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**MAKANA MUNICIPALITY**

**RECORDS MANAGEMENT POLICY**



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| **FUNDING AND GRANTS POLICY** | |
| **Policy Number** | **O** |
| **Policy Name** | **Records Management Policy** |
| **Policy Status** | **Draft** |
| **Version** | **No.1** |
| **Date of Approval** |  |
| **Date of First Implementation** |  |
| **Date Last Amended** | **New** |
| **Date of Next Review** |  |
| **Purpose** | **See Policy** |
| **Aims and Objectives** | **See Policy** |
| **Policy Custodian** | **Director Corporate and Shared Services** |
| **Related Policies and Legislation** |  |
| **Approving Authority** | **Council** |
| **Applicability** |  |
| **Policy Benchmark and References** |  |
| **Stakeholders Consulted** |  |

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1. Definitions

Act: refers to the National Archives and Records Service of South Africa (Act No 43 of 1996, as amended)

Archives: means records in the custody of an archives repository

Correspondence System: refers to a set of paper-based and electronic communication and associated documents, sent, received, generated, processed and stored during the conduct of business

Archival Value: refers to records that form part of a records classification system still in use

Custody: refers to the control of records based upon their physical possession

Disposal: is the action of either destroying or deleting a record or transferring it into archival custody

Disposal Authority: refers to a written authority by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed or deleted or otherwise dispose of

Disposal Authority Number : refers to a unique number identifying each disposal authority issued to a specific office

Disposal Instruction: refers to the specific instruction regarding disposal allocated to each record, for example C for Custody, D for destroy or delete

Electricity Document Management System: refers to a system that provides the ability to capture, describe and categorize, store and receive, share and re-use electronic documents regardless of specific format

Electronic Records: refers to information, which is generated electronically and store by means of computer technology. Electronic records can constist of an electronic correspondence

Electronic Records Management System: refers to the system that supports the medium to long- term information needs of an office. It provides functionally over and above that of an electronic document management system to preserve the security, authenticity and integrity of records to enable the permanent preservation of records

Electricity Records System: refers to the collective a noun for all components of an electronic information information system

File: refers to the organized arrangement of records on the same subject accumulated in chronological order within the same cover/folder/container

File Plan: refers to a pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subject groups and subject s to facilitate efficient retrieval and disposal of records.

File System: refers to a collective noun for a storage system in which records are stored in a systematic manner according to the file plan

File Reference: refers to a unique number for a file and is used to link a record to its specific subject file and subject grouping. This can be numerical, alphabetical or alphanumerical identifier

Record: refers to recorded information regardless of form or medium. Evidence of a transaction, preserved for the evidential information it contains

Record-keeping: refers to the making and maintaining of complete, accurate and reliable evidence of official business in the form of recorded information

Records Manager: refers to the Makana Municipality Official appointed or designated by the Municipal Manager to manage council’s records

Public Records: refers to a record created or received by the Makana Municipality in pursuance of its activities, regardless of form or medium.

1. Preface

* 1. The philosophy that underpins the records management policy derives its credible meaning from the 1996 Constitution of South Africa and the National Archives of South Africa Act, Act No 43 of 1996 respectively.
  2. In essence, records management policy charges government bodies like Makana Municipality

with a responsibility of ensuring proper keeping, management and disposal of records.

* 1. It further enhance government bodies like Makana Municipality to preserve institutional memory on the one hand, whilst ensuring provision of accountable and transparent governance on the other hand.

