

MARULENG LOCAL MUNICIPALITY



RECORDS MANAGEMENT POLICY

DOCUMENT APPROVAL

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1. PURPOSE

- 1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Maruleng 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 Maruleng 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. Maruleng Local Municipality considers its records to be a valuable asset to:
 - enable Maruleng Local Municipality to find the right information easily and comprehensively;
 - enable Maruleng Local Municipality to perform its functions successfully and efficiently and in an accountable manner;
 - support the business, legal and accountability requirements of Maruleng 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 Maruleng Local Municipality and the rights of employees, clients and present and future stakeholders;
 - support and document the Maruleng 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.
- 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 Maruleng 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 applies to the record keeping and records management practices of Maruleng Local Municipality:

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

3. RELATIONSHIP WITH OTHER POLICIES

3.1 The Maruleng 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 by Maruleng Local Municipality. These policies are managed by the Manager IT . The following parts exist:

- Information Technology (IT) related policies:
 - Internet, computer network and electronic appliances usage policy
 - Server security policy and procedure
 - Password security policy and procedure
 - Back-up policy and procedure
 - E-mail record management policy and procedure
 - Telephone and Fax policy
 - Allocation of movable IT devices policy and procedure

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

- The Information Security Policy which is managed by the Manager IT.
- The Document Security Policy which is managed by the Manager Admin

4. SCOPE AND INTENDED AUDIENCE

4.1 This policy impacts upon Maruleng Local Municipality 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 of these activities; or manage, or have design input into, information technology infrastructure

- 4.2 The policy therefore applies to all staff members of the Maruleng Local Municipality and covers all records regardless of format, medium or age.

5. REGULATORY FRAMEWORK

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

- Constitution, 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;
- Electronic Communications and Transactions Act, Act No 25 of 2002.
- Protection of Personal Information Act No. 4 of 2013

6. ROLES AND RESPONSIBILITIES

6.1 Head of Maruleng Local Municipality

- 6.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of Maruleng Local Municipality.
- 6.1.2 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
- 6.1.3 The Municipal Manager supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 6.1.4 The Municipal Manager shall designate a senior manager to be the Records Manager of the Maruleng Local Municipality that is the Manager Admin, and shall mandate the Manager Admin to perform such duties as are necessary to enhance the record keeping and records management practices of the Maruleng Local Municipality to enable compliance with legislative and regulatory requirements.

6.2 Senior managers

- 6.2.1 Senior managers are responsible for the implementation of this policy in their respective units.

- 6.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 6.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

6.3 **Manager Admin – designated Records Manager**

- 6.3.1 The Manager Admin 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 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
- 6.3.2 The specific duties of the records manager are contained in the Records Manager's job description which is published on www.national.archives.gov.za, Records Management Publications and filed in file 4/1/1/2 V.1
- 6.3.3 The records manager is mandated to make such training and other interventions as are necessary to ensure that the Maruleng Local Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
- 6.3.4 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Maruleng Local Municipality.
- 6.3.5 The records manager shall ensure that all records created and received by Maruleng Local 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 Services.
- 6.3.6 The Manager Admin is the records manager for the Maruleng Local Municipality.

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 shall inform the records personnel if a request for information necessitates a disposal hold to be placed on records that are due for disposal.
- 6.4.3 The Manager ICT is responsible for the day-to-day maintenance of electronic systems that stores records.
- 6.4.4 The Manager ICT 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.
- 6.4.5 The Manager ICT shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.
- 6.4.6 The Manager ICT 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.
- 6.4.7 The Manager ICT 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.
- 6.4.8 The Manager ICT 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.
- 6.4.9 The Manager ICT shall ensure that back-ups are stored in a secure off-site environment.
- 6.4.10 The Manager ICT shall ensure that systems that manage and store records are virus free.
- 6.4.11 The Manager ICT is responsible for the physical security of all records
- 6.4.12 The Information Security Policy contains all the details regarding the specific responsibilities of the ICT Supervisor.

6.4.13 Comprehensive details regarding specific responsibilities of the Manager ICT are contained in the Information and Communication Technology (ICT) Related Policies

6.5 Legal officer

6.5.1 The Legal Officer is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may have impact on the record keeping and records management practices of Maruleng Local Municipality.

6.6 Registry staff

6.6.1 The registry staff is responsible for the physical management of the records in their care.

6.6.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Records Management Procedure Manual

6.7 Staff

6.7.1 Every staff member shall create records of transactions while conducting official business.

6.7.2 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 Provincial Archivist.

7. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

The Maruleng Local Municipality has the following systems that organize and store records:

7.1 Correspondence systems

7.1.1 File plan

7.1.1.1 Only the file plan approved on 15 January 2008 and implemented on 01 February 2008 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.

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

7.1.1.3 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. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in the Information Technology (IT) Related Policies which is filed on file 2/7/P V.1

7.1.2 **Storage areas**

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

7.1.2.1.1 **The central registry**

7.1.2.1.1.1 All paper-based correspondence system records that are not personnel and traffic related are housed in the central registry. Personnel related paper-based correspondence are kept in the Human Resource Department and Traffic related paper-based correspondence are kept in Traffic Department.

