

LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

Department of
**Public Works, Roads and
Infrastructure**

Policy Name	Records Management Policy
The revision/ version of the Policy	03
Domain	Auxiliary and Records Management

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1. ACRONYMS AND ABBREVIATIONS

- NARS - National Archives and Records Services Act
IT - Information Technology
HR - Human Resources
MEC - Member of Executive Council

2. INTRODUCTION

- 2.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 (NARS) requires the Department of Public Works, Roads and Infrastructure (hereafter referred to as the Department) to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act.
- 2.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. 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. The Department considers its records to be a valuable asset to:
- a) enable the Department to find the right information easily and comprehensively;
 - b) enable the Department to perform its functions successfully and efficiently and in an accountable manner;
 - c) support the business, legal and accountability requirements of the Department;
 - 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 a disaster;
 - h) protect the interests of the Department and the rights of employees, clients and present and future stakeholders;
 - i) support and document the Department activities, development and achievements;
 - j) provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 2.2 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.

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3. PURPOSE AND OBJECTIVE OF THE POLICY

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

4. AUTHORITY OF THE POLICY

- 4.1 This policy is issued under the authority of the Executing Authority and the Accounting Officer for the Department of Public Works, Roads and Infrastructure: Limpopo Provincial Administration.

5. SCOPE OF APPLICATION

- 5.1 This policy impacts upon the Department'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.
- 5.2 The policy therefore applies to all staff members of the Department and covers all records regardless of format, medium or age.

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6. LEGAL FRAMEWORK

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

- a) Constitution, (Act No 108 of 1996);
- b) National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended); National Archives and Records Service of South Africa Regulations (R126 of 1997);
- c) Public Finance Management Act (Act No 1 of 1999);
- d) Promotion of Access to Information Act (Act No 2 of 2000);
- e) Promotion of Administrative Justice Act (Act No 3 of 2000);
- f) Electronic Communications and Transactions Act (Act No 25 of 2002);
- g) Provincial Archives Act.

7. DEFINITIONS

Note: Only terms that are used in the policy are defined

- a. **Archives repository:** A building in which records with archival value are preserved permanently.
- b. **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.
- c. **Authoritative records:** Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.
- d. **Correspondence system:** A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.
- e. **Custody:** The control of records based upon their physical possession.
- f. **Disposal:** The action of either destroying/deleting a record or transferring it into archival custody.
- g. **Disposal authority:** A written authority issued by the National Archivist/Provincial Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.
- h. **Disposal authority number:** A unique number identifying each disposal authority issued to a specific office.
- i. **Electronic records:** Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and/or electronic record systems other than the correspondence system.

- j. **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.
- k. **File plan:** A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.
- l. **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.
- m. **Non-archival records:** Records with a short lived interest or usefulness.
- n. **Public record:** A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
- o. **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.
- p. **Record:**
 - a. Recorded information regardless of form or medium.
 - b. Evidence of a transaction, preserved for the evidential information it contains.
- q. **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.
- r. **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.
- s. **Record keeping:** Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
- t. **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.
- u. **Retention period:** The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.
- v. **Schedule for records other than correspondence systems:**

- I. A control mechanism for records other than correspondence files (other records), which contains a description, date closed and retention periods of all other records. It consists of the following parts:
 - II. Schedule for paper-based records other than correspondence files;
 - III. Schedule for electronic records systems other than the electronic correspondence system;
 - IV. Schedule for microfilm records;
 - V. Schedule for audio-visual records;
 - VI. Schedule for maps.
- w. **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.
- x. **System procedures manual:** A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding –
 - a) Document capture
 - b) Document scanning
 - c) Data capture
 - d) Indexing
 - e) Authenticated output procedures
 - f) File transmission
 - g) Information retention
 - h) Information destruction
 - i) Backup and system recovery
 - j) System maintenance
 - k) Security and protection
 - l) Use of contracted services
 - m) Workflow
 - n) Date and time stamps
 - o) Version control
 - p) Maintenance of documentation

A systems procedure manual should be updated when new releases force new procedures.

8. POLICY PRONOUNCEMENTS

8.1 RELATIONSHIP WITH OTHER POLICIES

8.1.1 The Department Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by the Department. The Records Management Unit in co-operation with the ICT Unit should ensure that the following policies are managed:

- a) Electronic records management policy;
- b) E-mail policy;
- c) Document imaging;
- d) Web content management policy; and
- e) Promotion of Access to Information guidelines

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

- a) The Information Security Policy which is managed by the Security Manager.
- b) The Internet Usage Policy which is managed by the IT Manager.
- c) Promotion of Administrative Justice Policy which is managed by the Legal Manager.

