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KGATELOPELE LOCAL MUNICIPALITY

RECORD MANAGEMENT POLICY



KGATELOPELE LOCAL MUNICIPALITY

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RECORDS MANAGEMENT POLICY

1. PREAMBLE

Accountability, transparency and good governance are the bedrock on which all efforts to realise democracy depend. Sound records management is of vital importance in the realisation of these ideals. It is the foundation any government needs to provide services, to fulfil its obligations 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 Service of South Africa Act, 1996 requires the Kgatelopele 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 Kgatelopele 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. Kgatelopele Municipality considers its records to be valuable assets to:

- (a) Enable Kgatelopele Local Municipality to find the right information easily and comprehensively.
- (b) Enable Kgatelopele Municipality to perform its functions successfully and efficiently and in an accountable manner.
- (c) Support the business, legal and accountability requirements of the Municipality.
- (d) Ensure the conduct of business in an orderly, efficient and accountable manner,
- (e) Ensure the consistent delivery of services,
- (f) Support and document policy information and administrative decision-making,
- (g) Protect the interests of Kgatelopele Local Municipality and the rights of the employees, clients and present and future stakeholders
- (h) Support additional document for the Municipality's activities, development and achievements;
- (i) Provide evidence of business in the context of cultural identity ad collective memory;
- (j) To eliminate unnecessary duplication of records; and
- (k) 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 ordination of information and storage systems.

3. OBJECTIVES

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

4. SCOPE

4.1. This policy impacts upon Kgatelopele 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

5. LEGAL FRAMEWORK

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

- (a) Constitution, 1996;
- (b) National Archives and Records Service of South Africa Regulations Act (Act No. 43 of 1996 as amended);
- (c) National Archives and Records Service of South Africa Regulations;
- (d) Public Finance Management 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).

6. TIMEFRAMES

This Policy comes into operation immediately upon its approval by the Council sitting or at a date determined by Council resolution. The Policy will thereafter be reviewed after every twelve months or regularly as circumstances or enabling legislation dictate.

7. DEFINITIONS

- (a) **Archives repository-** The building in which records with archival value are preserved permanently.

- (b) **Authentic records-** They are records that can be proven to be what they support to be. They are also records that are considered by the creators to be their official record
- (c) **Authoritative records-** They are records that are authentic, reliable, trustworthy and usable and are complete and unaltered.
- (d) **Correspondence system-** A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.
- (e) **Custody-** The control of records based upon their physical possession.
- (f) **Disposal authority-** A written authority issued by the National/Provincial Archivist specifying which records should be destroyed/deleted or otherwise disposed of:
- (g) **Disposal authority number-** A unique number identifying each disposal authority issued to a specific office.
- (h) **Electronic records-** Information which is generated electronically and stored by means of computer technology. Electronic records other than the correspondence system.
- (i) **Electronic records system-**This is the collective noun for all components of an electronic information system, namely: electronic media as well as all connected items such as source documents, output information, software applications, programmes and metadata (background and technical information i.r.o. the information stored electronically and in hard copy. All these components are defined as records by the Act. They must therefore be dealt with in accordance with the Act's provisions.
- (j) **File plan-** A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.
- (k) **File reference number –** A unique identifier for a file which is used to link a record to its specific subject file and subject grouping;
- (l) **Filing system-** 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.
- (m) **Non-archival records-** Records with a short lived interest or usefulness.
- (n) **Public record-** A record created or received by a governmental body pursuant to its activities, regardless of form or medium.
- (o) **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.
- (p) **Record-** Recorded information regardless of form or medium
 - Evidence of a transaction, preserved for the evidential information it contains.

- (q) **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.
- (r) **Recording**- Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.
- (s) **Record keeping**- Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
- (t) **Records officer/manager** – An official designated by the Municipal Manager in terms of section 13 of the National Archives and Records of South Africa Regulations Act No. 43 of 1996
- (u) **Records management**- 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.

(u) **Schedule of records other than correspondence systems**

A control mechanism for record 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.

(v) **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

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

A systems procedure manual should be updated when new releases force new procedures.

8. PRINCIPLES

8.1 All records created and received by the Municipality shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.

8.2 The following broad principles apply to the record keeping and records management practices of Kgatelopele Municipality:

- (a) The Kgatelopele Local Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records;
- (b) The records management procedures of Kgatelopele Local Municipality comply with the legal requirements, including those for the provision of evidence.
- (c) The Kgatelopele Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- (d) Electronic records in the Kgatelopele Municipality are managed according to the principles promoted by the National Archives and Records Service.
- (e) The Municipality has performance measures for all records management function's and reviews compliance with these measures.

9. ROLES AND RESPONSIBILITIES

9.1 Municipal Manager

- 9.1.1 The Municipal Manager is ultimately accountable for the record keeping and records Management practices of Kgatelopele Local Municipality.
- 9.1.2 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.
- 9.1.3 The Municipal Manager supports the implementation of this policy and requires each staff to support the values underlying in this policy.
- 9.1.4 The Municipal Manager shall designate a senior manager to be the records manager of Kgatelopele Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of Kgatelopele Municipality to enable compliance with legislative and regulatory requirements.
- 9.1.5 The Municipal Manager is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.
- 9.1.6 The Municipal Manager shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.
- 9.1.7 The Municipal Manager shall designate Records Manager and sub – records managers in terms of section 13 (5) of the National Archives of South Africa Act 46 of 1996.

