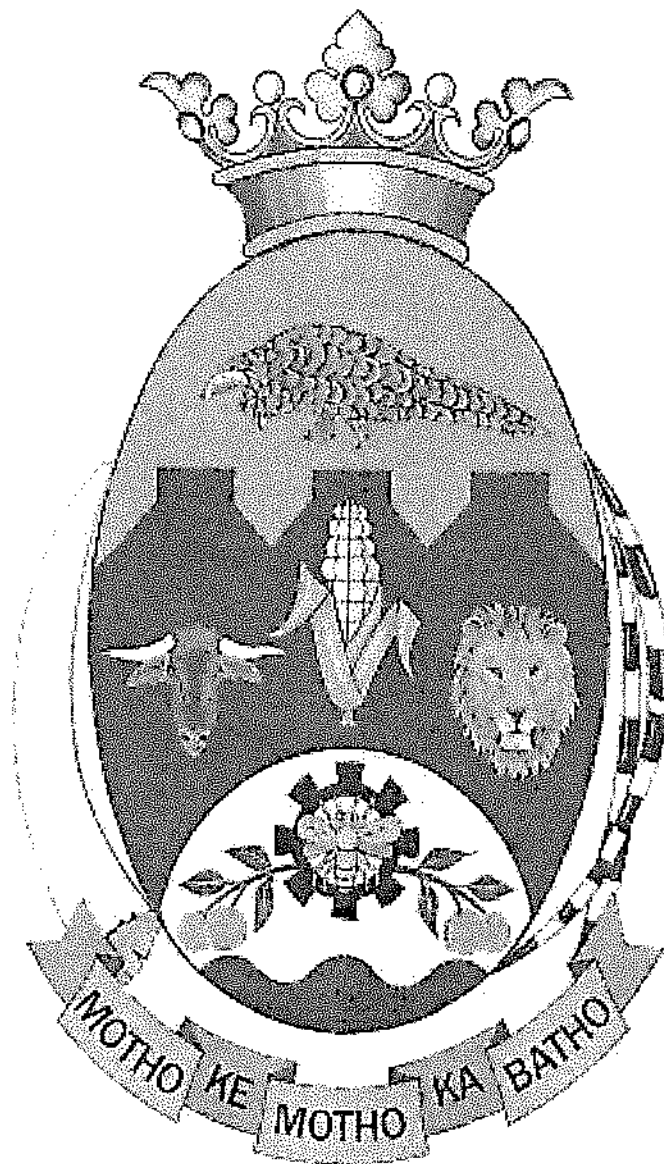


LEPELLE-NKUMPI MUNICIPALITY



RECORDS MANAGEMENT POLICY

RECORDS MANAGEMENT POLICY FOR THE LEPELLE-NKUMPI MUNICIPALITY

VERSION [1ST EDITION] OF 2013

CONTENT

1	Purpose
2	Policy statement
3	Relationship with other policies
4	Scope and Intended audience
5	Regulatory framework
6	Roles and responsibilities
6.1	Head of the Lepelle-Nkumpi Municipality
6.2	Senior managers
6.3	Records manager
6.4	Chief Information Officer
6.5	IT manager
6.6	Security Manager/Officer
6.7	Legal Services Advisor
6.8	Registry staff
6.9	Staff
7.	Record classification systems and related record storage areas
7.1	Correspondence systems
7.1.1	File plan
7.1.2	Storage areas
7.1.2.1	Paper-based correspondence files
7.1.2.1.1	The central registry
7.1.2.1.2	The Human Resources registry
7.2	Records other than correspondence systems
7.2.1	Schedule for records other than correspondence system
7.2.2	Storage areas
7.2.2.1	Paper-based
8.	Disposal
9.	Storage and custody
10.	Access and security
11.	Legal admissibility and evidential weight

12. Training
13. Monitor and review
14. Definitions
15. References
16. 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 Lepelle-Nkumpi 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 the Lepelle-Nkumpi 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. The Lepelle-Nkumpi Municipality considers its records to be a valuable asset to:
 - enable the Lepelle-Nkumpi Municipality to find the right information easily and comprehensively;

- enable the Lepelle-Nkumpi Municipality to perform its functions successfully and efficiently and in an accountable manner;
 - support the business, legal and accountability requirements of the Lepelle-Nkumpi 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 the Lepelle-Nkumpi Municipality and the rights of employees, clients and present and future stakeholders;
 - support and document the Lepelle-Nkumpi 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 the Lepelle-Nkumpi 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 principles apply to the records keeping and records management practices of the Lepelle-Nkumpi Municipality:
- The Lepelle-Nkumpi Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.

