



Province of the  
**EASTERN CAPE**  
SOCIAL DEVELOPMENT

<b>SOP File Number:</b>	<b>COS-HRA-HR RECORDS -01</b>
<b>SOP Version:</b>	V.001
<b>Document Owner:</b>	<b>Chief Director : Corporate Services</b>

**STANDARD OPERATING PROCEDURE: HR RECORDS MANAGEMENT PROCESS**

<b>Approval Date</b>	17 August 2018
<b>Commencement Date</b>	17 August 2018
<b>Review Date</b>	17 August 2019
<b>Periodical Review</b>	Annually
<b>Resources</b>	Human Capital, Hardware, Stationery, MIS-HR Registry
<b>Intent of SOP</b>	To ensure compliance to Records Management Policies and Procedures
<b>Scope</b>	This SOP applies to the Management of all HR records (creation, movement, usage, maintenance, transfer, and disposal) within the Eastern Cape Department of Social Development.
<b>Objective(s)</b>	To provide integrated strategic direction and support to achieve good governance at all times.
<b>Definitions</b>	<p><b>Archives:</b> Records which are in the custody of an Archives repository on Records center.</p> <p><b>Archival Value:</b> Refers to the long term use that records may have for purposes other than functional use.</p> <p><b>Archival repository:</b> Building when A 20 records with archival value are stored.</p> <p><b>Administrative value:</b> Refers to the administrative value which records may have on the daily basis for the body/office which created them.</p> <p><b>Appraisal:</b> Decision regarding requirements for preservation each document/ series of documents.</p> <p><b>Authority Register</b></p>

Register containing details of all disposal authorities that has been issued to a particular body.

**Closed volumes**

Volumes of records part of a current classification system which has reached a thickness of 3 cm or have become full after which a new volume has been opened.

**Current records**

Records that form part of a Records classification system that are still in use.

**Custody**

Control of records base upon her physical possession.

**Destruction Certificate**

Certificate submitted to Archives and Records Service as certification that certain records have been destroyed in terms of disposal authority.

**Destruction Register**

Register containing details of all records to be destroyed.

**Disposal Authority**

Written authority which specify records to be transferred into the custody of the Provincial Archivist or specifying records to be otherwise disposed of.

**Disposal Symbols**

**A20** Valuable records which should be transferred to an archives repository for permanent, 20 years after the end of the year it was created.

**AP** Valuable records which should be transferred to an archives repository, by the body which created them, but with the written approval of Provincial Archivist.

**D** Records with title Archival value that can be destroyed after the expiry of the retention period indicated after the D symbol, eg D 3 Destroy after 3 years.

	<p><b>DP</b> Records with little archival value which may be preserved in the body creating for an indefinite period and destroyed once they have no further functional use, with written approval of the Provincial Archivist.</p> <p><b>Ephemeral</b></p> <p>Term used to describe records with little archival value that can be destroyed after disposal authority has been obtained from the Provincial Archivist.</p> <p><b>File Plan</b></p> <p>Approved Plan according to which the Department arranges and files correspondence and records so as to serve the requirements for optimal information retrieval.</p>
<b>Key Performance Indicator</b>	<p>To ensure that manual HR Records are managed effectively and adequately in an electronic and paper version.</p>
<b>Principles</b>	<p><b>Batho Pele Principles:</b></p> <p><b>Consultation:</b> Employees should be consulted on the nature, quantity and quality of services to be provided in order to determine the needs and expectations of the end users.</p> <p><b>Service Standards:</b> Employees should be told what level and quality of public services they will receive so that they are aware of what to expect.</p> <p><b>Ensuring courtesy:</b> Employees should be treated with courtesy and respect.</p> <p><b>Access:</b> All employees should have equal access to the services to which they are entitled</p> <p><b>Information:</b> Employees should be given full, accurate information about the public services they are entitled to, e.g. through induction training and workshops.</p> <p><b>Openness and transparency:</b> Employees should be told about process implementation</p> <p><b>Redress:</b> The Employer should establish a mechanism for recording any public dissatisfaction by handling complaints fast and efficiently.</p>
<b>Compliance Measures</b>	<p>Access control, NMIR, Records Management Policy, Provincial Archives and Records Service, National Archives and Records Service</p>
<b>Performance Measures</b>	<p>Timeous submission of information request. <i>Timeous response to requests for information.</i></p>



