



CONFIDENTIAL

LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF AGRICULTURE

APPROVAL OF RECORDS MANAGEMENT POLICY, DISPOSAL POLICY AND REGISTRY PROCEDURE MANUAL.

SIGNED AT POLOKWANE ON THIS 06 DAY OF 06/ 2013.

Mr NDOVE TS
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SIGNED AT POLOKWANE ON THIS 14 DAY OF 06 2013.

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LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

GENERAL REGISTRY
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DEPARTMENT OF AGRICULTURE

RECORDS MANAGEMENT POLICY

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1. PURPOSE

- 1.1 Section 13 of the Province Archives Act, No.5 of requires Limpopo Department of Agriculture (LDA) to manage its own records in a well structured record keeping system, and to put the necessary policies and procedures to ensure that its record keeping and records management practices comply with the requirements of the Act.
- 1.2 Information like other resources such as people, money and facilities requires good management. The information resources of the Department must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. LDA considers its records to be a valuable asset to:
 - 1.2.1 Enable LDA to find the right information easily and comprehensively
 - 1.2.2 Support the business, legal and accountability requirements of LDA.
 - 1.2.3 Enable LDA to perform its functions successfully and efficiently and in an accountable manner.
 - 1.2.4 Ensure the conduct of business in an orderly, efficient and accountable manner.
 - 1.2.5 Ensure the consistent delivery of services
 - 1.2.6 Support and document policy formation and administrative decision-making
 - 1.2.7 Provide continuity in the event of disaster
 - 1.2.8 Protects the interests of LDA and the rights of employees, clients and present and future stakeholders.
 - 1.2.9 Support and document LDA's activities, development and achievements.
 - 1.2.10 Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

2. THE STATUTORY AND REGULATORY FRAMEWORK FOR RECORDS MANAGEMENT

By managing its records effectively and efficiently, LDA strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:

- 2.1 Constitution of the Republic of South Africa, (Act No. 108 of 1996).
- 2.2 Promotion of Access Information Act (Act No. 2 of 2000).
- 2.3 The National Archives of South Africa Act (Act 43 of 1996 as amended).
- 2.4 National Archives Regulations, 1997.
- 2.5 National Archives Instructions.

- 2.6 Public Services Act, No. 103 of 1994 and the Public Services Regulations, 2001.
- 2.7 Limpopo Province Archives Act (Act No. 5 of 2001).
- 2.8 Promotion of Administrative Justice Act (Act No 3 of 2000)
- 2.9 Public Finance Management Act (Act No 1 of 1999)
- 2.10 Electronic Communications and Transactions Act (Act No 25 of 2002)
- 2.11 Labour Relations Act (Act 42 of 1995)
- 2.12 Basic Conditions of Employment Act (Act 75 of 1997)
- 2.13 Resolutions of the Public Service Bargaining Council (Numbers 3 of 1999 and 7 of 2000).
- 2.14 National Minimum Information Requirements circulated in the DPSSA's Circular No. 4 of 2001.
- 2.15 White Paper on Human Resource Management in Public Service, 1997
- 2.16 E-Government Framework and the National e-Strategy
- 2.17 Best Practice Model for Keeping and Managing Paper-Based Employee Records

3. POLICY STATEMENT

- 3.1 All records created and received by LDA shall be managed in accordance with the records management principles contained in Section 13 of Limpopo Province Archives Act No. 5 of 2001.
- 3.2 The following broad principles apply to the record keeping and records management practices of LDA:
 - 3.2.1 LDA follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - 3.2.2 The records management procedures comply with legal requirements, including those for the provision of evidence.
 - 3.2.3 The LDA follows sound procedures for the security, privacy and confidentiality of records.
 - 3.2.4 Electronic records in the LDA are managed according to the principles promoted by the National Archives and Records Service.
 - 3.2.5 The LDA has performance measures for all records management functions and reviews compliance with these measures.

