

ABAQULUSI MUNICIPALITY



RECORDS MANAGEMENT POLICY

TABLE OF CONTENTS

	Page
1. Introduction	3
2. Legal Framework	3
3. Definitions	4-5
4. Relationship with other policies	6
5. Scope and intended audience	6
6. Roles and Responsibilities	6-11
Correspondence Systems	11-12
7. Storage areas	12
8. Records other than correspondence systems	13-14
9. Disposal of Records	15
10. Storage and Custody	16
11. Access and Security	16
12. Legal Acceptability and Evidential Weight	17
13. Training	18
14. Monitoring and Review	18

1. INTRODUCTION

- 1.1 This policy shall form a fundamental basis for efficient administration; good governance; accountability and protection of the rights of the community and other stakeholders of the Municipality;
- 1.2 It is through this policy that section 13 of the National Archives and Records Service Act of South Africa, No 43. of 1996 must be complied with;
- 1.3 All records created or received during execution of municipal functions, including electronic records, are public records which must be managed according to this policy;
- 1.4 Abaqulusi Municipality intends to achieve the following through adoption of this policy:-
 - Easy and comprehensive access to records;
 - Ability to support the business; legal and accountability requirements;
 - Protection of interests and rights of employees; clients and present and future stakeholders of the Municipality;
 - Availability of evidence of business;
 - Control of the content; storage and volume of records in order to reduce vulnerability, to legal challenge or financial loss.

2 LEGAL FRAMEWORK

Constitution of the Republic of South Africa Act (Act 108 of 1996)

Kwazulu-Natal Archives and Records Services Act (Act 8 of 2011)

National Archives and Records Services Act (Act 43 of 1996)

Promotion of Access to Information Act (Act 2 of 2002)

Protection of Personal Information Act (Act 4 of 2013)

3 **DEFINITIONS**

- 3.1 **Archives Repository-** means archives repositories contemplated in section 20 of the Kwazulu-Natal Archives Repository;
- 3.2 **Appraisal-** means the process of determining the value and thus the final disposal of records and decision regarding the preservation of each record or series of records;
- 3.3 **archival value-** means those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records;
- 3.4 **closed volume-** means volumes of records in a current paper-based file plan that have reached a thickness of 3cm or have become full after which a new volume has been opened;
- 3.5 **correspondence-** means a set of paper based and electronic communications and associated documents sent, received, generated, processed and stored during the conduct of business;
- 3.6 **deputy information officer-** is the person in the municipality appointed by the accounting officer in terms of section 17 (1) and duly authorised in terms of section 17 (3) and section 17(6)(a) of the Promotion of Access to information Act (Act 2 of 2000) to facilitate access to municipal records as per the adopted Council PAIA manual;
- 3.7 **disposal-** means the action of either destroying or deleting a record or transferring it into archival custody;
- 3.8 **disposal authority-** means a written authority issued by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed or deleted or otherwise disposed of.
- 3.9 **disposal authority number-** means a unique number identifying each disposal authority issued to Abaqulusi Municipality;
- 3.10 **EDMS-** means an electronic document management system that provides the ability to capture, describe, categorize, store, retrieve, share and reuse electronic documents regardless of specific format;

- 3.11 **electronic records-** means information which is generated electronically and stored by means of computer technology;
- 3.12 **employee-** means any person who receive remuneration by conducting any work or business for the municipality as the employer
- 3.13 **essential records-** means records protecting the legal, financial and property and other rights of the Municipality and citizens of the country and/or records needed to continue operational responsibilities under disaster conditions.
- 3.14 **file plan-** means a pre-determined classification plan by which records are filed and or electronically indexed to facilitate efficient retrieval and disposal of records;
- 3.15 **file reference-** means a numerical identifier used to link a record to its specific subject file and subject grouping;
- 3.16 **municipality-** means AbaQulusi Municipality;
- 3.17 **non-archival records-** means records with short lived interest or usefulness;
- 3.18 **retention period-** means the length of time that records should be retained by the Municipality before they are either transferred into archival custody or destroyed or deleted. In EDMS, it means 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.
- 3.19 **scheduled-** means records in respect of which a written disposal authority has been issued and which are due for disposal on a specific date;
- 3.20 **SPM-** means the system procedure manual containing all procedures relating to the operation and use of the electronic system, covering among other things, document scanning; indexing file transmission and date and time stamps and
- 3.21 **terminated records-** means records which were created or received by the Municipality and which were managed by a records classification system no longer in use;

4 RELATIONSHIP WITH OTHER POLICIES

- 4.1 This policy shall tally with policies or entrenched practices relating to website management; information security and internet usage and
- 4.2 This policy shall serve to support the administrative functioning of the Municipality in relation to enhancing easy retrieval and utilization of other policies as adopted by council from time to time.

5 SCOPE AND INTENDED AUDIENCE

- 5.1 Work practices of all who create or receive; have access to, have management and other responsibilities pertaining to records are regulated by this policy;
- 5.2 This policy applies to all employees of the Municipality and covers all records irrespective of format, medium or age.

