



DEPARTMENT OF
AGRICULTURE AND RURAL DEVELOPMENT

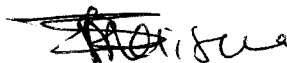
Records Management Policy

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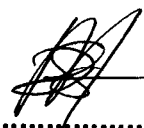

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Head of Department
(Maisela, RJ)

2016-09-30
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Date

Approved:


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Honourable Member of Executive Council
Mapula Mokaba-Phukwana (MPL)

05/10/16
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Date

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1) Acronyms and abbreviations

DIO	DEPUTY INFORMATION OFFICER
HOD	HEAD OF DEPARTMENT
LDARD	LIMPOPO DEPARTMENT OF AGRICULTURE & RURAL DEVELOPMENT
MEC	MEMBER OF EXECUTIVE COUNCIL
MISS	MINIMUM INFORMATION SECURITY STANDARD
PAIA	PROMOTION OF ACCESS TO INFORMATION ACT

2) Executive Summary

This Policy on Records Management indicates all matters and all means of dealing with all matters regarding the management of records within the LDARD – including disposal, security, (access and control & protection), training, inspection, etc.

This policy should be used in conjunction with other documents on the management of records within the LDARD – such as the Records Disposal Policy, the General File plan, the Registry Procedure Manual, etc.

3) Introduction

Records Management is responsible for providing records management services within the Department.

The aim of this policy framework is to provide a policy directive in terms of creating, maintaining and accessing records in the Department. This is done by outlining processes that the department should go through to ensure that records are efficiently managed.

4) Purpose and objectives

Section 13 of the Limpopo Province Archives Act, No.5 of requires Limpopo Department of Agriculture and Rural Development (LDARD) to manage its own records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that it's record keeping and records management practices comply with the requirements of the Act.

Information 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. LDARD considers its records to be a valuable asset to:

- a) Enable LDARD to find the right information easily and comprehensively.
- b) Support the business, legal and accountability requirements of LDARD.
- c) Enable LDARD to perform its functions successfully and efficiently and in an accountable manner.
- d) Ensure the conduct of business in an orderly, efficient and accountable manner.
- e) Ensure the consistent delivery of services.
- f) Support and document policy formation and administrative decision-making
- g) Provide continuity in the event of disaster – pertaining to Records
- h) Protects the interests of LDARD and the rights of employees, clients and present and future stakeholders.
- i) Support and document LDARD's activities, development and achievements.
- j) Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

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.

5) Authority

The policy on Records Management within the LDARD, is issued under the custodianship of the HOD (as Accounting Officer) and the Hon MEC for Agriculture and Rural Development in Limpopo.

6) Legal Framework

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

- Constitution of the Republic of South Africa, (Act No. 108 of 1996).
- Promotion of Access to Information Act (Act No. 2 of 2000).
- The National Archives of South Africa Act (Act 43 of 1996 as amended).
- National Archives Regulations, 1997.
- National Archives Instructions.
- Public Services Act, No. 103 of 1994 and the Public Services Regulations, 2001.
- Limpopo Province Archives Act (Act No. 5 of 2001).
- Promotion of Administrative Justice Act (Act No 3 of 2000)
- Public Finance Management Act (Act No 1 of 1999)
- Electronic Communications and Transactions Act (Act No 25 of 2002)
- Labour Relations Act (Act No. 42 of 1995)
- Basic Conditions of Employment Act (Act No. 75 of 1997)
- Resolutions of the Public Service Bargaining Council (Numbers 3 of 1999 and 7 of 2000).
- National Minimum Information Requirements circulated in the DPSA's Circular No. 4 of 2001.
- White Paper on Human Resource Management in Public Service, 1997
- E-Government Framework and the National e-Strategy
- Best Practice Model for Keeping and Managing Paper-Based Employee Records

RELATIONSHIP WITH OTHER POLICIES:

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.

Other policies that are closely related to the Records Management Policy are:

- Records Disposal Policy as well as Departmental Key Control Policy
- Information Security Policy and Departmental Security Policy
- Policy on the Promotion of Access to Information Act (PAIA)
- Minimum Information Security Standards (MISS)
- E-mail and Internet policy (Managed by IT)

7) Scope of Application

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

- a) Create records including electronic records.
- b) Have access to records.
- c) Have any other responsibilities for records, for example storage and maintenance responsibilities.
- d) Have management responsibility for staff engaged in any of these activities; or manage, or have design input into information technology infrastructure.

