



DEPARTMENT OF
**CO-OPERATIVE GOVERNANCE,
HUMAN SETTLEMENTS & TRADITIONAL AFFAIRS**

MEMORANDUM

Reference Enquiry : CH7/1/P
: Raphahlelo M

To : MEC

From : Information Management

Date : 19 February 2015

SUBJECT : REQUEST FOR APPROVAL OF THE RECORDS MANAGEMENT POLICY

1. Purpose

The purpose of this memorandum is to request the MEC to approve the Records Management Policy edition 4 of 2014 compiled by SBU: Information Management.

2. Background

The Records Management policy was adopted by the Labour Management Forum and this policy seeks to enable the Department of Co-operative Governance, Human Settlements and Traditional Affairs to ensure proper records management and also ensure the process of development and implementation of records management strategies and policies.

3. MOTIVATION

The Information Management SBU is tasked with the responsibility to encourage the proper management, filling and storage of records within the department and this Policy will provide sufficient guidance so that all units comply.

4. FINANCIAL IMPLICATIONS

None

5. PERSONNEL IMPLICATIONS

None

6. LEGAL IMPLICATIONS

None

7. GENDER AND EQUALITY

None

8. PARTIES CONSULTED

- 1. Research and Policy SBU
- 2. Labour Relations
- 3. Labour Unions: Nehawu and PSA

9. RECOMMENDATIONS

It is recommended that the MEC approve the attached final reviewed Records Management Policy for implementation


SM: Information Management

19/02/2015
Date

Comments

Supported


Chief Information Officer

2015/03/02
Date


Comments

Supported

1
SGM: Corporate Services

2015/03/02
Date


Recommended/not recommended

1

Head of Department

10/03/2015
Date

Approved/not approved

Approved


Member of the Executive Council

26/03/2015
Date



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

**DEPARTMENT OF
CO-OPERATIVE GOVERNANCE,
HUMAN SETTLEMENTS & TRADITIONAL AFFAIRS**

REVIEWED RECORDS MANAGEMENT POLICY

VERSION 4

TABLE OF CONTENTS

ITEM	PAGE
(i)Acronyms and Abbreviations	2
(ii)Definitions	3-4
1 Preamble	5
2 Purpose and objectives of the policy	5
3 Policy statement	5-6
4 Scope of Applications	6
5 Regulatory Framework	6-7
6 Administration of the Policy	7
7. Policy Content	7
7.1 Roles and Responsibilities	7
7.1.1 SBU	7
7.1.2. Senior Managers	7
7.1.3. Records Manager	7-8
7.1.4. Chief Information Officer	8
7.1.5. IT Senior Manager	8
7.1.6. Senior Manager: Risk and Security	9
7.1.7. Senior Manager: Legal Services	9
7.1.8. Registry staff	9
7.1.9. All staff members	9
8. Ownership of Records.	10
9. Records Classification Systems and related storage areas	10
9.1. Correspondence systems	10
9.2. Storage areas	10
10. Records other than correspondence systems	11
11. Disposal of Records	11-12
12. Storage and Custody	12
13. Access and security	12-13
14. Inspection of Records	13
15. Legal admissibility and evidential weight	13
16. Training	13-14
17. Default	14
18. Adoption of the policy	14
19. Monitoring and review	14
20. Implementation	14
21. Enquiries	14

i. ABBREVIATIONS AND ACRONYMS

- CIO Chief Information Officer
- CoGHSTA Co-operative Governance, Human Settlement & Traditional Affairs
- MEC Member of Executive Committee
- SBU Strategic Business Unit.

ii. DEFINITIONS

Archives Repository means:

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

Authentic records means:

Authentic records are records that can be proven to be what it purports to be. They are also records that are considered by the creators to be their official record.

Authoritative records means:

Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.

Correspondence system means:

A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

Custody means:

The control of records based upon their physical possession.

Disposal means:

The action of either destroying/deleting a record or transferring it into archival custody

Disposal Authority means:

A written authority issued by the National Archivist specifying which records which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

Disposal Authority Number means:

A unique number identifying each disposal authority issued to a specific office.