- The records management procedures of the Lepelle-Nkumpi Municipality comply with legal requirements, including those for the provision of evidence.
- The Lepelle-Nkumpi Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in the Lepelle-Nkumpi Municipality are managed according to the principles promoted by the National Archives and Records Service.

3. RELATIONSHIP WITH OTHER POLICIES

3.1 The Lepelle-Nkumpi Municipality's Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by the Lepelle-nkumpi Municipality. These policies are managed by the records manager.

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

- Occupational Health and Safety policy
- IT policy
- Promotion of Access to Information Act (Act No 2 of 2000);

3.3 Regulatory & Legal Frameworks that relate to the Records Management Policy are:

- Electronic Communications and Transaction Act, Act 25 of 2002

4. SCOPE AND INTENDED AUDIENCE

4.1 This policy impacts upon the Lepelle-Nkumpi 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 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 Lepelle-Nkumpi 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 the Lepelle-Nkumpi 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;
- * 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).

6. ROLES AND RESPONSIBILITIES

6.1 *Head of the Lepelle-Nkumpi Municipality*

6.1.1 The Lepelle-Nkumpi Municipality is ultimately accountable for the record keeping and records management practices of the Lepelle-Nkumpi 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 Lepelle-Nkumpi Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of the Lepelle - Nkumpi Municipality to enable compliance with legislative and regularity 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 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 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.
- * Regular training on the File Plan and compliance to the records classification and retention of records.

6.3.2 The specific duties of the Records Manager are contained in the Records Manager's job description in his/her personal file in the HR division.

6.3.3 The Records Manager is mandated to make such training and other interventions as are necessary to ensure that the Lepelle-Nkumpi 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 the Lepelle-Nkumpi Municipality.

6.3.5 The Records Manager shall ensure that all records created and received by the Lepelle-Nkumpi 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.

6.3.6 The Head of Division (HR) is the sub-record manager for the record keeping of personnel files for the whole of the Lepelle-Nkumpi Municipality.

6.4 Chief Information Officer

6.4.1 The Legal Advisor is responsible for recommendation for approval of requests for information in terms of the Promotion of Access to Information Act.

6.4.2 The Legal Advisor shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

6.2.3 The Municipal Manager shall be the Chief Information Officer of the municipality

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 *systems technical manuals* and *systems procedures manuals* are 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 remain 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 a disaster occur.
- 6.5.7 The IT Manager shall ensure that back-ups are stored in a secure off-site environment.
- 6.5.8 The IT Manager shall ensure that systems that manage and store records are virus free.

6.6 Security Manager/ Officer

- 6.6.1 The Security officer is responsible for the physical security of all records.

6.7 Legal Advisor

- 6.7.1. The Legal Advisor is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of the Lepelle-Nkumpi Municipality.

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 Staff

- 6.9.1 Every staff member shall create records of transactions while conducting official business.
- 6.9.2 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 upon request and approval of the Records Manager and in accordance with the written disposal authority issued by the National Archivist

6.9.3 Records staff members shall be evaluated by all staff members of the Lepelle-Nkumpi Municipality by means of the departmental survey issued annually.

7. Records Classification Systems and Related Storage Areas

The Lepelle-Nkumpi Municipality has the following systems that organize and store records:

- Zippel steel cabinet and folders for storing of paper records

7.1. Correspondence Systems

7.1.1 File Plan

- 7.1.1.1 Only the file plan approved on 28 September 2012 and implemented on 01 July 2013 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 Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the electronic procedures manual.
- 7.1.1.3 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- 7.1.1.4 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.

