RECORDS MANAGEMENT POLICY

JOHN TAOLO GAETSEWE DISTRICT MUNICIPALITY

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MUNICIPAL MANAGER

SPEAKER

Ms P Q Mogatle

Speaker

JOHN TAOLO GAETSEWE DISTRICT MUNICIPALITY

RECORDS MANAGEMENT POLICY

Reviewed 2019/2020

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1. Purpose

1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the John Taolo Gaetsewe District 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 John Taolo Gaetsewe District 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. John Taolo Gaetsewe District Municipality considers its records to be a valuable asset to:

- enable John Taolo Gaetsewe District Municipality to find the right information easily and comprehensively;
- enable John Taolo Gaetsewe District Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of John Taolo Gaetsewe District 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 John Taolo Gaetsewe District Municipality and the rights of employees, clients and present and future stakeholders;
- support and document the John Taolo Gaetsewe District 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.

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2. 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, programs and meta data (background and technical

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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.

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.

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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 capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures

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- 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.

3. POLICY STATEMENT

3.1 All records created and received by John Taolo Gaetsewe District Municipality shall be managed in accordance with the records management principles contained in section 8 of the Northern Cape Provincial Archives Act No.7of 2013.

3.2 The following broad principles apply to the record keeping and records management practices of John Taolo Gaetsewe District Municipality:

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

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3.3 RELATIONSHIP WITH OTHER POLICIES

3.3.1. The John Taolo Gaetsewe District 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 John Taolo Gaetsewe District Municipality. These policies are managed by the records manager. The following parts exist:

- Electronic records management policy;
- E-mail policy;
- Document imaging; and
- Web content management policy.

3.3.2. Other policies that are closely related to the Records Management Policy are

- the Information Security Policy which is managed by the Security Manager;
- the Internet Usage Policy which is managed by the IT Manager; and the
- Promotion of Access to Information Policy which is managed by the CIO.

4. SCOPE AND INTENDED AUDIENCE

4.1 This policy impacts upon John Taolo Gaetsewe District 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.

4.2 The policy therefore applies to all staff members of the John Taolo Gaetsewe District Municipality and covers all records regardless of format, medium or age.

5. REGULATORY FRAMEWORK

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5.1 By managing its paper-based records effectively and efficiently John Taolo Gaetsewe District 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).

6. ROLES AND RESPONSIBILITIES

6.1 MUNICIPAL MANAGER

6.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of John Taolo Gaetsewe District 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 John Taolo Gaetsewe District Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of John Taolo Gaetsewe District 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.

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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:

6.3.1.1 The implementation of this policy;

6.3.1.2 Staff awareness regarding this policy;

6.3.1.3 The management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996;

6.3.1.4 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 records manager is responsible to make training and other interventions that are necessary to ensure that the John Taolo Gaetsewe District Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.

6.3.3 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of John Taolo Gaetsewe District Municipality.

6.3.4 The records manager shall ensure that all records created and received by John Taolo Gaetsewe District 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.

6.3.5 The Director Corporate Services is the records manager for the whole John Taolo Gaetsewe District Municipality.

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6.4 Municipal Manager/Accounting Officer

6.4.1 The Accounting officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

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

6.5 Senior IT Officer

6.5.1 The Senior IT Officer is responsible for the day-to-day maintenance of electronic systems that stores records.

6.5.2 The Senior IT Officer 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 Senior IT Officer 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 Senior IT Officer 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 Senior 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.

6.5.6 The Senior IT Officer 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.

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6.5.7 The Senior IT Officer shall ensure that back-ups are stored in a secure off-site environment.

6.5.8 The Senior IT Officer shall ensure that systems that manage and store records are virus free.

6.5.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- the Electronic Records Management Policy;
- the E-mail policy;
- Information security policy.

6.7 Legal services manager

6.7.1 The legal services manager 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 John Taolo Gaetsewe District 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:

6.9.2.1 allocating reference numbers and subjects to paper-based and electronic records according to the file plan;

6.9.2.2 sending paper-based records to the registry for filing;

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6.9.2.3 Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the Records Manager.