8) Definitions

- **Act:** The National Archives and Records Service of South Africa (Act No. 43 of 1996) as amended.
- **Archives:** Records in the custody of an archives repository.
- **Record:** Recorded information regardless of form or medium or evidence of a transaction, preserved for the evidential information it contains.
- **File plan:** A pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subject groups to facilitate efficient retrieval and disposal of records. The file plan is used for both current paper-based and current electronic correspondence systems. It usually contains the reference number, title, and description and disposal authority of files held in an office.
- **Disposal:** The action of either destroying or deleting a record or transferring it into archival custody.
- **Public Record:** A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
- **Records Classification System:** 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.
- **Disposal Authority:** A written authority issued by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/ deleted or otherwise disposed of.
- **Electronic Records:** Information generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than the correspondence system.
- **Retention Period:** The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted. In an electronic document management

system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.

- **Custody:** The control of records based upon their physical possession.

9) Policy pronouncements

9.1 Policy Statement

All records created and received by LDARD shall be managed in accordance with the records management principles contained in Section 13 of Limpopo Province Archives Act No. 5 of 2001. The following broad principles apply to the record keeping and records management practices of LDARD:

- a) LDARD follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- b) The records management procedures comply with legal requirements, including those for the provision of evidence.
- c) The LDARD follows sound procedures for the security, privacy and confidentiality of records.
- d) Electronic records in the LDARD are managed according to the principles promoted by the National Archives and Records Service.
- e) The LDARD has performance measures for all records management functions and reviews compliance with these measures.

9.2 Roles and responsibilities

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

A) Head of Department is responsible for sound records management practices within LDARD and has to ensure that records management practices comply with the provisions of the Limpopo Province Archives Act. The HOD has designated Director: Records Management to be the records manager of the LDARD.

B) Directors and Chief Directors:

CD's and Directors are responsible for the implementation of this policy in their respective units.

CD's and Directors shall:

- a) lead by example and shall themselves maintain good record keeping and records management practices.
- b) ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.
- c) ensure that the management of records including e-mail is a key responsibility in the performance instruments of all the staff in their units.

The Director: Records Management shall perform duties that are necessary to enhance the record keeping and records management practices of LDARD to enable compliance with legislative and regulatory requirements. Sub records managers at Head Office are Deputy Director: General Records and Deputy Director: HR Records. The District Records Managers are Deputy Directors Human Resource

Management in Districts and the Deputy Directors in the Local Agricultural Offices is responsible for sound records keeping within their areas of responsibility. Responsibilities of the Records Manager are as follows:

- 1) Development, implementation and review of records management policy and registry procedure manual
- 2) Staff awareness regarding the policy and procedure manual.
- 3) Determination of retention periods in consultation with the users.
- 4) Conduct records management inspections and surveys to monitor compliance.
- 5) Manage implementation and maintenance of file plans.
- 6) Issue circulars and instructions regarding the record keeping and records management practices.
- 7) Manage and monitor disposal of records.
- 8) Ensure the safe custody and storage of all records in all formats.

C) Registry Staff (including staff attached to divisions keeping and managing records) is 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 and legalised mini registries are contained in the *Registry Procedure Manual*.

D) Staff: Every staff member shall:

- i) create records of transactions while conducting official business.
- ii) manage those records efficiently and effectively by (Refer to the *Records Management User Process Manual* for more details):
 - a) allocating reference numbers to paper based and electronic records according to file plans by sending records to registry for filing.
 - b) ensuring that records are destroyed/deleted in accordance with the written disposal authority issued by the Provincial Archivist.

E) Deputy Information Officer (DIO)

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

The DIO shall inform the Sub Records Managers if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

F) Security Manager

The Security Manager is responsible for both information and physical security of all records.

Details of the specific responsibilities of the security manager are contained in the *Information Security Policy*.

G) 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 LDARD.

