



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

**DEPARTMENT OF
AGRICULTURE AND RURAL DEVELOPMENT**

RECORDS MANAGEMENT USER PROCESS MANUAL

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Recommended by:

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(Head of Department)

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Date

Approved by:

Honourable Member of Executive Council

Mapula Mokaba-Phukwana (MPL)

05/10/16

Date

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1. Creation of a record

The following Records Management documents should be consulted for more details when creating a record:

- 1) Records Management policy
- 2) Departmental File Plans
- 3) Registry Procedure Manual
- 4) Minimum Information Security Standards (MISS)
- 5) Best Practice Model For Keeping and Managing Paper Based Employee Records
- 6) Departmental Manual in terms of Section 14 of the Promotion of Access to Information Act (PAIA)
- 7) Schedule of Records other than Correspondence Systems

2. Allocation of a reference number

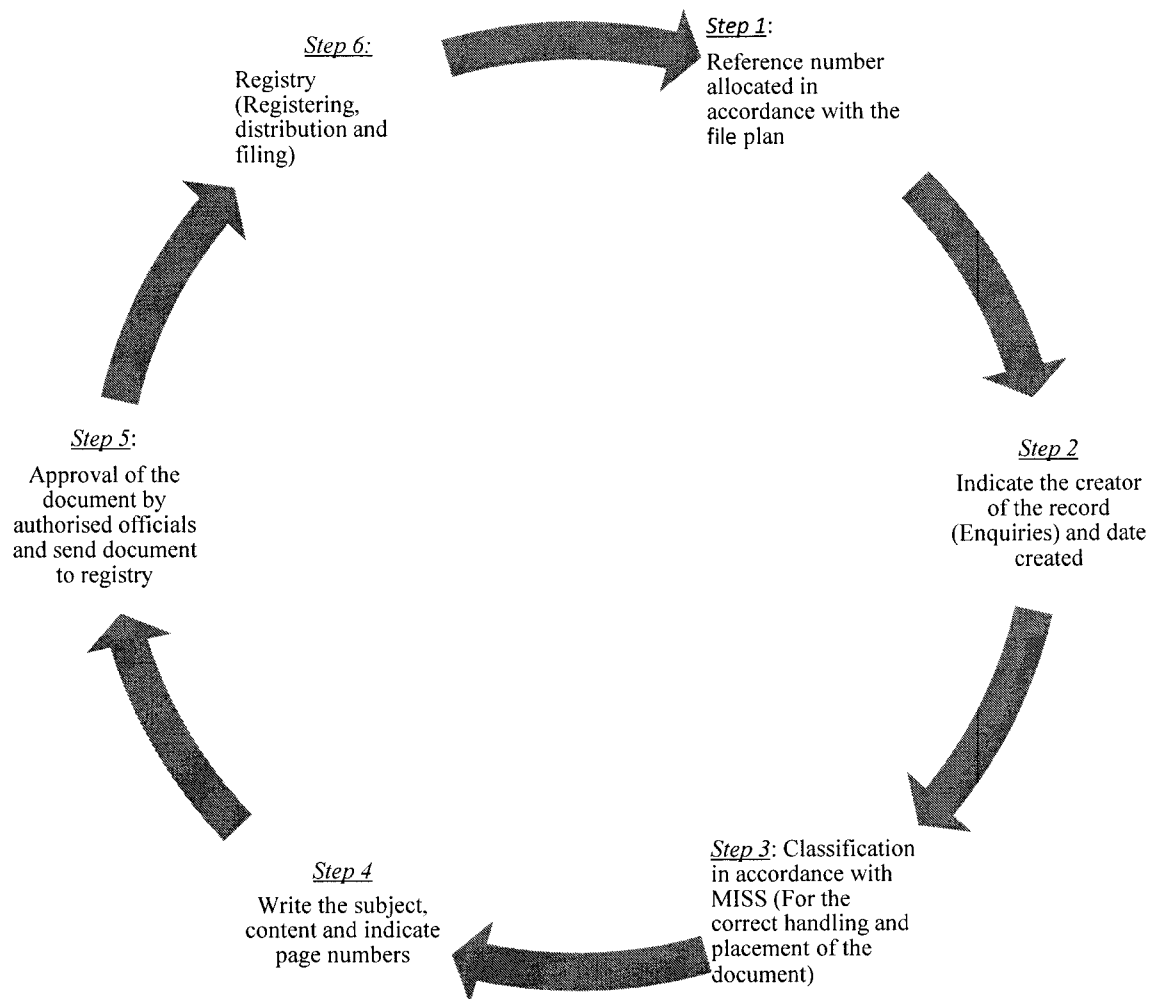
The following steps need to be taken:

- 1) Scrutinise the content of the document.
- 2) Allocate the reference number using either "Schedule of Records", "Other Correspondence Systems" or "General or Staff file plan". Please note that the Ministerial File Plans is used in the Office of the Member of the Executive Council.
- 3) The creator of a record should always indicate his/her name (Enquiries).
- 4) Date on which the record has been created must be written.
- 5) For assistance in allocation of reference numbers, please consult Records Management personnel.
- 6) Paper documents containing personal data or confidential information must not be binned or deposited in refuse bags. It must be properly disposed of following disposal procedures. For more details on disposal procedures, consult the *Departmental Records Disposal Policy*.

3. Classification of a document

A document must be classified using the words "top secret", "secret" or "confidential" at the centre, top and bottom of the page. Consult Information Security division for assistance.