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

7.1.2.1.1.3 The registry is a secure storage area and only registry staff are allowed in the records storage area.

7.1.2.1.1.4 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.

7.1.2.1.1.5 **Case files**

- 7.1.2.1.1.5.1 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.
- 7.1.2.1.1.5.2 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.
- 7.1.2.1.1.5.3 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
- 7.1.2.1.1.6 The registry shall be locked when registry is not in operation.

7.1.2.1.2 The Human Resources registry

- 7.1.2.1.2.1 Maruleng 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 office.
- 7.1.2.1.2.2 The Human Resource case files are under the management of the Manager Human Resources who is mandated to ensure that they are managed properly.
- 7.1.2.1.2.3 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.

7.1.2.2 Electronic correspondence records

- 7.1.2.2.1 Stored in an electronic repository that is maintained by the ICT Division.

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

7.2 **Records other than correspondence systems**

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

7.2.1.1 The records manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.

7.2.1.2 Should records be created/received that are not listed in the schedule, the records manager should be contacted to add the records to the schedule.

7.2.2 **Storage areas**

7.2.2.1 **Paper-based**

7.2.2.1.1 The Maruleng Local 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
- * Human Resource – kept in human resource department
- * Licences and Road Traffic – kept in the traffic department
- * Stores – kept in the stores department

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

7.2.2.2 **Audio visual**

7.2.2.2.1 The Maruleng Local Municipality has the following sets of audio-visual records that are stored in the strong room:

Tape Cassettes:

For Council meetings
For Disciplinary hearings
Miscellaneous

Videos:
Miscellaneous

CDs:
Miscellaneous

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

7.2.2.3 **Electronic systems other than the correspondence systems**

7.2.2.3.1 The Maruleng 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

These are:
Munsoft
Sage VIP

7.2.2.3.2 The Manager ICT is responsible for the day-to-day maintenance of these systems.

7.2.2.3.3 The records maintained in the Software System are under the control of the Records Manager who is mandated to ensure that they are managed properly.

8. DISPOSAL OF RECORDS

8.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization for the Provincial Archivist.

8.2 The Provincial Archivist has issued Standing disposal Authority Number for the disposal of records classified against the file plan. The records manager manages the disposal schedule.

8.3 The Provincial Archivist issued Standing Disposal Authority Number on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

- 8.4 Retention periods indicated on the file plan and schedule were determined by taking Maruleng Local Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.
- 8.5 Disposal in terms of these disposal authorities will be executed annually during December.
- 8.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 8.7 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 Admin has indicated that the destruction hold can be lifted.
- 8.8 Paper-based archival records shall be safely kept in the archive store room on the premises of Maruleng Local Municipality until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the Provincial Archives in the Records Management Procedure Manual.

9. STORAGE AND CUSTODY

- 9.1 All records shall be kept in storage areas that are appropriate for the type of medium using the guidelines of the National Archives and Records Services.

10. ACCESS AND SECURITY

- 10.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Maruleng Local Municipality
- 10.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the Manager Admin.
- 10.3 No staff member shall remove records that are not available in the public domain from the premises of Maruleng Local Municipality without the explicit permission of the records manager.
- 10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Manager Admin. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Manager Admin.

- 10.5 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.
- 10.6 No staff member shall disclose personal information of any member of staff or client of Maruleng Local Municipality to any member of the public without consulting the Manager Admin first.
- 10.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.
- 10.8 Records storage areas shall at all times be protected against unauthorized access. The following shall apply:
 - 10.8.1 Registry and other records storage areas shall be locked when not in use.
 - 10.8.2 Access to server rooms and storage areas for electronic records media shall be managed with a security door lock system. The key issued to the IT manager and the spare key locked in the strong room.

11. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

11.1.1 Paper-based records

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

11.1.2 Electronic records

- 11.1.2.1 The Maruleng 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

11.1.2.2 The Information Technology (IT) Related Policies contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

12. TRAINING

12.1 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 for his duties.

12.2 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.

12.3 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.

13. MONITOR AND REVIEW

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

13.2 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 Maruleng Local Municipality.

14. 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.

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 the correspondence system.

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.

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.

15. 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

16. AUTHORIZATION

This policy was approved by Maruleng Local Municipality and implementation shall be upon signing

CHANGE HISTORY

VERSION NUMBER	CHANGES MADE
Version 2	<ol style="list-style-type: none">1. The Title Divisional Manager Admin changed to: Manager Admin2. The mentioned Electronic Records Management policy, E-mail policy, Document imaging and Web content management policy replaced by: Information Technology (IT) Related Policies3. The title Chief Information Officer changed to: Manager : Communication and Information Technology4. Paragraph 6.5 and 6.6 integrated into paragraph 6.45. Paragraph 6.3.2 file number 5/1/2 changed to new file number: 4/1/1/26. Paragraph 6.5 Legal Services Manager changed to: Legal Officer.7. Paragraph 7.1.1.3 file number 10/1/2/1 changed to new file number: 2/7/P8. Paragraph 7.2.2.2.1 the totals had been omitted9. The word National Archivist/Archive Services had been replaced by: Provincial Archivist / Provincial Archive Services, except in paragraph 15. REFERENCES