

Mpumalanga Provincial Government



Department of Public, Works Roads and Transport

RECORDS MANAGEMENT POLICY

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DEFINITIONS

Records management	means the management of information resources in the manner that makes information easily accessible, retrieved, stored, protected and disposed of when no longer required for administrative purposes.
Record	means any recorded information regardless of form or medium.
Public record	means a record created or received by a governmental body in pursuance of its activities
Governmental body	means any legislative, executive, judicial or administrative organ of state (including a statutory body).
Department	means the Department of Public Works, Roads and Transport (Mpumalanga Province).
Appraisal	means the decision regarding the preservation requirements of each record or series of records.
Disposal authority	means the written authority issued by the Provincial Archives and Records Service or the National Archives Records Service which indicates records with archival value and records without archival value.
Records disposal	means the process of destroying records without archival value and transferring to an archives repository all records with archival value.
Disposal instruction	means the specific instruction regarding disposal allocated to each record or file e.g. D for delete/destroy and A20 for transferring into archival custody after 20 years.
Archival (A20) records	means records with archival value.
Archives	means records already in the custody of an archives repository.
Archives repository	means building in which records with archival value are preserved.
Archival value	means long term use that records may have for purposes other than functional use. Sometimes referred to as secondary or cultural value of records
Administrative value	means the value that the record has for the organization that generated it. Sometimes referred to as primary value of records

Current records	means records which form part of the classification system that is still in use.
Terminated records	means records that form part of the classification system that is no longer in use.
Closed volume of records	means the volume of records in the current classification system that has reached a thickness of 3cm (full), after which a new volume is opened.
Non-archival (ephemeral/D) records	means records with no archival value which may be destroyed after a disposal authority has been obtained from the provincial/national archives.
Records retention schedule	means a document which identifies all the records series created or maintained by an organization, notes the appraisal decisions that have been taken, specifies the periods for which the series are to be retained and their place of custody, and authorizes their disposal at the appropriate time (either destruction or transfer to the archival institution).
Retention period	means the length of time that records shall be retained by governmental bodies 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 off-line storage in a hierarchical storage management system.
File	means a series of documents in a file cover which are related in content.
File cover	means a folder which is used to cover documents (e.g. Z20).
Correspondence records	means a set of paper-based and electronic communications and associated documents sent, received, processed, and stored during the conduct of business.
Other records	means records that do not form part of a correspondence file or case file, e.g. registers, maps, building plans, video tapes etc.
Case file	means a file containing documents or information on the same person, vehicle, building etc (e.g. patient files, personal files, social security files etc).
Electronic records	means Information which is stored by means of computer technology.
Records classification system	means a system by which records are classified and arranged (e.g. file plan, schedule of other records)

Function Subject File Plan means a file plan used to classify, arrange, and describe correspondence records.

Schedule of records other than correspondence files means a classification system that is used to classify, arrange, and describe "other records" (also known as a Schedule of Other Records or Records Control Schedule).

Electronic records management system means an electronic system that contains business rules to manage records to ensure that they are authentic and reliable. Also known as Electronic Records Management Applications

File plan see Functional Subject File Plan.

File reference means a unique identifier for a file. This can be a numerical, alphanumerical or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.

Filing system means all resources, policies, procedures and guidelines around which filing is organized (the term is traditionally used to mean a file plan only).

File tracking system means a "bar-code and scanner" type technology (similar to the one used by libraries) which is used to capture and record the movement of files within the organization.

National Archives means the National Archives and Records Services of South Africa (NARS).

Provincial Archives means the Provincial Archives and Records Services (Mpumalanga Province).

Information and Records Management Unit means the unit charged with the responsibility for proper management of records within the Department.

1. INTRODUCTION

Sound **Records Management** as regulated by the legal framework is the cornerstone of any efficient, transparent and accountable administration.

