



RECORDS MANAGEMENT POLICY

2017/2018

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1. INTRODUCTION

Accountability, transparency and good governance are the bedrock on which all efforts to realise democracy depend. Sound records management is of vital importance in realisation of these ideals. It is the foundation any government needs to provide services, to fulfil its obligation of accountability towards its citizens and to protect their rights in addition to it being essential in order to conduct office business and make public administration more efficient and effective.

2. PURPOSE

- 2.1. Section 13 of the National Archives and Records Services Act No 43 of 1996, requires the Alfred Duma local Municipality to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act.
- 2.2. Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Alfred Duma local Municipality must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. Alfred Duma local Municipality considers its records to be valuable assets to:
 - (a) Enable Alfred Duma local Municipality to find the right information easily and comprehensively;
 - (b) Enable Alfred Duma local Municipality to perform its functions successfully, efficiently and in an accountable manner;
 - (c) Support the business, legal and accountability requirements of Alfred Duma local Municipality;
 - (d) Ensure the conduct of business in orderly, efficient and accountable manner;
 - (e) Ensure the consistent delivery of services;
 - (f) Support and document policy formation and administrative decision-making;
 - (g) Provide continuity in the event of disaster;
 - (h) Protect the interests of Alfred Duma local Municipality and the rights of the employees, clients and present and future stakeholder;
 - (i) Support and document the Alfred Duma local Municipality's activities, developments and achievements;
 - (j) Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory;
 - (k) To eliminate unnecessary duplication of records; and
 - (l) To promote a sound records management practices.
- 2.3. Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

3. OBJECTIVES

To ensure that all municipal records are properly managed, stored, easily accessible and traceable.

4. SCOPE

- 4.1. This policy impacts upon Alfred Duma local Municipality's work practices for all those who:
- (a) Create records including electronic records;
 - (b) Have access to records
 - (c) Have any other responsibilities for records, for example storage and maintenance responsibilities;
 - (d) Have management responsibility for staff engaged in any of these activities; or manage, or have design input into, information technology infrastructure.
- 4.2. **The policy therefore applies to all staff members of Alfred Duma local Municipality and covers all records regardless of format, medium or age.**

5. DEFINITIONS

5.1. Archives repository

The building in which records with archival value are preserved permanently.

5.2. Authentic records

Records that can be proven to be what they purport to be. They are also records that are considered by the creator to be their official record.

5.3. Authoritative records

Records that is authentic, reliable, trustworthy, useable and unaltered,

5.4. Correspondence system

A set of paper-based and electronic communication and associated documents sent; received, generated, processed and stored during the conduct of business.

5.5. Custody

The control of records based upon their physical possession.

5.6. Disposal

The action of either destroying/deleting a records or transferring it into archival custody.

5.7. 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.

5.8. Electronic records

Information which is generated electronically and stored by means of computer technology.

5.9. Electronic records system

This is a collective noun for all components of an electronic information system, namely: electronic media, source documents, output information, software applications, programmes and metadata.

5.10. File plan

A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate effective retrieval and disposal of records.

5.11. Filing system

The collective noun for a storage system (files, boxes, shelves or electronic application and storage system) in which records are stored in a systematic manner according to a file plan.

5.12. Public records

A record created or received by a government body in pursuance of its activities, regardless of form or medium.

5.13. Records other than correspondence system/other records

Records that do not form part of a correspondence file, or a case file e.g. registers, maps, plans, electronic records, audio-visual records, etc.

5.14. Records

- 1) Recorded information regardless of form or medium.
- 2) Evidence of a transaction, preserved for the evidential information it contains.

5.15. Records classification system

A plan for the systematic identification and arrangement of the business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

5.16. Records keeping

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

5.17. Records management

A process of ensuring the proper creation, maintenance, use and disposal of records through their life cycle to achieve efficient, transparent and accountable governance.

5.18. Retention period

The length of time that record should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

5.19. Schedule for records other than correspondence system/Records Control Schedule

A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instruction and retention periods of all other records.

5.20. System procedures manual

A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

5.21. System procedure manual

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system.

6. LEGAL FRAMEWORK

- 6.1. By managing its paper-based records effectively and efficiently the KZN 238 Municipality strives to give effect to the accountability, transparency and service delivery value contained in the legal framework established by:
- a) The constitution of the Republic of South Africa Act (Act No 108 of 1996);
 - b) National Archives and Records Services of South Africa Act (Act No 43 of 1996 as amended);
 - c) Public Finance Management Act (Act No 1 of 1999);
 - d) Promotion of Access to information Act (Act No 2 of 2000);
 - e) Promotion of Administrative Justice Act (Act No 3 of 2000);
 - f) Electronic Communications and Transactions Act (Act No 25 of 2002);
 - g) Municipal Finance Management Act (Act No 56 of 2003);
 - h) Copyright Amendment Act (Act No 9 of 2002);
 - i) Protection of personal information Act (Act No 4 of 2013).

