



Department of Public Works, Roads and Transport  
**Mpumalanga Provincial Government**

**RECORDS MANAGEMENT POLICY**

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## ABBREVIATIONS

MISS	:	Minimum Information Security Standards
NARS	:	National Archives and Records Services
NARSA	:	National Archives and Records Services Act
PAIA	:	Promotion of Access to Information Act
POPIA	:	Protection of Personal Information Act



## DEFINITIONS

<b>Accounting Officer</b>	Means	A person mentioned in Section 36 of the Public Finance Management Act, 1999 (Act No. 1 of 1999) and includes any person acting as the Accounting Officer;
<b>Appraisal</b>	Means	The decision regarding the preservation requirements of each record or series of records;
<b>Archival records</b>	Means	Records with archival value: (A20, transfer to archives 20 years after creation);
<b>Archival value</b>	Means	Long term use that records may have for purposes other than functional use. Sometimes referred to as secondary or cultural value of records;
<b>Archives</b>	Means	Records already in the custody of an archives repository;
<b>Archives repository</b>	Means	Building in which records with archival value are preserved;
<b>Case file</b>	Means	A file containing documents or information on the same person, vehicle, building etc (e.g. patient files, personal files, social security files etc);
<b>Department</b>	Means	the Mpumalanga Department of Public Works, Roads and Transport ;
<b>Disposal authority</b>	Means	The written authority issued by the Provincial Archives and Records Services which indicates records with archival value and records without archival value;
<b>Electronic records</b>	Means	Information which is stored by means of computer technology;
<b>Electronic records management system</b>	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;
<b>File</b>	Means	A series of documents in a file cover which are related in content;
<b>File cover</b>	Means	A folder which is used to cover documents (e.g. Z20);
<b>File plan</b>	Means	A plan used to classify, arrange, and describe records;
<b>File reference</b>	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;
<b>Governmental body</b>	Means	Any legislative, executive, judicial or administrative organ of state (including a statutory body);
<b>Information and Records Management Unit</b>	Means	The unit charged with the responsibility for proper management of records within the Department;
<b>National Archives</b>	Means	The National Archives and Records Services of South Africa;

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<b>Other records</b>	Means	Records that do not form part of those listed in the File Plan, e.g. registers, maps, building plans, video tapes etc;
<b>Provincial Archives</b>	Means	The Mpumalanga Provincial Archives and Records Services and
<b>Public record</b>	Means	A record created or received by a governmental body in pursuance of its activities;
<b>Record</b>	Means	Any recorded information regardless of form or medium;
<b>Records classification system</b>	Means	A system by which records are classified and arranged (e.g. file plan, schedule of other records);
<b>Records disposal</b>	Means	The process of destroying records without archival value and transferring to an archives repository all records with archival value;
<b>Records management</b>	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;
<b>Records retention schedule</b>	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);
<b>Retention period</b>	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;
<b>Schedule of other records</b>	Means	A classification system that is used to classify, arrange, and describe "other records" (also known as a Schedule for Records Other than Correspondence System.



## 1. INTRODUCTION

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

Conscious of the value of record-keeping in public administration, the Parliament of the Republic of South Africa passed the National Archives and Records Service Act (NARSA) (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 (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 NARSA 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 NARSA”.

## 2. OBJECTIVES

The objective is to:

- 2.1. Promote 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. Basic Conditions of Employment Act (Act No.75 of 1997)
- 3.2. Electronic Communication and Transactions Act (Act No. 25 of 2002)
- 3.3. Minimum Information Security Standard (MISS)
- 3.4. Mpumalanga Archives Act (Act No. 14 of 1998)
- 3.5. National Archives and Records Service Act (Act No. 43 of 1996 as amended)
- 3.6. Promotion of Access to Information Act (Act No. 2 of 2000)
- 3.7. Promotion of Administrative Justice Act (Act No. 3 of 2000)
- 3.8. Protection of Personal Information Act (Act No. 4 of 2013)
- 3.9. Public Service Act (Act No.103 of 1994)

### **4. SCOPE OF APPLICATION**

The policy shall be applicable 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; and
- 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 STATEMENT**

#### **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; and
- 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 personal documents (e.g. insurance policy documents, bank statements, clothing accounts etc. records-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 "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;

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- 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 storages shall ensure that records are secured, 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; and
- 5.2.17 Officials shall notify the Records Manager when moving records from office to other Institutions/District and offsite storages.

