efficient retrieval and facilitate the implementation of authorized disposal and retention;
  vii. the records classification system and/or associated procedures include guidance on referencing, titling, indexing and access permissions;
  viii. the records classification systems are adequately documented[5];
  ix. records management procedures and guidelines are established, properly implemented and efficiently maintained;
  x.   there are proper evaluation criteria to measure the effectiveness of the records classification systems;
  xi. adequate storage accommodation is provided for the records;
  xii. the movement and location of the records are controlled so that they can be easily retrieved;
  xiii. security and access controls are in place;
  xiv. a disaster recovery plan is in place to provide for the protection of vital records;
b) Supply the information to the National Archives and Records Service when requested.

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4   See annexure 26 in the *Records Management Policy Manual* http://www.national.archives.gov.za
5   The development of the classification system(s) should be properly recorded to enable the long-term retrieval of information.

Key objective 3
To ensure that information contained in records is managed effectively throughout the office by drafting and implementing a records management policy.[6]

Specific outcomes
a) Analyze the organization's functions and the environment in which they take place;
b) Analyze the records generated during the conduct of business;
c) From this analysis draw up a records management policy that:
      i. covers all the records generated by the office (including e-mail and other electronic records systems);
     ii. meets all legal requirements[7];
    iii. meets the office's mandate, mission and objectives;
     iv. addresses the needs of all the users;
      v. addresses security classification procedures as prescribed by the security classification policy;
     vi. conforms to relevant legislation, regulations and standards;
    vii. provides a basis for accountability;
   viii. identifies in general terms the organization's responsibilities regarding records management;
     ix. identifies the records management responsibilities connected to the post of the records manager;
      x. identifies the records management responsibilities connected to all other posts in the organisation;
     xi. is flexible, implementable and cost effective;
    xii. reflects the true situation in the office[8];
d) Secure the approval of the policy from senior management;
e) Publish the policy to all staff;
f) Ensure that the necessary supportive procedures are in place to achieve the aims of the policy.

Key Objective 4
To ensure that the records management staff understand their responsibilities and acquire the necessary skills to manage records effectively.

Specific outcomes
a) Conduct an audit of records management practices against the legal requirements and the records management policy;
b) Establish a competency framework[9] to identify the skills and knowledge required by all staff;
c) Ensure that the records management responsibilities all staff are set out in performance agreements;

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6   The records management policy provides a mandate for the performance of all records and information management functions.
7   Constitution; National Archives and Records Service Act, 1996 as amended; Public Finance Management Act, 1999; Municipal Finance Management Act, 2003; Promotion of Access to Information Act, 2000; Promotion of Administrative Justice Act, 2000 and all other relevant legislation.
8   The NARS Directive *Guidelines for the compilation of a records management policy* constitutes only guidelines. Every office should compile a policy applicable to its own circumstances.
9   The identification of professional skills and knowledge required to keep and manage records as well as the identification of the training needs in the office will enable the office to recruit and train staff at a level that will ensure that the records management function receives the appropriate quality of support.

d) Draw up a records management training programme[10] for all staff;
e) Ensure that all induction training programmes include awareness sessions on records management practices as well as training in the allocation of file reference numbers according to the file plan for both paper-based and electronic records;
f) Ensure that a registry procedure manual[11] is formulated that covers the management of both paper-based and electronic records;
g) Ensure that the registry procedure manual is used as a training manual for the registry staff;
h) Ensure that the registry procedure manual is updated regularly;
i) Ensure that the registry procedure manual is available for information purposes to all staff members;
j) Ensure that all sub records managers are aware of circumstances in which they should consult directly with the National Archives and Records Service.

Key Objective 5
To ensure that information can be identified and retrieved when required by providing well-structured records classification systems[12] and record keeping systems[13].

Specific outcomes
a) Ensure that approved classification systems are in place by:

   i. ***Designing a file plan-***
- interact with the National Archives and Records Service to:
  - obtain the necessary information on how the file plan should be compiled;
  - receive advice and guidance throughout the whole process of compiling the file plan;
  - receive advice on the requirements the file plan should meet to enable the file plan to be implemented electronically;
- interact with the users to ascertain what their specific needs are and address them in the file plan;
- if the office envisages the roll out of an electronic system in the near future, interact with the IT Section and/or other service provider to ascertain what the specific features of the integrated document management system are that should be kept in mind when compiling the new file plan;
- Submit the file plan to the National Archives and Records Service for approval.

   ii. ***Implementing the file plan-***
- facilitate an implementation workshop for all staff members on how the new file plan should be read;
- advise the system administrator on how the file plan should be implemented electronically.

