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1. ACRONYMS

CCMA: Commission for Conciliation, Mediation and Arbitration

GITO: Government Information Technological Officer

HOD: Head of Department

HR: Human Resources

LEDET: Limpopo Department of Economic Development, Environment and Tourism

MEC: Member of Executive Council

RSA: Republic of South Africa

SMS: Senior Management Services

2. INTRODUCTION

2.1 Sound Records Management is fundamental for good governance, effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. It also provides a basis for accountability and protection of the rights of individuals.

2.2 The department intends to create and maintain reliable and usable records management system in order to ensure that integrity of records is properly retained and protected for as long as required as proof of business operations.
Records Management Policy

3. PURPOSE AND OBJECTIVE OF THE POLICY

The purpose and objective of this policy is amongst other things, the following:

3.1 To ensure that the Department manages its records in a well-structured record keeping system, and in line with the requirements of the National Archives and Records Services of South Africa Act, 1996.

3.2 To enable the department to perform its function successfully and efficiently in an accountable manner.

3.3 To ensure consistent service delivery in the Department.

3.4 To protect the interests of the Department, the rights of employees, clients and stakeholders.

3.5 To ensure that the Department follows sound procedures for the creation, maintenance, retention and disposal of all records.

4. AUTHORITY OF THE POLICY

The policy is issued under the authority of the MEC as the Executive Authority and the HOD as the Accounting Officer for the LEDET.

5. LEGAL FRAMEWORK

This policy is guided by the following legal prescripts:

5.1 The Constitution of the Republic of South Africa Act, 1996
5.2 Electronic Communication and Transaction Act, 2002
5.3 The Minimum Information Security Standards, 1996
Records Management Policy

5.4 National Archives and Records Services of South Africa Act, 1996
5.5 Labor Relations Act, 1995
5.6 Limpopo Province Archives Act, 2001
5.7 National Archives and Records Services of Republic of South Africa, Regulation No. 158 of 2002
5.8 Promotion of Access to Information Act, 2000
5.9 Protection of Information Act, 1982
5.10 Protected Disclosure Act, 2000
5.11 Promotion of Administrative Justice Act, 2000
5.12 Public Finance Management Act, 1999
5.13 Public Service Act, 1994

6. SCOPE OF APPLICATION

This policy is applicable to all employees of the Department of Economic Development, Environment and Tourism, Limpopo Province.

7. DEFINITIONS

“Archival value” means the value, be it administrative, fiscal, historical or legal information, which justifies the indefinite or permanent retention of records;

“Archives repository” means a place where documents of historical value are preserved permanently for government bodies;

“Authentic records” means all records considered by the record creators to be official records;

“Case Files” means files where information about individuals are filed;

“Custody” means being in possession and control of a record;
Records Management Policy

“Classified documents” means documents which are allocated a specific security classification level in line with the Minimum Information Security Standards;

“Disposal” means to destroy, delete or transfer a record into archival custody;

“Disposal Authority” means a written authority issued by the National Archivist specifying the record to be transferred into archival custody, destroyed or deleted;

“Disposal Authority Number” means a specific number identifying each disposal authority issued to a specific office;

“Department” means the Limpopo Department of Economic Development, Environment and Tourism,

“Employer” means the Department of Economic Development, Environment and Tourism, Limpopo Province;

“Employee” means a person appointed in terms of the Public Service Act, 1994 by the Department of Economic Development, Environment and Tourism, Limpopo Province;

“Executive Authority” means the MEC of the Department of Economic Development, Environment and Tourism, Limpopo Province;

“File Plan” means a classification plan according to subject and subject groups to facilitate efficient retrieval and disposal of records;

“Filing System” means a storage system such as files, boxes and shelves in which records are stored according to the file plan;
Records Management Policy

"General Records" means records of a general nature and excludes human resource records;

"Human Resources Records" means records handling files containing Human Resource related documents and are managed by means of a staff file plan;

"Institutional Records" means records that form the history of the department;

"Non-classified documents" means documents that are not allocated a specific security classification level in line with Minimum Information Security Standards;

"Records" means all departmental documents regardless of form, such as correspondence, minutes and memoranda or media, including photographs, sound recording, videos and electronic records that are created or received by the employees of the department in the performance of their official business;

"Records centre" means a place where official records are stored;

"Record other than correspondence systems" means a record that is not a correspondence file or a case file, and includes a register, map, plan, electronic record or audio-visual record;