### 5.3. **MANAGEMENT OF ELECTRONIC RECORDS**

Until such time that an electronic records management system is fully implemented within the Department, copies of specific unstructured electronic records shall be made and filed in relevant subject files.

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#### 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 subjected to the Promotion of Access to Information Act (PAIA) Manual, Protection of Personal Information Act (POPIA) and the permission by the Accounting Officer for the Department 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 PAIA Manual and the POPIA; and
- 5.4.5. All records listed in the File Plan 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 classified in terms of the following Minimum Information Security Standards (MISS) (*i.e. Top Secret, Secret, and Confidential*) 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 officials that interact with records and information shall be subjected to security clearance in line with MISS;
- 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 in storage areas shall be protected from dirt, dust and light;



- 5.5.9. Associated risks shall be identified and mitigating strategies developed to ensure that risks to records are either removed or managed appropriately; and
- 5.5.10. All records with personal information shall be protected in terms of the PAIA manual and the POPIA.

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

- 5.6.1. Registers of all files transferred intra-departmentally or inter-departmentally shall be maintained. If records are transferred permanently, the Provincial Archivist shall be informed through the Office of the Director: Knowledge Management;
- 5.6.2. No records shall be transferred to a private off-site records storage facility without prior authorization of the Accounting Officer and the Provincial Archives; and
- 5.6.3. Any transfer of public-records to a private off-site records storage facility shall be informed by an expert advice from Provincial Archives.

## **5.7. INSPECTION OF RECORDS**

- 5.7.1. The Department shall be subjected to the external inspection by the Provincial Archives, after consultation with the Accounting Officer as provided for in Section 13 (2) c of the National Archives and Records Services 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 Accounting Officer 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; and
- 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 Records Manager: Records Management shall be responsible for the provision of records management training within the Department;

- 5.8.2 The Records Manager: Records Management shall be responsible for the provision of regular records awareness sessions within the Department; and
- 5.8.3 The Chief Registry Official/Senior Admin Officer shall be responsible for the in-house training of registry officials and shall ensure that officials are conversant with registry procedure manual 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 the Provincial Archivist;
- 5.9.2 All records shall be disposed following the approval of the Accounting Officer for the Department; and
- 5.9.3 Destruction of records shall only take place, in line with the approved Records Retention Schedule:

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 PAIA or the Promotion of Administrative Justice Act (Act No. 3 of 2000) is pending.

## 6. ROLES AND RESPONSIBILITIES

### 6.1. Accounting Officer

Is responsible for the efficient and effective implementation of this policy as part of the internal controls within the Department.

### 6.2. Director

Is responsible for setting and issuing of standards in relation to Records Management and to monitor and audit compliance with those standards.

### 6.3. Records Manager

- 6.3.1. Is responsible for the management of the records management program in the Department, including the development of records classification systems.
- 6.3.2. Provides advice to employees about records related issues, training them and conduct records inspections.

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#### 6.4. Departmental Employees

6.4.1 Shall be responsible for record-keeping within their areas of responsibilities and ensure that the policy is implemented and complied with within their business units.

6.4.2 Have an obligation to:

6.4.2.1 Create records

6.4.2.2 Register records in record-keeping systems

6.4.2.3 Transfer records to appropriate record-keeping systems

6.4.2.4 Make sure that records are not destroyed without authorization

### 7. MONITORING AND EVALUATION

The Information and Records Management unit shall monitor the implementation of the policy.

### 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 well as outcomes of monitoring and evaluation.

### 9. DEVIATIONS

Any deviation from this policy shall be subject to the approval of the Accounting Officer.

### 10. IMPLEMENTATION DATE

This policy shall come into effect from the date of approval by the Accounting Officer.

### 11. APPROVAL



MC MOROLO  
HEAD OF DEPARTMENT

DATE: 29/04/2024