7. RELATIONSHIP WITH OTHER POLICIES

- 7.1. The Alfred Duma local Municipality's Records Management Policy consist of this Policy as well as additional parts that covers the unique nature of the broad spectrum of records generated. These policies are managed by the Records Manager.

The following parts exist:

- (a) Electronic Communication and Telecommunication Policy;
- (b) Promotion of Access to Information Manual;
- (c) Email Management Policy;
- (d) Registry Procedure Manual.

8. ROLES AND RESPONSIBILITIES

8.1. The Municipal Manager

- 8.1.1. The Municipal Manager is ultimately accountable for the record keeping and records management practices of Alfred Duma local Municipality.
- 8.1.2. The Municipal Manager is committed to enhance accountability, transparency and improvement of service delivery by ensuring that records management practices are implemented and maintained.
- 8.1.3. The Municipal Manager supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 8.1.4. The Municipal Manager shall designate the Records Manager to perform such duties as necessary to enhance the record keeping and records management of Alfred Duma local Municipality to enable compliance with legislative and regulatory requirements.

8.2. Senior Managers

- 8.2.1. Senior Managers are responsible for the implementation of this policy in their respective departments.
- 8.2.2. Senior Manager shall lead by example and shall they maintain good record keeping and records management practices.
- 8.2.3. Senior Managers shall ensure that all staff members are made aware of their record keeping and records management responsibilities and obligations.
- 8.2.4. Senior Managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their departments.

8.3. Records Manager

- 8.3.1. The Records Manager is responsible for:
 - (a) The implementation of this policy;
 - (b) Staff awareness regarding this policy;
 - (c) The management of all records according to the records management principles contained in the National Archives and Records Services Act of South Africa (Act No 43 of 1996 as amended);

- (d) The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need to maintain records and transactions.
- 8.3.2. The specific duties of the Records Manager are contained in the Records Manager's job description.
- 8.3.3. The Records Manager is mandated to make such training and other interventions as is necessary to ensure that Alfred Duma local Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Services Act.
- 8.3.4. The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Alfred Duma local Municipality.
- 8.3.5. The Records Manager shall ensure that all records created and received by Alfred Duma local Municipality are classified according to the approved file plan and that a written disposal authority is obtained from the National Archives and Records Services.

8.4. Information Technology Manager (IT Manager)

- 8.4.1. The IT Manager is responsible for the day to day maintenance of electronic systems that store the records.
- 8.4.2. The IT Manager shall work in conjunction with the Records Manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.
- 8.4.3. The IT Manager shall ensure that appropriate systems technical manuals and systems procedure manuals are designed for each electronic system that managers and stores records.
- 8.4.4. The IT Manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.
- 8.4.5. The IT Manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.
- 8.4.6. The IT Manager shall ensure that all data, metadata, audit trail, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

- 8.4.7. The IT Manager shall ensure that back-ups are secured off-side environment.
- 8.4.8. The IT Manager shall ensure that systems that manage and store records are virus free.
- 8.4.9. Comprehensive details regarding specific responsibilities of the IT Manager are contained in his/her job description.

8.5. Executive Director Community Services

- 8.5.1. The Executive Director Community Services is responsible for the physical security of all municipal records.

8.6. Manager Legal

- 8.6.1. The Manager Legal is responsible for keeping the Records Manager update about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Alfred Duma local Municipality.

8.7. Registry staff

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

8.8. Staff

- 8.8.1. Every staff member shall create records of transactions while conducting official business.
- 8.8.2. Every staff member shall manage those records efficiently and effectively by:
 - (a) Allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
 - (b) Sending paper-based/electronic records to the registry for filing;
 - (c) Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the Provincial Archivist.

9. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

The Alfred Duma local Municipality has the following systems that organize and store records:

9.1. Correspondence system

9.1.1. File Plan

- 9.1.1.1. Only the file plan approved on 21 NOVEMBER 2016 and implemented on.....shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.
- 9.1.1.2. Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.

9.1.2. Storage areas

9.1.2.1. Paper-based correspondence files

- 9.1.2.1.1. All paper-based correspondence system records are housed in the Central Registry;
- 9.1.2.1.2. All Human Resources case files are housed in the Central Registry;
- 9.1.2.1.3. All Lot case files are housed in the Kandahar Archives stores;
- 9.1.2.1.4. All closed volumes files are housed in the Kandahar Archives stores;
- 9.1.2.1.5. All these records are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- 9.1.2.1.6. The registry is a secure filing room and only registry staff is allowed in the filing room.
- 9.1.2.1.7. Staff members that need access to these files shall place a request at the registry according to the Registry Procedure Manual;
- 9.1.2.1.8. The registry shall be locked when is not in operation.

9.1.2.2. Electronic Correspondence Records

- 9.1.2.2.1. All electronic correspondence records are stored in an electronic repository that is maintained by the Information Technology section.
- 9.1.2.2.2. Access to storage areas where electronic records are stored is limited to the Information Technology staff who have specific duties regarding the maintenance of the hardware, software and media.