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 HR related are housed in the central registry.
- 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 is 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 at the counter.
- 7.1.2.1.1.5 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 All Human Resources related records that are not correspondence records are housed in the HR Registry.
- 7.1.2.1.2.2 HR case files are under the management of the Head of Division: HR who is mandated to ensure that they are managed properly.
- 7.1.2.1.2.3 The Lepelle-Nkumpi 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.
- 7.1.2.1.2.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Head of Division: HR.
- 7.1.2.1.2.5 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.(The statement to be applicable when Document management system is place).

7.1.2.3 Decentralized office filing storage areas:

- 7.1.2.3.1 Some paper-based non correspondence records that are not HR related is housed in decentralized office storage areas.
- 7.1.2.3.2 All these records are under the management of the departmental manager who is mandated to ensure that they are managed properly.
- 7.1.2.3.3 The decentralized filing areas is a secure storage area and only dedicated staff is allowed in the records storage area or filing cabinets.
- 7.1.2.3.4 Annual File Audits will be performed by the Records Manager.

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

- 7.1.2.4.1 Access to storage areas where electronic records are stored is limited to the Information Technology staff who have specific duties regarding the maintenance of the hardware, software and media.
- 7.1.2.4.2 Electronic records are managed according to the file plan on each individual. (The above statement to be applicable when electronic Records management system is place)

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 Lepelle-Nkumpi 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. (Agendas and Minutes of various committees, Service level Agreements, tender documents etc)
- 7.2.2.1.2 These records are under the control of the records manager who is mandated to ensure that they are managed properly.
- 7.2.2.4 **Electronic Systems Other Than The Correspondence Systems**
- 7.2.2.4.1 The Lepelle-Nkumpi Municipality has a number of electronic records systems in operation which are not part of the correspondence system and that generate and store public records.
- 7.2.2.4.2 The IT manager is responsible for the day-to-day maintenance of these systems.
- 7.2.2.4.3 The records maintained in these systems are under the control of the IT manager who is mandated to ensure that they are managed properly.

8. Disposal of Records

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

- 8.2 The Provincial Archivist has issued Standing Disposal Authority Number [add 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 [add 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 the Lepelle-Nkumpi 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 in 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: Legal Services has indicated that the destruction hold can be lifted.
- 8.8 Paper-based archival records shall be safely kept in the Lepelle-Nkumpi Municipality until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.

9. Storage and Custody

- 9.1 See par. 7 for an identification of all records keeping systems and their storage locations.
- 9.2 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.
- 9.3 Specific policies for the management of electronic storage media are contained in the electronic records management policy.

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 the Lepelle-Nkumpi Municipality.
- 10.2 No staff member shall remove records that are not available in the public domain from the premises of the Lepelle-Nkumpi Municipality without the explicit permission of the records manager in consultation with the information security manager.
- 10.3 No staff member shall provide information and records that are not in the public domain to the public without consulting the Legal Services division. Specific guidelines regarding requests for information are contained in the

Promotion of Access to Information Policy which is maintained by the manager.

- 10.4 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.
- 10.5 No staff member shall disclose personal information of any member of staff or client of the Lepelle-Nkumpi Municipality to any member of the public without consulting the Legal Services Manager.
- 10.6 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.
- 10.7 Records storage areas shall at all times be protected against unauthorized access. The following shall apply:
 - 10.7.1 Registry and other records storage areas shall be locked when not in use.
 - 10.7.2 Access to server rooms and storage areas for electronic records media shall be managed with key card access.
 - 10.7.3 Secure access to data bases, electronic document management system folders shall be managed by user log in and passwords.

11. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

- 11.1 The records of the Lepelle-Nkumpi 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.

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/her for his/her 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 the Lepelle-Nkumpi Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Lepelle-Nkumpi Municipality.
- 13.2 The records manager shall perform audits of both electronic and paper record keeping practices annually.
- 13.2 The 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 Lepelle-Nkumpi Municipality.

14. TERMS AND 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 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:

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:

- 1) Recorded information regardless of form or medium.

- 2) Evidence of a transaction, preserved for the evidential information it contains.
- 3) Prescribes to retention periods and disposal rules.

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 or 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.

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 capture
- 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 systems 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.

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