Conscious of the value of sound record-keeping in public administration, the Parliament of the Republic of South Africa passed the National Archives and Records Service Act (Act no. 43, 1996 as amended) to regulate records management functions in governmental bodies. In terms of Section 13 (1) of this Act, the National Archivist shall be charged with the proper management and care of public records in the custody of governmental bodies.

Mpumalanga Provincial Administration passed the Mpumalanga Archives Act, No. 14 of 1998 to regulate records management functions in the province.

Public records in the Province shall be managed in terms of the broad policy guidelines contained in both the National Archives and Records Service Act and the Mpumalanga Archives Act. However, the National Archives and Records Services (NARS) advises each public body to "develop and implement its own records management policy to link its own unique processes and procedures to the requirements of the National Archives and Records Service Act".

2. OBJECTIVES

The objective of this policy is to:

- 2.1. Promote sound **Records Management** by creating an enabling environment for the following:
 - 2.1.1. Creation of records as evidence of business transactions
 - 2.1.2. Accurate classification and proper storage of records
 - 2.1.3. Management of electronic records
 - 2.1.4. Regulation of access to records
 - 2.1.5. Security and protection of records
 - 2.1.6. Regulation of intra-departmental, inter-departmental, and off-site transfer of records
 - 2.1.7. Inspection of records
 - 2.1.8. Training of records management practitioners
 - 2.1.9. Authorized disposal of records

3. REGULATORY FRAMEWORK

- 3.1. The Constitution of the Republic of South Africa (Act No. 108 of 1996)
- 3.2. The Public Finance Management Act (Act No. 1 of 1999)
- 3.3. The Promotion of Access to Information Act (Act No. 2 of 2000)
- 3.4. The Promotion of Administrative Justice Act (Act No. 3 of 2000)
- 3.5. The Electronic Communication and Transactions Act (Act No. 25 of 2002)
- 3.6. The National Archives and Records Service Act (Act No. 43 of 1996 as amended)
- 3.7. Mpumalanga Archives Act (Act No. 14 of 1998)
- 3.8. The Labour Relations Act (Act No.66 of 1995)
- 3.9. The Public Service Act (Act No.103 of 1994)
- 3.10. The Public Service Regulations, 2001 as amended
- 3.11. Basic Conditions of Employment Act (Act No.75 of 1997)
- 3.12. The National Minimum Information Requirements (NMIR), DPSA Circular no.4 of 2001
- 3.13. The Minimum Information Security Standard (MISS)

4. SCOPE OF APPLICATION

The policy shall apply to:

- 4.1. All the business units and all officials of the Department, including temporary employees, contractors and volunteers in the course of their work for and on behalf of the Department, whether working directly for the Department or in partnership with it.
- 4.2. All records that are created received and maintained by the Department and its officials, which provide evidence of the Department's activities. This includes all paper-based records as well as records that exist, or will exist, solely in electronic form, audio/visual tapes and photographs as well as e-mails.

5. POLICY STATEMENTS

5.1. CREATION OF RECORDS

- 5.1.1. All officials are obliged to create records that adequately document the business activities in which they take part and to ensure that information and processing systems that support business activities create appropriate records as part of supporting those activities.
- 5.1.2. A file shall only be created or opened according to the actual need when the need arises, and not just on the basis that it is provided for in the file plan.

- 5.1.3. Files shall be created and closed in line with documented and approved records classification systems.
- 5.1.4. Files shall be updated regularly to ensure that they are complete, accurate and reliable.
- 5.1.5. All records created in pursuance of the activities of the Department shall remain the property of the Department throughout their life-cycle (thus until they are either officially destroyed or transferred to the relevant archives repository).
- 5.1.6. All records created by contractors and service providers performing work on behalf of the Department are public records and shall remain the property of the Department throughout their life-cycle. Contracts with service providers shall state clearly that ownership of such records resides with the Department.

