

RECORD AND INFORMATION MANAGEMENT POLICY



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RECORDS INFORMATION MANAGEMENT POLICY

1. Policy objectives and purpose

Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires Msukaligwa 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.

Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Msukaligwa 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. Msukaligwa Municipality considers its records to be a valuable asset to:

- enable the Msukaligwa Municipality to find the right information easily and comprehensively;
- enable Msukaligwa Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Msukaligwa 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 Msukaligwa Municipality and the rights of employees, clients and present and future stakeholders;
- support and document the Msukaligwa Municipality's activities, development and achievements;

This policy will be used in conjunction with the E-mail usage policy of Council, Manual on Access to Information as approved by Council and shall not contradict any Act of Parliament.

The purpose of this policy is to manage, control and safeguard the information of Msukaligwa Municipality and restricting the misuse of records of the municipality in a malicious way and making the working environment conducive at the same time.

The policy is base on the Promotion of Access to Information Act, 2003 and National Archive and record Service of South Africa Act of 1996 and aim at protecting the interest of the municipality and at the same time promoting a smooth and conducive working environment of its employees.

2. Policy statement

- 2.1 All records created and received by Msukaligwa Municipality shall be managed and kept 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 record keeping and records management practices of Msukaligwa Municipality:
 - 2.2.1 Msukaligwa Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - 2.2.2 The records management procedures of Msukaligwa Municipality comply with legal requirements, including those for the provision of evidence.
 - 2.2.3 Msukaligwa Municipality follows sound procedures for the security, privacy and confidentiality of its records.
 - 2.2.4 Electronic records in Msukaligwa Municipality are managed according to the principles promoted by the National Archives and Records Service.

3. Relationship with other policies

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

- 3.1 The Internet/e-mail Usage Policy which is managed by the IT Manager;
- 3.2 Promotion of Access to Information Policy which is managed by the Director Corporate Services
- 3.3 Constitution of the Republic of South Africa, Act no. 108 of 1996.

4. Legal Mandates

- 4.1.1 Promotion of access to Information Act , Act no. 2 of 2000
- 4.1.2 The National Archives of South Africa, Act no. 43 of 1996 Roles and responsibilities
- 4.1.3 Public finance management act (PFMA)
- 4.1.4 Promotion of Administrative Justice Act (PAJA)

5. Roles and responsibilities

5.1. Directorate Corporate Services

- 5.1.1 The Directorate Corporate Services (Assistant Director Corporate Services Administration) is ultimately accountable for the record keeping and records management practices of Msukaligwa Municipality.
- 5.1.2 The Directorate of Corporate Services is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 5.1.3 The Directorate of Corporate Services supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 5.1.4 The Directorate of Corporate services shall designate a senior manager in the directorate to be the records manager of Msukaligwa Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of Msukaligwa Municipality to enable compliance with legislative and regulatory requirements.

5.2 Senior managers (Municipal Mangers, Directors and Deputy Directors)

- 5.2.1 Senior managers are responsible for the implementation of this policy in their respective units/sections.
- 5.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 5.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- 5.2.4 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.

5.3 Records manager

The records manager is responsible for:

- 5.3.1 the implementation of this policy;
- 5.3.2 staff awareness regarding this policy;
- 5.3.3 the management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
- 5.3.4 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

- 5.3.5 The records manager is mandated to make such training and other interventions as are necessary to ensure that the Msukaligwa Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
- 5.3.6 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Msukaligwa Municipality.
- 5.3.7 The records manager shall ensure that all records created and received by Msukaligwa 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.
- 5.3.8 The Assistant Director Corporate Services Administration is the records manager for the whole Msukaligwa Municipality.

5.4 Director Corporate Services

- 5.4.1 The Municipal Manager or Director Corporate Services is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

5.5 IT manager

- 5.5.1 The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.
- 5.5.2 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.
- 5.5.3 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.
- 5.5.4 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.
- 5.5.5 The IT manager 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.
- 5.5.6 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.

- 5.5.7 The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- 5.5.8 The IT manager shall ensure that systems that manage and store records are virus free.

5.6 Legal Section/Advisor of Council

- 5.6.1 The legal section/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 Msukaligwa Municipality

5.7 Registry staff

- 5.7.1 The registry staffs are responsible for the physical management of the records in their care.
- 5.7.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual*.

5.8 Municipal Staff

- 5.7.1 Every staff member shall create records of transactions while conducting official business. (Memo, letters etc.)
- 5.7.2 Every staff member shall manage those records efficiently and effectively by:
 - 5.7.2.1 allocating reference numbers (obtainable from records/registry section)and subjects to paper-based and electronic records according to the file plan;
 - 5.7.2.2 sending all records created in their offices to the registry for filing;
 - 5.7.2.3 Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.
- 5.7.3 Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff is evaluated on their records management responsibilities.

6. File plan

- 6.1 Only the file plan approved on May 1991 by the National Archivist shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (ORBIT) records. For official document and communication thereof of orbit must be use.
- 6.2 Each staff member shall allocate file reference numbers obtainable from records officials to all correspondence (paper, electronic) according to the approved subjects in the file plan.

- 6.3 When correspondence is created / received for which no subject exists in the file plan, the records/ registry official 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. The Human Resources registry

7.1 Other Human Resources related records (like personnel files) are housed in the HR Strong room at the 4th floor.

7.2 The general HR 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.

7.3 Msukaligwa 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 strong room 4th floor.

7.4 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.

