



# LIMPOPO

PROVINCIAL GOVERNMENT

REPUBLIC OF SOUTH AFRICA

---

DEPARTMENT OF  
ECONOMIC DEVELOPMENT, ENVIROMENT & TOURISM

**RECORDS MANAGEMENT POLICY**

**2011**

## Records management policy

### 1. CONTENTS PAGE

Policy name	Records Management
Policy reference number	S1/P
Policy number	16 of 2011
Domain	Records Management
Approval date	24 . 11 . 2011
Review date	

### 2. TABLE OF CONTENT

NO	Contents	Page
1.	Cover page	1
2.	Contents page	2
3.	Definitions	3-5
4.	Acronyms and abbreviations	5
5.	Preamble	6
6.	Introduction	6
7.	Purpose and objectives	6
8.	Scope of application	7
9.	Legal mandates	7
10.	Policy pronouncements	8-14
11.	Penalties	14
12.	Dispute resolution	15
13.	Inception date	15
14.	Policy review	15
15.	Enquiries	15
16.	Recommendation and approval	15

### 3. DEFINITIONS

- 3.1 “**Archives**” means a place where documents of historical value are kept for government bodies;
- 3.2 “**Case files**” mean files where only correspondences for individuals are filed, such as personal files, liquor license holders and leave files;
- 3.3 “**Classified documents**” mean documents which are allocated a specific security classification level in line with the Minimum Information Security Standards e.g. Confidential, Secret;
- 3.4 “**Classification system**” means a plan for the systematic identification and arrangement of records into categories according to logically structured methods and procedural rules represented in the classification system;
- 3.5 “**Department**” means the Limpopo Department of Economic Development, Environment and Tourism;
- 3.6 “**Disposal**” means to destroy or delete a record or transfer it into archival custody;
- 3.7 “**Electronic records**” mean records electronically generated and stored by means of computer technology;
- 3.8 “**Employee**” means a person employed within the Department of Economic Development, Environment and Tourism in terms of the Public Service Act, 1994 as amended and excludes an employee as defined in the Labour Relations Act;
- 3.9 “**File plan**” means a classification plan according to subject and subject groups to facilitate efficient retrieval and disposal of records;

Records management policy

- 3.10 “**Filing system**” means a storage system such as files, boxes and shelves in which records are stored according to the file plan;
- 3.11 “**General records**” mean records of a general nature and excludes personnel or employee records;
- 3.12 “**General registry**” means registry handling files where official business transactions are recorded and are managed by a general file plan and a schedule of other records such as vouchers and tender documents;
- 3.13 “**Human resource registry**” means registry handling files containing HR- related documents and are managed by means of a staff file plan;
- 3.14 “**Institutional memory**” means records that form the history of the department;
- 3.15 “**Non-classified documents**” mean documents which are not allocated a specific security classification level in line with Minimum Information Security Standards;
- 3.16 “**Records**” mean all departmental documents regardless of form, such as correspondence, minutes and memoranda or media ,including photographs, sound recordings, videos and electronic records that are created or received by the employees of the department in the performance of their official business;
- 3.17 “**Records management**” means the management of information resources in the manner that makes information easily accessible, securely stored and disposed of when no longer required for administrative purposes;
- 3.18 “**Record schedule**” means a control mechanism of records which contains a description of all other records other than correspondence files;

Records management policy

3.19 “**Records with archival value**” mean records which must be transferred to the Provincial or National Archives because of their historical value and have an “A20” symbol on the disposal column of the file plan;

3.20 “**Retention**” means the period on which records should be retained in office before the records are transferred into archival custody, destroyed or deleted;

3.21 “**Safe storage**” means authorized records storage areas that are meant to safeguard the safety of records; and

3.22 “**Waste paper**” means any unwanted paper which is no longer in use and warrants to be disposed of.

#### **4. ACRONYMS AND ABBREVIATIONS**

The following acronyms and abbreviations are used in this policy:

4.1 **CCMA** - Commission for Conciliation, Mediation and Arbitration.