5.2. CLASSIFICATION AND PROPER STORAGE OF RECORDS

- 5.2.1. All records shall be classified and managed in accordance with approved and documented records classification systems. Officials are obliged to ensure that no personalized record-keeping systems are maintained in offices. Records shall be transferred to an identified record storage facility regularly to avoid the built-up of piling system in offices.
- 5.2.2. All official documents and communications, including letters, faxes, and e-mails, shall be allocated a file reference number derived from an approved classification system.
- 5.2.3. All correspondence records shall be classified and managed in line with the approved Functional Subject File Plan and all "other records" shall be classified and managed in line with the approved Records Control Schedule.
- 5.2.4. Case files such as personal files shall be classified in accordance with Department-wide recognized and approved systems as outlined in the "List of Series of Separate Case Files" at the back of the approved file plan.
- 5.2.5. One registry in the Department shall be central/main registry where all incoming mail shall be received, opened and from where it shall be distributed internally. The receiving and distributing shall be recorded in the relevant registers.
- 5.2.6. All records shall be stored in purpose built records storage areas. Officials shall minimize the number of files they keep at their workstations. It is advisable that only working files shall be maintained by officials.



- 5.2.7. Officials shall maintain their own working files as long as no records are placed in working files (the working file shall consist of copies).
- 5.2.8. Records shall be stored in the most efficient manner. Storage costs and office space occupied shall be balanced against cost and time taken to retrieve records.
- 5.2.9. Files shall be stored in the active storage facility for as long as they are actively utilized for administrative purposes. Files shall only be transferred to a semi-active storage facility when the demand for them declines.
- 5.2.10. Records shall be stored in a way that minimizes potential damage. Records, including those in boxes shall not be stored on the floor.
- 5.2.11. Records shall be stored in environmental conditions that are appropriate to their format and retention period.
- 5.2.12. The shelving, equipment and containers for records storage shall ensure that records are secure, accessible and protected from deterioration.
- 5.2.13. Under no circumstances shall officials take a file home. If necessary to work on a file at home; a photocopy of relevant documents shall be made.
- 5.2.14. Records shall be managed as stipulated in the Departmental registry procedure manual.
- 5.2.15. All control registers shall be available and maintained in the Department.
- 5.2.16. The location of each file shall be recorded and updated at every movement to ensure that records, as assets, can be accounted for in the same way as other Departmental assets.
- 5.2.17. Officials shall notify the Records Manager when passing records on to other officials.

5.3. **MANAGEMENT OF ELECTRONIC RECORDS**

Until such time that an electronic records management system (enterprise content management) system is implemented within the Department, copies shall be made of all unstructured electronic records and e-mails and filed in relevant subject files.

5.4. ACCESS TO RECORDS

- 5.4.1. No unauthorized person (any person that has no direct line functional responsibility inside a records storage facility) shall be allowed access to a records storage facility.
- 5.4.2. All records storage facilities shall be designed and built in a manner that minimizes unauthorized access to records.
- 5.4.3. Officials wishing to access records for their own purpose other than official duties shall be subject to the permission by the HOD, and such requests shall be recorded in relevant registers.
- 5.4.4. All access requests by members of the public to Departmental records which are not automatically available shall be in accordance with the provisions of the Promotion of Access to Information Act.
- 5.4.5. All records shall be stored in facilities where they can be identified, located and retrieved easily when the need arise.

5.5. SECURITY AND PROTECTION OF RECORDS

- 5.5.1. All records storage facilities shall be locked when not in use and effective key control measures shall be maintained.
- 5.5.2. All records created within the Department shall be allocated a security classification level in line with the Minimum Information Security Standards (Top Secret, Secret, and Confidential) and all classified files and documents shall be placed in secure storage facilities.
- 5.5.3. Movement of files between service stations within the institution shall be monitored and documented to protect records.
- 5.5.4. All records personnel and all other officials that interact with records and information shall be subjected to security clearance in line with Minimum Information Security Standards.
- 5.5.5. Officials shall not hand over records or disclose information thereof without official approval.
- 5.5.6. No officials shall eat, drink or smoke near records or in records storage facilities.
- 5.5.7. All records storage areas shall be fumigated regularly to protect records from possible damage by insects and rodents.
- 5.5.8. All records shall be protected from dirt, dust and light.