8.2. ROLES AND RESPONSIBILITIES

Head of Department

- a. The Head of Department is ultimately accountable for the record keeping and records management practices of the Department.
- 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 this policy.
- d. The Head of Department shall designate a director to be the records manager of the Department 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 with legislative and regulatory requirements.

Chief Directors and Directors

- a. Chief Directors and Directors are responsible for the implementation of this policy in their respective units.
- b. Chief Directors and Directors shall lead by example and shall themselves maintain good record keeping and records management practices.

- c. Chief Directors and Directors shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.
- d. Chief Directors and 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.

Records manager

The records manager is responsible for:

- a. The implementation of this policy;
- b. The management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996 as well as the Provincial Archive Act;
- c. 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.

The specific duties of the records manager are contained in the Records Manager's job description which is on the case file.

The records manager is mandated to make such training and other interventions as are necessary to ensure that the Department record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act as well as the Provincial Archive Act.

The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Department.

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 Provincial Archives.

The Director responsible for Records Management is the records manager for the whole Department.

IT manager

- I. The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.
- II. 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.
- III. 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.

- IV. The IT manager shall ensure that all electronic systems and other appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.
- V. 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.
- VI. 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.
- VII. The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- VIII. The IT manager shall ensure that systems that manage and store records are virus free.

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

- a) Electronic records management policy;
- b) E-mail policy;
- c) Document imaging policy;
- d) Web content management policy; and the
- e) Information security policy

Legal manager

The legal manager is responsible for the legal aspects pertaining to record creation. Details regarding the specific responsibilities of the legal manager are contained in the Promotion of Administrative Justice Act and other legal acts.

Security manager

The security manager is responsible for the physical security of all records.

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

Registry staff

The registry staff 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 are contained in the *Registry Procedure Manual*.

Staff

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

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

- a) Allocating correct reference numbers and subjects to paper-based and electronic records according to the file plans;
- b) Sending paper-based records to the registry for filing regularly;
- c) Ensuring that records are not destroyed/deleted;
- d) Ensuring that they comply with the Registry Procedure manual.

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

8.3.RECORDS CLASSIFICATION SYSTEMS, RELATED STORAGE AREAS, OTHER RECORDS AND MINI REGISTRIES

The Department has the following systems that organize and store records:

8.3.1 CORRESPONDENCE SYSTEMS

8.3.1.1 FILE PLANS

8.3.1.1.1 Only the current file plans approved and implemented shall be used for the classification of correspondence records. The file plans shall be used for the classification of paper-based and electronic (including e-mail) records.

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

8.3.1.1.3 When correspondence is created/received for which no subject exists in the file plans, the records manager should be contacted to assist with additions to the file plans. Under no circumstances may subjects be added to the file plans if they have not been approved by the records manager.

8.3.1.1.4 All created and received records belong to the Department and should be submitted for filing.

8.3.2 STORAGE AREAS

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

8.3.2.1 THE GENERAL REGISTRY (HEAD OFFICE AND DISTRICT OFFICES)

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

- 8.3.2.1.2 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.
- 8.3.2.1.3 The registry is a secure storage area and only registry staff is allowed in the records storage area.
- 8.3.2.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter.
- 8.3.2.1.5 The registry shall be locked when not in operation.

8.3.2.2 THE HUMAN RESOURCES REGISTRY (HEAD OFFICE AND DISTRICT OFFICES)

- 8.3.2.2.1 All Human Resources related records are housed in the HR Registry.
- 8.3.2.2.2 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.
- 8.3.2.2.3 The Department 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.
- 8.3.2.2.4 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.
- 8.3.2.2.5 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 Register for files opened.

8.3.3 RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

8.3.3.1 SCHEDULE FOR RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

- 8.3.3.1.1 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 and indicates the storage location and retention periods of these records regardless of format.
- 8.3.3.1.2 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.

8.3.3.2 PAPER-BASED

- 8.3.3.2.1 The Department of Public Works has various sets of paper-based records other than the correspondence records that are in the custody of the various officials that use them on a daily basis.

8.3.3.2.2 These records are under the control of the records manager who is mandated to ensure that they are managed properly.