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10 The programme should identify particular records management training needs in the light of the competency framework and arrange for those needs to be met, using internal and external training as appropriate.
11 See the National Archives and Record Service's prototype registry procedure manual on http://www.national.archives.gov.za.
12 Classification systems must document the activities of the office and provide for quick and comprehensive retrieval of information. The National Archives and Records Service prescribes two types of records classification systems namely:
- the filing system for correspondence systems consisting of a *file plan* and an appropriate *storage system* and
- the schedule for records other than correspondence systems

The National Archivist must approve these classification systems before implementation.
13 The physical storage system in which records are stored and managed.

iii. ***Implementing the record storage system for files opened according to the file plan-***
- ❏ interact with the National Archives and Records Service to receive advice on the practical aspects of implementing the new file plan;
- ❏ advise the registry staff on how to implement the new paper-based storage system.[14]

iv. ***Maintaining[15] the file plan and record storage system-***
- ❏ maintain and update the paper-based master copy of the file plan by adapting the plan when necessary;
- ❏ ensure that the electronic version and the paper-based version of the file plan are always synchronized;
- ❏ report changes to the file plan to the National Archives and Records Service and obtain the necessary approval for these changes;
- ❏ ensure that the registry maintains and updates the register of files opened[16];
- ❏ ensure that the paper-based files opened according to the file plan correlates with the provisions in the file plan;
- ❏ Supervise the overall use of the filing system by:
  - Consulting the daily files (for the paper-based system) and individual electronic folders to monitor the correct placement of documentation on the files/folders;
  - Monitoring the use of the paper-based and electronic policy files; archival files; routine enquiry files and parent files to ensure that they are being used correctly;
  - Monitoring the descriptions on the paper-based file covers to ensure that the file covers are described accurately;
  - Regularly monitoring the paper-based and electronic subject files/folders to ensure that records are not misfiled.

v. ***Implementing a schedule for records other than the correspondence system –***
- ❏ interact with the National Archives and Records Service to:
  - ♦ obtain the necessary information on how the schedule of records other than correspondence systems should be compiled;
  - ♦ receive advice and guidance throughout the whole process;
- ❏ interact with the users to ascertain what their specific needs are;
- ❏ Ensure that all current records other than the correspondence system as well as their current location are listed;
- ❏ Implement the records control schedule by making its existence known to all staff members;
- ❏ Maintain[17] the records control schedule by keeping the master copy up to date.

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14   See the National Archives and Records Service's directive R1 on http://www.national.archives.gov.za.
15   The file plan is connected to the functions of the office. When the functions change, the file plan should be adapted. If there are documents generated for which there is no provision in the file plan, provision should be made in the correct place. See the National Archives and Records Service 's directive R2 on http://www.national.archives.gov.za.
16   This is a register of files that actually have been opened according to the master copy.
17   The schedule for records other than correspondence systems is also connected to the functions of the office. When the functions change, the schedule should be adapted. If there are records other than correspondence systems generated for which there are no provisions in the schedule, they should be added in the correct place.

Key objective 6
To ensure that all records are kept in safe custody.[18]

Specific outcomes
a) Conduct regular inspections to ensure that the storage of all records in all formats and media conforms to the legal requirements and to the storage standards for that specific media type;
b) Conduct regular inspections of all records stored on magnetic, optical and magneto-optical storage media to check for data degradation;
c) Conduct regular inspections of all records storage areas to ensure that proper access controls[19] are in place;
    i. ensure that, when providing access to paper-based records, the requirements of section 18 of the National Archives and Records Service's regulations are adhered to protect the records from physical damage;
    ii. ensure that, when providing access to electronic records, read only copies of the information are provided and that users cannot access the original records;
d) Conduct regular test samples on the electronic records to ensure that migration and long term preservation strategies are adhered to and that the records are still accessible;
e) Ensure that all shortcomings in the safe storage of records in all formats are addressed appropriately;
f) Submit copies of all inspection reports to the National Archives and Records Service;
g) Ensure that the National Archives and Records Service is informed beforehand when records are being transferred into the custody of another office[20];
h) Ensure that all losses of and damage to records are properly investigated and reported to the National Archives and Records Service;
i) Ensure that correct security classification policies and procedures are applied.

