



# **SADC Secretariat Records Management Technical Assistance**

**RECORDS MANAGEMENT POLICY (*Final*)**

**March 2010**

## SADC Secretariat Records Management Policy

---

**Document Name:** SADC Secretariat Records Management Policy

**Project Name:** SADC Secretariat Records Management Technical Assistance

**Release Date:** April 2010

**Author:** Project Manager – University of Botswana, Department of Library Information Studies (UB/DLIS)/International Records Management Trust (IRMT)

**Client:** Southern African Development Community (SADC)

# SADC Secretariat Records Management Policy

---

## Document Location

In order to maintain a complete and accurate audit trail of this document's history, control information shall be recorded in this section until the document is approved and filed in the agreed repository location.

The final and signed off copy of this document shall be filed within the Records Management Unit of the SADC Secretariat. A file called SADC Records Management Technical Assistance, reference SADC/1/015/1/1 has been created for filing all documents pertaining to this project.

In future, further project information and documentation shall be available on the SADC Secretariat intranet.

## Revision History

Revision history details for the Records Management Policy are provided in the following table. The **Revision Date** is the date when changes were done, **Version** is the version number that is allocated incrementally, **Summary of Changes** is a short description of the effected changes and **Changes Tracking** indicates if an automatic facility for keeping track of changes was active.

**Table 1 – Revision History**

<b>Revision Date</b>	<b>Version</b>	<b>Summary of Changes</b>	<b>Changes tracked</b>
21 Nov 2009	1.0	Compilation and drafting	none
24 Nov 2009	1.3	Review	none
04 Jan 2010	1.4	Quality Assurance	none
15 Mar 2010	1.7	SADC Secretariat feedback	none
17 Jun 2010	1.9	Final Quality Assurance	none

## Distribution

The individuals listed below shall receive a final copy of the Records Management Policy, and any other project documentation as agreed by the Steering Committee from time to time.

The authorised distribution recipients are listed in Table 2 below, where **Name** is the full name of the recipient, **Title** is their official title and **Project Role** defines their role within the project.

**Table 2 – Distribution List**

<b>Name</b>	<b>Title</b>	<b>Project Role</b>
Dr Tomaz Salomão	Executive Secretary	Project Sponsor
Mr Russell Mufaya	Director, Human Resources	Steering Committee

## SADC Secretariat Records Management Policy

---

Name	Title	Project Role
	and Administration	Chairperson
Mrs Anne Kulemeka	Records Officer	Project Coordinator
Mr Helmut Mueller Gloddie	Technical Advisor GTZ	GTZ Funding Agent
Mr Gordon Iain Morrison	Finance & Contracts Administration	Advisor RAO

### Approvals

The Steering Committee shall make recommendations to the Steering Committee Chairperson or his nominated Deputy for formal approval and sign-off (see Appendix A – Certificate of Acceptance). The authorised DLIS/IRMT Project Director shall counter-sign on behalf of the consultants.

The authorised signatories are listed in Table 3 below, where **Name** is the full name of the authorised signatory, **Project Role** defines their role within the project, **Version** is the version number of the document being offered for signing and **Location** is the place where the signing shall be undertaken.

**Table 3 – Authorised Persons for Document Approval**

Name	Project Role	Version	Location
Mr Russel Mufaya	Steering Committee Chairperson	1.9	Gaborone
Mr Titus Nxumalo	Steering Committee Deputy		Gaborone
Mr Robin Unuth	Steering Committee Deputy		Gaborone
Prof Nathan Mnjama	Project Director		Gaborone

# **SADC Secretariat Records Management Policy**

---

## **1. Definitions**

For purposes of this Policy, unless otherwise stated, the following definitions apply:

- 1.1 Archives – records that have been selected for permanent preservation due to their enduring or continuing value to SADC.
- 1.2 Disposition – the process of either destroying obsolete records or transferring those with long-term value to a SADC Secretariat Archives following the prescriptions of approved Retention and Disposal Schedules.
- 1.3 Records – ‘information created, received, and maintained as evidence and information by SADC Secretariat in pursuance of its legal obligations or in the transaction of its business
- 1.4 Records Management - ‘the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of record’ (ISO 15489, 2001).
- 1.5 Records Management Function – the service responsible for coordinating and executing records management functions in the SADC Secretariat.
- 1.6 Retention and Disposition Schedules – a document that lists all the records created and held by SADC Secretariat and specifies periods of time after which the records can either be destroyed or archived through the application of SADC Records Retention schedule.
- 1.7 Electronic Mail (referred hereafter as email) - any electronic message created, sent or received through the SADC Secretariat email system that is required to support, inform and account for the Secretariat’s business activities.