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

7. Records classification systems and related storage areas

The John Taolo Gaetsewe District 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 in 2008 and implemented in 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 Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the registry 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. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in the registry procedure manual.

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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 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 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 related records are housed in HR and Budget and Treasury Registry.

7.1.2.1.2.2 The general HR and Budget and treasury subject files as well as HR case files are under the management of the records manager who is mandated to ensure that they are managed properly.

7.1.2.1.2.3 John Taolo Gaetsewe District 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 records manager.

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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

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

7.1.2.2.1 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.

7.2 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 John Taolo Gaetsewe District Municipality has the following sets of audio visual records that are stored in the strong room.

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

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7.2.2.2 Audio-visual records

7.2.2.2.1 The John Taolo Gaetsewe District Municipality has the following sets of audio-visual records that are stored in the Strong Room. [Video, Sound,CD, DVD, Recordings]

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

7.2.2.3 Electronic systems other than the correspondence systems

7.2.2.3.1 John Taolo Gaetsewe District 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 mostly financial systems.

7.2.2.3.2 The Senior IT Officer is responsible for the day-to-day maintenance of these systems.

7.2.2.3.3 The records maintained in these systems are under the control of the records manager who is responsible to ensure that they are managed properly.

7.2.2.3.4 Detailed guidance regarding the management of these systems is contained in the electronic records management policy.

7.2.2.3.5 Municipality should make a decision that registry personnel must use the electronic system EDMS to capture documents. As they have used it before.

8. Disposal of records

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

8.2 In all disposal done the provincial and national archives must be informed.

8.3 The National Archivist has issued Standing Disposal Authority Number PSK77KW for the disposal of records classified against the file plan. The records manager manages the disposal schedule.

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8.4 The National Archivist issued Standing Disposal Authority Number PSK77KW on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

8.5 Retention periods indicated on the file plan and schedule were determined by taking John Taolo Gaetsewe District 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.

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

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

8.8 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.

8.9 Paper-based archival records shall be safely kept in strong room until they are due to transfer to the Provincial Repository Office. Transfer procedures shall be as prescribed by the Provincial Archives in the Records Management Policy Manual.

8.10 Specific guidelines regarding the procedure to dispose of electronic records are contained in the procedure manual.

9. Storage and custody

9.1 See par. 7 for an identification of all record 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 John Taolo Gaetsewe District Municipality.

10.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.

10.3 No staff member shall remove records that are not available in the public domain from the premises of John Taolo Gaetsewe District Municipality without the explicit permission of the records manager in consultation with the information security manager.

10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Municipal Manager. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Municipal Manager.

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 John Taolo Gaetsewe District Municipality to any member of the public without consulting the 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.

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10.8.2 Access to server rooms and storage areas for electronic records media shall be managed with key card access.

10.8.3 Access to server rooms and storage areas for electronic records media shall be managed and limited.

10.8.4 The Municipality shall have back-ups and off side storage pertaining to electronic as well as paper-based records.

10.8.5 The Records Manager shall conduct inspections offices of individual officials, to ensure compliance with this policy document and with the prescriptions of any other related directives and legislation.

10.8.6 The only persons who have an automatic right to access to the Registry are:

- Personnel from the Provincial Archives, when conducting an inspection/training intervention;
- And the Records Manager and his/her assistant Registry staff.

10.9 When loss of records is discovered, it shall be immediately reported to the Records Manager.

11. Legal admissibility and evidential weight

11.1 The records of John Taolo Gaetsewe District 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.

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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 John Taolo Gaetsewe District 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.

11.1.2.3 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.

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 John Taolo Gaetsewe District Municipality on a regular basis and

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shall adapt them appropriately to ensure that they meet the business and service delivery requirements of John Taolo Gaetsewe District 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 John Taolo Gaetsewe District Municipality.

14. CONCLUSION

For this policy to become effective both the Municipal Manager, and the Provincial Archivist have to sign it, A copy has to be submitted to the Provincial Archives for record and registration purposes. The effective date will be the date of the Council Resolution.

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