



# LIMPOPO

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**PROVINCIAL GOVERNMENT**

REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF AGRICULTURE

## **RECORDS MANAGEMENT POLICY**

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## 1. PURPOSE

- 1.1 Section 13 of the Northern Province Archives Act, No.5 of requires Limpopo Department of Agriculture (LDA) to manage its own records in a well structured record keeping system, and to put the necessary policies and procedures to ensure that its record keeping and records management practices comply with the requirements of the Act.
- 1.2 Information like other resources 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. LDA considers its records to be a valuable asset to:
- 1.2.1 Enable LDA to find the right information easily and comprehensively
  - 1.2.2 Support the business, legal and accountability requirements of LDA.
  - 1.2.3 Enable LDA to perform its functions successfully and efficiently and in an accountable manner.
  - 1.2.4 Ensure the conduct of business in an orderly, efficient and accountable manner.
  - 1.2.5 Ensure the consistent delivery of services
  - 1.2.6 Support and document policy formation and administrative decision-making
  - 1.2.7 Provide continuity in the event of disaster
  - 1.2.8 Protects the interests of LDA and the rights of employees, clients and present and future stakeholders.
  - 1.2.9 Support and document LDA's activities, development and achievements.
  - 1.2.10 Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

## 2. THE STATUTORY AND REGULATORY FRAMEWORK FOR RECORDS MANAGEMENT

By managing its records effectively and efficiently, LDA 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 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.

- Northern 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 42 of 1995)
- Basic Conditions of Employment Act (Act 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

### **3. POLICY STATEMENT**

- 3.1 All records created and received by LDA shall be managed in accordance with the records management principles contained in Section 13 of Northern Province Archives Act No. 5 of 2001.
- 3.2 The following broad principles apply to the record keeping and records management practices of LDA:
- 3.2.1 LDA follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
  - 3.2.2 The records management procedures comply with legal requirements, including those for the provision of evidence.
  - 3.2.3 The LDA follows sound procedures for the security, privacy and confidentiality of records.

### **4. RELATIONSHIP WITH OTHER POLICIES**

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

- 4.1 Records Disposal Policy
- 4.2 Information Security Policy
- 4.3 Policy on the Promotion of Access to Information
- 4.4 Minimum Information Security Standards (MISS)

## 5. ROLES AND RESPONSIBILITIES

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

5.1 *Head of Department* is responsible for sound records management practices within LDA and has to ensure that records management practices comply with the provisions of the Northern Province Archives Act. The HOD has designated *Senior Manager: Records Management* to be the *records manager* of the LDA.

5.2 The *Senior Manager: Records Management* shall perform duties that are necessary to enhance the record keeping and records management practices of LDA to enable compliance with legislative and regulatory requirements. Sub records managers at Head Office are Manager: General records and Manager: HR Records. The District Records Managers are human resource managers in districts and the municipal manager is responsible for sound records keeping within their areas of responsibility.

Responsibilities of the records manager are as follows:

- 5.2.1 Development, implementation and review of records management policy and registry procedure manual
- 5.2.2 Staff awareness regarding the policy and procedure manual
- 5.2.3 Determination of retention periods in consultation with the users.
- 5.2.4 Conduct records management inspections and surveys to monitor compliance.
- 5.2.5 Manage implementation and maintenance of file plans
- 5.2.6 Issue circulars and instructions regarding the record keeping and records management practices
- 5.2.7 Manage and monitor disposal of records.
- 5.2.8 Ensure the safe custody and storage of all records in all formats

### 5.3 Registry Staff

- 5.3.1 Registry staff are responsible for the physical management of the records in their care.
- 5.3.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual*.

### 5.4 Staff

- 5.3.1 Every staff member shall create records of transactions while conducting official business.
- 5.3.2 Every staff member shall manage those records efficiently and effectively by:
  - 5.3.2.1 allocating reference numbers to paper based and electronic records according to file plans.

5.3.2.2 by sending records to registry for filing

5.3.2.3 ensuring that records are destroyed/deleted in accordance with the written disposal authority issued by Provincial Archivist.

5.3.3 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.

#### **5.5 Deputy information officer (DIO)**

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

5.5.2 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.