6 ROLES AND RESPONSIBILITIES

6.1 MUNICIPAL MANAGER

- 6.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of the Municipality;
- 6.1.2 The Municipal Manager as the accounting officer must designate a records manager in terms of section 18(8) of the Kwazulu-Natal Archives and Records Services Act (Act 8 of 2011)
- 6.1.3 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 and

6.1.4 The Municipal Manager supports the implementation of this policy and requires each employee to support the values underlying this policy.

6.2 **DIRECTORS**

6.2.1 Directors are responsible for the implementation of this policy in their respective departments or directorates;

6.2.2 Directors shall lead by example and shall themselves maintain good record keeping and records management practices;

6.2.3 Directors shall ensure that all employees are made aware of their recording, keeping and records management responsibilities and obligations and

6.2.4 Directors shall ensure that the management of records, including e-mails, is a key responsibility in the performance agreements, if concluded, of all the staff in their departments.

6.3 **RECORDS MANAGER**

6.3.1 The records manager is responsible for:-

- the implementation of this policy;
- staff awareness regarding this policy;
- the management of all records according to the records management principles contained in the Kwazulu-Natal Archives and Records Services Act, 2011 and its regulations as published in Provincial Gazette 1047 of 4 November 2013.
- The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the municipality to maintain record of transactions.

- 6.3.2 The records manager is mandated to make such training and other interventions as necessary, to ensure that the Municipal record keeping and records management practices comply with the records management principles contained in the Kwazulu-Natal Archives and Records Services Act, 2011
- 6.3.3 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Municipality.
- 6.3.4 The records 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 National Archives and Records Service should necessity arises.

6.4 **INFORMATION OFFICER**

- 6.4.1 The Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act;
- 6.4.2 The Information Officer will designate a Deputy Information Officer in terms of the Promotion of Access to Information Act 2 of 2000. The Deputy Information officer must perform all functions as delegated in terms of Section 17 of the Act.
- 6.4.3 The Deputy Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal; and

6.5 **IT MANAGER**

- 6.5.1 The IT Manager is responsible for the day-to-day maintenance of electronic systems that stores records;
- 6.5.2 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;

- 6.5.3 The IT Manager shall ensure that appropriate SPM is designed for each electronic system that manages and stores records;
- 6.5.4 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;
- 6.5.5 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;
- 6.5.6 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 necessity arise;
- 6.5.7 The IT Manager shall ensure that back-ups are stored in a secure off-site environment; and
- 6.5.8 The IT Manager shall ensure that systems that manage and store records are virus free.
- 6.5.9 The IT Manager shall migrate all electronic data from old devices to new reliable long term storage technology as and when necessary.

6.6 **ADMINISTRATIVE SERVICES MANAGER**

- 6.6.1 The administrative services manager is responsible for keeping the Records Manager updated about developments in administrative and statutory environment that may impact on the record keeping and records management practices of the Municipality
- 6.6.2 The registry procedure manual will be compiled by the Administrative Services Manager and shall be made available to all members of staff to ensure that they are conversant with

the proper registry procedures to enable them to support the registry to function properly; and

6.6.3 The Manager General Administration is the administrative services manager in terms of this policy.

6.7 **SECURITY MANAGER**

6.7.1 The security manager is responsible for the physical security of all records.

6.7.2 The Senior Administration Officer is the designated security manager for records, and he/she must be responsible for among other things, the following:-

6.7.2.1 opening of files and replacement of worn covers;

6.7.2.2 responsible for noting the correct reference number on all incoming correspondence and other material;

6.7.2.3 responsible for the correct and neat filing of all material;

6.7.2.4 keeps control over the filing to prevent unnecessary duplicates or bulky items being placed on the files;

6.7.2.5 responsible for the custody and keeping of

- a register of files opened;
- a destruction register; and
- a register of authorities.

6.7.2.6 Responsible for all amendments/additions being brought to the notice of interested parties;

6.7.2.7 Responsible for the closure of records;

6.7.2.8 Control the receipt and opening of post;

6.7.2.9 The recording of moneys and valuable documents that are received;

6.7.2.10 The tracing of files;

6.7.2.11 The dispatch of outgoing items;

6.7.2.12 The training of registry personnel.

6.8 **REGISTRY STAFF**

6.8.1 The registry staff are responsible for the physical management of the records in their care.

6.8.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual.

6.9 **OTHER EMPLOYEES**

6.9.1 Every employee shall create records of transactions while conducting official business;

6.9.2 Every employee shall manage those records efficiently and effectively by:-

- allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
- filing the paper-based records;
- ensuring that records are not destroyed/ deleted without prior written disposal authority issued by the KwaZulu-Natal Provincial Archivist; and

6.9.3 Records management responsibilities shall be written into the performance agreements, if applicable, of all employees to ensure that they are evaluated on their records management responsibilities.

6 **CORRESPONDENCE SYSTEMS**

6.10 File plan

6.1.1 Only the file plan approved on 24 October 2002 and implemented on 01 October 2003 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.

