

RECORD MANAGEMENT POLICY 2021/22

Summary

Publication Date	
Review Date	September 2021
Related Legislation/Applicable Section of Legislation	<ul style="list-style-type: none"> • 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; • 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); • Electronic Communications and Transactions Act (Act No 25 of 2002). • Local Government: System's Act of (32 of 2000)
Related Policies, Procedures, Guidelines, Standards, Frameworks	<ul style="list-style-type: none"> • The Internet Usage Policy; • Promotion of Access to Information Policy; • E-mail policy; and • Any other relevant policies.
Replaces/ Repeals (whichever is relevant, if any)	
Policy Officer (Name/Position)	Ms E Maytham Admin Manager
Policy Officer (Phone)	040-6733095
Policy Sponsor (Name/Position)	
Department Responsible	Corporate Services
Unit responsible	Records Management Unit
Applies to	All Municipal Employees
Key Words	Records Management Policy
Status	Adopted

Council approval date	
Version	1

REVISION RECORD

Date	Version	Revision Description

CONTENTS

1. TITLE 6

2. PURPOSE..... 6

3. SCOPE 6

4. PROCEDURE DETAIL..... 7-13

5. ROLES AND RESPONSIBILITIES 13

6. MONITORING, EVALUATION AND REVIEW 14

7. DEFINITIONS AND ABBREVIATIONS 14-15

8. SUPPORTING DOCUMENTS 15

9. REFERENCES 15

10. APPENDIX 15

11. ADOPTION AND APPROVAL.....16

1. TITLE

RECORDS MANAGEMENT POLICY

2. PURPOSE

Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the Ngqushwa 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 Ngqushwa 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. Ngqushwa Local Municipality therefore considers its records to be a valuable asset to:

- enable Ngqushwa Local Municipality to find the right information easily and comprehensively;
- enable Ngqushwa Local Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Ngqushwa 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 Ngqushwa Local Municipality and the rights of employees, clients and present and future stakeholders;
- support and document other government sphere department's activities, development and achievements;
- provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

3. SCOPE

This policy impacts upon Ngqushwa 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 Ngqushwa Local Municipality and covers all records regardless of format, medium or age.

4. PROCEDURE DETAIL

4.1 POLICY STATEMENT

4.1.1 All records created and received by Ngqushwa 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.

4.1.2 The following broad principles apply to the record keeping and records management practices of Ngqushwa Local Municipality:

4.1.2.1 The Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.

4.1.2.2 The records management procedures of the Municipality comply with legal requirements, including those for the provision of evidence.

4.1.2.3 The Municipality follows sound procedures for the security, privacy and confidentiality of its records.

4.1.2.4 Electronic records in the Municipality are managed according to the principles promoted by the National Archives and Records Services.

4.1.2.5 The Municipality has performance measures for all records management functions and reviews compliance with these measures.

4.1.2.6 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

4.2 RELATIONSHIP WITH OTHER POLICIES

This policy will be used in conjunction with other policies that are closely related to the Records Management Policy, examples would be:

- 4.2.1 The Internet Usage Policy;
- 4.2.2 Promotion of Access to Information Policy;
- 4.2.3 E-mail policy; and
- 4.2.4 Any other relevant policies.

4.3 ROLES AND RESPONSIBILITIES

4.3.1 HEAD OF CORPORATE SERVICES DEPARTMENT

4.3.1.1 The Corporate Services Director is ultimately accountable for the record keeping and records management practices of Ngqushwa Local Municipality.

4.3.1.2 The Corporate Services Director must be committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

4.3.1.3 The Corporate Services Director must support the implementation of this policy and ensure each staff member support the values underlying in this policy.

4.3.1.4 The Corporate Services Director shall designate Administration Manager to be the Records Manager of the Ngqushwa Local Municipality and shall mandate the Records Manager to perform such duties as are necessary to enhance the record keeping and records management practices of Ngqushwa Local Municipality to enable compliance with legislative and regulatory requirements.

4.3.2 SENIOR AND SECTION MANAGERS

4.3.2.1 Senior and Section Managers are responsible for the implementation of this policy in their respective units.

4.3.2.2 Senior and Section Managers shall lead by example and shall themselves maintain good record keeping and records management practices.

4.3.2.3 Senior and Section Managers shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

4.3.2.4 Senior and Section 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.

4.3.3 ADMINISTRATION MANAGER

4.3.3.1 The Records Manager whose role will be played by the Administration 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 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.

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

4.3.3.3 The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Ngqushwa Municipality.

4.3.3.4 The Records Manager shall ensure that all records created and received by Ngqushwa Local Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the National/Provincial Archives and Records Service.

4.3.3.5 The Corporate Services Director is the Records Manager for the whole Ngqushwa Municipality.

4.3.4 COMMUNICATIONS MANAGER

4.3.4.1 The Communication's Manager in consultation with the Municipal Manager is responsible for approval of requests for Information in terms of the Promotion of Access to Information Act.