"Records Management" means the management of information resources in the manner that makes information easily accessible, securely stored and disposed of when no longer required for administrative purposes;

"Records schedule" means a control mechanism of records that contain a description of all other records other than correspondence files;

"Record keeping" means making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information;
Records Management Policy

"Records with Archival Value" means records that must be transferred to Provincial or National Archives because of their historical value and have an "A20" symbol on the disposal column of the file plan;

"Retention period" means the period which records should be retained in the Department before the records are transferred into archival custody, destroyed or deleted;

"Safe Storage" means authorised records storage areas that are meant to safeguard the safety of records;

"Public record" means a record created or received by a governmental body in pursuance of its activities, regardless of form or medium; and

"Waste Paper" means any unwanted paper which is no longer in use and warrants to be disposed of.

8. POLICY PRONOUNCEMENTS

8.1 ROLES AND RESPONSIBILITIES

8.1.1 THE HEAD OF DEPARTMENT

The HOD’s roles and responsibilities are as follows:

(a) To be accountable for the record keeping and records management practices of the department.

(b) To enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
Records Management Policy

(c) To designate a Senior Manager from within the LEDET to be the records manager of the department.

8.1.2 SENIOR MANAGER: RECORDS MANAGEMENT

The Senior Manager: Records Management shall be responsible for:

(a) Ensuring that the departmental records management practice complies with all applicable legal frameworks.

(b) Compiling the departmental file plan, record, schedule and facilitate approval by the Provincial Archivist.

(c) Ensuring the appointment of record administrators for District and satellite offices.

(d) Establishing and maintaining standards for compliance with record storage legislation.

(e) Continual assessment of the security, accessibility and usability of departmental records.

(f) Implementing effective record disposal program.

(g) Ensuring that departmental employees receive training on the management of Departmental Records.

(h) Informing the Provincial Archivist about any losses and permanent transfer of the public records from the department.
(i) Supervising the inspection of records at Head Office, Districts and other centers of the departmental where records are kept and provide feedback to the HOD.

(j) Ensuring that the Provincial and National Archivist and Records Services have access to the departmental records for inspection purposes.

(k) Determining the retention period of departmental records in conjunction with other Directorates and the Provincial Archivist.

8.1.3 SENIOR MANAGERS AND LINE MANAGERS

Senior Managers and Line Managers shall be responsible for:

(a) Implementing of the record management policy in their respective units.

(b) Maintaining good record keeping and records management practices.

(c) Ensuring that the management of records is a key responsibility in the performance agreement of all the staff members in their respective units.

8.1.4 EMPLOYEES

Employees shall:

(a) Ensure that all documents are properly filed.

(b) Not remove departmental records without due regard to the provisions of this Policy and other relevant Legislations.
Records Management Policy

(c) Ensure that Departmental documents are not damaged, destroyed, interfered with or neglected in any other manner possible.

(d) Ensure that all authentic records created or received are forwarded to registry for filing.

8.1.5 EXTERNAL USERS (CLIENTS OR PUBLIC)

External users shall comply with the provisions of this policy and any other relevant legislation in Records Management policy during their interaction with the Department.

8.1.6 GOVERNMENT INFORMATION TECHNOLOGY OFFICER

GITOC shall be responsible for:

(a) For protecting department’s information, communication and technology equipment.

(b) For preventing theft, abuse, distortion, misuse and illegal damage of records stored in electronic format. Emails will be handled as per directive contained in the departmental ICT and information Security Policy.

8.1.7 SECURITY AND INVESTIGATION SERVICES

Security and Information Services shall be responsible for:

(a) Assisting with physical security of registries and records centers and provide direction to Senior Manager: Records Management on access to records.

(b) Conducting awareness programs on minimum information security standards.
8.2 RECORDS CREATION

8.2.1 All employees are obliged to create records that adequately document the business activities in which they take part and submit them to records centers for filing in accordance with the guidance of Senior Manager: Records Management as outlined in procedure and process manuals.

8.2.2 Records should be created according to reference numbers in line with the Departmental file plans.

8.2.3 Only employees in authorized registries or authorized records centers shall open and close files.

8.2.4 All Departmental records, including records created by contractors or service providers in pursuance of the activities of the Department shall remain the property of the Department until they are officially destroyed or transferred to archives repository.

8.3 RECORDS CLASSIFICATION

8.3.1 All records shall be classified and managed in accordance with the approved file plan such as the General, Staff and MEC's file plans.

8.3.2 All official documents such as faxes and letters should be classified according to reference numbers derived from the file plan.