1. Legislative Framework
   1. The Constitution of 1996 provides the foundation for effective and efficient public service delivery. It provides for national legislation to be enacted to establish the general policy framework according to which government bodies should operate to ensure effectiveness and efficiency.
   2. The National Archives of South Africa Act equally provides the legal framework according to which the National Archives regulates the records management practices of all government bodies.
   3. In accordance with section 13 of the National Archives of South Africa Act, Act No 43 of 1996, the Records Management Division should –
      1. Investigate and approve the prescribed record keeping systems prior implementation to ensure that these systems satisfy the requirements of accountability and transparency,
      2. Examine public records with a view to issuing disposal authorities on all public records to enable governmental bodies to dispose of records no longer required for functional purposes,
      3. Determine the conditions subject to which records can be microfilmed or electronically reproduced to ensure that the requirements for archival presentation are addressed timeously,
      4. Determine the conditions subject to which electronic records systems should be managed to ensure sound records management practices are applied to electronic records systems form the design phase onwards.
      5. Inspect public records to ensure that government bodies comply with the requirements of the National Archives Act,
      6. Issue directives and instructions as to the management and care of public records in the custody of governmental bodies and
      7. Provide training to records managers, senior administrative officials, training officials, work- study officials and registry heads with a view to teaching the basics of records management and explaining the National Archives role in promoting efficient records management.
   4. The Promotion of Access to Information Act (Act No 2 of 2000) further promotes transparency, accountability and effective governance by empowering and educating the public –
      1. To understand and exercise their rights.
      2. To understand the functions and operation of public bodies, and
      3. To effectively scrutinize and participate in decision- making by public bodies that affect their rights.
   5. Likewise, the Promotion of Administrative Justice Act (Act No 3 of 2000) ensures that administrative action is lawful, reasonable, fair and properly documented.
2. Definition of Records Management
   1. Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance.
3. Its Objectives
   1. The overall thrust of its objectives is summarised as follows: -
      1. To have a well- organised filing system that enables the Makana Municipality to find information easily,
      2. To ensure that records are correctly filed, stored and are easily accessible, and this facilitates transparency, accountability and democracy,
      3. To ensure the orderly and efficient flow of information that enables the Makana Municipality to perform its functions successfully and efficiently,
      4. To ensure that authoritative and reliable records are created and maintained in an accessibility, intelligent and usable manner to support the business and accountability requirements of Makana Municipality ,
      5. To eliminate unnecessary duplication of records and ensuring that Makana Municipality maintains only those records it really needs for functional purposes,
      6. To initiate controls to ensure that only unauthorized persons have access to the information , thus preventing information and /or the records themselves from being stolen or damaged,
      7. To ensure protection of privacy, confidentiality and prevention of inappropriate disclosure of information that could harm Makana Municipality of infringe the privacy rights of individuals,
      8. To ensure that records management is considered as a business process designed to support business objectives,
      9. To ensure that records are considered as a resource that is fully and cost effectively utilized to realize business objectives, and
      10. To ensure that Makana Municipality creates and maintains a culture which will promote effective and efficient records management to facilitate efficient and timely decision- making.
4. Its advantages

A sound records management program has a myriad of advantages that can breathe life to Makana Municipality in the following manner:-

* 1. A proper organised, arranged and managed filing system will enable Makana Municipality to find information easily,
  2. Records that are correctly filed and stored with easy access places Makana Municipality in a position to facilitate and enhance transparency, accountability and democracy,
  3. The orderly and efficient flow of information will enable the Makana Municipality to perform its functions effectively, efficiently and successfully,
  4. Authoritative and reliable records are created and maintained in an accessible, intelligent and usable manner to support the business and accountability requirements of Makana Municipality,
  5. Efficiently and cost- effective measures are ensured and promoted by eliminating unnecessary duplication of records ,
  6. A retention and disposal program will ensure that Makana Municipality maintains only those records that of need for functional purposes, and
  7. Only authorized persons will have access to the information through proper and effective controls to prevent information and/or the records themselves from being stolen or damaged or both.
  8. Through this arrangement, protection of privacy and confidentiality will be observed thus preventing any inappropriate disclosure of information that could harm Makana Municipality or infringe the privacy rights of its individual employees.

1. Broad Responsibility
   1. The Municipal Manager is responsible for the records management practices of Makana Municipality and his/her responsibilities are set out in the National Archives Regulations and the Archives Instructions, in terms of the National Archives of South Africa Act, 1996.
      1. Records Manager(s)

The Municipal Manager should, in terms of section 13 (5) of the National Archives of South Africa 1996, designate staff members at the senior management level to whom s/he can delegate the responsibility to ensure that sound records management practices are implemented and maintained.

* + 1. Training requirements

Records Managers should attend the National Archives Records Management Course to equip them with the necessary skills to enable them to perform their tasks. Equally, Records Managers ensure that all staff members are capable of reading, operating, manning the filling system including the allocation of file reference numbers to documentation. Finally, it is imperative that Records Managers prepare all staff members to be conversant with proper registry procedures to enable and support them to support the registry to function properly.

* + 1. Users

Sounds records management is a collective responsibility, which all staff memebers have an equal obligation to maintain. Equally, important is that all users should be aware of the policies, procedures and tools for managing records and should as well be capable of applying them consistently to all records. Also, the full cooperation of users is necessary to file documents into the filing system and to protect records against loss and damage.

1. Records Management Program

* 1. Records Management Policy

Records Manager should implement a records management policy, which must be first approved by the Makana Council as well as the National Archives. The Records Management Policy should address, within the broad policy guidelines provided by the National Archives of South Africa, all aspects of the identification, security, safe custody, disposal and retrieval of records.