7.5 The files exist only in paper-based format

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

8.1 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. Electronic systems other than the correspondence systems

8.2 Msukaligwa 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. [List the sets of records here]

8.3 The IT manager is responsible for the day-to-day maintenance of these systems.

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

9. Disposal of records

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

- 9.2 The National Archivist has issued Standing Disposal Authority Number PSE 1NA for the disposal of records classified against the file plan. The records manager manages the disposal schedule.
- 9.3 The National Archivist issued Standing Disposal Authority Number PSE 1NA on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.
- 9.4 Retention periods indicated on the file plan and schedule were determined by taking [Msukaligwa 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.
- 9.5 Disposal in terms of these disposal authorities will be executed annually in December/January.
- 9.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 9.7 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 Legal Advisor of Council has indicated that the destruction hold can be lifted.
- 9.8 Paper-based archival records shall be safely kept in Strong room at ground floor 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*

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 Msukaligwa 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 from the premises of Msukaligwa Municipality without the explicit permission of the records manager.
- 10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Municipal Manager/ Director Corporate Services. Specific guidelines regarding requests for information are contained in the

Promotion of Access to Information Manual available on the intranet

- 10.5 No staff member shall disclose personal information of any member of staff/Councillor or client of Msukaligwa Municipality to any member of the public or other staff member.
- 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

11. Custody

All records created or received by Msukaligwa Municipality in pursuance of activities, regardless of form or medium are public records. These records shall be kept in line with the applicable security measures as follows:

- 11.1 Control and protection of records
 - 11.1.1 Paper based records shall be kept at records and applicable records keeping measures/ practices shall be ensured.
 - 11.1.2 Electronic records shall be kept in the Server Room as provided and compliance with the with information storage and backup plan shall be ensured

11.2 Managing access control standard

- 11.2.1 Access control standards for information system must be established by top Management and should incorporate the need to balance restrictions to prevent unauthorized access against the need to provide unhindered access to meet the needs of the municipality.
- 11.2.2 Confidential records are only open to the Senior Managers.
(Council's IT Service providers should frequently log and monitor access to identify potential misuse and detect unauthorized access of the systems or information on the system.)

12 Managing User Access

12.1 Access to electronic information:

- 12.1.1 Access to the system shall be authorized first and such access including the appropriate access rights (or privileges) shall be recorded in the Access Control List. These records shall be regarded as Highly Confidential documents and safeguarded accordingly.
- 12.1.2 Only records staffs are to index files on the system, Staff members other than these, will have restricted and limited access to the system, to prevent confusion.
- 12.1.3 All users shall not share their passwords with other personnel to log-on their PCs.
- 12.1.4 All personnel should treat their password as confidential, non-compliance with this policy and the electronic policy could result in disciplinary actions.

13 Access to paper records:

- 13.1.1 All requests from researchers and outside persons who wish to consult records must be submitted in writing. The Municipal Manger / Director Corporate Services must personally make a thorough investigation as to the bona fides of the application to ensure that the applicant's perusal will not be detrimental to the Municipality.
- 13.1.2 Persons consulting records section must do it under the supervision of the Senior Registry official; in this manner the supervisor must note that.
- 13.1.3 Officials have access to the records only for the carrying of the official **duties**

14 Securing against Unauthorized Physical Access

- 14.1 Only records staff and authorized officials may enter the premises of the registry section. Therefore we shall have an electronic entry control at the records section. The Senior Records Official shall ensure that no unauthorized persons may, or is able to gain access to the records section during and after working hours. The following rules shall apply:
 - 14.1.1 During office hours , the Records shall not be left unattended, if this does happen, the door must be left locked
 - 14.1.2 The Senior Records Official shall exercise control over all keys of Records and complies with the Municipality's key security policy

15 Giving Access to files and documents

- 15.1.1 Access to information and documents will be carefully controlled; ensuring that only authorized personnel may have access to sensitive information, the manual on Promotion Access to Information will be the guideline in this regard where information is needed by a authorized person a request form will have to be filed by the person

requesting such and shall be approved by the Director Corporate Service or his appointee.

16 Fire and fire prevention measures

- 16.1.1 The lighting of matches, smoking and the storage of inflammable material or cleaning solutions in the Records are strictly forbidden.
- 16.2 Records official may under no circumstances smoke amongst the shelves where files are stored. The smoking policy of the Municipality shall be adhered to.
- 16.2.1 Only CO2 fire extinguishers may be used to extinguish fire, water, in all instances, must be the last resort.
- 16.2.2 Fire extinguisher must be installed (where not available) and must be inspected regularly by the OHS or Records Manager. On the appointment, all records personnel must be taught to handle fire extinguishers.

17 Damage through handling

- 17.1 All officials must be aware that it is considered to be a violation of the Archives Act no. 43 of 1996 to deliberately damage records. This includes deliberately damage by careless and indifferent handling.
- 17.1.1 No food or drinks may be consumed at a table or desk where records are placed

18 Training

- 18.1.1 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.
- 18.1.2 The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staffs are trained appropriately.
- 18.1.3 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.

19 Monitor and review

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

19.1.2 This policy shall be reviewed on annually and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Msukaligwa Municipality.

NB: The provincial Archivist may at any given time inspect our records and advice on the improvements of record management where necessary.

20. Valuation

20.1 This policy shall be reviewed annually and the service standards shall be evaluated for compliance with the Batho-Pele principles every six months.

21. 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.