Electronic records means:

Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record system other than the correspondence system.

Electronic records system means:

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 metadata (background and technical information i.e. the information stored electronically) and in hard copy. All these components are defined as records by the Act.

File plan means:

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

Non-archival records means:

Records with a short lived interest or usefulness.

Public record means:

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

Records other than correspondence systems means:

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 means:

A record is recorded information regardless of form or medium. Evidence of a transaction, preserved for the evidential information it contains.

Record classification system means:

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 keeping means:

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

Records Management means:

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.

Retention period means:

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

1. PREAMBLE

The Records Management Policy establishes specific requirements under which the departmental records are effectively and efficiently managed throughout their lifecycle to facilitate the accomplishment of its programmatic and administrative missions, to preserve official records in accordance with applicable statutory and regulatory requirements, and to promote access to information by staff, partners, and the public as appropriate.

2. PURPOSE AND OBJECTIVES OF THE POLICY

To make sure that Section 13 of the National Archives and Records Service Act, of South Africa 1996 is implemented, and to put the necessary policies and procedures in place to ensure that recordkeeping and records management practices comply with the requirements of the Act.

The Department of CoGHSTA considers its records to be a valuable asset to:

- 2.1. Enable CoGHSTA to find the right information easily and comprehensively;
- 2.2. Enable CoGHSTA to perform its functions successfully and efficiently and in an accountable manner;
- 2.3. Support the business, legal and accountability requirements of the Department;
- 2.4. Ensure the consistent delivery of service;
- 2.5. Support and document policy formation and administrative decision-making;
- 2.6. Provide continuity in the event of a disaster;
- 2.7. Protect the interests of CoGHSTA and the rights of employees, clients, present and future stakeholders;
- 2.8. Support and document the CoGHSTA's activities, developments and achievements;
- 2.9. Provide evidence of business in the context of cultural activity and contribute to the culture identity and collective memory.
- 2.10. 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.

3. POLICY STATEMENT

- 3.1 All records created and received by CoGHSTA, shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.
- 3.2 The following broad principles apply to the recordkeeping and records management practices of the Department of CoGHSTA.
 - 3.2.1. The Department follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - 3.2.2. The records management procedures of the department comply with legal requirements, including those for the provision of evidence.
 - 3.2.3. The department follows sound procedures for the security, privacy and confidentiality of its records.
 - 3.2.4. Electronic records in the department are managed according to the principles promoted by the National Archives and Records Service.
 - 3.2.5. The department has performance measures for all records management functions and reviews compliance with these measures.

4. SCOPE OF APPLICATION

- 4.1. This policy impacts upon the Department's work practices for all those who:
 - 4.1.1. Create records including electronic records;
 - 4.1.2. Have access to records;
 - 4.1.3. Have any other responsibilities for records, for example storage and maintenance responsibilities;
 - 4.1.4. Have management responsibility for staff engaged in any of these activities, or manage, have design inputs into, information technology infrastructure.
- 4.2. The policy therefore applies to all staff members of the Department and covers all records regardless of format, medium or age.

5. REGULATORY FRAMEWORK

- 5.1. Constitution of the Republic of South Africa, (Act NO. 108 of 1996);
- 5.2. National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);
- 5.3 Limpopo Province Archive Act (Act No.5 of 2001
- 5.4. Public Finance Management Act (Act No 1 of 1999 as amended);
- 5.5. Promotion of Access to Information Act (Act No 2 of 2000);
- 5.6. Promotion of Administration Justice Act (Act No 3 of 2000);

- 5.7. Electronic Communications and Transactions (Act No. 25 of 2001);
- 5.8. Protection of Information Act (Act No. 84 of 1984);
- 5.9. Minimum Information Security Standard Policy;

6. ADMINISTRATION OF THE POLICY

6.1. The Head of Department shall designate a senior manager to be the records manager of the Department of Co-operative Governance, Human settlements and Traditional Affairs and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of the Department to enable compliance to legislative and regulatory requirements.