4. RELATIONSHIP WITH OTHER POLICIES

- 4.1 The Department's Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated in the Department.
- 4.2 Other policies that are closely related to the Records Management Policy are:
 - 4.2.1 Records Disposal Policy
 - 4.2.2 Information Security Policy (Managed by Security Services)
 - 4.2.3 Policy on the Promotion of Access to Information (PAIA)

- 4.2.4 Minimum Information Security Standards (MISS)
- 4.2.5 E-mail and Internet policy (Managed by IT)

5. SCOPE AND INTENDED AUDIENCE

5.1 This policy impacts upon LDA's work practices for all those who:

- 5.1.1 create records including electronic records;
- 5.1.2 have access to records;
- 5.1.3 have any other responsibilities for records, for example storage and maintenance responsibilities;
- 5.1.4 have management responsibility for staff engaged in any of these activities; or manage, or have design input into, information technology infrastructure.

5.2 The policy therefore applies to all staff members of the Department and covers all records regardless of format, medium or age.

6. ROLES AND RESPONSIBILITIES

There are key stakeholders who have a role to play in records management. The stakeholders and their roles are as follows:

6.1 *Head of Department* is responsible for sound records management practices within LDA and has to ensure that records management practices comply with the provisions of the Limpopo Province Archives Act. The HOD has designated Senior Manager: Records Management to be the records manager of the LDA.

6.2 *Senior managers*

- 6.2.1 Senior managers are responsible for the implementation of this policy in their respective units.
- 6.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 6.2.3 Senior management shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance instruments of all the staff in their units.
- 6.2.5 The *Senior Manager: Records Management* shall perform duties that are necessary to enhance the record keeping and records management practices of LDA to enable compliance with legislative and regulatory requirements. Sub records managers at Head Office are Manager: General records and Manager: HR Records. The District

6.6 *Security manager*

- 6.6.1 The Security Manager is responsible for both information and physical security of all records.
- 6.6.2 Details of the specific responsibilities of the security manager are contained in the information security policy.

6.7 *Legal services manager*

The Legal Services Manager is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of LDA.

6.8 *Executive and all Departmental Managers*

All managers must ensure that this policy and appropriate records management procedures are implemented within their units to support the necessary cultural change.

6.9 *IT manager*

- 6.9.1 The IT manager is responsible for the day-to-day maintenance of electronic systems that store records.
- 6.9.2 The IT manager shall work in conjunction with the records manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.
- 6.9.3 The IT manager shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.
- 6.9.4 The IT manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created (applicable when an electronic system is used).
- 6.9.5 The IT manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.

- 6.9.6 The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.
- 6.9.7 The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- 6.9.8 The IT manager shall ensure that systems that manage and store records are virus free.
- 6.9.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in:
 - 6.9.9.1 the E-mail policy;
 - 6.9.9.2 the Web content management policy;
 - 6.9.9.3 document imaging policy; and the
 - 6.9.9.4 Information security policy.

7. RECORDS CLASSIFICATION SYSTEMS

LDA has the following classification systems that organise and store records:

7.1 Correspondence Systems

7.1.1 File Plan

7.1.1.1 Only file plans approved on 14th November 2008 and implemented from the 1st July 2009 by the Provincial Archivist shall be used for the classification of correspondence records. The file plan shall be used for the classification of records.

7.1.1.2 When correspondence is created/ received for which no subject exists in the file plan, the records manager and/ or sub records managers at Head Office should be contacted to assist with additions to the file -plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager.

7.1.2 Storage areas

Paper based correspondence files are kept in the custody of:

7.1.2.1 General Registry

7.1.2.1.1 All paper-based correspondence system records that are not HR related are housed in general registry.

7.1.2.1.2 All these records are under the management of the Manager: General Records who is mandated to ensure that they are managed properly.

7.1.2.1.3 Only registry staff is allowed in the records storage area.

7.1.2.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter.

7.1.2.2 The Human Resources Registry

7.1.2.2.1 All human resources related records are housed in the HR Registry.

7.1.2.2.2 The general HR subject files as well as HR case files are under the management of Manager: HR Records who is mandated to ensure that they are managed properly.

7.1.2.2.3 LDA maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in HR registry.

7.1.2.2.4 Internal control mechanisms would be established for physical tracking of the case files.

7.2 Records other than correspondence systems

7.2.1 Schedule of records other than correspondence systems

The records manager and sub records managers maintain a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other the correspondence system and indicates the storage location and retention of these records regardless of format.

7.2.2 Should these records be created/received that are not listed in the schedule, the records manager/sub records manager should be contacted to add the records to the schedule.

