LIMPOPO

PROVINCIAL GOVERNMENT

REPUBLIC OF SOUTH AFRICA

PROVINCIAL TREASURY

RECORDS MANAGEMENT POLICY

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ACRONYMS

CIO	-	Chief Information Officer
HR	-	Human Resource
IT	-	Information Technology
LPT	-	Limpopo Provincial Treasury
MEC	-	Member of Executive Council

1 INTRODUCTION

(a) All records created and received by Limpopo Provincial Treasury shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.

(b) Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires Limpopo Provincial Treasury (LPT) to manage its 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.

(c) Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of LPT must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. LPT considers its records to be a valuable asset to:

(i) enable LPT to find the right information easily and comprehensively;
(ii) enable LPT to perform its functions successfully and efficiently and in an accountable manner;
(iii) support the business, legal and accountability requirements of LPT;
(iv) ensure the conduct of business in an orderly, efficient and accountable manner;
(v) ensure the consistent delivery of services;
(vi) support and document policy formation and administrative decision-making;
(vii) provide continuity in the event of a disaster;
(viii) protect the interests of LPT and the rights of employees, clients and present and future stakeholders;
(ix) support and document the LPT's activities, development and achievements;
(x) provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

(d) 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 PURPOSE AND OBJECTIVES OF THE POLICY

(a) The purpose of this policy is to ensure that Limpopo Provincial Treasury strives towards giving effect to the accountability, transparency and service delivery values contained in the legal framework through implementation of sound records management practices.

3 AUTHORITY OF THE POLICY

(a) This policy is issued under the authority of the MEC as the Executing Authority and the Head of Department as the Accounting Officer for the Limpopo Provincial Treasury.

4 LEGISLATIVE FRAMEWORK

(a) This policy is guided by the following legal prescripts:

No	LEGISLATION
1	The Constitution of the Republic of South Africa Act, (Act No. 108 of 1996 as amended).
2	National Archives and Records Service of South Africa Act, (Act No. 43 of 1996 as amended)
3	Northern Province Archives Act (Act No. 5 of 2001)
4	Promotion of Access to Information Act, (Act No. 2 of 2000)
5	Public Finance Management Act (Act No.1 of 1999)
6	Promotion of Administrative Justice Act (Act No.3 of 2000)
7	Electronic Communications and Transactions Act (Act No.25 of 2002)
8	Protection of Information Act (Act No.84 of 1984)
9	National Information Security Regulations
10	National Minimum Information Requirements(NMIR DPSA Circular No. 4 of 2001)
11	Minimum Information Security Standards (Approved by Cabinet on 4 December 1996)

5 SCOPE OF APPLICATION

(a) The policy applies to all staff members of the Limpopo Provincial Treasury

6 DEFINITIONS

Archives repository	-	The building in which records with archival value are preserved permanently.
Authentic records	-	Authentic records are records that can be proven to be what they purport to be. They are also records that are considered by the creators to be their official record.
Authoritative records	-	Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.
Correspondence system	-	A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.
Custody	-	The control of records based upon their physical possession.
Disposal	-	The action of either destroying/deleting a record or transferring it into archival custody.
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.
Disposal authority number	-	A unique number identifying each disposal authority issued to a specific office.
Electronic records	-	Information which is 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.
Electronic records system	-	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 meta data (background and technical information i.r.o. the information stored electronically) and in hard copy. All these components are defined as records by the Act. They must therefore be dealt with in accordance with the Act's provisions.
File plan	-	A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

Filing system	-	The collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.
Non-archival records	-	Records with a short lived interest or usefulness.
Public record	-	A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
Records other than correspondence systems	-	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	-	Recorded information regardless of form or medium. Evidence of a transaction, preserved for the evidential information it contains.
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.
Recording	-	Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.
Record keeping	-	Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
Records Management	-	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	-	The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.
Schedule for records other than correspondence systems	-	A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records.

System technical Manual	-	A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

7 POLICY PRINCIPLES

(a) The following broad principles apply to the record keeping and records management practices of Limpopo Provincial Treasury:

(i) The Limpopo Provincial Treasury follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.

(ii) The records management procedures of LPT comply with legal requirements, including those for the provision of evidence.

(iii) The LPT follows sound procedures for the security, privacy and confidentiality of its records.

(iv) Electronic records in the LPT are managed according to the principles promoted by the National Archives and Records Service.

(v) The LPT has performance measures for all records management functions and reviews compliance with these measures.

8 ROLES AND RESPONSIBILITIES

8.1 Head of LPT

(a) The Head of Department is ultimately accountable for the record keeping and records management practices of LPT and is designated as the Chief Information Officer (CIO).

(b) The Head of Department is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

(c) The Head of Department supports the implementation of this policy and requires each staff member to support the values underlying in this policy.

(d) The Head of Department shall designate a Director to be the records manager of the Department and shall mandate the designated Director to perform such duties as are necessary to enhance the record keeping and records management practices of LPT to enable compliance with legislative and regulatory requirements.

8.2 Directors

(a) Directors are responsible for the implementation of this policy in their respective units.

(b) Directors shall lead by example and shall themselves maintain good record keeping and records management practices.

(c) Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

(d) Directors shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

8.3 Designated Director responsible for Records

(a) The designated Director in 8.1.d) is the records manager for the whole LPT.

(b) The records manager is responsible for:

(i) the implementation of this policy;

(ii) staff awareness regarding this policy;

(iii) the management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.

(iv) the determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

(c) The records manager is mandated to provide such training and other interventions as are necessary to ensure that the LPT's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act, on condition he/she complies with all relevant supply chain management prescripts and financial delegations.