9.2 Senior Managers

- 9.2.2 Senior Managers are responsible for the implementation of this policy in their respective units.
- 9.2.3 Senior managers shall lead by example and shall themselves maintain good record keeping and records management responsibilities and obligations.
- 9.2.4 Senior management shall ensure that all staff are made aware of their record keeping and records management practices.
- 9.2.5 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.

9.3 Records Manager

- 9.3.2 The records manager is responsible for:
 - a. The implementation of this policy;
 - b. Staff awareness of this policy;
 - c. Staff management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.

- d. 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.

9.3.3 The specific duties of the records manager are contained in the Records Manager's job description which is published on the internet [give URL]/ filed on file Kgatelopele Municipality's (file plan number).

9.3.4 The records manager is mandated to make such training and other interventions as are necessary to ensure that the Kgatelopele Municipality's record keeping and record's management practices comply with the records management principles contained in the National Archives and Records Service Act.

9.3.5 The records officer may from time to time issue circulars and instructions regarding the record keeping and records management practices of the Municipality.

9.3.6 The records officer 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 Services.

9.3.7 The Records Officer is the records manager for the whole Kgatelopele Local Municipality.

9.4 IT Officer

9.4.1 The IT officer is responsible for the day-to-day maintenance of electronic systems that stores records.

9.4.2 The IT officer shall work in conjunction with Records Administrator 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.

9.4.3 The IT officer shall ensure that appropriate *systems technical manuals and systems procedures manuals* are designed for each electronic system that manages and stores records.

9.4.4 The IT officer ensure that all electronic systems capture appropriate systems generated metadata and audit trail for all electronic systems to ensure that authentic and reliable records are created.

9.4.5 The IT officer 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.

9.4.6 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, authentic, reliable and accessible records should a disaster occur.

- 9.4.7 The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- 9.4.8 The IT manager shall ensure that systems that manage and store records are virus free.
- 9.4.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in:
- a. The electronic Records Management Policy;
 - b. The e-mail policy;
 - c. The Web content management policy;
 - d. Information security policy.

9.5 Administration Officer

- 9.5.1 The Administration Manager is responsible for the physical security of all records.
- 9.5.2 Details regarding the specific responsibilities of the Administration Officer are contained in the information security policy.

9.6 Legal Services Matters

- 9.6.1 The Legal Services manager is responsible for keeping the Records Administrator updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of the Municipality.

9.7 Registry Staff

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

9.8 Staff

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

9.8.3 Records Management responsibilities shall be written into the performance agreements of all staff members to ensure that staff is evaluated on their records management responsibilities.

10. POLICY DIRECTIVES AND PROCEDURE

10.1 Records classification systems and related storage areas

Kgatelopele Local Municipality has the following systems that organise and store records:

10.1.1 Correspondence Systems

10.1.1.1 File plan

- (a) Only the file plan approved on (date) and implemented on (date) 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.
- (b) Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the [Name of the system] procedures manual filed on the file [file number] More specific guidance regarding the classification of e – mail is contained in the E – Mail Management Policy that is filed on (file number)
- (c) Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- (d) When correspondence is created/received for which no subject exists in the file plan, the Records Administrator 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 Administrator. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in the [name of system] procedures manual that is filed on file number.....

10.1.1.2 Storage areas

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

10.1.1.2.1.1 The central registry

- (a) All paper based correspondence system records that are not HR related are housed in the central registry.

- (b) All these records are under the management of the Records Administrator who is mandated to ensure that they are managed properly.
- (c) The registry is a secure storage area and only registry staff is allowed in the records storage area.
- (d) Staff members that need access to files in the registry shall place a request for the files at the counter. Records can only be made accessible upon completion of control card.
- (e) The registry shall be locked when registry is not in operation.

10.1.1.2.1.2 The Human Resources(HR) registry

- (a) All Human Resources related records are housed in the HR Registry.
- (b) The general HR subject files as well as HR case files are under the management of HR Manager who is mandated to ensure that they are managed properly.
- (c) The 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 HR registry.
- (d) The case files are managed as part of the list of Series of Separate case Files that is maintained and managed by the HR Officials.
- (e) The files 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.

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

- (a) 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 the media.

10.1.2 Records other than correspondence systems.

10.1.2.1 Schedule for records other correspondence systems.

- (a) The Records Administrator 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. The schedule is filed on (file number).
- (b) Should records be created/received that are not listed in the schedule, the Records Administrator should be contacted to add the records to the schedule

10.1.2.2 Storage areas

(a) **Paper based**

- (a) 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. [list of the sets to be placed here].
- (b) These records are under the control of the Records Administrator who is mandated to ensure that they are managed properly.