## **2. Background**

- 2.1 The Southern Africa Development Coordination Conference was formed in Lusaka (Zambia) on 1 April 1980 and the transformation to Southern African Development Community (SADC) took place on 17 August 1992 in Windhoek (Namibia) through the signing of the Declaration and Treaty at the Summit of Heads of State and Government.
- 2.2 SADC currently consists of 15 members namely: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius,

## **SADC Secretariat Records Management Policy**

---

Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

2.3 In order to execute its mandate and programmes, SADC has established a principal executive organ, the SADC Secretariat and created a number of Directorates and Units. These Directorates and Units create and receive large quantities of records which support their operations.

2.4 The SADC Secretariat has long recognised the value of its records not only as a tool for policy formulation, effective decision making, accountability and good governance but also in order to protect its rights and those of its employees. The Secretariat also maintains its records so as to keep track of its past policies and programmes, provide an audit trail to meet business, regulatory and legal requirements, and ensure the preservation of its corporate memory. Because of this, the Secretariat is committed to the creation, holding and maintenance of complete, accurate and reliable records, regardless of format or medium, to inform and provide evidence of all its functions

### **3 Purpose**

3.1 The purpose of this Policy is to establish a framework and assign responsibilities for ensuring that complete, accurate and reliable records of the business activities of the SADC Secretariat are created, received, maintained, accessed and disposed of in a standard approved manner.

3.2 The Policy aims at ensuring that all records of the SADC Secretariat are held and maintained for as long as they are required to support business activities, ensure legal compliance, inform the audit process and provide evidence of political, economic and social development in line with the SADC Secretariat Standing Orders.

3.3 The Policy establishes a Records Management Committee, which shall work with and periodically advise the Records Management Function.

3.4 The Policy re-affirms the final authority of any action on records management at the SADC Secretariat as the Executive Secretary.

### **4 Scope of the Policy**

4.1 This is a SADC Secretariat-wide Policy and shall apply to all staff members, whether on permanent, temporary or contract employment. This includes consultants and others contracted to perform certain functions on behalf of the Secretariat.

4.2 This Policy applies to all records irrespective of format or medium that are created, received and maintained by the SADC Secretariat and its staff when undertaking all official functions.

## **SADC Secretariat Records Management Policy**

---

4.3 All official records of the SADC Secretariat are its inalienable property and will be kept in the custody of the Records Management Function or any other designated place approved by the Executive Secretary following consultations with the Director responsible for SADC Secretariat Records Management.

4.4 Official records, irrespective of format or medium, created, received, maintained by the SADC Secretariat in pursuit of its business functions and activities belong to the Secretariat and may not in any way be destroyed, tampered with, mutilated or removed from the Secretariat without due regard to the prescriptions of this Policy.

4.5 Each Business Unit of the Secretariat is responsible for the effective management of records in accordance to this Policy and the records management programme.

4.6 This Policy is aligned to the following Strategies and Policies:

- a) SADC Secretariat ICT Communication Strategy
- b) SADC Secretariat Records Management Procedures Manual.
- c) SADC Secretariat Records Retention and Disposition Schedules.
- d) SADC Secretariat Records Management Classification Scheme.
- e) And any other policies, regulations and standards that the Records Management Function may issue from time to time.

### **5. Record-keeping Process**

The SADC Secretariat creates, receives, and maintains records that are complete, authentic, and reliable. These records are of sufficient quality to support the legal, audit and business operations of the Secretariat. To support this, the following should be adhered to.

#### **5.1 Records Creation and Capture**

- a) All SADC business activities must be adequately documented through the creation and maintenance of records.
- b) The records must contain the necessary structural and contextual information necessary to document the functions of the Secretariat to which they relate.
- c) The records should be reliable and trusted as an accurate representation of the activity which led to their creation.

#### **5.2 Records Classification**

## **SADC Secretariat Records Management Policy**

---

All official records of the SADC Secretariat must be classified according to an approved uniform Records Management Classification Scheme.