H) Executive and all Departmental Line Managers

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

l) IT Manager

The IT manager is responsible for the day-to-day maintenance of electronic systems that store records.

The IT manager shall:

- a) 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.
- b) ensure that appropriate systems; technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.
- c) 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).
- d) 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.
- e) 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.
- f) ensure that back-ups are stored in a secure off-site environment.
- g) ensure that systems that manage and store records are virus free.

Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- i) Data Backup policy
- ii) Information Classification Policy;
- iii) Information Security Policy.

9.3 Records Classification Systems

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

A) Correspondence Systems

1) File Plan

Only file plans approved on 14th November 2008, implemented from the 1st July 2009 by the Provincial Archivist and last reviewed in 2013 shall be used for the classification of correspondence records.

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.

2) Storage areas

Paper based correspondence files are kept in the custody of:

i) General Registry

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

All these records are under the management of the Sub Records Manager:

General Records who is mandated to ensure that they are managed properly.

Only registry staff is allowed in the records storage area.

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

ii) The Human Resources Registry

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

The general HR subject files as well as HR case files are under the management of Sub Records Manager:

HR Records who is mandated to ensure that they are managed properly.

LDARD 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.

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

B) Records other than correspondence systems

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 than the correspondence system and indicates the storage location and retention of these records regardless of format.

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.

Records other than correspondence systems that are in the custody of the various officials that use them on a daily basis are listed. These officials are responsible for updating the lists.

C) Vital records

All vital records would be stored in a special room identified by the Department.

9.4 Disposal of records

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.

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 LDARD must also be taken into consideration.

Record Managers/ Sub-records managers must be contacted whenever there are queries in relation to allocated retention periods.

Disposal of records will be executed annually.

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 Director: Legal Services and the Deputy Information Officer have indicated in writing that the destruction hold should be lifted.

Archival records shall be safely kept in LDARD 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 Departmental Records Disposal Policy.

9.5 Security

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

A) CONTROL AND PROTECTION OF RECORDS

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.

Electronic records shall be kept in Server Rooms and the Head of IT shall ensure compliance with information storage; backup plan and information security.

B) ACCESS

All records can be accessed by departmental employees subject to all relevant legislation governing rights of access to information. Officials must also note that they have access to the records of the office only as far as is necessary for the carrying out of their official duties.

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 LDARD PAIA manual.

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 LDARD's manual in terms of Promotion of Access to Information.

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.

The following rules apply:

- i) Registry offices are closed during meeting proceedings, lunch (i.e. from 13h00 to 14h00) and after office hours (i.e. at 16h30).
- ii) During office hours, the Registry should not be left unattended. If this does happen, the door must be locked;
- iii) The Head of Registry exercises control over all the keys of the Registry offices and complies with *Departmental Key Control Policy*.
- iv) No staff member shall disclose personal information of any staff member to the public without consulting the DIO.

9.6 Training

Regular training of the Registry personnel will be conducted. Records Management workshops/courses would be arranged.

The Deputy Manager / Records Manager /Head of Registry shall conduct training in the allocation of reference numbers.

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.

9.7 Legal admissibility and Inspection by the Provincial/National Archives

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

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

- ii) Should evidence be obtained of tampering with records, the staff member involved shall be subjected to disciplinary action.
- iii) No alterations of any kind shall be made to records other than correspondence files without permission of the records manager.

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 and Rural Development's custody.

Departmental inspections would be conducted when a need arises.

10) Default

This Policy on the Management of Records are being issued under the custodianship of the HOD and MEC for the Limpopo Department of Agriculture and no deviation from this policy is allowed. Should any deviation be needed (for whatever reason), it will only be allowed after written approval of the HOD.

11) Inception date

The date of approval is also the date of inception of this policy.

12) Termination and review

This policy will be reviewed after 2 years or as and when a need arise.

13) Enquiries

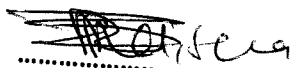
All enquiries with regards to this Policy on the Management of Records within the LDARD should be directed towards:

The Director

Records Management

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Private Bag X9487
POLOKWANE
0070
Tel: 015 294 3000

Recommended by:


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Head of Department

(Maisela, RJ)

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