(b) **Micrographic records**

- (a) The Municipality has the following sets of microfilmed records that are stored in the [name of the storage area] (list of the sets of records to be placed here).

10.1.2.3 Audio – visual records

- (a) Kgatelopele Local Municipality has the following sets of audio visual records that are stored in the (name of storage area). (list to be placed here)
- (b) These records are under the control of the Records Administrator who is mandated to ensure that they are managed properly.

10.1.3 Electronic systems other than the correspondence systems

- (a) Kgatelopele Local 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. **[List the sets of records here]**
- (b) The IT Manager is responsible for the day-to-day maintenance of these systems.
- (c) The records maintained in these systems are under the control of the Records Administrator who is mandated to ensure that they are managed properly.
- (d) Detailed guidance regarding the management of these systems is contained in the Electronic Records Management Policy.

10.2 Disposal of records

- (a) No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorisation from the National Archivist
- (b) The National activist has issued Standing Disposal Authority Number [add number] for the disposal of records classified against the file plan. The Records Administrator manages the disposal schedule.
- (c) The National Archivist issued Standing Disposal Authority Number [add number] on the schedule of records other than correspondence systems. The Records Administrator manages the disposal schedule of records correspondence systems. The records manager the disposal schedule.
- (d) Retention periods indicated on the file plan and schedule were determined by taking Kgatelopele Local Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the Records Administrator should be contacted to discuss a more appropriate retention period.
- (e) Disposal in terms of these disposal authorities will be executed annually in December.
- (f) All disposal actions should be authorised by the Records Administrator prior to their execution to ensure that archival records are not destroyed inadvertently.
- (g) Non-archival records that are needed for litigations, 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 the destruction hold can be lifted.
- (h) Paper-based archival records shall be safely kept in **[storage area]** until they are due to transfer to the National Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the Records Management Policy Manual.
- (i) Specific guidelines regarding the procedure to dispose of electronic records are Contained in the Electronic Records Management Policy.

10.3 Storage and custody

- (a) See Par. 10.1 for an identification of all record keeping systems and their storage locations.

- (b) All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.
- (c) Specific policies for the management of electronic of electronic storage media are contained in the Electronic Records Management Policy.

10.4 Access and security

- (a) Records shall at all times be protected against unauthorised access and tampering to protect their authenticity and reliability as evidence of the business of Kgatelopele Municipality.
- (b) Security classified records shall be managed in terms of the Information System Policy which is available from the (information security manager)
- (c) 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 Records Manager in consultation with (information security manager).
- (d) No staff member shall provide information and records that are not in the public domain to the consulting the Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Section 14 Manual which is maintained by the Information Officer.
- (e) Personal information shall be managed in terms of the Promotion of Access to Information Act until such time specific protection of privacy legislation is enacted.
- (f) No staff member shall disclose personal information of any member of staff or client of Kgatelopele Municipality to any member of the public without consulting the Information Officer.
- (g) An audit shall be logged of all attempts to alter/edit electronic records and their metadata.
- (h) Records storage areas shall at all times be protected against unauthorised access. The following shall apply:
 - (i) Registry and other records storage areas shall be locked when not in use.
 - (j) Access to server rooms and storage arrears for electronic records media shall be managed with key card access.

10.5 Legal admissibility and evidential weight.

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

10.5.1 Paper-based record

- (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 alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Record Manager.
- (d) Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

10.5.2 Electronic records

- (a) The Kgatelopele Municipality shall use systems which ensure that its electronic Records are:
 - (i) Authentic;
 - (ii) Not altered or tampered with;
 - (iii) Auditable; and
 - (iv) Produced in systems which utilise security measures to ensure their integrity.
- (b) 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.

10.6 Training

- (a) The records/registry officer 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 for his/her duties.
- (b) The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that registry staff are trained appropriately.
- (c) The records officer 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. EVALUATION CRITERIA

- 11.1 The records manager shall review the record keeping and records management practices of Kgatelopele Municipality on a regular basis and shall adapt them appropriately to ensure that they meet business and service delivery requirements of Kgatelopele Local Municipality.
- 11.2 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.

12. RELATIVE POLICIES

12.1 The Kgatelopele 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 by Kgatelopele Local Municipality. These policies are management by the records manager. The following parts exist:

- (a) Electronic records management policy
- (b) E-mail policy;
- (c) Document imaging policy; and
- (d) Web content management policy.

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

- (a) The Information security Policy which is managed by the security Manager;
- (b) The internet Usage Policy which is managed by the IT Manager; and the
- (c) The Promotion of Access to Information Manual (Policy) which is managed by the Municipal Manager (Information Officer).

13. POLICIES REPEALED

This Policy repeals all previously adopted Council resolutions on any matters herein addressed.

14. REVIEW AND IMPLEMENTATION PROCESS

This policy will stay into effect from 1 July 2016;

This policy will be reviewed at least annually or when required by way of a Council resolution.

POLICY SECTION:	ADMIN OFFICER
CURRENT UPDATE:	31 May 2016
APPROVAL BY COUNCIL:	31 May 2015