### **5.3 Records Access**

- a) Access to SADC records shall be based on the SADC Secretariat Classification Scheme and Security Access level that shall be defined and adopted from time to time.
- b) Non-Secretariat staff may only access Secretariat records with the consent of Executive Secretary or his nominee.
- c) The Records Management Function shall control and maintain appropriate access controls for all official records.
- d) From time to time the Records Management Function shall issue and update procedures and guidelines which among others are meant to improve and enhance access to official records.

### **5.4 Records Retention and Disposal**

- a) The Records Management Function is responsible for administering the SADC Records Retention and Disposition Schedules.
- b) All official records of the Secretariat must be retained for periods specified in the SADC Records Retention and Disposition Schedules.
- c) No official records of the SADC Secretariat shall be disposed of without documented authorisation from the Records Management Function
- d) SADC Secretariat shall develop a Vital Records and Disaster Preparedness plan for records and information as part of its Business continuity Plan.

### **5.5 SADC Secretariat Archives**

The place of deposit for all SADC archives (legacy records) shall be the SADC Secretariat Headquarters, Gaborone, Botswana.

## **6. Record-Keeping Responsibilities**

### **6.1 The Executive Secretary**

The Executive Secretary has overall responsibility for the SADC Secretariat Records Management and the implementation of this Policy.

### **6.2 The Records Management Function**

The Records Management Function is responsible for:

## **SADC Secretariat Records Management Policy**

---

- a) Acting as the custodian of this Policy, including the implementation enforcement and monitoring of this Policy.
- b) Implementing and monitoring a records management programme that supports compliance to this Policy.
- c) The Records Management Function, is responsible for managing all official records of the Secretariat, maintaining the Records Management System and issuing supporting guidelines for managing records from creation through to disposal.
- d) Producing, implementing and reviewing of records management procedures contingent upon this Policy.
- e) Performing audits regularly to evaluate compliance of the records management system with this Policy.
- f) Providing necessary training towards SADC Secretariat staff compliance with this Policy.

### **6.3 The Records Management Committee**

- a) A Records Management Committee shall be established composed of all or some Heads of the Directorates and Units. whose main duties shall be to:
  - i) Coordinate the implementation of the records management programme within the Secretariat.
  - ii) Approve and review the records retention and disposition schedule, access security levels and classification scheme.
  - iii) Approve and supervise the destruction of records.
  - iv) Advise and make recommendations to the Executive Secretary on all matters relating to the state of management of the Secretariat records.
- b) The Chair of the Records Management Committee will be appointed by the Executive Secretary.

### **6.4 Responsibilities of SADC Secretariat Staff**

All staff working for the SADC Secretariat, whether permanent, temporary or on contract employment, including consultants and others contracted to perform certain functions on behalf of the Secretariat, are responsible for:

## **SADC Secretariat Records Management Policy**

---

- a) Gaining an understanding and adhere to the requirements of this Policy.
- b) Ensuring the consistent application of all records management procedures issued by the Records Management Function.
- c) Creating and ensuring that accurate, complete, reliable and trustworthy records of all official transactions are held in compliance with this Policy, the SADC Secretariat Records Management Procedures Manual, the SADC Secretariat Retention and Disposition Schedule, the SADC Secretariat Classification Scheme and/or any other regulation the Records Management Function may issue or make reference to.
- d) Maintaining end-of-day filing and forwarding official records that they may receive directly to the Records Management Function to be captured and managed as part of the records management system and according to SADC Secretariat Records Management Procedures and policies.
- e) Obtaining clearance from the Records Management Function certifying that all records have been handed to it when their employment with SADC Secretariat ceases.
- f) Each Directorate/Unit shall designate one of its officers as the Focal Contact Person on Records Management issues.

## SADC Secretariat Records Management Policy

---

### Appendix A – Acceptance Certificate

ACCEPTED AT GABORONE BY:

**Name:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

*(for and on behalf of the SADC Secretariat)*

This \_\_\_\_\_ DAY OF \_\_\_\_\_ 2010

ISSUED AT GABORONE BY:

**Name:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

*(for and on behalf of the DLIS/IRMT)*

This \_\_\_\_\_ DAY OF \_\_\_\_\_ 2010

\*\*\*\*\*END OF DOCUMENT\*\*\*\*\*