* 1. Records Management Procedures

The records Management Policy should be backed by the Records Management Procedures that are designed within the broad records management principles established by the National Archives of South Africa Act and should also take into account the unique functions, structures and resources of Makana Municipality.

* 1. Records Keeping System

Makana Municipality should implement and maintain the following prescribed record- keeping systems

* + 1. Filing system, which is a plan by which documentation is arranged and stored to facilitate efficient retrieval and disposal,
    2. Schedule of other records, enables Makana Municipality to manage records other than correspondence systems and are subjected to the same requirements of control, care and disposal as records kept in correspondence systems, and
    3. The records control schedule consists of the following parts: -
       1. Schedule of paper based that contains a description of all paper based current records other than correspondence files,
       2. Schedule of electronic records system, which contains a description of all electronic information systems other than the electronic correspondence system, and
       3. Schedule of audio-records, which contains a description of all audio-visual records

1. Records Control Mechanisms

Makana Municipality should implement and maintain the following records control mechanism:-

* 1. Register of files opened, which contain a description of all files that were actually opened according to the subject provisions in the filing system,
  2. Register of disposal authorities, which contains copies of all disposal authorities issued by the National Archives to Makana Municipality, and
  3. Destruction register, which contains information on the year in which non-archival records are due for destruction.

1. Disposal Program

A systematic disposal program should be implemented by:-

* 1. Applying the National’s General Disposal Authorities for records that are common to most offices,
  2. Applying for disposal authority on all current and terminated paper-based, electronic, micrographic and audio-visual records which are not covered by the General Disposal Authorities,
  3. Ensuring that retention period are determined for all non-archival records when the disposal authority has been issued, and
  4. Ensuring that the disposal authorities are curried out on a regular basis .

1. Managing Electronic Records
   1. Areas of Responsibility
      1. Makana Municipality must give specific consideration to the preservation of electronic records ,
      2. Municipal Manager should establish policies and procedures to ensure that electronic records and their related documentation are retained as long as needed for official use, and
      3. The policies and procedures should provide for :-
         1. The approval of the filing system used for the electronic correspondence system(s),

11.1.3.2 Obtaining disposal authority on the electronic correspondence system as well as electronic records systems other than the correspondence system, and on all related documentation and indexes before implementation of the system (s), and

11.1.3.3. Procedures for regular recopying, reforming and other necessary maintenance to ensure the retention and accessibility of electronic records throughout their life cycle.

11.1.4 Makana Municipality should notify the National Archivist in writing of their intention to introduce electronic correspondence systems and other electronic records systems, mainly for the following reasons:

11.1.4.1 The implementation of such systems usually leads to the destruction of paper-based records, which needs to be done in terms of a proper disposal authority issued by the National Archivist,

11.1.4.2 The disposal requirements for electronic records should be built into the systems during the planning phase of the systems to prevent records from being kept for unnecessarily long period of time,

11.1.4.3 The requirements regarding the medium for the long term storage and the format for the long term accessibility of archival records should be built into the electronic systems in the planning phase of such systems to prevent records becoming inaccessible, and

11.1.4.4 The gathering of metadata needed to ensure that records are reliable and have authority and can be built into the system at an early stage.

11.2 Electronic Records Management Applications

11.2.1 If Makana Municipality contemplates using an electronic correspondence system it must be used in conjunction with an electronic records management application that provides for the management of the electronic documents according to a functional subject filing system and the disposal of records when the time is right,

11.2.2 Filing systems for electronic correspondence systems must be submitted to the National Archivist for approval before such system(s) is /are implemented,

11.2.3 These filing systems must be maintained in the same way as an approved filing system for conventional paper-based records, and

11.2.4 All amendments and additions to the system must be reported and approved by the National Archivist.

11.3 Schedule of Electronic Records Systems

11.3.1 The other electronic records stems such as financial and procurement management system, staff management system, geographical information systems, etc. should be managed by the schedule for electronic records systems, and

11.3.2 This schedule should comprehensively contain information regarding data sets and files that include in the system, hard copy input and output, the processing, subject and special format files created and used in the system, the documentation that defined the system and the data.

11.4 Managing E-Mail Messages

11.4.1 E Mail-Messages received in the course of financial business are recorded and should be managed according to the principles that apply in any medium.

12. Monitor and review

12.1 The Records Manager in consultation with the Compliance Officer shall review the record keeping and records management practices of the Makana Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the organisation.

12.2 This policy shall be reviewed annually and shall be adapted to ensure that it meet the business and service delivery requirements of the organisation.