9.2. Records other than correspondence system/other records.

9.2.1. Schedule for records other than correspondence system.

- 9.2.1.1. The Records Manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.
- 9.2.1.2. Should records be created/received that are not listed in the schedule, the Records Manager should be contacted to add the records to the schedule.

9.2.2. Storage areas

9.2.2.1. Paper-based

- 9.2.2.1.1. The Alfred Duma Municipality has the paper-based records other than correspondence systems that are in the custody of various officials that use them on daily bases:
 - (A) Office of the Municipal Manager
 - (B) Department Corporate Services
 - (C) Department Community Services
 - (D) Department Finance
 - (E) Department Electrical Services
 - (F) Department Public Works and Basic Services
 - (G) Department Development Planning and Human Settlement
- 9.2.2.1.2. These records are under the control of the Records Manager who is mandated to ensure that they are managed properly.

9.2.2.2. Audio – visual records

- 9.2.2.2.1. Alfred Duma local Municipality has sets of audio visual records that are stored in the:
 - (A) Central registry
- 9.2.2.2.2. These records are under the control of the Records Manager who is mandated to ensure that they are managed properly.

9.2.2.3. Electronic system other than the correspondence systems

- 9.2.2.3.1. Alfred Duma local Municipality has a number of electronic records systems in operation which are not part of the correspondence system and that generates and store public records that are stored in the:
 - (A) IT centre
- 9.2.2.3.2. The IT Manager is responsible for the day-to-day maintenance of the systems.

9.2.2.3.3. The records maintained in these systems are under the control of the Records Manager who is mandated to ensure that they are managed properly.

9.2.2.3.4. Detailed guidance regarding the management of these systems is contained in their systems procedure manuals.

10. DISPOSAL OF RECORDS

10.1. No public records (including e-mail) shall be destroyed, erased or otherwise disposed off without prior written authorization from the National Archivist in terms of section 13, 2(a) of NARSA (Act No 43 of 1996 as amended).

10.2. Paper-based archival records shall be safely kept in the Kandahar municipal stores until they are due for disposal. Disposal shall be as prescribed by the Provincial Archives disposal authority.

10.3. All disposal actions should be authorized by the Records Manager prior to the execution to ensure that archival records are not destroyed inadvertently.

11. Access and Security

11.1. Records shall at all times be protected against unauthorized access and tempering to protect their authenticity and reliability as evidence of the business of Alfred Duma local Municipality.

11.2. Security classified records shall be managed in terms of the Registry Procedure Manual and Minimum Information Security Standards.

11.3. No staff member shall provide information and records that are not in the public domain to the public without consulting the Records Manager in terms of Promotion to Administrative Justice Act (Act No 3 of 2000).

11.4. No staff member shall remove records that are not available in the public domain from the premises of Alfred Duma local Municipality without the explicit permission of the Records Manager in terms of Promotion of Access to Information Act (Act No 2 of 2000).

11.5. Personal information shall be managed in terms of the Protection of Personal Information Act (Act No 4 of 2013).

11.6. No staff member shall disclose personal information of any member of staff or client of Alfred Duma local Municipality to any member of the public without consulting the Records Manager.

11.7. An audit shall be logged of all attempts to alter/edit electronic records and their metadata.

- 11.8. Records storage areas shall at all-time be protected against unauthorized access.
- 11.9. Registry and other records storage areas shall be locked when not in use.
- 11.10. Access to server rooms and storage arrears for electronic records media shall be managed with key card access.

12. Legal admissibility and evidential weight

The records of Alfred Duma local Municipality shall at all-times contain reliable evidence of business operations. The following shall apply:

12.1. Paper-based records

- (a) No records shall be removed from paper-based files without the explicit permission of Records Manager.
- (b) Records that were placed on files shall not be altered in any way.
- (c) No alteration of any kind shall be made to records other than correspondence files without the explicit permission of the Records Manager.
- (d) Should evidence be obtained of tempering with records, the staff member involved shall be subject to disciplinary action.

12.2. Electronic Records

- (a) Alfred Duma local Municipality shall use systems which ensure that its Electronic records are:
 - (i) Authentic;
 - (ii) Not altered or tampered with;
 - (iii) Auditable;
 - (iv) Produced in systems which utilise security measures to ensure their integrity.

13. Training

- 13.1. The Records Manager shall successfully complete the National Archives and Records Services' Records Management Course, as well as any other Records Management Training that would equip him/her duties.
- 13.2. The Records Manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff is trained appropriately.
- 13.3. The Records Manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

14. Monitoring and review

- 14.1. The Records Manager shall review the records keeping and records management practices of Alfred Duma local Municipality on regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of Alfred Duma local Municipality.
- 14.2. This policy shall be review on regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Alfred Duma local Municipality.