8.3.3 Records should be allocated a classification level according to Minimum Information Security Standards i.e. Confidential, Secret and Top Secret.

8.3.4 Case files such as staff personal files shall be classified according to the
Records Management Policy

numbering system or the classification system as outlined in the approved filing system.

8.3.5 No revisions and additions shall be made to file plans without the Senior Manager: Records Management’s approval.

8.4 RECORDS STORAGE

8.4.1 Records should be kept in departmental authorized records centers.

8.4.2 All records received and distributed shall be recorded in relevant registers.

8.4.3 Classified documents or files must be stored in the reinforced steel cabinets. The doors of all offices in which classified documents are kept must be fitted with security locks.

8.4.4 All records shall be stored systematically to promote easy access and retrieval.

8.4.5 Districts offices must keep their general records, Leave and Performance Management System files at specific record centers within their respective districts.

8.4.6 Records shall be transferred to an appropriate record storage area regularly to avoid the piling of files in offices. Employees must submit the original records to the records management unit for safe storage and filing.

8.4.7 Employees may keep their working files with copies of original documents.
8.5 ACCESS TO RECORDS

8.5.1 Access to departmental records must be strictly controlled.

8.5.2 Only employees in records management will be allowed access to records storage area or registry.

8.5.3 Employees who are expected to access classified material but do not have the relevant security clearance must take a prescribed oath or declaration of secrecy.

8.5.4 A circulation register must be signed when exchanging records. The Senior Manager: Records Management and Heads of Records Management Units in the district offices shall be responsible for the safekeeping and custody of the departmental records.

8.5.5 Access to departmental records shall be dealt with in accordance with the provisions of the Promotion to Access to Information Act, 2000 (Act No. 2 of 2000).

8.6 SECURITY OF RECORDS

8.6.1 Records must be protected, maintained, and useable for their entire retention period.

8.6.2 All records shall be stored in a lockable area and the Records Officer shall have control of the keys.
8.7 INTRA-DEPARTMENTAL AND INTER-DEPARTMENTAL TRANSFER OF RECORDS.

8.7.1 Records Management unit must keep a register of all files transferred intra-departmentally or inter-departmentally. The Senior Manager: Records Management must inform the Provincial Archivist in the case of a permanent transfer of such files.

8.7.2 No records shall be transferred either to a private off-site (private storage facility) or records storage facility without prior authorization by the HOD and the Provincial Archivist in terms of the Limpopo Province Archivist Act, 2001 (Act No.5 of 2001).

8.8 DISPOSAL OF RECORDS

8.8.1 No employee is allowed to destroy, delete or dispose authorized departmental records without prior written authorization of the Senior Manager: Records Management.

8.8.2 Records with archival value must be transferred to a relevant archive repository 20 years after creation with the approval of the HOD and after prior arrangements have been made with the relevant archives repository. A request to transfer these records can be made to the Provincial Archivist before 20 years has elapsed if there are valid reasons to do so.

8.8.3 Correspondence files will be destroyed in accordance with the disposal authority issued by the Provincial Archives and Records Services following the approval of the HOD.
Records Management Policy

8.8.4 Records that are common to all governmental bodies, such as application for posts will be disposed 3 years after appointment of the official with the approval of the HOD.

8.8.5 Unsuccessful application forms for interns must be disposed of 3 months after the appointment of successful applicants. The closed files for interns must be disposed of 3 months after their contract has expired.

8.8.6 Senior Manager: Records Management must update the file plans on functions and determine the disposal period in conjunction with Senior Managers of different directorates and in consultation with the Provincial Archivist.

8.8.7 Records must only be disposed of when there is assurance that such records are no longer required and has no pending issue that will require such records.

8.8.8 The disposal of waste paper must only be through the departmental waste recycling programme to be developed by Pollution and Waste Management Directorate.

9. DEFAULT

An employee who fails to comply with the Provisions of this policy shall be dealt with in terms of the Public Service Disciplinary Code and Procedures for the Public Service.

10. INCEPTION DATE

The inception date of this policy is 30 days after approval by the Head of Department.
Records Management Policy

11. REVIEW

This policy will be reviewed every twenty four (24) months.

12. TERMINATION

This policy shall remain in force until and unless it has been withdrawn and/or amended.

13. ENQUIRIES

Enquiries regarding the policy shall be directed to the Senior Manager:
Information and Records Management

14. APPROVAL

Approved by:

[Signature]

HEAD OF DEPARTMENT: LEDET

DATE: 26/01/2014