4.2 **NARS** - National Archives and Records Service.

4.3 **HOD** - Head of Department.

4.4 **HR** - Human Resources.

4.5 **GITO** - Government Information Technology Officer.

## **5. PREAMBLE**

The Limpopo Department of Economic Development, Environment and Tourism strives to have a consistent and standardized way to maintain and keep the departmental records.

## **6. INTRODUCTION**

6.1 Sound record management is fundamental for good governance, effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Sound records management also provides a basis for accountability and protection of the rights of individuals.

6.2 The department intends to create and maintain reliable and usable records management system in order to ensure that the integrity of records is properly retained and protected for as long as they are required as proof of business operations.

## **7. PURPOSE AND OBJECTIVES**

The purpose of this policy is to:-

- 7.1. ensure effective and efficient records management in the department;
- 7.2. establish records management standards and requirements for the department;
- 7.3. enforce consistency and a systematic approach towards management of records;
- 7.4. spell out clear principles, responsibilities, control and disposal measures regarding records;
- 7.5. encourage uniformity in the execution of records management functions within the Department.

## **8. SCOPE OF APPLICATION**

This policy is applicable to all employees of the Department of Economic Development, Environment and Tourism including interns and consultants.

## **9. LEGAL MANDATES**

- 9.1 Constitution of the Republic of South Africa Act, 1996 (Act No.108 of 1996).
- 9.2 Electronic Communications and Transactions Act, 2002 (Act No.25 of 2002).
- 9.3 The Minimum Information Security Standards of 1996.
- 9.4 National Archives and Records Service of South Africa Act, 1996 (Act No. 43 of 1996) as amended.
- 9.5 Limpopo Province Archives Act, 2001 (Act No.5 of 2001).
- 9.6 National Archives and Records Service of South Africa ,Regulations No. 158 of 2002.
- 9.7 Promotion of Access to Information Act, 2000 (Act No. 2 of 2000).
- 9.8 Protection of Information Act, 1982 (Act No. 84 of 1982).
- 9.9 Protected Disclosures Act, 2000 (Act No. 26 of 2000).
- 9.10 Promotion of Administrative Justice Act, 2000 (Act No. 3 of 2000).
- 9.11 Public Finance Management Act, 1999 (Act No. 1 of 1999) as amended.

Records management policy

## **10. POLICY PRONOUNCEMENTS**

### **10.1 OWNERSHIP OF THE RECORDS**

The department is the sole legal owner of all its records.

### **10.2 ROLES AND RESPONSIBILITIES**

#### **10.2.1 Head of Department**

The HOD oversees that reliable records are maintained as proof of official business for accountability, operational continuity, disaster recovery as well as departmental and institutional memory.

#### **10.2.2 Senior Management and Line Managers**

The senior management members and line managers ensure that all the documents that form part of the department's business transactions are sent to registry for filing.

#### **10.2.3 Employees**

Employees must ensure that all documents are properly filed and must not remove documents, damage or in any other manner neglect, interfere with or destroy official records. All authentic records created or received must be forwarded to registry for filing.

#### **10.2.4 Senior Manager: Records Management**

The Senior Manager: Records Management shall be responsible for the effective, efficient and accountable control of all the departmental records which entails the following:-

10.2.4.1 Ensures that the departmental records management practices comply with all applicable legal mandates.



Records management policy

10.2.4.2 Compiles the departmental file plan, record, schedule and facilitate approval by the Provincial Archivist.

10.2.4.3 Ensures appointment of record administrators for satellite offices.

10.2.4.4 Establishes and maintain standards for compliance with record storage legislation.

10.2.4.5 Continual assessment of the security, accessibility and usability of records.

10.2.4.6 Implements effective record disposal programme.

10.2.4.7 Ensures the Records Management Unit staff is trained and conduct induction or briefing sessions for employees and the external users of the departmental records.