**STEP BY STEP GUIDE  
RECORDS MANAGEMENT PROCESS – HR RECORDS**

Nr	Task Name	Task Procedure	Responsibility	Supporting Documentation	Service Standard
1	Receive employee correspondence	Receive correspondence from Salaries.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Housing allowances</li> <li>• S&amp; T</li> <li>• Garnishees</li> <li>• Other payments</li> </ul>	10 minutes to 30 minutes. ( Depending on the task )
2	Receive appointment documents	Receive employee records.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Z83 Application form, Acceptance Letter, Assumption of duty, Appointment Letter, CV, Birth Certificate, certified copy of ID, marriage certificate if applicable, qualifications, bank particulars, Admission to Pension fund, Promotions, Interview</li> <li>minutes/approval, leave application, acting allowance forms from Salaries MIE and competence certificate if top management. Tax certificate</li> </ul>	10 minutes per file

*MS*

3	Create employee files	Create box number on MIS, and allocate a box number.	<ul style="list-style-type: none"> <li>• PERSAL snapshot to be updated monthly on MIS before box numbers can be created.</li> <li>• Ensure that each employee has 5 files – Leave file, Development file, Personal file, Housing and Salary file.</li> <li>• Each file type has its own checklist used to check the completeness of the file.</li> </ul>	<ul style="list-style-type: none"> <li>• Data Capturer</li> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Database of created files.</li> </ul>	15 minutes
4	Check box number on MIS	Check box number in MIS, withdraw the files and add the documents.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Received correspondence</li> </ul>	30 minutes per file	
5	Number the folios	Number the folios from the bottom upwards.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Updated employee Files</li> </ul>	Depends to the thickness of the file, but the thickest file can be 45 minutes and above.	
6	Sort the documents according to the box numbers	Sort the documents according to the box numbers and to District codes.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Sorted Employee File</li> </ul>	Depends on the volume of correspondence. The minimum period can be 10 minutes.	
7	File documents within the File	Filing of correspondence in various file types chronologically according to the dates.	<ul style="list-style-type: none"> <li>• District Records Clerk</li> <li>• Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>• Personal file</li> <li>• Leave file</li> <li>• Housing file</li> <li>• Development file</li> <li>• Salary file</li> </ul>	Depends on the volume of the correspondence. The minimum period can be 5 minutes.	

*M*

8	Perform monthly stock count	<p><b>Perform monthly stock count</b></p> <ul style="list-style-type: none"> <li>Request printout from Persal.</li> <li>Check box numbers in MIS using PERSAL Number).</li> <li>Check if all the files that are in the list are available on the shelves.</li> <li>Check any transactions that were done on PERSAL against the documents in the relevant files.</li> <li>If the box exists, check that all 5 files are in the box.</li> <li>If the system indicates does not exist, check files alphabetically.</li> </ul>	<ul style="list-style-type: none"> <li>District Records Clerk</li> <li>Provincial Records Clerk</li> </ul>	<ul style="list-style-type: none"> <li>Persal printouts with marked files</li> </ul>	4 weeks per district
9	Move the files to the new location	<p><b>Physically move the files to the new location</b></p> <ul style="list-style-type: none"> <li>Check folio numbers. In case of internal or external transfers, physically move the files to the new location.</li> <li><b>If Employee File Transferred</b></li> <li>Verify and sign checklist.</li> </ul> <p><b>Follow up on missing files and documents</b></p> <ul style="list-style-type: none"> <li>Check the last person the file was issued to in the outgoing register.</li> <li>Collect the file or find it at the Registry.</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director – HR Records</li> <li>Assistant Director records</li> <li>Assistant Director- HR Records</li> </ul>	<ul style="list-style-type: none"> <li>Signed transfer lists</li> <li>Signed Checklist</li> <li>Missing folio numbers.</li> <li>File movement register.</li> </ul>	10 minutes  30 Minutes
10	Attend to Risk queries	<ul style="list-style-type: none"> <li>Ensure that bulk files are lockable.</li> <li>Install fire extinguishers.</li> <li>Control access by using the lockable counter.</li> <li>Add risk to risk register</li> </ul>	<ul style="list-style-type: none"> <li>Deputy Director - records</li> <li>Assistant Director - records</li> </ul>	<ul style="list-style-type: none"> <li>Risk Report</li> <li>Monthly Report</li> </ul>	3 Days
11	Attend to Audit queries	<ul style="list-style-type: none"> <li>Verify of all requested files and submit the outstanding documents to the Auditors</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director Registry staff</li> </ul>	<ul style="list-style-type: none"> <li>Submitted lists of Reports to the AG's office.</li> </ul>	3 Days per query. The reason for this is that some of the files that are

Handwritten signature and initials, possibly 'NS'.

