



DATE:	24/02/2022
Version number	

POLICY: RECORDS MANAGEMENT POLICY

REVISED BY: MR G MASHISHI

1. DEFINITIONS/ACRONYMS:

For the purpose of this policy, unless context indicates otherwise, the following definitions shall apply:

- Archival value** The long term use that records may have for purposes other than functional use. A document has archival value if it's administrative, fiscal, legal, and evidential and/or information value justifies its indefinite or permanent retention as a record.
- Archives** Records already in the custody of an archives repository.
- Archives repository** a storage area in which records with archival value are preserved permanently
- Appraisal** Means the decision regarding the preservation requirements of each record or series of records
- Authentic records** A record that actually is what it says it is or is represented to be, and is completely free from any addition, deletion, or corruption
- Correspondence system** A set of paper based, electronic communications, associated documents sent, received, generated, processed and stored during conduct of business.
- Chief Information Officer** Accounting Officer of the department as contained in the promotion access to information Act
- Custody** The control of records based upon their physical possession.
- Disposal** The process of destroying/deleting records without archival value and transferring to an archives repository all records with archival value.

Disposal authority The written authority issued by the National Archivist (or the Provincial Archivist) specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted.

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

Disposal instruction 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.

Document Documents are created during the processing of a function which may lead to a record. I.e. documents have the potential to become records. Electronic documents are generated electronically and stored by means of computer technology.

Electronic records Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than correspondence system

Electronic Documents and Records Management System (EDRMS) A system specifically designed to manage the maintenance and disposition of records. The system maintains the content, context, structure and links between records to enable their accessibility and support their value as evidence. Electronic documents and records management systems are distinguished from business systems, because their primary function is the management of documents and records.

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

Metadata Descriptive statistical information about the elements of set of data. It has background and technical information i.e. the information stored electronically

NARSSA National Archives and Records Service of South Africa.

Non-archival records Records with a short lived interest or usefulness (ephemeral records)

PAIA The Promotion of Access to Information Act (Act No 2 of 2000). South Africa's access to information law and it enables people to gain access to information held by both public and private bodies.

POPI	The Protection of Personal Information Act (Act No 4 of 2013). The purpose of the POPI Act is to ensure that all South African institutions conduct themselves in a responsible manner when collecting, processing, storing and sharing another entity's personal information by holding them accountable should they abuse or compromise your personal information in any way.
Public record	A record created or received by a governmental body in pursuance of its activities, regardless of form or medium
Record	Evidence of a transaction, preserved for the evidential information it contains, 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-visuals records, etc.
Record classification system	A plan for the systemic 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.
Records management	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.
Records retention/disposal schedule	A document which identifies all the records series created or maintained by a municipality, 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 authorises their disposal at the appropriate time (either destruction or transfer to the archival institution).
Records personnel	All personnel working in the records management function
Registry	It is a physical place or office where records are managed.
Retention period	The length of time that records should be retained by a municipality before they are either transferred into archival custody or destroyed/deleted. 2). In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.

Semi Active Records Records which are referred to only occasionally but are of primary value.

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.

Non-archival (ephemeral/D) records Records with no archival value which may be destroyed after a disposal authority has been obtained from the National/ Provincial Archives

A schedule of records other than correspondence files 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).

Terminated records Records that form part of the classification system that is no longer in use

2. PURPOSE

Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Dr. JS 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.

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. JS 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. JS Moroka Local Municipality considers its records to be a valuable asset to:

- Enable Dr. JS Moroka Local Municipality to find the right information easily and comprehensively;
- Enable Dr. JS Moroka Local Municipality to perform its functions successfully and efficiently and in an accountable manner;
- Support the business, legal and accountability requirements of Dr. JS Moroka Local 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;

- Protect the interests of Dr. JS Moroka Local Municipality and the rights of employees, clients and present and future stakeholders;
- Support and document the Dr. JS Moroka Local Municipality's activities, development and achievements;
- Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory

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. APPLICATION

This policy shall be applicable to all employees of Dr. JS Moroka Local Municipality.

4. POLICY STATEMENT

All records created and received by Dr. JS 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.

The following broad principles apply to the record keeping and records management practices of Dr. JS Moroka Local Municipality:

- The Dr. JS Moroka Local Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- The records management procedures of Dr. JS Moroka Local Municipality comply with legal requirements, including those for the provision of evidence.
- The Dr. JS Moroka Local Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in the Dr. JS Moroka Local Municipality are managed according to the principles promoted by the National Archives and Records Service.
- The Dr. JS Moroka Local Municipality has performance measures for all records management functions and reviews compliance with these measures.