8.3.3.3 AUDIO AND AUDIO-VISUAL RECORDS

8.3.3.3.1 The Department has various sets of audio-visual records that are stored in the general registry/library/HR registry.

8.3.3.3.2 These records are under the control of the records manager/librarian who is mandated to ensure that they are managed properly.

8.3.3.4 ELECTRONIC SYSTEMS OTHER THAN THE CORRESPONDENCE SYSTEMS

8.3.3.4.1 The Department has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records.

8.3.3.4.2 The IT manager is responsible for the day-to-day maintenance of these systems.

8.3.3.4.3 The records maintained in these systems are under the control of the IT manager who is mandated to ensure that they are managed properly.

8.3.3.4.4 Detailed guidance regarding the management of these systems will be contained in the electronic management policy.

8.3.4 Mini Registries

8.3.4.1 Offices that need to keep their own records should apply to the Records Manager for approval to keep those records. Only approved mini registries are allowed.

8.3.4.2 These records are under the control of the records manager who is mandated to ensure that they are managed properly.

8.4 DISPOSAL OF RECORDS

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

8.4.2 The National/Provincial Archivist will issue Standing Disposal Authority for the disposal of records classified against the file plan. The records manager manages the disposal schedule.

8.4.3 The National/Provincial Archivist will issue Standing Disposal Authority Number on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

8.4.4 Retention periods indicated on the file plan and schedule will be determined by taking the Department'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.

- 8.4.5 Disposal in terms of these disposal authorities must be executed annually.
- 8.4.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 8.4.7 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 Deputy Information Officer has indicated that the destruction hold can be lifted.
- 8.4.8 Paper-based archival records shall be safely kept in the Department until they are due for transfer to the National/Provincial Archives Repository. Transfer procedures shall be as prescribed by the National/Provincial Archives.

8.5 STORAGE AND CUSTODY

- 8.5.1 All records shall be kept in storage areas and storage containers that are appropriate for the type of medium.
- 8.5.2 Specific policies for the management of electronic systems will be contained in the electronic management policy.

8.6 ACCESS AND SECURITY

- 8.6.1 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.
- 8.6.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.
- 8.6.3 No staff member shall remove records from the premises of the Department without the explicit permission of the records manager in consultation with the information security manager.
- 8.6.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Deputy Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information guidelines which is maintained by the Deputy Information Officer.
- 8.6.5 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.

- 8.6.6 No staff member shall disclose personal information of any member of staff or client of the Department to any member of the public without consulting the Deputy Information Officer first.
- 8.6.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.
- 8.6.8 Records storage areas and registries shall at all times be protected against unauthorized access.
- 8.6.9 Registries and other records storage areas shall be locked when not in use.

8.7 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

8.7.1 Paper-based records

- 8.7.1.1 No records shall be removed from paper-based files without the explicit permission of the records manager.
- 8.7.1.2 Records that were placed on files shall not be altered in any way.
- 8.7.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.
- 8.7.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

8.7.2 Electronic records

- 8.7.2.1 The Department shall use systems which ensure that its electronic records are:
 - a. authentic;
 - b. not altered or tampered with;
 - c. auditable; and
 - d. Produced in systems which utilize security measures to ensure their integrity.
- 8.7.2.2 The Electronic Records Management Policy shall contain specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

8.8 TRAINING

- 8.8.1 The records manager 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.

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8.8.2 The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff is trained appropriately.

8.8.3 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.

8.9 INSPECTIONS BY THE NATIONAL/PROVINCIAL ARCHIVES AND RECORDS SERVICE

8.9.1 The National/Provincial Archives and Records Service subject to the exemption provision contained in section 13(2)(c) of the National Archives and Records Service Act, 1996 as amended, is entitled to full and free access, at all times, to all public records in the Department's custody.

8.9.2 The records that are exempted from full and free access by the National /Provincial Archives and Records Service as well as the reasons

9. DEFAULT

Non-compliance with this policy shall lead to progressive progression.

10. INCEPTION DATE

This policy shall be implemented immediately after approval by the Executive Authority.


11. TERMINATION AND REVIEW CONDITIONS

The policy shall be reviewed at the end of the MTSF Period and at an interval of three (3) years or amendment of relevant legislation.

12. ENQUIRIES

All enquiries related to this policy should be forwarded to the Records Management unit

Approved / Not Approved



MR MASEMOLA N.D
MEMBER OF THE EXECUTIVE COUNCIL



DATE