Key objective 7
To ensure that there is a systematic disposal programme in place.

Specific outcomes
a) Ensure that records are only disposed of in terms of a written disposal authority issued by the National Archivist;
b) Apply the general disposal authorities (GDA's)[21] on records common to all offices;
c) Apply for disposal authority on all records not covered by the GDA's in the custody of the office by:
    i. Submitting the file plan[22] to the National Archives and Records Service with a request to issue a disposal authority on the file plan;
    ii. Submitting the schedule for records other than correspondence systems[23] to the National Archives and Records Service with a request to issue a disposal authority on the schedule;
    iii. Ensuring that all terminated correspondence files are listed and two copies of

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18   Records should be protected against fire, water, theft, rough handling and pests, etc.
19   Proper access control protects records from tampering and unauthorized alteration. This is especially necessary to ensure the legal admissibility of authentic records.
20   It is imperative that the offices themselves and the National Archives and Records Service know where records are located at any given time, to give effect to the provisions of the Promotion of Access to Information Act, 2000 and the Promotion of Administrative Justice Act, 2000.
21   Information on these disposal authorities is available on the National Archives and Records Service's website: http://www.national.archives.gov.za.
22   Information on how to submit the applications can be obtained from the *Records Management Policy Manual* that is available on the National Archives website http://www.national.archives.gov.za.
23   The schedule should cover paper-based other records, microfilm, audio-visual records and electronic records systems other than correspondence systems. See the *Records Management Policy Manual* on the National Archives and Records Service's website http://www.national.archives.gov.za.

that list are submitted to the National Archives and Records Service with a request to issue a disposal authority on these files;

    iv. Ensuring that all terminated records other than correspondence files are listed and two copies of that list are submitted to the National Archives and Records Service with a request to issue a disposal authority on these records;

    v. Ensuring that all legacy electronic records systems are described [as per the schedule of electronic records] and two copies of that schedule are submitted to the National Archives and Records Service with a request to issue a disposal authority on these systems;

d) Determine the retention periods for the non-archival records in consultation with the risk manager and the users and ensure that all relevant legislation is considered;

e) Review the retention periods of all records before destruction and document the reasoning behind the review of the retention periods;

f) Ensure that non-archival records due for destruction are destroyed at least once a year, but that records needed for litigation and access to information purposes are not destroyed while the litigation and access to information requests are still under consideration;

g) Ensure that records are only destroyed in terms of the applicable disposal authorities[24];

h) Ensure that destruction events for electronic records are documented in the systems' audit trail;

i) Ensure that the necessary destruction certificates[25] are compiled and that a copy is:
    i. kept on file at the office; and
    ii. sent to the National Archives and Records Service;

j) Document in policy and procedures in which cases destruction holds should be placed on records, who should authorize a destruction hold and who is responsible for reviewing a destruction hold;

k) Ensure that no archival records are destroyed;

l) Reports unlawful destruction of records to NARS;

m) Investigate and report all cases of accidental and/or intended unauthorized destruction of archival records to the National Archives and Records Service;

n) Ensure that there is an agreement in place with the archives repository to transfer paper-based archival records into archival custody at least once a year;

o) Ensure that no transfers are made without the prior consent of the Head of the Archives Repository;

p) Ensure that the necessary controls are in place to demonstrate an unbroken chain of custody, and for electronic records specifically:
    i. Establish, implement and monitor procedures for registering the electronic records export;
    ii. Verify the authority for exporting electronic records;
    iii. Examine the records that are to be exported to determine if they correspond to the records covered in the disposal authority;
    iv. Formally confirm that the records may be exported;

q) Ensure that archival electronic records are converted to the required long term formats as soon as possible after creation and before transfer into archival custody[26];

r) Ensure that electronic archival records[27] are transferred into archival custody as soon

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24 Disposal authorities are not transferable. They are only applicable to the specific records in respect of which they were issued.

