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University of Limpopo

Records Management Policy Framework

| Effective Date	28 June 2019	Last Updated	
Policy Owner	Registrar's Office		
Purpose	To maintain, protect, retain and dispose of records in accordance with fiscal, legal and historical requirements.		
Frequency of revision	Every five years – or sooner, depending on compelling interim alterations		
Approved By	Council	Reviewed By	Council
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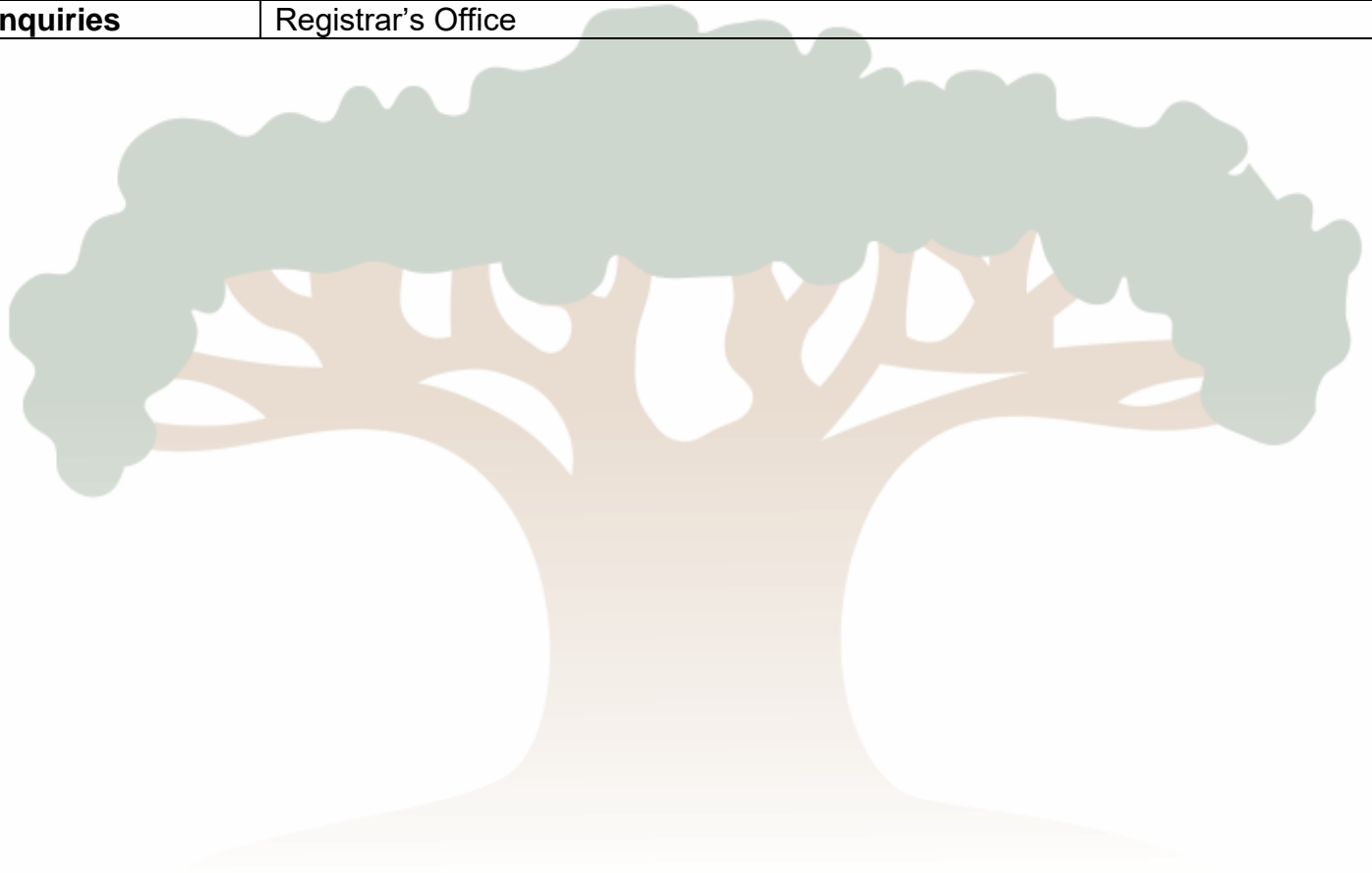
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1. Introduction

The University of Limpopo (UL) appreciates that the efficient and effective management of its records is necessary to support its core functions of teaching, research and community engagement. Curation and maintenance of records are pre-conditions for the University to comply with its legal and regulatory obligations and to enable the effective governance and management of the institution. Through the policy, the University seeks to:

1.1. Create and maintain authentic, reliable and useable records, with appropriate evidential characteristics, within the University by establishing a framework and accountabilities for records management, through which best practice can be implemented and audited.

1.2. Maintain, protect, retain, and dispose of records in accordance with South Africa's legislative and regulatory requirements, adopted international standards and legal requirements.

1.3. Govern the safe and secure storage and handling of records, ease of (authorised) access, version and quality control, adherence to retention schedules, and appropriate disposal by those authourised to do so.

1.4. Comply with the Promotion of Access to Information Act (No 2 of 2000) (PAIA); National Archives and Records Service Act (No 43 of 1996); Promotion of Administrative Justice (Act no 3 of 2000); Protection of Personal Information (Act No 4 of 2013), the International Standard for Records Management (ISO15489) and the South African National Standard for Records Management (SANS 15489) together with the Constitution of the Republic of South Africa Act (108 of 1996) and other applicable legislation.