7. POLICY CONTENT

7.1 ROLES AND RESPONSIBILITIES

7.1.1 SBU.

- 7.1.1.1 It must ensure the implementation of approved general file plan.
- 7.1.1.2 It must preserve the information of the department.
- 7.1.1.3 It must make sure that other SBU's comply with records management policies.

7.1.2 Senior Managers

- 7.1.2.1 Senior managers are responsible for the implementation of this policy in their respective units.
- 7.1.2.2 Senior managers shall lead by example and shall themselves maintain good records management practices.
- 7.1.2.3 Senior managers shall ensure that all staff are made aware of their records keeping and records management responsibilities and obligations.

7.1.3 Records Manager

- 7.1.3.1 The Records Manager is responsible for:
 - 7.1.3.1.1 The implementation of this policy;
 - 7.1.3.1.2 Staff awareness regarding this policy;
 - 7.1.3.1.3 The management of all records according the records management principles contained in the National Archives and Records Service Act, 1996.
 - 7.1.3.1.4 The determination of retention period in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transaction
- 7.1.3.2 The Records Manager is mandated to make such training and other interventions as are necessary to ensure that the Department's record keeping

and record management practices complies with the records management principles contained in the National Archives and records Service Act.

7.1.3.3 The Records Manager may from time to time, issue circulars and instructions regarding the recordkeeping and records management practices of the Department.

7.1.3.4 The Records Manager shall ensure that all records created and received by the Department are classified according to the approved file plan and that a written disposal authority is obtained for them from the National Archives and Records Service.

7.1.3.5 The post of Senior Manager: Information Management is the records manager for the Department of CoGHSTA.

7.1.4 Chief Information Officer

7.1.4.1 The Chief Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

7.1.4.2 The CIO shall inform the Records Manager if a request for information necessitates a disposal holds to be placed on records that are due for disposal.

7.1.5. IT Senior Manager

7.1.5.1. The IT Senior Manager is responsible for the day-to-day maintenance of electronic systems that stores records.

7.1.5.2. The IT Senior Manager shall work in conjunction with the Senior Manager Information Management 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.

7.1.5.3. The IT Senior Manager shall ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.

7.1.5.4. The IT Senior 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.

7.1.5.5. The IT Senior 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.

7.1.5.6. The IT Senior Manager shall ensure that back-ups are stored in a secure off-site Environment

7.1.5.6.1 The IT Senior Manager shall ensure that systems that manage and store records are virus free.

7.1.6. Senior Manager Risk and Security

7.1.6.1 The Senior Manager Risk and Security is responsible for the physical security of all records.

7.1.6.2 Details regarding the specific responsibilities of the security manager are contained in the information security policy.

7.1.7. Senior Manager Legal Services

The Senior Manager Legal Services is responsible for keeping Senior Manager: Information Management updated about developments in the Legal and statutory environment that may impact on the recordkeeping and records management practices of the Department.

7.1.8. Registry Staff

The Registry staff members are responsible for the physical management of the records in their care.

Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual.

7.1.9. All Staff Members

7.1.9.1. Every staff member shall create records of transactions while conducting official business.

7.1.9.2. Every staff member shall manage those records efficiently and effectively by:

7.1.9.2.1. Allocating reference numbers and subjects to paper-based and electronic records according to the file plan;

7.1.9.2.2. sending paper-based records to the registry for filing;

7.1.9.2.3. ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National/Provincial Archivist.

7.1.9.2.4. Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

8 Ownership of Records

All records created or received by the Department shall remain property of the Department. **No records belong to individual employees.**

9 RECORD CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

The department has the following systems that organize and stores records:

9.1 Correspondence Systems

9.1.1 File Plan

- 9.1.1.1 Only the file plan approved and implemented shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper based and electronic (including email) records.
- 9.1.1.2 Each staff member shall allocate the reference numbers to all correspondence (paper, electronic, email) according to the approved subjects in the file plan.
- 9.1.1.3 When correspondence is created or received for which no subject exists in the file plan, the Senior Manager: Information Management 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.
- 9.1.1.4 Case files shall be classified according to recognised system e.g. Housing subsidy system (HSS, Persal and staff files).