5.5.9. Risk management programs shall be established and maintained to ensure that risks to records are either removed or managed appropriately.

5.6. INTRA-DEPARTMENTAL, INTER-DEPARTMENTAL, AND OFF-SITE TRANSFER OF RECORDS

5.6.1. Registers shall be maintained of all files transferred intra-departmentally or inter-departmentally. If records are transferred permanently, the Provincial Archivist shall be informed through the Office of the Senior Manager: Knowledge Management.

5.6.2. No records shall be transferred to a private off-site data/records storage facility without prior authorization of the HOD and the Provincial Archives.

5.6.3. Any transfer of public records to a private off-site data/records storage facility shall be informed by an expert advice from Provincial Archives.

5.7. INSPECTION OF RECORDS

5.7.1. The National Archives and the Provincial Archives shall, after consultations with the HOD be allowed to conduct inspections of records within the Department as provided for in Section 13 (2)c of the National Archives and Records Act and Section 11 (1)c of the Mpumalanga Archives Act.

5.7.2. The Records Management Unit shall conduct records audits and inspection on a regular basis and advise the HOD about the conditions under which records are managed.

5.7.3. The Records Management Unit shall inspect all records due for destruction to validate authorization and appropriateness.

5.7.4. Reports of all audits/inspections shall be managed in line with the policy.

5.8. TRAINING OF RECORDS MANAGEMENT PRACTITIONERS AND RECORDS MANAGEMENT AWARENESS

5.8.1. The Manager: Records Management shall be responsible for the provision of records management training within the Department and shall ensure that all officials are conversant with proper registry procedures.

5.8.2. The Manager: Records Management shall be responsible for the provision of regular records awareness sessions within the Department.

5.9. DISPOSAL OF RECORDS

- 5.9.1. No public records under the control of the Department shall be transferred to an archives repository, destroyed, erased or otherwise disposed of without a written disposal authority issued by National/Provincial Archivist.
- 5.9.2. All records shall be disposed following the approval of the HOD.
- 5.9.3. Destruction of records shall only take place once there is assurance that records are no longer required, that no work is outstanding and that no litigation or investigation or request which shall involve the records in question in terms of the Promotion of Access to Information Act or the Promotion of Administrative Justice Act is pending.

6. ROLES AND RESPONSIBILITIES

- 6.1. The HOD is accountable for sound **Records Management** within the Department and shall ensure that the Department complies with the provisions of the National and Provincial Archives Acts on Records Management.
- 6.2. The HOD has however, delegated the function to the Senior Manager: Knowledge Management. The Senior Manager: Knowledge Management has the authority to set and issue standards in relation to Records Management and to monitor and audit compliance with those standards.
- 6.3. The Manager: Records Management is responsible for the management of the records management program in the Department, including the development of records classification systems, advising employees about records related issues, training of records personnel, inspection of records, and day-to-day management of files.
- 6.4. Heads of District Offices are responsible for sound record-keeping within their areas of responsibility.
- 6.5. All Senior Managers shall ensure that the policy is implemented and complied with within their business units.
- 6.6. All officials shall be aware of recordkeeping requirements that affect the performance of their duties. They have an obligation to:
 - 6.6.1 Create records
 - 6.6.2 Register records in recordkeeping systems
 - 6.6.3 Transfer records to appropriate record-keeping systems
 - 6.6.4 Make sure that records are not destroyed without authorization

7. MONITORING AND EVALUATION

The Information and Records Management section shall monitor the implementation of the policy and shall report any deviations to the Head of Department in writing

8. POLICY REVIEW

The policy shall be reviewed to factor in changes in legal frameworks, organizational development, political and economic trends, and envisaged outputs by the Medium Term Expenditure Framework as outcomes of monitoring and evaluation.

9. APPROVAL

APPROVED



KM MOHLASEDI
HEAD OF DEPARTMENT
DATE: 2012/2/6