University of Limpopo Records Management Policy Framework

2. Purpose

The policy seeks to define and provide a framework for managing the University records and to establish accountabilities to ensure the University:

2.1. Meet all South African legislative and regulatory requirements governing information and records management.

2.2. Create and capture authentic and reliable records to demonstrate evidence, accountability and information about its decisions and activities.

2.3. Preserve and secure access to records and provide governing principles.

2.4. Implement new, standardised and innovative working methods for storing, retrieving and retaining records.

2.5. Identify and preserve records considered to be worthy of permanent preservation.

2.6. Protect vital records, which the University needs in order to function effectively.

3. Definitions

Term	Definition
Records	Refers to anything that is produced due to the undertaking of a business activity or legislative requirement, and is evidence of the fact that a development or procedure transpired in support of the activity.
Records Management Programme	Refers to a systematic and consistent control of all UL records, the programme include sub programme related to records identification, classification, maintenance, compliance monitoring, quality control, training etc.
Archives	The records /collections housed (according to archival practices and principles) in one of the official UL storage under the control of the Registrar's Office.
Disposal	Final stage in the lifecycle of a record: archiving or deletion / destruction according to the set procedure.
Retention	Refers to a period an official UL records should be stored before the disposal action is undertaken.

Vital Records	Records which the institution should never destroy as they are essential and irreplaceable such as major contracts, legal papers, policies, property plans etc.
File plan	A system used to arrange and store both paper-based and electronic records to facilitate efficient retrieval and disposal process.
Classification system	The process of identifying the category or categories of business activity and the records they generated and grouping those records into files to facilitate description, control, links and access status.
Electronic Records Management (ERM) programme	The efficient and systematic computer programme designed to track, create, manage and store records.
Electronic Content Management (ECM) strategy	The formalised means of strategies, methods and tools used to capture, store, retrieve and manage documents, records, emails, electronic communications and other documents created by organisation.

4. Policy Scope and Application

The policy is applicable to the following types of records:

4.1. Administrative, operational and Human Resources records.

4.2. Finance records (i.e. Accounts payable invoices, cheque copies, suppliers contracts etc.)

4.3. Student records / files.

4.4. UL policies and procedures.

4.5. UL related web pages and web site uploaded records.

4.6. Scholarly content that constitutes the record of a transaction and that may be used as evidence in a court of law or for similar official purposes.

4.7. Research, teaching and learning records.

4.8. Governance records (i.e. agendas, minutes)

4.9. Software applications and operating licenses contracts.

4.10. Commercial and technical records relevant to UL core business.

4.11. Records in all formats (i.e. paper/print, electronic, audio-visual, photographs, maps, charts, etc.

4.12. Historical and archived records (institutional memory).

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5. Policy Rules and Procedure

These rules and procedures are applicable to both paper-based, micrographic, audio-visual and electronic records.

5.1.   Council is responsible for the existence and monitoring of a Records Management Policy.

5.2.   University Management, in particular the University Registrar (as "the custodian of all the University records" according to the University of Limpopo Statute, 2017, and as required by PAIA), has overall responsibility for ensuring that records are managed responsibly within the University.

5.3.   The University Records Manager under leadership of the University Registrar is responsible for instituting, implementing, facilitating and coordinating a records management programme at the UL.

5.4.   It is the responsibility of all staff and student leadership to ensure that they keep appropriate records of their work (as defined by the University of Limpopo file plan) and manage those records in accordance with this policy.

5.5.   All records created during execution of the University of Limpopo business activities (paper based, electronic, micrographic and audio-visual) are the property of UL, and must be managed in accordance with this policy.

5.6.   Records created in UL shall be classified and filed according to a classification and filing system known as the University of Limpopo file plan and records retention and disposal schedule shall be managed by the Registrar's Office. The classification system cannot be revised or added to without the approval of the Registrar's Office. The UL file plan and disposal schedule shall be updated annually or on an ad hoc basis as required.

5.7.   No records may be disposed of without adherence to the disposal instructions and records retention and disposal schedule. Proper and legal disposal is a legitimate restriction to the right of access to information as provided by the Promotion of Access to Information Act.

5.8.   Records disposal actions undertaken shall be documented and destruction certificates will be electronically archived by the Registrar's Office.

5.9.   All records will be kept in safe and secure custody (either in records storage areas or off-site storage in case of hard copy records or on approved

electronic systems in case of electronic records) according to prescribed procedures and guidelines provided by the Registrar's Office in line with Information Governance Framework.

5.10. Policy compliance measures and compliance audits will be conducted frequently with the guidance of Internal Audit. Record owners are obliged to partake in such audits.

5.11. Yearly performance and quality management of the records management programme will be conducted to ensure programme quality and to monitor the application of records management procedures against approved indicators and to improve records management standards as expected.

5.12. Standard and precise training provided by the Office of the Registrar in records management and records management awareness campaigns will be held quarterly.

5.13. Electronic Records Management (ERM) programme shall be implemented with complete records management capabilities. Information Technology (IT) will assistance and support ERM programme. The ERM will form part of the UL Electronic Content Management (ECM) strategy. It is compulsory that all official UL records be stored on this system to safeguard authenticity, integrity and corporate identity application.

6. Effects of non-compliance with the policy

Non-adherence to official retention schedules, unauthorised access or publication of sensitive records, or policy violations leading to the loss of official records may have serious legal and reputational implications for the University. Disciplinary measures may be instituted against anyone found to be in violation of this policy.