5. RELATIONSHIP WITH OTHER POLICIES

The Dr. JS Moroka Local Municipality's Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated Dr. JS Moroka Local Municipality. These policies are managed by the records manager. The following policies should be read in conjunction with records management policy:

- Electronic records management policy

- E-mail management policy;
- Disaster Recovery Plan
- Back-up policy
- Document imaging; and
- Web content management policy

Other policies that are closely related to the Records Management Policy are:

- The Information Security Policy which is managed by the Security Manager;
- The intranet and Internet Usage Policy which is managed by the IT Manager; and
- The Promotion of Access to Information Policy which is managed by the CIO.

6. Scope and intended audience

This policy impacts upon Dr. JS Moroka Local Municipality's work practices for all those who:

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

The policy therefore applies to all staff members of the Dr. JS Moroka Local Municipality and covers all records regardless of format, medium or age.

7. APPROVAL OF POLICY

This policy shall be approved by the Council.

8. REVIEW OF THE POLICY

The policy shall be reviewed every two years or when a need arises.

9. REGULATORY FRAMEWORK

By managing its 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:

- 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;
- The Municipal Finance Management Act (Act No. 56 of 2003);
- Promotion of Access to Information Act (Act No 2 of 2000);
- Promotion of Administrative Justice Act (Act No 3 of 2000);
- Mpumalanga Provincial Archives;
- Electronic Communications and Transactions Act (Act No 25 of 2002);

- Protection of Personal Information Act, Act no 13 of 2014; (POPI);
- ISO 15489:9001.
- Protection of State Information Bill; and
- King IV Report on Corporate Governance for South Africa 2016.

10. ROLES AND RESPONSIBILITIES

Table 1-Roles and Responsibilities

Role	Responsibility
<p>The Accounting officer of Dr. JS Moroka Local Municipality</p>	<ul style="list-style-type: none"> • The Municipal Manager is ultimately accountable for the record keeping and records management practices of Dr. JS Moroka Local Municipality • 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. • The Municipal Manager supports the implementation of this policy and requires each staff member to support the values underlying in this policy. • The Municipal Manager shall designate a manager to be the records manager of the Dr .JS 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 Dr. JS Moroka Local Municipality to enable compliance with legislative and regulatory requirements.
<p>Senior managers</p>	<ul style="list-style-type: none"> • Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.

	<ul style="list-style-type: none"> • Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations. • 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 units. •
<p>Deputy Manager: Admin and Corporate Services</p> <p>Executive Manager Admin and Corporate Services</p>	<p>The deputy Manager Admin and Corporate Services is responsible for:</p> <ul style="list-style-type: none"> • The implementation of this policy; • staff awareness regarding this policy; • management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996. • 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; • The manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Municipality; • manager shall ensure that all records created and received by Dr JS Moroka Local Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the National Archives and Records Service.
<p>Deputy Information Officer (“DIO”)</p>	<ul style="list-style-type: none"> • The DIO has been delegated the DIO role by the CEO, in terms of the provisions of PAIA and is responsible for approval of requests for information, as provided for, in PAIA.

Divisional Manager IT.

- The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.
- 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.
- The IT manager shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.
- 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.
- 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.
- The IT manager shall ensure that all data, metadata, audit trail data, 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.
- The IT manager shall ensure that back-ups are stored in a secure off-site environment.

	<ul style="list-style-type: none"> • The IT manager shall ensure that systems that manage and store records are virus free. <p>Comprehensive details regarding specific responsibilities of the IT Manager are contained in:</p> <ul style="list-style-type: none"> ✓ The Electronic Records Management Policy; ✓ The E-mail policy; ✓ The Web content management policy; ✓ Information security policy.
Staff	<ul style="list-style-type: none"> • Every staff member shall create documents of transactions while conducting official business. • Every staff member shall manage those documents efficiently and effectively by: • Allocating reference numbers and subjects to paper-based and electronic documents according to the file plan be Dr JS Moroka Local Muni, for those documents which are deemed to cipality records; and • Applying the provisions of this policy to documents under their control. • ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist. • Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.
Registry staff	<ul style="list-style-type: none"> • The registry staff are responsible for the physical management of the records in their care.

	<ul style="list-style-type: none"> Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual.
Divisional Manager Legal Services	<ul style="list-style-type: none"> The divisional manager legal services is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Dr JS Moroka Local Municipality.
Records Management Business Unit	<ul style="list-style-type: none"> The records management staff are responsible for the management of the physical and electronic records in their care; and Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual and/or the Registry Job Description.

11. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

The Dr. JS Moroka Local Municipality has the following systems that organize and store records:

11.1 Correspondence systems

11.1.1 File plan

- Only the approved file plan shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic records;
- Each staff member shall allocate file reference numbers to all correspondence according to the approved subjects in the file plan; and
- 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.