9.2. Storage areas

9.2.1. General Registry

- 9.2.1.1 All paper-based correspondence system records that are not Human Resource related should be housed in the General Registry.
- 9.2.1.2 All these records are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- 9.2.1.3 The registry is a secure storage area and only registry staff members are allowed in the records storage area.
- 9.2.1.4 Staff members that need access to files in the registry shall place a request for the files at the service desk/counter.
- 9.2.1.5 The registry shall be locked when not in operation.

10 RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

10.1. Records other than correspondence systems

- 10.1.1. Schedule for records other than correspondence systems
- 10.1.2. The records manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.
- 10.1.3. Should records be created/received that are not listed in the schedule, the Records Manager should be contacted to add the records to the schedule.

11 DISPOSAL OF RECORDS

- 11.1 No Public records (including emails) under the control of the Department shall be destroyed, erased or otherwise disposed off without written authorisation of the National/ Provincial archivist.
- 11.2. The National Archivist has issued Standing Disposal Authority for the disposal of records classified against the file plan. The records manager manages the disposal schedule.
- 11.3. The National Archivist issued Standing Disposal Authority on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.
- 11.4. Disposal in terms of these disposal authorities will be executed annually in December.
- 11.5. Archival paper-based records are kept for the period of 20 years or more and thereafter transferred to the Provincial Archives for permanent preservation.
- 11.6. Personnel records under the control of the Department shall be kept for 20 – 30 years or more depending on the years of service of individual officers, thereafter transferred to the Provincial archives.
- 11.7. In case of resignation or death, the Personnel Records will be retained by the Department and may be destroyed ten years after conclusion of service as laid out by the National/Provincial Archives.
- 11.8. Unsuccessful Short listed application forms will be kept by the Department for period of three and half years (3, 5 years). Non short-listed application forms will be kept by the department for a period of six months after appointment.
- 11.9. All disposal actions should be authorized by the Records Managers prior to their execution to ensure that archival records are not destroyed inadvertently.
- 11.10 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 has indicated that the destruction hold can be lifted.

- 11.11 Paper-based archival records shall be safely kept in CoGHSTA Offsite storage and store rooms until they are due to transfer to the National/Provincial Archives Repository. Transfer procedures shall be as prescribed by the National/Provincial Archives in the Records Management Policy Manual.

12. STORAGE AND CUSTODY

- 12.1. All records shall be kept in storage areas that are appropriate for the type of medium. Management Policy Manual shall be applied.

13. ACCESS AND SECURITY

- 13.1. Records shall at all times be protected against unauthorized access and tampering To protect their authenticity and reliability as evidence of the business of the Department of CoGHSTA.
- 13.2. Security classified records shall be managed in terms of the Information Security Policy which is available from the Office of the Senior Manager Security.
- 13.3. All records created within the Department shall be allocated a security classification level in line with the Minimum Information Security Standards (e.g. Top Secret, Secret and Confidential).
- 13.4. No staff member shall remove records that are not available in the public domain from the premises of the Department of CoGHSTA without the explicit permission of the Records Manager in consultation with the Information Security Manager.
- 13.5. No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Manual which is maintained by the **Chief Information Officer**.
- 13.6. Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.
- 13.7. No staff member shall disclose personal information of any member of staff or client of the Department of CoGHSTA to any member of the public without consulting the Information Officer first.
- 13.8. Records storage areas shall at all times be protected against unauthorized access.
- 13.9. Employees should not eat, drink or smoke near records or in records storage areas.
- 13.10. Registry and other records storage areas shall be locked when not in use.

13.11. All records storage areas should be fumigated regularly to protect records from possible damage by insects and rodents; and be protected from dirt, dust and light.