					requested by AG are from the Districts. The files are audited Centrally. This means that the requested files have to be recalled from the Districts.
12	Attend to Requests for employee information	<ul style="list-style-type: none"> <li>Check box number on MIS using Persal number.</li> <li>Draw the file.</li> <li>Retrieve the requested document and furnish the requested document to the client.</li> </ul>	<ul style="list-style-type: none"> <li>Registry staff</li> <li>Assistant Director</li> </ul>	<ul style="list-style-type: none"> <li>Submitted information.</li> </ul>	10 minutes.
13	Attend to Requests for employee file	<ul style="list-style-type: none"> <li>Check box number on MIS using PERSAL number</li> <li>Draw the file</li> <li>Furnish the file to the client</li> <li>Inform the client of the return date of the file.</li> <li>A maximum of days per file will be given. If the 5 days has elapsed the file will be retrieved from the client. A new request will then be made at the Registry.</li> </ul>	<ul style="list-style-type: none"> <li>Registry staff</li> </ul>	<ul style="list-style-type: none"> <li>Requested file furnished</li> </ul>	30 Minutes
14	File Not Available	<p>In case the file is not available,</p> <ul style="list-style-type: none"> <li>If the file is with the Auditors, evaluate the request and request the file from the Auditors</li> <li>If the file is with a client within the Department, check if the client is still busy with the file, check if the time has elapsed.</li> </ul>	<ul style="list-style-type: none"> <li>Registry staff</li> </ul>	<ul style="list-style-type: none"> <li>Requested file</li> <li>Updated Incoming Register</li> <li>Updated Outgoing Register</li> </ul>	1 Day

		<ul style="list-style-type: none"> <li>• If the time has not elapsed, inform the requestor of the date when the file will be available.</li> <li>• If the time has elapsed, retrieve the file and fulfill the request.</li> </ul>			
15	Track Non-Returned Files	<ul style="list-style-type: none"> <li>• Check Outgoing Register. If files are outstanding</li> <li>• Request the file from the client. Should the file not be return</li> <li>• Physically retrieve the file.</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: HR Records</li> </ul>	<ul style="list-style-type: none"> <li>• Returned files</li> <li>• Updated Register</li> </ul>	5 Days
16	Compile Monthly Report	<ul style="list-style-type: none"> <li>• Compile the report according to the operational plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: HR Records</li> </ul>	<ul style="list-style-type: none"> <li>• Submitted Monthly Report</li> </ul>	30 minutes
17	Dispose Records	<ul style="list-style-type: none"> <li>• Identify the documents to be disposed.</li> <li>• List them and submit the list to the Provincial Archivist.</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director records</li> <li>• Deputy Director: Records</li> </ul>	<ul style="list-style-type: none"> <li>• Disposed documents</li> </ul>	Depends on the volume of file to be disposed. The minimum period can be the day.



**LEGISLATION, POLICIES, PROCEDURES & OTHER DOCUMENTATION (i.e. SOPs)**

Document Name	Document Name Description	Effective Date (if applicable)
<b>Records Management Policy</b>	It is the policy of the Department of Social Development to Manage the Records in an accountable, effective, and efficient manner through the implementation of a Records Management Programme.	Draft policy
<b>Procedure Manual</b>	This manual ensures that the HR Records of the Department are managed in accordance with guidelines and policies set out in the Department's Record Management Policies.	Draft Manual
<b>Provincial Archives act 71 2003</b>	This is the document that requires the Department of Social Development to ensure proper management and care of its Records.	2003







**PROCESS RISKS**

Risk Name	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Control Description	System / Manual
Utilisation of contract Workers In the HR Registry	Contract workers are not recognized by MIS hence Registry Clerk cannot create box numbers for them. This leads security and confidentiality of employee files being compromised as they are filed in alphabetical order and not by box number. Accessing the files also takes longer as the staff has to scan the files alphabetically.	H	H	MIS must be enhanced to accommodate contract workers. When the contract employees leave the department, the box number should be freed up to be re-allocated to another contract employee.	System
Non accountability of contract workers	Registry is staffed with Contract workers and time is spent on training as contracts expire every 6 months. This leads to misfiling, non-accountability and compromised confidentiality.	H	M	Permanent appointment of staff	Manual
Misallocation of files due to non-flexibility of MIS on changing box numbers, on transfer.	MIS does not transfer employees. It keeps the box number. This leads to inconsistencies between quantities in PERSAL and MIS. The number of warm bodies should match the number of boxes allocated in MIS.	L	L	MIS should be enhanced to cater for the re-allocation of boxes.	System

*NS*  
*R*

**AUTHORISATIONS**

Authorization:	Name:	Comments:	Signature:	Date:
Director : MIS	N.A.Mazizi			20/7/2018
Director: HRA	A.C.P Boo			2/8/18
Chief Director: Corporate Services	F. S. Myburgh			2/8/2018
Head of the Department	N.Baart			17/08/2018
Distribution and Use of SOP	District Directors, Corporate Service Deputy Directors, Service Managers, Area Managers, Assistant Directors	SUBJECT TO STRUCTURAL REORGANISATION	