25 It is particularly important for the Promotion of Access to Information Act, 2000 and the Promotion of Administrative Justice Act, 2000 that there are clearly defined policies and procedures for the disposal of records and those disposal actions are properly documented.

26 It is imperative to ensure that electronic archival records remain accessible over long periods of time. Conversion into the required long-term formats would ensure that they could be migrated to new hardware and software platforms when necessary.

27 Due to the fragile nature of electronic records an office cannot keep them for 20 years before transfer into archival custody.

as possible after creation[28];

s) Ensure that a register of all disposal authorities[29]issued on the records of the office is kept and updated.

Key objective 8
To ensure that all micrographic projects are managed according to the requirements of the National Archives and Records Service and good governance.

Specific outcomes

a) Ensure that the National Archives and Records Service is informed beforehand of the intention to microfilm records[30];

b) Ensure that no original records or the micro copies thereof are disposed of without a written disposal authority issued by the National Archives and Records Service;

c) Ensure that the legal admissibility of the micro-reproductions of records is clarified before authorized destruction takes place;

d) Ensure that all micrographic projects are properly scheduled for disposal purposes[31];

e) Ensure that micrographic records are stored in the correct environment according to SANS 10141:2005 _The processing, testing and storage of silver-gelatin microfilm for archival purposes[32]_.

Key objective 9
To ensure that all audio-visual records are managed according to the requirements of the National Archives and Records Service and good governance.

Specific outcomes

a) Ensure that no audio-visual records are disposed of without a written disposal authority issued by the National Archives and Records Service;

b) Ensure that all audio-visual records are properly scheduled for disposal purposes[33];

c) Ensure that audio-visual records are transferred to the National Film, Video and Sound Archives (NFVSA) at least once a year;

d) Ensure that arrangements for the transfer are made with the Head of the NFVSA before any transfer takes place.

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28   At this stage there is no government-wide preservation strategy in place for electronic records. The archives repository should be contacted for information on where to transfer the records.

29   It is imperative that disposal of records is properly documented to give effect to the provisions of the Promotion of Access to Information Act, 2000 and the Promotion of Administrative Justice Act, 2000

30   Microfilming is normally linked to the destruction of original records. The disposal of the records should be clarified before the project begins. This will enable the National Archives and Records Service to determine which format will be the archival version of the records and to determine the necessary conditions for the microfilming of the records as required in terms of section 13(2)(b)(ii) of the National Archives and Records Service Act, 1996.

31   See Annexure 11 of the _Records Management Policy Manual_ on the National Archives and Records Service's website http://www.national.archives.gov.za

32   To obtain copies of this standard contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

33   See the _Records Management Policy Manual_ on the National Archives and Records Service's website http://www.national.archives.gov.za

> **_Key objective 10_**
> **_To ensure that all electronic records are managed according to the requirements of the National Archives and Records Service and good governance._**

<u>Specific outcomes</u>
a) Ensure that no electronic records are disposed of without a written disposal authority issued by the National Archives and Records Service;
b) Reports unlawful destruction of electronic records to National Archives and Records Service;
c) Ensure that the records management staff participate in the planning of all new electronic systems and in major modifications to existing systems to guarantee that record keeping and records management requirements are met;
d) Ensure that any electronic correspondence system that is rolled out for the office complies with the requirement of the National Archives and Records Service that the system should have records management capabilities[34]:
    i. Ensure that the approved file plan is implemented electronically and synchronized with the paper-based system;
    ii. Ensure that, if possible, a disposal authority is issued on the file plan before implementation[35];
e) Ensure that all electronic records systems other than the correspondence system are scheduled for disposal purposes;
f) Ensure that procedures are established for a technology watch programme to facilitate the regular recopying, reformatting, refreshing and migration of the electronic records to guarantee that the records remain accessible;
g) Ensure that all migration actions are documented properly[36];
h) Ensure that all electronic records are stored in the prescribed environmental conditions[37];
i) Ensure that electronic records are protected against unauthorized access and alteration;
j) Ensure that the governmental body designs a proper metadata schema[38];
k) Ensure that all electronic records are linked to the appropriate metadata that provides for their structure and context;
l) Ensure that a proper audit trail is generated for all changes made to records[39];
m) Ensure that audit trail data is managed as authentic records[40];
n) Ensure that the governmental body has a documented version control policy to