10.2.4.8 Assists Records Officers where difficulties are encountered with the allocation of reference numbers or any related matters.

10.2.4.9 Informs the Provincial Archivist about any losses and permanent transfer of the public records.

10.2.4.10 Supervises the inspection of records at Head office, districts and other centres of the department where records are kept and give feedback to the HOD.

10.2.4.11 Ensures that the Provincial and National Archivist and Records Services have access to the departmental records for inspection purposes.

10.2.4.12 Determines the retention period of records in conjunction with the Directorates and the Provincial archivist.

### **10.2.5 External users (Clients or Public)**

External users shall comply with the provision of this policy and any other relevant legislation in

Records management policy

their inter- action with the department.

#### **10.2.6 Government Information Technology Officer**

GITO is responsible for protecting the department Information, Communication and Technology equipment to prevent theft, abuse, distortion, misuse and illegal damage of records stored in electronic format.

#### **10.2.7 Security and Investigation Services**

The Security and Investigation Services Directorate shall assist with physical security of registries and records centers and give direction to Senior Manager: Records Management on access to records according to employee vetting and conduct awareness programmes on Minimum Information Security Standards.

#### **10.2.8 Legal Services**

Legal Services Directorate shall advice on the disposal period of documents and interpretation of applicable legislations or any related matters.

### **10.3 RECORDS CREATION**

10.3.1 All employees are obliged to create records that adequately document the business activities in which they take part and submit them to records centres for filing in accordance with the guidance of Senior Manager: Records Management as outlined in procedure and process manuals.

10.3.2 Records should be created according to reference numbers in line with the departmental file plans.

10.3.3 Only employees in authorized registries or authorized records centres shall open and close files.

## Records management policy

10.3.4 All departmental records ,including records created by contractors or service providers in pursuance of the activities of the department shall remain the property of the department until they are officially destroyed or transferred to archives repository.

### **10.4 RECORDS CLASSIFICATION**

10.4.1 All records shall be classified and managed in accordance with the approved file plan (Classification system) such as the General, Staff and MEC's file plans.

10.4.2 All official documents such as faxes and letters should be classified according to reference numbers derived from the file plan.

10.4.3 Records which should not be viewed by all employees should be allocated a classification level according to Minimum Information Security Standards i.e. Confidential, Secret and Top Secret.

10.4.4 Case files such as staff personal files are classified according to the numbering system or the classification system as outlined in the approved filing system.

10.4.5 No revisions and additions shall be made to file plans without the Senior Manager: Records Management's approval.

### **10.5 RECORDS STORAGE**

10.5.1 Records should be kept in departmental authorized records centres.

10.5.2 All records received shall be recorded and distributed, receiving and distribution should be recorded in relevant registers.

10.5.3 Classified documents or files must be stored in the reinforced steel cabinets. The doors of all offices in which classified documents are kept must be fitted with security locks.

## Records management policy

- 10.5.4 All records shall be stored systematically to promote easy access and retrieval.
- 10.5.5 District offices will keep their general records, Leave and Performance Management System files at specified record centres within their respective districts.
- 10.5.6 Records shall be transferred to an appropriate record storage area regularly to avoid the built-up of piling system in offices, employees should submit the original records to the records management unit for safe storage and filing.
- 10.5.7 Employees can keep their working files with copies of original documents.

### **10.6 ACCESS TO RECORDS**

- 10.6.1 Access to departmental records should be strictly and properly controlled.
- 10.6.2 All employees who want to access work related records should complete a records request form and submit to registry for processing as guided by the Records Management user process.
- 10.6.3 Employees who wish to access departmental records for their own purpose other than official duties should obtain permission from the Head of Department.
- 10.6.4 Only employees in records management will be allowed inside the records storage area or registry.
- 10.6.5 Employees who are expected to access classified material but do not have a relevant security clearance will have to take a prescribed oath or declaration of secrecy.
- 10.6.6 A circulation register must be signed when passing records on to another officer. The

## Records management policy

Senior Manager: Records Management at Head-Office and Sub-Records Managers at the district offices shall be responsible for the safekeeping and custody of the departmental records.