4.3.5 IT MANAGER

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

4.3.5.2 She/he 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.

4.3.5.3 She/he shall ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.

4.3.5.4 She/he 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.

4.3.5.5 She/he 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.

4.3.5.6 She/he 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.

4.3.5.7 She/he shall ensure that back-ups are stored in a secure off-site environment.

4.3.5.8 She/he shall ensure that systems that manage and store records are virus free.

4.3.6 REGISTRY STAFF

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

4.3.6.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Municipality's Registry Procedure Manual.

4.3.7 STAFF

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

4.3.7.2 Every staff member shall manage those records efficiently and effectively by:

- Allocating reference numbers to paper based and electronic records according to the approved 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 Eastern Cape Provincial Archivist.

4.4 CUSTODY

Storage areas

4.4.1. The Central Registry

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

4.4.1.2 All these records are under the management of the Records Manager who is mandated to ensure that they are managed properly.

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

4.4.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter. Whenever a document or file leaves the registry area it should be signed for to assist with tracking thereof.

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

4.4.2 The Human Resources Registry

4.4.2.1 All Human Resources related records are housed in the HR Registry.

4.4.2.2 The general HR subject files as well as HR case files are under the management of the HR Manager who is mandated to ensure that they are managed properly.

4.4.2.3 Ngqushwa 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 Resources registry.

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

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

4.4.2.5 Schedule for records other than correspondence systems

4.4.2.6 The records manager maintains a schedule of all records other than the correspondence systems. 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.

4.4.2.7 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.

4.5 RECORDS CLASSIFICATION SYSTEMS

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

4.5.1 File Plan

4.5.1.1 Only the file plan that is approved by the Provincial Archivist shall be used for the classification of correspondence records in the Municipality.

4.5.1.2 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) they create or receive according to the approved file plan.

4.5.1.3 When correspondence is created or 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.

4.6 DISPOSAL OF RECORDS

4.6.1 No public records shall be destroyed, erased or otherwise disposed of without prior written authorisation from the Provincial Archivist.

4.6.2 The records manager shall request a Standing Disposal Authority from the Eastern Cape Provincial Archivist.

4.6.3 Once a disposal authority is obtained, the records manager, section heads and legal services shall determine retention periods on the file plan and schedule taking the Municipality's legal obligations and functional needs into account.

4.6.4 Disposal in terms of these disposal authorities will be executed annually in December.

4.6.5 All disposal actions should be authorised by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.

4.6.6 Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice Action may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.

4.6.7 Paper-based archival records shall be safely kept in the Municipality archives or off-site storage until they are due to be transferred to the Provincial Archives Repository.

4.7 ACCESS AND SECURITY

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

- Registry and other records storage areas shall be locked when not in use.
- Access to server room and storage areas for electronic records media shall be managed with key card access.

4.7.2 No staff member shall remove records that are not available in the public domain from the premises of Ngqushwa Local Municipality without the explicit permission of the Records Manager in consultation with the Municipal Manager.

4.7.3 No staff member shall provide information and records that are not in the public domain to the public without consulting the Municipal Manager.

4.7.4 No staff member shall disclose personal information of any member of staff or client of Ngqushwa Local Municipality to any member of the public without consulting the Municipal Manager first.

4.8 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

4.8.1 Paper-based records

4.8.1.1 No records shall be removed from paper-based files without the explicit permission of the records manager.

4.8.1.2 Records that were placed on files shall not be altered in any way.

4.8.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.

4.8.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

<ul style="list-style-type: none"> • Ensure that they dress in accordance with the Ngqushwa Municipality's Dress Code 	Employees
--	-----------

6. MONITORING, EVALUATION AND REVIEW

A report detailing the progress with the Implementation of Records Management Policy with specific reference to achievement of this policy has to be compiled every year by the person with the responsibility for implementation and monitoring. The policy must be made available to all consulting parties for perusal and comment and must be circulated to all staff members by means of circulars, notices and notice boards.

7. DEFINITIONS AND ABBREVIATIONS

Term	Meaning
Archives repository	is the building in which records with archival value are preserved permanently
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	are records that are authentic, reliable, trustworthy and useable and are complete and unaltered
Correspondence system	is a set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business
Custody	means the control of records based upon their physical possession.
Disposal	means the action of either destroying/deleting a record or transferring it into archival custody
Electronic records	is the 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	means 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 meta data (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	means a pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.
Filing system	is 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	are the records with a short lived interest or usefulness.
Public record	is a record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
Records other than correspondence systems	means 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	<ul style="list-style-type: none"> • Recorded Information regardless of form or medium. • Evidence of a transaction, preserved for the evidential information it contains
Recording	means 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.
Record keeping	means making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
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	is the length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

8. SUPPORTING DOCUMENTS

None

9. REFERENCES

None

10. APPENDIX

None

11. ADOPTION AND APPROVAL OF THE POLICY BY COUNCIL


This policy is adopted and approved by the full Ngqushwa Local Municipality Council for Implementation



MUNICIPAL MANAGER

22/08/2022

DATE



MAYOR

30/08/2022

DATE