13.12. All records personnel and all other officials that interact with records and information shall be subjected to **Security Clearance** in line with the Minimum Information Security Standards.

14. INSPECTION OF RECORDS

14.1 Section 13(2) C of National Archives Act pronounces that Provincial Archive officials

have to conduct Records inspections in Government bodies.

14.2 The Records Managers shall conduct records inspection on regular basis within the Department.

15 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

15.1. Paper-based records

15.2. No records shall be removed from paper-based files without the explicit permission of the Records Managers.

15.3. Records that were placed on files shall not be altered in any way.

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

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

16 TRAINING

16.1 The Records Managers shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip him/her for his/her duties.

16.2 The Records Managers shall identify such training courses that are relevant to the duties of the records staff and shall ensure that the records staff members are trained appropriately.

16.3 The Records Managers shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

17. DEFAULT

None compliance with this policy shall be treated in accordance with departmental legal prescripts.

18. ADOPTION OF THE POLICY

This policy shall be adopted by the Labour Management Forum of the Department.

19. IMPLEMENTATION DATE

The policy shall be implemented on approval by the MEC.

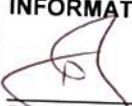
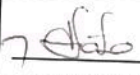
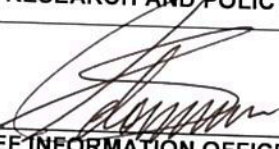
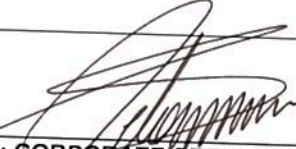


20. MONITORING AND REVIEW

20.1 The Records Manager shall monitor the record keeping and records management **practices of the Department of CoGHSTA bi-annually and shall adapt them** appropriately to ensure that they meet the business and service delivery requirements of the Department

20.2 A review of this policy may be initiated at an earlier date if circumstances warrant it. Such circumstances include major changes to the functions of the Department or significant administrative changes to it.

21. ENQUIRIES

Any inquiries about this policy should be directed to Information Management SBU.

POLICY TITLE:	RECORDS MANAGEMENT POLICY	
POLICY REFERENCE NUMBER:	CH71/P	
COMPILED BY:	INFORMATION MANAGEMENT 	19/02/2015 DATE
QUALIFIED BY:	SM: INFORMATION MANAGEMENT 	23/02/2015 DATE
ACKNOWLEDGED BY:	SM: RESEARCH AND POLICY COORDINATION  CHIEF INFORMATION OFFICER	2015/02/04 DATE
RECOMMENDED BY:	SGM: CORPORATE SERVICES 	2015/03/10 DATE
ADOPTED BY :	HEAD OF DEPARTMENT 	10/03/2015 DATE
APPROVED BY:	MEMBER OF EXECUTIVE COUNCIL 	26/03/2015 DATE
DATE INITIATED:		
REVISED VERSION:	VERSION 4	



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF
CO-OPERATIVE GOVERNANCE,
HUMAN SETTLEMENTS & TRADITIONAL AFFAIRS

CHECK LIST FOR POLICY DEVELOPMENT IN TERMS OF THE APPROVED REVIEWED DEPARTMENTAL POLICY DEVELOPMENT FRAMEWORK OF 2014

POLICY NAME	SBU	STATUS
RECORD MANAGEMENT POLICY	INFORMATION MANAGEMENT	REVIEWED
FORMAT	COMPLIANCE	COMMENT
Cover page	Complied	
Table of contents	Complied	
Acronyms and Abbreviations	Complied	
Classification of terms	Complied	
Preamble	Complied	
Purpose and objectives	Complied	
Scope of application	Complied	
Legal framework		
Administration of the policy	Complied	
Policy content	Complied	
Roles and Responsibilities	Complied	
Default	Complied	
Adoption of the policy	Complied	
Inception date	Complied	
Review of the policy	Complied	
Enquiries	Complied	
Signatures	Complied	

[Signature]

SENIOR MANAGER
RESEARCH AND POLICY
COORDINATION

23/02/2015

DATE