10.6.7 Access to departmental records will be dealt with in accordance with the provisions of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000).

## **10.7 SECURITY OF RECORDS**

10.7.1 Records must be protected, maintained, and useable for their entire retention period.

10.7.2 All records shall be stored in a lockable area and control over keys must be strictly adhered to.

10.7.3 All records created within the department shall be allocated a security classification level in line with the Minimum Information Security Standards as defined in chapter 2 ,such as Top Secret, Secret, Confidential or Restricted.

## **10.8 INTRA-DEPARTMENTAL AND INTER-DEPARTMENTAL TRANSFER OF RECORDS AND THE TRANSFER OF RECORDS TO OFF-SITE RECORDS STORAGE**

10.8.1 Records Management unit will keep a register of all files transferred intra- departmentally or inter-departmentally, the Provincial Archivist should be informed by Senior Manager: Records Management in case of permanent transfer of such files.

10.8.2 No records shall be transferred to a private off-site (private storage facility) or records storage facility without prior authorization by the HOD and the Provincial Archivist in terms of the Limpopo Province Archivist Act, 2001 (Act No. 5 of 2001).

## **10.9 DISPOSAL OF RECORDS**

10.9.1 No employee is allowed to destroy, delete or dispose authorized departmental records

## Records management policy

without prior written authorization of the Senior Manager: Records Management.

- 10.9.2 Records with archival value will be transferred to a relevant archive repository 20 years after creation with the approval of the HOD and after prior arrangements have been made with the relevant archives repository. A request to transfer these records can be made to the Provincial Archivist before 20 years has elapsed if there are valid reasons.
- 10.9.3 Correspondence files will be destroyed in accordance with the disposal authority issued by the Provincial Archives and Records Service following the approval of the HOD.
- 10.9.4 Records that are common to all governmental bodies, such as applications for posts will be disposed 3 years after appointment of the official with the approval of the HOD.
- 10.9.5 Unsuccessful application forms for interns will be disposed of 3 months after the appointment of successful applicants. The closed files for interns will be disposed of 3 months after their contract has expired.
- 10.9.6: Senior Manager: Records Management will update the file plans on functions and determine the disposal period in conjunction with Senior Managers of different directorates and in consultation with the Provincial Archivist.
- 10.9.7 Disposal of records should take place when there is assurance that such records are no longer required and has no pending issue that will require such records.
- 10.9.8 The disposal of waste paper will be done through the departmental waste recycling programme to be developed by Pollution and Waste Management Directorate.

## **11. PENALTIES**

Failure to comply with the provisions of this policy will be dealt with in terms of the Public Service Disciplinary Code and Procedures as amended and the Limpopo Province Archivist Act, 2001 (Act No. 5 of 2001).

## 12. DISPUTE RESOLUTION

Any dispute that may arise out of interpretation or application of this policy will be resolved through grievance or dispute resolution procedure for the public service or any other applicable legislation.

## 13. INCEPTION DATE

The inception date of this policy is a day after approval by the Member of the Executive Council.

## 14. POLICY REVIEW

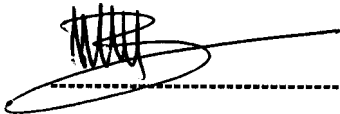
This policy will be reviewed every twenty four (24) months.

## 15. ENQUIRIES

Enquiries on this policy will be directed to the Senior Manager: Records Management.

## 16. RECOMMENDATION AND APPROVAL

RECOMMENDED BY:



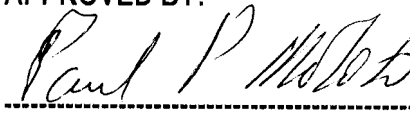
-----

Head of Department: LEDET

18.11.11  
-----

Date

APPROVED BY:



-----

Member of Executive Council: LEDET

24/11/2011  
-----

Date