4. Steps to be followed in creation of a record



5. Control and protection of records

The following steps need to be taken:

- 1) Service to all clients or officials will be given at the Registry counter.
- 2) No unauthorised person may be allowed in a records storage area.
- 3) Only authorised officials can search for files in the Registry Office.
- 4) Correspondence in the file will be checked before the file is given to an officer (the same also applies when the file is brought back to the registry office).

All files should be taken care of properly.

6. Requesting a file from registry

The following steps need to be taken:

- 1) Quote the reference number e.g. 1/P when requesting a file or request assistance from Registry staff for the file needed.
- 2) Sign the control register as prove that you are in possession of the file.
- 3) When returning the file attach your signature in the appropriate space of the register.

7. Movement of files

Officials who need files from the Registry office should adhere to the following procedure(s):

- i) No file may be personally removed from or placed back on the shelves by clients. Files are requested and returned at the counter in the Registry Office and are supplied, and placed back only by Registry Officials;
- ii) Clients should not hold up files unnecessarily in offices, but should return files to the Records Office within five working days or as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the Registry Office until it is needed again;
- iii) Files must not be removed from the Departmental buildings;
- iv) Movement of files from the Registry is monitored and controlled by the Records Office. For this purpose, the Records Office places a route card/audit trail with the following information in the usual space of the file:

1. File number
2. Description of the contents
3. Destination(where sent to)
4. Date of dispatch

v) Files returned from other sections must immediately be brought to the attention of the registry officials so that the card may be removed.

The following is applicable:

- a) Access to Human Resource files is limited to authorised persons/institutions (See Annexure A for a list of authorised persons/institutions). Identification will be compulsory when such requests are processed.
- b) No document or folio may be removed or destroyed except for written warnings that must be destroyed after six months period.
- c) Before files are given to an authorised official and when a file is returned, number of folios on files vis-à-vis registered in control register will be checked by the Registry officials.
- d) Officers must maintain their own registers for the purposes of tracking files and documents.

8. Maintenance of Departmental Files

- 1) Registry staff must always check the condition of the file cover before dispatching. If the file cover is worn out, a replacement needs to be made as and when necessary.
- 2) Clients are not allowed to make notes on the file covers and have to avoid exposure of files to food.
- 3) Clients are not allowed to open files for themselves – this would be done by registry staff to keep track of files opened.

9. Other services offered by registry

a) Receipt of documents from external clients

- 1) Documents are signed for, date stamped and referenced by Registry personnel in preparation for distribution.
- 2) Original document/s are kept in the main series files and then dispatched to the end- user for attention.

b) Postal, courier and messenger services

i) Postal services

- 1) The post is collected in the morning at around at 10H30 from the post office.
- 2) Post to be dispatched through Post Office must reach the Registry before 15h30 a day before postal.
- 3) Correspondences with two originals to be sent to registry for posting and filing.
- 4) Envelopes must not be sealed by the sender; it will be done by registry.

ii) Courier services

Directorates and sub directorates must submit a request letter indicating the physical address of the recipient, delivery method e.g. door to door or counter to door.

iii) Messenger services

Official correspondences will be delivered to directorates through messenger services.

10 Transfer of records

Human Resource Provisioning must inform Records Management about all staff coming in and leaving the Department within the first week of each month for the purposes of transferring and collecting files.

The transfer of records to other institutions will be authorised by the Head of Department/ District Directors/ or delegated officials.

Transfer of records must be documented in registers.

11 Submission of documents for filing

Documents/files should be recorded in the official's register before submitting to registry for filing. When the original document has been dealt with in whatever manner, it is marked "File" with the relevant official's signature who dealt with the file and affix date on the front page of the document.

Documents/files should be submitted daily to Registry for filing to avoid piling up of work.

12 Managing official email records

Electronic transactions (such as emails and web-based records which are relevant to information gathering, policy formulation or decision making processes of the Department) should be created the same as hard copy records. On creating an official email record, an official should make a signed print-out thereof and forward it to registry for filing.

13 Enquiries regarding the implementation of the manual should be directed to:

The Director: Records Management

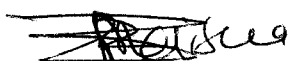
Private Bag X9487

POLOKWANE

0700

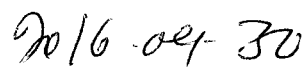
Tel: 015 294 3000

Recommended by:



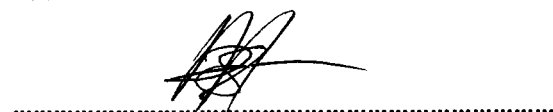
Maisela, RJ

(Head of Department)



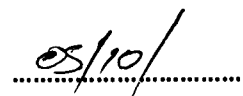
Date

Approved by:



Honourable Member of Executive Council

Mapula Mokaba-Phukwana (MPL)



Date

ANNEXURE A. AUTHORISED PERSONS/INSTITUTIONS TO ACCESS HUMAN RESOURCE FILES

Personal file	<ul style="list-style-type: none"> • Relevant line manager • Employees in human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Leave file	<ul style="list-style-type: none"> • Relevant line manager • Employees in human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Development file and Bursary file	<ul style="list-style-type: none"> • Relevant line manager • Human resource management and/or • Human resource development • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Remuneration file	<ul style="list-style-type: none"> • Relevant line manager • Salary section • Human resource management • Labour relations unit
Disciplinary file	<ul style="list-style-type: none"> • Relevant line manager • Labour relations unit • Human resource unit
Injury on duty file	<ul style="list-style-type: none"> • Relevant line manager • Human resource unit • Labour relations unit
Performance management file	<ul style="list-style-type: none"> • Relevant line manager • Human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit