



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

**DEPARTMENT OF
ECONOMIC DEVELOPMENT, ENVIRONMENT & TOURISM**

RECORDS MANAGEMENT POLICY

2020

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1. ACRONYMS

CCMA : Commission for Conciliation, Mediation and Arbitration

GITO : Government Information Technology Officer

HOD : Head of Department

HR : Human Resources

LEDET: Limpopo Department of Economic Development, Environment and Tourism

MEC : Member of Executive Council

SMS : Senior Management Services

2. DEFINITIONS

‘archival value’ means the significance or usefulness of records, be it administrative, fiscal, historical or legal information which justifies the indefinite or permanent retention or preservation of such records;

‘archives repository’ means a place where documents of historical value are preserved permanently and made available for use;

‘authentic records’ mean records that can be proven to be what they purport to, including records that are preserved without any alteration and considered by the creators to be their official record;

‘case files’ mean files where information about individuals is kept;

‘custody’ means the control of records based upon their physical possession;

‘classified documents’ mean documents which are allocated a specific security classification level in line with the Minimum Information Security Standards;

‘classification system’ means 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;

“dispose” means to destroy, delete or transfer a record into archival repository;

‘disposal authority’ means a written authority issued by the Archivist specifying that the record be transferred into archival repository, destroyed or deleted;

‘disposal authority number’ means a specific number identifying each disposal authority issued to a specific office;

‘Department’ means the Limpopo Department of Economic Development, Environment and Tourism;

‘employer’ means the Limpopo Department of Economic Development, Environment and Tourism;

‘employee’ means any male or female person appointed within the Department of Economic Development, Environment and Tourism in terms of the Public Service Act 103 of 1994, as amended;

‘executive Authority’ means the Member of Executive Council of the Department of Economic Development, Environment and Tourism, Limpopo Province;

‘file plan’ means a classification plan according to a subject and subject groups to facilitate efficient retrieval and disposal of records;

‘filing system’ means a storage system in the form of files, boxes and shelves in which records are stored according to the file plan;

‘general records’ mean records of a general nature and excludes human resource records;

‘grey boxes’ mean file storage boxes placed on optimisers which are kept in the registry;

‘human resource records’ mean files containing Human Resources related documents and are managed by means of a file plan;

‘institutional records’ mean records that form the history of the Department;

‘non-classified documents’ mean documents that are not allocated a specific security classification level in line with Minimum Information Security Standards;

‘records’ mean all departmental recorded information regardless of form such as correspondence, minutes and memoranda or media, including photographs, sound recordings, videos and electronic records that are created or revived by the employees of the Department in the performance of their official business;

“records centre” means a place where official records are stored;

‘records other than correspondence systems’ mean records that are not a correspondence file or case file, and includes registers, maps, plans, electronic records or audio-visual records;

‘records management’ means management of information resources in a manner that makes information easily accessible, securely stored and disposed of when no longer required for administrative purposes;

‘records schedule’ means a control mechanism of records that contain a description of all other records other than correspondence files;

‘record keeping’ means making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information;

‘records with archival value’ refers to records that must be transferred to Provincial or National Archives because of their historical value and have an “A20” symbol on the disposal column of the file plan;

‘retention period’ means the period which records should be retained in the Department before the records are transferred into archival custody, destroyed or deleted;

‘safe storage’ means authorised records storage areas that are meant to safeguard the safety of records;

‘public record’ means a record created or received by the governmental body in the pursuance of its activities, regardless of form or medium; and

‘waste paper’ means any unwanted paper which is no longer in use and warrants to be disposed;

3. INTRODUCTION

3.1 Sound Records 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. It also provides a basis for accountability and protection of the rights of individuals and legal persons.

3.2 The Department intends to create and maintain reliable and usable record management system in order to ensure that integrity of records is properly maintained, retained and protected for as long as it is required as proof of business operations.

4. BACKGROUND

Information and Records Management is a discipline on its own and has to be managed in line with the relevant and applicable legal prescripts.

The Department has found it imperative to manage its information and records in an accountable manner through implementation of the Information and Records Management policy in line with the National Archives and Records Service Act 43 of 1996.

5. PURPOSE AND OBJECTIVES OF THE POLICY

5.1 PURPOSE

The purpose of this policy is to ensure that the Department follows sound procedures for the creation, maintenance, retention and disposal of all departmental records.

5.2 OBJECTIVES

The objectives of this policy are as follows:

- 5.1 To ensure that the Department manages its records in a well-structured record keeping system and in line with the requirements of the National Archives and Records Service Act, 1996.
- 5.2 To enable the Department to perform its functions effectively and efficiently.
- 5.3 To ensure consistent service delivery and accountability within the Department.

6. AUTHORITY OF THE POLICY

This policy is issued under the authority of the Head of Department as the Accounting Officer for LEDET.

7. SCOPE OF APPLICATION

This policy applies to all employees, temporary or contractual workers, interns and learners of LEDET, contractors, service providers and consultants who deliver services to LEDET.

8. PRINCIPLES

LEDET follow sound procedures for the creation, maintenance, retention and disposal of all records. The record management procedures of LEDET comply with legal requirements, including those for the provision of evidence. LEDET follows sound procedures for the security, privacy and confidentiality of its records. The following broad principles apply to the record keeping and record management practices of LEDET:

- Accountability
- Transparency and openness
- Integrity
- Protection
- Retention; and
- Disposition

9. LEGAL MANDATES

This policy is guided by the following legal prescripts :

9.1 The Constitution of the Republic of South Africa Act, 1996 as amended.

9.2 National Archives and Records Service Act 43 of 1996.

9.3 Minimum Security Standards, 1996.

9.4 Labour Relations Act 66 of 1995.

9.5 Public Service Act 103 of 1994 as amended.

9.6 Public Finance Management Act 1 of 1999.

9.7 Protection of Information Act, 1982.

9.8 Protected Disclosure Act 26 of 2000.

9.9 Promotion of Information Act 2 of 2000.

9.10 Promotion of Administrative Justice Act 3 of 2000.

9.11 Limpopo Provincial Archives Act 5 of 2001.

9.12 Electronic Communication and Transaction Act 25 of 2002.

9.13 National Archives and Records Service Act 158 of 2002.

10. POLICY PRONOUNCEMENTS

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.

10.1 RECORDS CREATION

- a) Employees are obliged to create records that adequately document the business activities in which they take part and submit them to Record Centres

for custody in accordance with the guidance of the Director: Records Management as outlined in the procedure and process manuals.

- b) Records should be created according to reference numbers in line with the departmental File Plans.

- c) Only employees appointed in Registries or authorized Records Centres shall open and close records files.
- d) 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 disposed (destroyed, deleted or transferred to an archives repository).

10.2 RECORDS CLASSIFICATION

- a) All records shall be classified and managed in accordance with the approved File Plans such as the General, Staff and MEC's File Plans.
- b) All official documents such as faxes and letters shall be classified according to reference numbers derived from File Plans.
- c) Records shall be allocated a classification level according to Minimum Information Security Standards i.e. Confidential, Secret and Top Secret.
- d) Case files shall be classified according to the numbering system or classification system as outlined in the File Plan.
- e) No revisions and additions nor any other alterations shall be made to the File Plans without the approval of the Director: Information and Records Management.

10.3 RECORDS STORAGE

- a) Records shall be kept in the departmental authorised records centres.
- b) All records received and distributed shall be recorded in relevant registers.
- c) Classified records or files must be stored in the reinforced steel cabinets.
- d) The doors of all offices in which classified records are kept must be fitted with security locks.
- e) All records shall be systematically stored to promote easy access and retrieval.
- f) District offices shall keep their general records, Leave and Performance Management System files at specific Record Centres within their respective districts.
- g) Records shall be transferred to an appropriate record storage area regularly to avoid piling of files in offices.

- h) Employees must submit the original records to the Records Management unit for safe storage and filing.

10.4 ACCESS TO RECORDS

- a) Access to departmental records shall be strictly controlled.
- b) Only employees in Records Management unit will be allowed to access Records Storage areas or Registry offices.
- c) Record registers must be signed when issuing or receiving records.
- d) The Director: Information and Records Management and the Heads of Records Management units in the district offices shall be responsible for the safe keeping and custody of the departmental records.
- e) Access to the departmental records shall be dealt with in accordance with the provisions of the Promotion to Information Act No 2 of 2000.

10.5 SECURITY OF RECORDS

- a) Records shall be protected, maintained and retained for their entire retention period.
- b) All records shall be stored in lockable areas and the Records Officer shall have sole control of the keys.

10.6 INTRA-DEPARTMENTAL AND INTER-DEPARTMENTAL TRANSFER OF RECORDS

- a) Record management unit must keep a register of all files transferred intra-departmentally or inter-departmentally. The Provincial Archivist shall be informed of a permanent transfer of such files.
- b) No records shall be transferred either to a private off-site (private storage facility) or records storage facility without prior authorisation by the HOD and the Provincial Archivist in terms of the Limpopo Provincial Archives Act, 2001 (Act No 5 of 2001)

10.7 DISPOSAL OF RECORDS

- a) Employees are not allowed to destroy, delete or dispose authorised departmental records without prior approval and authorisation of the Director: Information and Records Management.
- b) Record with archival value must be transferred to a relevant archive repository twenty (20) years after creation with the approval of the HOD and after prior arrangements have been made with the relevant archives repository official. A request to transfer the record can be made to the Provincial Archivist before twenty (20) years have elapsed if there are valid reasons to do so.
- c) Correspondence files will be disposed in accordance with the disposal authority issued by the Provincial Archivist following the approval of the HOD.
- d) Records that are common to all governmental bodies, such as unsuccessful applications for permanent posts shall be disposed three (3) years after the appointment of the official with the approval of the HOD.
- e) The unsuccessful applications for permanent positions shall be relocated to the disposal area three (3) years after the appointment of the successful candidate.
- f) PERSAL reports shall be disposed three (3) years after their creation, with confirmation by the end-users that they are no longer needed.
- g) Unsuccessful application forms for Internships and Experiential Learners and /or contract positions for five (5) years or lower shall be disposed three (3) years after the appointment of successful candidates.
- h) The files for Interns, experiential learners and contract employees shall be disposed three (3) years after their contracts have expired.
- i) Copies of draft letters, memoranda, photocopies of original correspondences, letters, memoranda which are confirmed as peripheral, shall be disposed two (2) years after their creation.
- j) Damaged or worn-out grey boxes shall be disposed when they are no longer usable.
- k) Records must only be disposed when there is assurance by the creators that such records are no longer required and that there is no pending administrative or legal matter or issue that will require such records.
- l) Disposal must be through the departmental waste recycling programme developed by Pollution and Waste Management Directorate.

10.8 ROLES AND RESPONSIBILITIES

10.8.1 THE HEAD OF DEPARTMENT

The roles and responsibilities of the HOD are follows:

- a) To be accountable for record keeping and records management practices of the Department.
- b) To appoint the Director: Information and Records Management as the Deputy Information Officer.
- c) To enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- d) To designate the Director: Information and Records Management to be the overseer of information and records management within the Department.

10.8.2 DIRECTOR: INFORMATION AND RECORDS MANAGEMENT

The Director: Information and Records Management has the following responsibilities:

- a) Ensures that the departmental records management practices comply with all applicable legal prescripts.
- b) Compiles departmental File Plans, Records Schedules and facilitate approval by the Provincial Archivist.
- c) Ensures that record administrators for districts and satellite offices are appointed.
- d) Establishes and maintains standards for compliance with record management legislation.
- e) Continual assessment of the security, accessibility and usability of the departmental records.
- f) Implements effective record disposal program.
- g) Ensures that employees continually receive training on the management of departmental records.

- h) Informs the Provincial Archivist about any losses and permanent transfer of public records within the Department.
- i) Supervises the inspection of records at head office, districts and other centres of the Department where records are kept.
- j) Ensures that the Provincial, National Archivists and other Record Services have access to the departmental records for inspection purposes.
- k) Determines the retention period of departmental records in conjunction with other Directorates and the Provincial Archivist.

10.8.3 DIRECTORS AND LINE MANAGERS

Directors and all line managers have the following responsibilities:

- a) Implement records management policy within their units and ensure compliance.
- b) Maintain good record keeping and records management practices within their units in line with the policy and other relevant legal prescripts.

10.8.4 EMPLOYEES

LEDET employees shall:

- a) ensure that departmental records are not damaged, deleted, disposed, interfered with or neglected in any manner possible.
- b) ensure that all authentic records created or received are forwarded to the Registry for safe custody.

10.8.5 EXTERNAL USERS (CLIENTS OR PUBLIC)

All external users shall comply with the provisions of this policy and any other relevant legislation in as far as accessing departmental records. It is the responsibility of the HOD to ensure that the policy is disseminated to all the external users.

11. DEFAULT

Employees who fail to comply with the provisions of this policy shall be dealt with in terms of the Public Service Disciplinary Code and Procedures for the Public Service.

12. INCEPTION DATE

The inception date of this policy is thirty (30) days after approval by the Head of Department.

13. POLICY REVIEW

This policy shall be reviewed every thirty-six (36) months.

14. ENQUIRIES

Enquiries regarding the policy shall be directed to the Director: Information and Records Management.

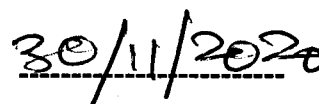
15. APPROVAL

Approved by:

HEAD OF DEPARTMENT

A handwritten signature in black ink, consisting of a stylized 'S' followed by a large loop and a vertical stroke, is written over a horizontal dashed line.

DATE

A handwritten date '30/11/2020' in black ink is written over a horizontal dashed line.