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34   See Annexure A of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Service's website http://www.national.archives.gov.za.
35   This will allow the National Archives and Records service to determine the necessary conditions for the management of the records as required in terms of section 13(2)(b)(iii) of the National Archives and Records Service Act, 1996.
36   See par. 5.3.3 of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Service's website http://www.national.archives.gov.za
37   See par. 5.3.2 and Annexures F and G of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Service's website http://www.national.archives.gov.za.
38   See par. 5.5.1 of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Service's website http://www.national.archives.gov.za
39   See par 5.7 of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Services website http://www.national.archives.gov.za
40   See par 5.7.1.1 of _Managing electronic records in governmental bodies: Policy, principles and requirements_ on the National Archives and Records Service's website http://www.national.archives.gov.za

ensure that the official records can be identified[41];

o) Ensure that records containing digital signatures are maintained according to the principles promoted by the National Archives and Records Service[42];

p) Ensure that all records, metadata and audit trail data is backed up regularly[43];

q) Ensure that e-mail and web-sites are managed as records[44];

r) Ensure that records stored in structured systems are managed according to the principles contained in *Managing electronic records in governmental bodies*: *Policy, principles and requirements*[45].

Key objective 11
To ensure that there are evaluation criteria in place to monitor compliance with sound records management practices.[46]

Specific outcomes

a) Design and implement a performance management scheme that monitors:
   i.   the quantity of records created;
   ii. response times in retrieving records and providing information;
   iii. the quantity of records disposed of;
   iv. the condition of all records in all storage areas;
   v.   the accessibility of all records on all storage media.

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41 See par 5.6 of *Managing electronic records in governmental bodies: Policy, principles and requirements* on the National Archives and Records Service's website
http://www.national.archives.gov.za

42 See par 5.7.2 of *Managing Electronic Records in governmental bodies: Policy, principles and requirements* on the National Archives and Records Service's website
http://www.national.archives.gov.za

43 See par 5.8 of *Managing Electronic Records in governmental bodies: Policy, principles and requirements* on the National Archives and Records Service's website
http://www.national.archives.gov.za

44 See par 6.2.4 and 6.2.5 of *Managing Electronic Records in governmental bodies: Policy, principles and requirements* on the National Archives and Records Service's website
http://www.national.archives.gov.za

45 See par. 6.1 of *Managing electronic records in governmental bodies: Policy, principles and requirements* on the National Archives and Records Service's website http://www.national.archives.gov.za

46 Performance measurement is necessary to relate records management activities to the requirements of good governance.

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2.3   COMPETENCY REQUIREMENTS

2.3.1 KNOWLEDGE
> ➢ Knowledge of the history and functions of the office;
> ➢ Knowledge of the governmental environment;
> ➢ Knowledge of information management;
> ➢ Specialist knowledge of records management practices;
> ➢ Understanding of the most prevalent systems presently being employed (i.e. Transaction Processing Systems, Database Management Systems; Management Information Systems; Electronic Document Management Systems; Electronic Records Management Systems; Data Warehouses, etc.);
> ➢ Knowledge of relevant standards as well as the statutory and regulatory framework within which the office functions.

2.3.2 SKILLS
> ➢ Good communication skills;
> ➢ Teamwork;
> ➢ Planning and time management;
> ➢ Influencing;
> ➢ Managing performance;
> ➢ Managing people;
> ➢ Managing projects;
> ➢ Project management;
> ➢ Change management;
> ➢ Basic understanding of business systems analysis and process mapping;
> ➢ Basic understanding of how information systems are designed and process data;
> ➢ Thorough understanding of metadata systems.

2.3.3 PERSONAL ATTRIBUTES
> ➢ Professionalism;
> ➢ Flexibility.

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2.4   OUTPUTS PROFILE

2.4.1 KEY CUSTOMERS
  ➢   The relevant office;
  ➢   The users of records in the relevant office;
  ➢   National Archives and Records Service of South Africa;
  ➢   SITA;
  ➢   Public as a whole.

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2.5 LEARNING INDICATORS

2.5.1 QUALIFICATIONS
- Relevant National Diploma or Bachelor's degree in information management and/or records management;
- Relevant training presented by the National Archives and Records Service.

