

DR J S MOROKA MUNICIPALITY



RECORDS MANAGEMENT POLICY

1. PURPOSE

1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Dr. J S Moroka 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.

1.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Dr. J S Moroka 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. Dr. J S Moroka Local Municipality considers its records to be a valuable asset to:

- enable the municipality to find the right information easily and comprehensively;
- enable municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of the municipality;
- ensure the conduct of business in an orderly, efficient and accountable manner;
- ensure the consistent delivery of services;
- support and document policy formation and administrative decision-making;
- provide continuity in the event of a disaster;

- 1.3 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.

2. POLICY STATEMENT

- 2.1 All records created and received by Dr. J S Moroka Local Municipality shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.

- 2.2 The following broad principle shall apply to the record keeping and records management practices of Dr. J S Moroka Local Municipality:

- The municipality shall follow sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- The records management procedures of the municipality shall comply with legal requirements, including those for the provision of evidence
- The municipality shall follow sound procedures for the security, privacy and confidentiality of its records.
- Records in the municipality shall be managed according to the principles promoted by the National Archives and Records Service

3. SCOPE AND INTENDED AUDIENCE

- 3.1 This policy impacts upon Dr. J S Moroka Local Municipality work practices for all those who:

- 3.1.1. create records,

- 3.1.2. have access to records;
- 3.1.3. have any other responsibilities for records, for example storage and maintenance responsibilities;
- 3.1.4. have management responsibility for staff engaged in any of these activities; or manage, or have design input into, information technology infrastructure

3.2 The policy therefore applies to all staff members of the municipality and covers all records regardless of format, medium or age.

4. REGULATORY FRAMEWORK

4.1 By managing its paper-based records effectively and efficiently Dr. JS Moroka Local Municipality strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:

- The Constitution of the Republic of South Africa, 1996;
- National Archives and Records Service of South Africa Act, Act No 43 of 1996 as amended; National Archives and Records Service of South Africa Regulations;
- Public Finance Management Act, Act No 1 of 1999;
- Promotion of Access to Information Act, Act No 2 of 2000;
- Promotion of Administrative Justice Act, Act No 3 of 2000;
- Mpumalanga Provincial Archives

5. ROLES AND RESPONSIBILITIES

5.1 Accounting Officer of Dr. J S Moroka Local Municipality

- 5.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of Dr. J S Moroka Local Municipality.
- 5.1.2 The Municipal Manager is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 5.1.3 The Municipal Manager supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 5.1.4 The Municipal Manager shall designate a manager to be the records manager of the Dr. J S Moroka Local Municipality, that is the Deputy Manager Admin and Corporate Services, and shall mandate the Deputy Manager Admin and Corporate Services to perform such duties as are necessary to enhance the record keeping and records management practices of the Municipality to enable compliance with legislative and regulatory requirements.

5.2 Senior Managers

- 5.2.1 Senior managers are responsible for the implementation of this policy in their respective departments.
- 5.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 5.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

5.3 Deputy Manager: Admin and Corporate Services

- 5.3.1 The Deputy Manager Admin and Corporate Services is responsible for;
 - 5.3.1.1 The implementation of this policy;
 - 5.3.1.2 The management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.

- 5.3.1.3 The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.
- 5.3.2 The manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Municipality.
- 5.3.3 The manager shall ensure that all records created and received by the Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the Provincial Archives and Records Service.

5.4 The Registry staff

- 6.4.1 The registry staffs are responsible for the physical management of the records in their care.
- 6.4.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual

5.5 Staff

- 5.5.1 Every staff member shall create records of transactions while conducting official business.
- 5.5.2 Every staff member shall manage those records efficiently and effectively by:
 - 5.5.2.1 allocating reference numbers and subjects to paper-based according to the file plan;
 - 5.5.2.2 sending paper-based records to the registry for filing;
 - 5.5.2.3 ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.

5.6 THE IT MANAGER

- 5.6.1 IT Section is responsible for the day to day maintenance of electronic system that stores records.
- 5.6.2 IT Section shall work in conjunction with 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.
- 5.6.3 Comprehensive details regarding specific responsibilities of IT Manager are contained in:
- Document imaging policy
 - Information security policy
 -

6. RECORDS CLASSIFICATION SYSTEM AND RELATED STORAGE AREA

The Dr JS Moroka Local Municipality has the following system that organizes and store records.

6.1 Correspondence systems

6.1.1 File plan

- 6.1.1.1 Only the file plan approved on **08 APRIL 2013** and implemented on **01 MAY 2013** shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based.
- 6.1.1.2 All correspondence should be allocated with an appropriate/accurate file number according to the approved file plan.
- 6.1.1.3 When correspondence is created/received for which no subject exists in the file plan, the records manager should be contacted to assist with additions to the file plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager.

6.1.2 Storage areas

6.1.2.1 Paper-based correspondence files are kept in the custody of :

6.1.2.1.1 The central registry

6.1.2.1.1.1 All paper-based correspondence system records that are not personnel Finance and traffic related shall be housed in the central registry. Personnel related paper-based correspondences are kept in the Human Resource Department and Traffic related paper-based correspondences are kept in Traffic Department. Finance records and transactions and Vouchers shall be kept safely in the store and string rooms allocated to Finance department.

6.1.2.1.1.1 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.

6.1.2.1.1.2 The registry is a secure storage area and only registry staff shall be allowed in the records storage area.

6.1.2.1.1.3 Staff members that need access to files in the registry shall place a request for the files by completing the Request for File Register at the counter.