(d) The records manager may from time to time consult and develop circulars and instructions regarding the record keeping and records management practices of LPT and submit same to the CIO for approval

(e) The records manager shall ensure that all records created and received by LPT are classified according to the approved file plan and where necessary written disposal authority is obtained for them from the National Archives and Records Service.

8.4 Information Officer

(a) The Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

(b) The Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

8.5 Director IT

(a) The IT manager is responsible for the day-to-day maintenance of electronic systems that stores electronic records.

(b) 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.

(c) 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.

(d) 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.

(e) 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.

(f) 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.

(g) The IT manager shall ensure that back-ups are stored in a secure off-site environment.

(h) The IT manager shall ensure that systems that manage and store records are virus free.

8.6 Director: Security

(a) The Director: Security is responsible for the physical security of all records.

(b) Details regarding the specific responsibilities of the Director: security are contained in the information security policy.

8.7 Legal services manager

(a) The Director; Legal services 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 LPT.

8.8 Registry staff

1) The registry staff are responsible for the physical management of the records in their care.

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

8.9 Other LPT Staff

(a) Every staff member shall create records of transactions while conducting official business.

(b) Every staff member shall manage those records efficiently and effectively by:

(i) allocating reference numbers and subjects to paper-based and electronic records according to the file plan;

(ii) sending paper-based records to the registry for filing;

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

(c) 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.

9 POLICY PROVISIONS

9.1 RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

9.1.1 Correspondence systems

9.1.1.1 File plan

(a) 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 e-mail) records.

(b) Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the approved file plans and registry procedure manual that is published on the Intranet.

(c) Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.

(d) When correspondence is created/received for which no subject exists in the file plan, the Records Manager should be contacted to assist with additions to the file plan.

(e) Under no circumstances may subjects be added to the file plan if they have not been approved by the Records Manager.

9.1.1.2 Storage areas

9.1.1.2.1 Paper-based correspondence files are kept in the custody of-

(a) The central registry

(i) All paper-based correspondence system records that are not HR related are housed in the central registry.

(ii) All these records are under the management of the records manager who is mandated to ensure that they are managed properly.

(iii) The registry is a secure storage area and only registry staff are allowed in the records storage area.

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

(v) The registry shall be locked when registry is not in operation.

(b) The Human Resources registry

(i) All Human Resources related records are housed in the HR Registry.

(ii) The general HR subject files as well as HR case files are under the management of the records manager who is mandated to ensure that they are managed properly.

(iii) LPT 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 the HR registry.

(iv) The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the records manager.

(v) The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System.

9.1.2 Records other than correspondence systems

(a) Schedule for records other than correspondence systems

(i) 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. The schedule is available on the Intranet.
(ii) 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.

9.2 DISPOSAL OF RECORDS

(a) No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist.

(b) 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.

(c) The National Archivist issued Standing Disposal Authority on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

(d) Retention periods indicated on the file plan and schedule were determined by taking LPT's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.

(e) Disposal in terms of these disposal authorities will be executed annually in December.

(f) All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.

(g) 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 has indicated that the destruction hold can be lifted.

(h) Paper-based archival records shall be safely kept in LPT mini archive 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.

(i) Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

9.3 STORAGE AND CUSTODY

(a) All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the Records Management Policy Manual shall be applied.

9.4 ACCESS AND SECURITY

(a) Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of LPT.

(b) Security classified records shall be managed in terms of the Information Security Policy which is available from the Director Security.

(c) No staff member shall remove records that are not available in the public domain from the premises of LPT without the explicit permission of the records manager in consultation with the information security manager.

(d) 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 Policy which is maintained by the Chief Information Officer.

(e) 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.

(f) No staff member shall disclose personal information of any member of staff or client of LPT to any member of the public without consulting the Chief Information Officer first.

(g) Records storage areas shall at all times be protected against unauthorized access and the following shall apply:

(i) Registry and other records storage areas shall be locked when not in use.

(ii) Access to server rooms and storage areas for electronic records media shall be managed with key card access.

9.5 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

(a) The records of LPT shall at all times contain reliable evidence of business operations.

(b) The following shall apply for paper based records:

(i) No records shall be removed from paper-based files without the explicit permission of the Records manager.

(ii) Records that were placed on files shall not be altered in any way.

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

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

9.6 TRAINING

(a) The records manager shall successfully complete the National

(b) 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.

(c) The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staffs are trained appropriately.

(d) The records manager 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.

10 DEVIATION/DEFAULT

(a) Any policy, procedure, or guideline that does not follow the procedures and processes outlined in this policy will not be approved by the relevant authority.

(b) Any employee who contravenes the provisions of this policy which may lead to violations of the Public Service Code of Conduct or any rules or policies, that employee shall be charged with misconduct and the necessary disciplinary measures will be taken against him or her.

11 COMMENCEMENT DATE

(a) The commencement date of this policy will be on the date of its approval.

12 TERMINATION AND REVIEW CONDITIONS

(a) This policy will be reviewed by the Limpopo Provincial Treasury's after two years or when necessary. The amendments resulting from the review will be processed in line with the Departmental Policy Development Framework. However, where it is deemed not necessary to review the policy, evidence of the process leading to such decision should be provided.

(b) This policy will remain in force until and unless it has been withdrawn and amended by Executing Authority.

13 ENQUIRIES

(a) Enquiries regarding this policy should, in the first instance, be directed to the Records Management and Auxiliary Services directorate.

14 RECOMMENDATION AND APPROVAL

Recommended for approval by:

28/7/2017

G Pratt **Date**
HEAD OF DEPARTMENT

APPROVED BY:

31/07/2017

RWN Tooley (MPL) **Date**
MEMBER OF THE EXECUTIVE COUNCIL