#### **5.6 Security managers**

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

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

#### **5.7 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 LDA.

#### **5.8 Executive and all Departmental Managers**

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

### **6. RECORDS CLASSIFICATION SYSTEMS**

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

#### **6.1 Correspondence Systems**

##### **6.1.1 File Plan**

6.1.1.1 Only file plans approved on 14<sup>th</sup> November 2008 and implemented from the 1st July 2009 by the Provincial Archivist shall be used for the classification of correspondence records. The file plan shall be used for the classification of records.

6.1.1.2 When correspondence is created/received for which no subject exists in the file plan, the records manager and/ or sub records managers at

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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.

#### 6.1.2 *Storage areas*

Paper based correspondence files are kept in the custody of:

##### 6.1.2.1 General Registry

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

6.1.2.1.2 All these records are under the management of the Manager: General Records who is mandated to ensure that they are managed properly.

6.1.2.1.3 Only registry staff are allowed in the records storage area.

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

##### 6.1.2.2 The Human Resources Registry

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

6.1.2.2.2 The general HR subject files as well as HR case files are under the management of Manager: HR Records who is mandated to ensure that they are managed properly.

6.1.2.2.3 LDA 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.

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

#### 6.2 Records other than correspondence systems

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

6.2.2 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.

6.2.3 Records other than correspondence systems that are in the custody of the various officials that use them on a daily basis are listed.

## **7. DISPOSAL OF RECORDS**

- 4.1 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.
- 4.2 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 LDA must also be taken into consideration.
- 4.3 Record Managers/ Sub-records managers must be contacted whenever there are queries in relation to allocated retention periods.
- 4.4 Disposal of records will be executed annually.
- 4.5 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 Manager: Legal Services has indicated that the destruction hold can be lifted.
- 4.6 Archival records shall be safely kept in LDA 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.

## **8. SECURITY**

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

### **8.1 Control and protection of Records**

- 8.1.1 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.
- 8.1.2 Electronic records shall be kept in Server Rooms as provided for in the Information Security Policy and the Head of Information Management Services shall ensure compliance with information storage and backup plan.

### **8.2 Access**

- 8.2.1 All records can be accessed by departmental employees subject to all relevant legislation governing rights of access to information.



- 8.2.2 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 Northern Province Archives Act (Act No. 5 of 2001) and LDA PAIA manual.
- 8.2.3 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 LDA's manual in terms of Promotion of Access to Information.
- 8.2.4 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.
- 8.2.5 The following rules apply:
- Registry offices are closed during meeting proceedings, lunch (i.e. from 13h00 to 14h00) and after office hours (i.e. at 16h30)
  - During office hours, the Registry should not be left unattended. If this does happen, the door must be locked;
  - The Head of Registry exercises control over all the keys of the Registry offices and complies with Departmental key security policy.
- 8.2.6 No staff member shall disclose personal information of any staff member of the public without consulting the DIO.

## **9. TRAINING**

- 9.1 Regular training of the Registry personnel will be conducted. Records Management workshops/courses would be arranged in accordance with the Departmental Skills policy.
- 9.2 The Deputy Manager / Records Manager /Head of Registry shall conduct training in the allocation of reference numbers.
- 9.3 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.

## **10. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT**

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

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

## **11. INSPECTION BY THE PROVINCIAL/NATIONAL ARCHIVES**

- 11.1 Subject to the exemption provision contained in section 13(2) (c) of the Northern 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's custody.
- 11.2 Departmental inspections would be conducted annually.

## **12. VALUATION CRITERIA**

- 12.1 The Departmental Records Management Policy shall be reviewed annually.
- 12.2 The records management service standards shall be evaluated for compliance with Batho-Pele principles on an annual basis.

## **LIST OF TERMS**

### **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 evident information it contains.

### **File plan:**

A pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subjects 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 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:**

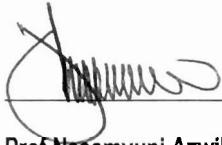
The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted. In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.

### **Custody:**

The control of records based upon their physical possession

## RECORDS MANAGEMENT POLICY

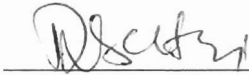
SIGNED AT POLOKWANE ON THIS 26 DAY OF August 2011



Prof Nesamvuni Azwihangwisi Edward

HEAD OF DEPARTMENT

SIGNED AT POLOKWANE ON THIS 26 DAY OF August 2011



Me Letsatsi Duba Dipuo Bertha

MEMBER OF EXECUTIVE COUNCIL FOR AGRICULTURE