6.1.2.1.2 Case files

6.1.2.1.2.1 All the case files which are listed in the series of separate case files are stored in the central registry except the personal files that are kept in the Human Resource Department and individual case files that are kept by the department dealing with the matter.

6.1.2.1.2.2 Individual case files which are opened according to notes in the file plan, i.e. for water and electricity, removal of rubbish, etc) and which are not tied to reference numbers in the file plan, should be described in the list of series of separate case files and are kept by the department dealing with the matter.

6.1.2.1.2.3 The list of series of separate case files (not individual files) does not form part of the subject classification in practice, it is attached as an integral part of it to centralize control over all correspondence files in care of the registry department

6.1.2.1.2.4 The registry shall be locked when registry is not in operation.

6.1.2.1.3 The Human Resources registry

6.1.2.1.3.1 Dr. J S Moroka Local Municipality maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the Human Resource registry.

6.1.2.1.3.2 The Human Resource case files are under the management of the Assistant Manager Human Resources who is mandated to ensure that they are managed properly.

6.1.2.1.3.3 The case files shall be managed as part of the List of Series of Separate Case Files that is maintained and managed by the Records Manager.

6.2 Schedule for records other than correspondence systems

6.2.1 The 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.

6.2.2 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.

6.2.3 Storage areas

6.2.3.1 Paper-based

6.2.3.1.1 The Municipality has the following sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on a daily basis :

- * Financial – kept in finance department / central registry.
- * Human Resource – kept in human resource unit
- * Licences and Road Traffic – kept in the traffic unit.
- * Stores – kept in the stores unit.
- * Minute and agenda books – kept in the store room at registry office.

6.2.3.1.2 These records are under the control of the records manager who is mandated to ensure that they are properly managed.

6.2.4 Audio visual

6.2.4.1 The Municipality has the following sets of audio-visual records that are stored in the cabinet in the registry office:

Tape Cassettes:

For Council meetings and Mayoral Committee meetings

7. ACCESS AND SECURITY

7.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of the Municipality

7.2 No staff member shall remove records that are not available in the public domain from the premises of the Municipality without the explicit permission of the Deputy Manager and Corporate Services.

7.3 No staff member shall provide information and records that are not in the public domain to the public without consulting the Deputy Manager Admin and Corporate Services. Specific guidelines

regarding requests for information are contained in the Promotion of Access to Information.

- 7.4 Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.
- 7.5 No staff member shall disclose personal information of any member of staff or client of Municipality to any member of the public without consulting the Deputy Manager Admin and Corporate Services first.

8. DISPOSAL OF RECORDS

- 8.1.1 The Municipality will determine the retention period for non archival records. No records may be destroyed without prior authorization of provincial archives. The records manager in consultation with the users will determine the retention periods.
- 8.1.2 The National Archivist has issued Standing Disposal Authority Number [add number] for the disposal of records classified against the file plan. The records manager manages the disposal schedule.
- 8.1.3 The Provincial Archivist must still issue standing disposal authority for the disposal on the schedule of records other than correspondence systems.
- 8.1.5 Disposal in terms of these disposal authorities will be executed once a year.
- 8.1.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 8.1.7 Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.
- 8.1.8 Paper-based archival records shall be safely kept until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.

9. STORAGE AND CUSTODY

How to protect records from fire.

10. TRAINING

10.1 The records manager shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip him/her for his/her duties.

10.2 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 are trained appropriately.

10.3 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.

11. INSPECTIONS BY THE PROVINCIAL ARCHIVES

Provincial Archives is entitled to full and free access at all times to the municipality records.

12. DEFINITIONS

Archives repository:

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

Authentic records:

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

Authoritative records:

Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.

Correspondence system:

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

Custody:

The control of records based upon their physical possession

Disposal:

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

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 or otherwise disposed of.

Disposal authority number:

A unique number identifying each disposal authority issued to a specific office.

File plan:

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

Filing system:

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

Non-archival records:

Records with a short lived interest or usefulness.

Public record:

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

Records other than correspondence systems:

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.

Record:

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

Records classification system:

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 represented in the classification system.

Recording:

Anything on which sounds or images or both are fixed or from which sounds or images both are capable of being reproduced, regardless of form.

Record keeping:

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

Records management:

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.

Retention period:

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

Schedule for records other than correspondence systems:

A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records. It consists of the following parts:

- * Schedule for paper-based records other than correspondence files;
- * Schedule for electronic records systems other than the electronic correspondence system;
- * Schedule for microfilm records;
- * Schedule for audio-visual records.

System technical 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.

System procedures 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. A system procedures manual would contain detailed procedures regarding:

- * Document flow
- * Document scanning
- * Data capture
- * Indexing
- * Authenticated output procedures
- * File transmission
- * Information retention
- * Information destruction
- * Backup and system recovery
- * System maintenance
- * Security and protection
- * Use of contracted services
- * Workflow
- * Date and time stamps
- * Version control
- * Maintenance of documentation

A system procedures manual should be updated when new releases force new procedures.

14. REFERENCES

National Archives and Records Service: Records Management Policy Manual, April 2006

National Archives and Records Service: Managing electronic records in governmental bodies: Policy, principles and requirements, April 2006

National Archives and Records Service: Performance criteria for records managers in governmental bodies, April 2006

15. AUTHORIZATION

This policy was approved byon 201.

Signed by

Witness