11.1.2 Storage areas

11.1.2.1 Paper-based files correspondence files are kept in the custody of

- All these records are the property of Dr. JS Moroka Local Municipality and must be managed according to the records management and registry procedures

11.1.2.12 The Central Registry

- All active paper-based correspondence system records that are not personnel Finance and traffic 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.

- All these records are under the management of the records manager who is mandated to ensure that they are managed properly.
- The registry is a secure storage area and only registry staff are allowed in the records storage area;
- Staff members that need access to files in the registry shall place a request for the files with registry staff; and
- The registry shall be locked when registry is not in operation.

11.1.2.1.3 Case files

- 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.
- 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.
- 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 centralise control over all correspondence files in care of the registry department.

11.1.2.1.3 The Human Resources registry

- The general HR subject files as well as HR case files are under the management of the Human Resources Executive Head who is mandated to ensure that they are managed properly; and
- The Dr. JS 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
- 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.

11.2 Schedule for records other than correspondence systems

- 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.
- 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.

11.2.1 Electronic correspondence records are stored in an electronic repository that is maintained by the IT section.

- 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.

11.2.2 Electronic correspondence systems

- Approved electronic repositories (Electronic Document and Records Management System) EDRMS, are maintained by the Information Technology ("IT") Business Unit;
- Records that are only applicable to a specific business system may be stored in that system. Such systems will be formally identified and approved by the Dr. JS Moroka Local Municipality; and
- A list of such systems will be maintained by the Information Technology Business Unit

11.2.3 Storage areas

11.2.3.1 Paper-based

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

11.2.4 Audio visual

- 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

12. Access and security

- Records shall always, be protected against unauthorised access and tampering to protect their authenticity and reliability as evidence of the business of the Dr. JS Moroka Local Municipality;
- No staff member shall provide information and records that are not in the public domain to the public without consulting the records manager . Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Deputy Information Officer;

- Personal information shall be managed in terms of the Protection of Personal Information Act;
- No staff member shall disclose personal information of any member of staff or client of the Dr. JS Moroka Local Municipality to any member of the public without consulting the deputy Manager Admin and Corporate Services;
- Records storage areas shall always be protected against unauthorised access; and The following shall apply:
- Registry and other records storage areas shall be locked when not in use; and
- Access to server rooms and storage areas for electronic records media is controlled and limited to authorised staff.

13. DISPOSAL OF RECORDS

- No Dr. JS Moroka Local Municipality official records shall be destroyed, erased or otherwise disposed of without prior written authorization from the deputy Manager Admin and Corporate Services ;
- The National Archivist has issued Standing Disposal Authority Number for the disposal of records classified against the file plan. The records manager manages the disposal schedule;
- Retention periods indicated on the file plan and schedule will be determined by taking the Dr. JS Moroka Local Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the Records Manager and/or the Legal Services Executive Head should be contacted to discuss a more appropriate retention period;
- The Provincial Archivist must still issue standing disposal authority for the disposal on the schedule of records other than correspondence systems.
- Disposal in terms of these disposal authorities will be executed once a year;
- All disposal actions should be authorised by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently;
- Non-archival records that are needed for litigation, PAIA 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;
- Paper-based archival records shall be safely stored until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be a prescribed by the National Archives in the Records Management Policy manual.

- Personal information in terms of POPIA will be destroyed when the purpose for which it was gathered is fulfilled.

14. STORAGE AND CUSTODY

- All records shall be kept in storage areas that are appropriate for the type of medium; and
- Electronic records will be subject to a digital preservation program to ensure that they remain useable for the length of time that they are required to be kept.

15. TRAINING

- The records manager shall successfully complete the national Archives and Records Services Management Course, as well as any other records management training that would equip him/her for his/her duties.
- 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.
- 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.

16. INSPECTIONS BY THE PROVINCIAL ARCHIVES

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

17. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

The records of Dr. JS Moroka Local Municipality shall at all times contain reliable evidence of business operations. The following shall apply:

17.1 Paper-based records

- No records shall be removed from paper-based files without the explicit permission of the records manager.
- Records that were placed on files shall not be altered in any way.
- No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.
- Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

17.2 Electronic records

The Dr. JS Moroka Local Municipality shall use systems which ensure that its electronic records are:

- Authentic;
- Not altered or tampered with;
- Auditable; and

- Produced in systems which utilize security measures to ensure their integrity.

The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.


17.3 Monitor and review

- The records manager shall review the record keeping and records management practices of Dr. JS Moroka Local Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements Dr. JS Moroka Local Municipality This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Dr. JS Moroka Local Municipality.

Council Resolution: R216.03.2023 ND

Date of Approval: 30th March 2023

Accounting Officer Signature:



A handwritten signature in black ink is written over a horizontal line. The signature is stylized and appears to consist of the letters 'mg' followed by a vertical stroke.