2.5.2 EXPERIENCE
- Extensive experience in the field of paper-based records management;
- Experience in the field of electronic records management;
- Extensive experience as a manager;
- Project management experience;
- Change management experience.

2.5.3 TRAINING
- In-house training;
- Courses in-
  - presentation skills;
  - public speaking;
  - project management;
  - business systems analysis;
  - knowledge management;
  - information strategy and policy;
  - document management;
  - electronic records management;
  - information audits;
  - management skills;
  - supervisory skills.

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LIST OF TERMS

Act:

The National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended.)

Appraisal:

The process of determining the value and thus the final disposal of records and the decision regarding the preservation requirements of each record or series of records.

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.

Archives Repository:

The building in which records with archival value are preserved permanently.

Closed Volume:

1) Volumes of records in a current paper-based file plan that have reached a thickness of 3 cm or have become full, after which a new volume has been opened.
2) In an electronic system a folder which was segmented into parts.

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 National 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 Management System:

A (normally out-of–the–box) electronic system that contains business rules to manage records to ensure that they are authentic and reliable. A.k.a Electronic Records Management Applications

Electronic records system:

This is the collective noun for all components of an electronic information system, namely: electronic media as well as all connected items such as source documents, output information, software applications, programmes and meta data (background and technical information i.r.o. the information stored electronically) and in hard copy. All these components are defined as records by the Act. They must therefore be dealt with in accordance with the Act's provisions.

Ephemeral records:

See non-archival records.

File:

See folder.

File plan:

A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

File reference:

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

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.

Folder:

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

Functional subject file plan:

A pre-determined logical, systematic and hierarchical structure based on business' functions that are then used to determine subject groups and subjects according to which records are filed and/or electronically indexed. Its purpose is to
a) facilitate efficient retrieval and disposal of records; and
b) to link the records back to the functions, activities and transactions that generated them.

Governmental body:

Any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government and until provincial archival legislation takes effect also all provincial administrations and local authorities.

Head of a governmental body:

The chief executive officer of a governmental body or the person who is acting as such.

Integrated Document and Records Management System

A system that supports the medium to long term information needs of a governmental body. 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 –
• to manage a corporate file plan according to which records are filed;
• maintaining the relationships between records and files, and between file series and the file plan;
• identifying records that are due for disposal and managing the disposal process;
• associating the contextual and structural data within a document;
• constructing and managing audit trails;
• managing record version control;
• managing the integrity and reliability of records once they have been declared as such;

- managing records in all formats in an integrated manner.

Non-archival records:

Records with a short-lived interest or usefulness.

Public record:

A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

Records other than correspondence systems:

Records that do not form part of a correspondence file, or a case file e.g. registers, maps, plans, electronic records, audio-visual records, etc.

Record:

1) Recorded information regardless of form or medium.
2) Evidence of a transaction, preserved for the evidential information it contains.

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.

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. A.k.a. *record keeping system*.

Regulations:

The National Archives and Records Service of South Africa Regulations, 2002, Regulation R158 published in the *Government Gazette* No. 24085 of 20 Nov. 2002.

Retention period:

1) The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

2) In an electronic 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:
- Schedule for paper-based records other than correspondence files;
- Schedule for electronic records systems other than the electronic correspondence system;
- Schedule for microfilm records;
- 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.

System technical manual:

A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

System procedures manual:

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding -
- Document capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures
- File transmission
- Information retention
- Information destruction
- Backup and system recovery
- System maintenance
- Security and protection
- Use of contracted services
- Workflow
- Date and time stamps
- Version control
- Maintenance of documentation

A systems procedures manual should be updated when new releases force new procedures.

Terminated records:

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

Transitory records:

Transitory records are those records created by officials but not required by the governmental bodies 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 the activities of government. Such records are needed by officials for only a limited time to facilitate the completion of routine actions or to prepare a subsequent record required by a governmental body for the above-mentioned reasons.

Unscheduled:

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:

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

CHANGE HISTORY

VERSION NUMBER	CHANGES MADE
Version 1.3	1. Preface added. 2. Introduction revised by grouping information under relevant headings. 3. Information regarding benchmark inserted as par 1.2. 4. List of terms moved to the end. 5. Heading of part 2 changed. 6. Bulleted lists in par 2.2 changed to numbered lists. 7. Key Objectives updated.

(HB #4543 v4)