6.1.2 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.

6.1.3 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.

6.1.4 Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager.

7 STORAGE AREAS

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

7.1.1 The Main Registry

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

7.1.1.2 The registry is a secure storage area and only registry staff are allowed in the records storage area;

7.1.1.3 Employees who need access to files in the registry shall place a request for the files at the counter; and

7.1.1.4 The registry shall be locked when it is not in operation.

7.1.2 The Human Resources Registry

7.1.2.1 All Human Resources related records are housed in the HR Registry;

7.1.2.2 The general HR subject files as well as HR case files are under the management of the

records manager who is mandated to ensure that they are managed properly;

7.1.2.3 The municipality maintains a set of paper-based case files for each employee and, these files are confidential in nature and are housed in a secure storage area in the HR registry;

7.1.2.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the records manager; and

7.1.2.5 The files which exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System.

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

7.2.1 Access to storage areas where electronic records are stored is limited to the Information Technology employees who have specific duties regarding the maintenance of the hardware, software and media.

8 **RECORDS OTHER THAN CORRESPONDENCE SYSTEMS**

8.1 **Schedule for records other than correspondence systems**

8.1.1 The records manager must maintain an approved records control schedule of all records other than the correspondence files.

8.1.2 The schedule is approved by the Provincial Archivist and contains a description of each set of records other than the correspondence files and indicates the storage location and retention periods of these records irrespective of shape or form.

- 8.1.3 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.

8.2 **Storage areas**

8.2.1 **Paper-based**

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

- 8.2.1.2 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:-

- **Audio-visual records**

The municipality must file these records only at the main registry. These records are under the control of the records manager who is mandated to ensure that they are managed properly.

8.2.2 **Electronic systems other than the correspondence systems**

- 8.2.2.1 The Municipality has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records;
- 8.2.2.2 The IT manager is responsible for the day-to-day maintenance of these systems; and
- 8.2.2.3 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 **DISPOSAL OF RECORDS**

- 9.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist;
- 9.2 The Provincial Archivist may issue Standing Disposal Authority for the disposal of records.
- 9.3 Retention periods indicated on the file plan and schedule were determined by taking Municipality's legal obligations and functional needs into account, and should an employee disagree with the allocated retention periods, the records manager should be consulted to discuss a more appropriate retention period;
- 9.4 Disposal in terms of these disposal authorities will be executed annually;
- 9.5 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently;
- 9.6 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 Records manager has indicated that the destruction hold can be lifted;
- 9.7 Paper-based archival records shall be safely kept in archival records storage situated at the head office, first floor until they are due to transfer to the Provincial Archives Repository, as per the prescribed Transfer procedures; and
- 9.8 The records manager manages the disposal schedule.
- 9.9 The records manager maintains and updates the register of authorities listing all disposal instructions that has been issued and executed.

10 **STORAGE AND CUSTODY**

- 10.1 All records shall be kept in storage areas that are appropriate for the type of medium; and
- 10.2 Electronic records must be stored off-line on electronic document management server.

11 **ACCESS AND SECURITY**

- 11.1 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;
- 11.2 Security classified records shall be managed with extra care;
- 11.3 No employee shall remove records that are not available in the public domain from the premises of the Municipality without the explicit permission of the records manager;
- 11.4 No employee shall provide information and records that are not in the public domain to the public without consulting the Information Officer;
- 11.5 Personal information shall be managed in terms of the Protection of Personal Information Act that specifically deal with the retention and use of personal information;
- 11.6 No employee shall disclose personal information of any member of staff or client of the Municipality to any member of the public without firstly consulting the Information Officer;
- 11.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata;
- 11.8 Registry and other records storage areas shall be locked when not in use;
- 11.9 Access to server rooms and storage areas for electronic records media shall be managed with key card access.

12 **LEGAL ACCEPTABILITY AND EVIDENTIAL WEIGHT**

12.1 The records of the Municipality shall at all times contain reliable evidence of business operations, and the following shall apply:

12.1.1 **Paper-based records**

- 12.1.1.1 No records shall be removed from paper-based files without the explicit permission of the records manager;
- 12.1.1.2 Records that were placed on files shall not be altered in any way;
- 12.1.1.3 No alternations of any kind shall be made to records other than correspondence files without explicit permission of the records manager; and
- 12.1.1.4 Should evidence be obtained of tampering with records, the employee involved shall be subjected to disciplinary action.

12.1.2 **Electronic records**

- 12.1.2.1 The 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 measure to ensure their integrity; and
- 12.1.2.2 Specific information regarding the metadata and audit trail should be captured to ensure that records are authentic.

13 **TRAINING**

- 13.1 The records manager shall successfully complete the Provincial 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;
- 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 are trained appropriately; and
- 13.3 The records manager shall ensure that all employees are aware of the records management policies and shall conduct or arrange such training as necessary for the employees to equip them for their records management duties.

14 **MONITORING AND REVIEW**

- 14.1 The records manager shall review the record keeping and records management practices of the Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Municipality; and
- 14.2 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 the Municipality.