7.2.3 Records other than correspondence systems that are in the custody of the various officials that use them on a daily basis are listed.

7.3 Vital records would be stored in a special room identified by the Department.

8. DISPOSAL OF RECORDS

8.1 No records (both paper-based and electronic) under the control of the Department shall be destroyed, erased, disposed of or transferred to the Provincial Archives repository without the written authorisation of the National/ Provincial Archivist.

- 8.2 Non archival records shall be kept for the period/ years as indicated in the Departmental retention schedule. Retention periods must be determined in consultation with all employees as creators of records. Legal obligations and functional needs of the LDA must also be taken into consideration.
- 8.3 Record Managers/ Sub-records managers must be contacted whenever there are queries in relation to allocated retention periods.
- 8.4 Disposal of records will be executed annually.
- 8.5 Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services and Deputy Information Officer has indicated that the destruction hold can be lifted.
- 8.6 Archival records shall be safely kept in LDA until they are due for transfer to the Provincial Archives repository. Transfer procedures shall be as prescribed by the Provincial Archives in the Records Management Policy Manual and Records Disposal Policy.

9. SECURITY

The records shall be kept in line with the applicable security measures as follows:

9.1 CONTROL AND PROTECTION OF RECORDS

- 9.1.1 Paper based records shall be kept in the Registry as provided for in the Registry Procedure Manual and the Head of Registry shall ensure compliance with applicable records keeping measures.
- 9.1.2 Electronic records shall be kept in Server Rooms and the Head of IT shall ensure compliance with information storage and backup plan.

9.2 ACCESS

- 9.2.1 All records can be accessed by departmental employees subject to all relevant legislation governing rights of access to information.
- 9.2.2 Access to records for researchers and the persons who wish to consult records from outside and within the department is controlled by the Deputy Information Officer (DIO) in accordance with section 12 of the Limpopo Province Archives Act (Act No. 5 of 2001) and LDA PAIA manual.

- 9.2.3 All requests from researchers and persons who wish to access records must be submitted in writing to the Deputy Information Officer (DIO). All such requests would be handled in accordance with LDA's manual in terms of Promotion of Access to Information.
- 9.2.4 The Head of Registry must ensure that no unauthorised person may, or is able to gain access to the Registry, or records storerooms during or after office hours.
- 9.2.5 The following rules apply:
 - 9.2.5.1 Registry offices are closed during meeting proceedings, lunch (i.e. from 13h00 to 14h00) and after office hours (i.e. at 16h30).
 - 9.2.5.2 During office hours, the Registry should not be left unattended. If this does happen, the door must be locked;
 - 9.2.5.3 The Head of Registry exercises control over all the keys of the Registry offices and complies with Departmental key security policy.
 - 9.2.5.4 No staff member shall disclose personal information of any staff member of the public without consulting the DIO.

10. TRAINING

- 10.1 Regular training of the Registry personnel will be conducted. Records Management workshops/courses would be arranged in accordance with the Departmental Skills policy.
- 10.2 The Deputy Manager / Records Manager /Head of Registry shall conduct training in the allocation of reference numbers.
- 10.3 The Records manager/Deputy Manager/Head of Registry should ensure that all staff members are conversant with the proper registry procedures to support the registry to be functional.

11. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

The records of LDA shall at all times contain reliable evidence of business operations. The following shall apply:

- 11.1 No records shall be removed from paper-based files without permission of the records manager.
- 11.2 Records that were placed on files shall not be altered in any way.

11.3 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

11.4 No alterations of any kind shall be made to records other than correspondence files without permission of the records manager.

12. INSPECTION BY THE PROVINCIAL/NATIONAL ARCHIVES

12.1 Subject to the exemption provision contained in section 13(2) (c) of the Limpopo Province Archives Act, 2001(Act No. 5 of 2001) and National Archives and Records Service of South Africa Act (Act No. 43 of 1996), the Provincial /National Archivist is entitled to full and free access, at all times, to all public records in Limpopo Department of Agriculture's custody.

12.2 Departmental inspections would be conducted annually.

13. VALUATION CRITERIA

13.1 The Departmental Records Management Policy shall be reviewed annually.

13.2 The records management service standards shall be evaluated for compliance with Batho-Pele principles on an annual basis.