RECORDS MANAGEMENT POLICY

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1. DEFINITIONS AND ACRONYMS

1.1 Statutory and Regulatory

This Procedure applies to the following meanings and interpretations:

#	TERM	DESCRIPTION
1.1	Archival records	documents and records that are required by the law to be archived.
1.2	File plan	a document that describes and list all files in a chronological order.
1.3	Municipal records	all documents, correspondence, cards etc. that originates from Thulamela Municipality business. Personal documents shall not be referred to as municipal records for example a letter posted to an employee of Thulamela such as personal bank account statement through the Municipal's post bag is not a municipal record.
1.4	Non- archival	documents and records that are not required by law to be transferred to the Archives.
1.5	Public records	all government and municipal records that are considered public records and are open to be viewed and accessed by the public.
1.6	Electronic Records	This is 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 metadata (background and technical information i.e.. the information stored electronically).
1.7	Records	are defined as all those documents required to facilitate the business carried out by the Municipality and retained for a set period to provide evidence of its transactions or activities, Records may be created, received or maintained in hard copy, optical or electronic format.
1.8	Records Management	is defined as that field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. All records management programs are based upon the concept of the records lifecycle, a system for describing the various stages of existence through which information passes in recorded form. Records are current from their creation and for as long as their administrative value remains at its highest. They become semi- current when their administrative value declines and reference to them becomes irregular and less frequent. When a record has ceased to have any administrative value at all, it is noncurrent.
1.9	Retention schedule	is a list of record series (types of records) setting out the period/actions describing their preservation/ destruction.

#	TERM	DESCRIPTION
1.10	Registry employees	shall mean staff members of Thulamela Municipality who have been appointed as custodians of Municipal records.
1.11	Vital records	are those without which the Municipality would cease to be able to function properly. All other records are non-vital.
1.12	Disposal of Records	The action of either destroying/deleting a record or transferring it into archival custody.
1.13	Circulating of Records	records sored because they may need to be retrieved at some point. This includes retrieving, and tracking of the record while it is away from the file room, and then returning the records.
1.14	Storing of Records	Records must be stored in such a way that they are both sufficiently accessible and safeguarded against environmental damage
1.15	Disposal Authority	A written authority issued by the National Archivist specifies which records should be transferred into archival custody or which records should be destroyed/deleted, or otherwise disposed of.
1.16	Custody	The control of records based on their physical possession
1.17	Records Classification	A systematic identification of business activities and records into logic structured conventions methods and procedural rules represented in the classification system
1.18	Retention Period	The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.
1.19	Classified Information	Shall mean sensitive information which is produced, held and/or under the control of the Municipality must by reasons of its sensitive nature, be exempted from disclosure and must enjoy protection against compromise.
1.20	Electronic Records	The information which is generated electronically and stored using computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than the correspondence system
1.21	Accounting Officer	means a person appointment in terms of section 82(l)(a) or (b) of the Municipal Structures Act.

1.2 ACRONYMS

#	TERM	DESCRIPTION
1.1	AFS	Annual Financial Statements
1.2.	SARS	South African Revenue Services
1.2	NARSSA	the National Archives and Records Service of South Africa

2. PREAMBLE

2.1 Sound records management is fundamental for good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Records management also provides a basis for accountability and protecting the rights of individuals. To support continuing service delivery and provide the necessary accountability, governmental bodies, including municipalities, should create and maintain authentic, reliable and usable records. They should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations. Information is inseparable to the business functions of the municipality, as result data found in records is an important municipal resource and should be well taken care of.

2.2 The quality and reliability of municipal records must meet basic standards so that appropriate decisions can be based on accurate and verifiable information. Records management intends to promote the efficient administration, management, protection as well as legal disposition of records of the municipality.

2.3 All records in all formats within Thulamela Local Municipality an its satellite offices are managed in accordance with this policy. This is in line with specific requirements under which municipal records are effectively and efficiently managed throughout their lifecycle and promotion of access to information. This policy is based on the premise that the value of records an institutional resource is increased through its widespread, timely consistent and appropriate use. Its value diminishes through misuse, misinterpretation, or unnecessary restrictions on its access.

3. POLICY STATEMENT

3.1 Thulamela Local Municipality is committed to ensure that all records created and received by the municipality are maintained, integrated and efficiently managed for all the departments and its satellite offices. The municipality will therefore ensure that new record systems that are developed or purchased are integrated cohesively with the municipal systems and not stand-alone systems. This is to ensure that these systems work together smoothly so they can share information and process more efficiently.

3.2 All records created and received by the municipality shall be managed in accordance with the records management principles contained in the National Archives and

Records Service Act, 1996 and the Limpopo Provincial Archives and Records Act The following broad principles apply to the record keeping and records management practices of the municipality:

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

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

3.2.3 Thulamela Local Municipality follows sound procedures for the security, privacy and confidentiality of its records.

3.2.4 Electronic records in the Thulamela Local Municipality are managed according to the principles promoted by the National Archives and Records Service.

3.2.5 Thulamela Local Municipality has performance measures for all records management functions and reviews compliance with these measures.

4. PURPOSE

4.1 The Limpopo Provincial Archives and Records Act of 2005 (Act No. 5 of 2001) requires the municipality as state organ to manage its records in a well-structured record-keeping system, and to put the necessary policies and procedures in place to ensure that it's record keeping and records management practices comply with the requirements of the Act.

4.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities, The information resources of Thulamela Local Municipality must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset.

4.3 This policy is based on the philosophy that the value of records as an institutional resource is increased through its widespread, timely consistent and appropriate use. Its value is diminished through misuse, misinterpretation, or unnecessary restrictions on its access.

4.4 The records management system will:

4.4.1 Enable the Municipality to find the right information easily and comprehensively;

4.4.2 Enable the Municipality to perform its functions successfully and efficiently in an accountable manner;

4.4.3 Support the business, legal, and accountability requirements of the Municipality

4.4.4 Ensure the conduct of business in an orderly, efficient and accountable manner;

4.4.5 Ensure the consistent delivery of services;

4.4.6 Support, document policy formation, and administrative decision making

4.4.7 Provide continuity in the event of a disaster;

4.4.8 Protect the interests of the Municipality's activities, development and achievements; and

4.4.9 Provide evidence of business in the context of cultural activity and contribute to cultural identity and collective memory of the nation.

5. OBJECTIVES

5.1 The policy aims to establish the framework and accountabilities for records management practices and standards within the municipality. Section 13 of the National Archives and Records Service of South Africa (NARSSA) requires the 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.

5.2 The policy further seeks provide guidance on:

5.2.1 To define a framework for the effective and efficient management of records and meet accountability requirements in line with legislative requirements relating to record keeping practices, thereby ensuring creation of authentic, reliable and usable records, capable of supporting the business functions of Thulamela Local Municipality.

5.2.2 To provide systems to ensure that the municipal records are kept in a well-structured and efficiently in an accountable manner that will enable the municipality to perform its functions successfully and support legal and accountability of the municipality.

5.2.3 Enable Thulamela Local Municipality to find the right information easily and comprehensively.

5.2.4 Enable Thulamela Local Municipality to perform its functions successfully and efficiently and in an accountable manner;

5.2.5 Support the conduct of business in an orderly, efficient and accountable manner

5.2.6 Ensure the consistent delivery of services;

5.2.7 Support and document policy formation and administrative decision-making;

5.2.8 Provide continuity in the event of a disaster;

5.2.9 Protect the Interest of the Thulamela Local Municipality and the rights of employees, clients and present and future stakeholders;

5.2.10 Support and document the Thulamela Local Municipality activities development and achievements;

5.2.11 To ensure that the Municipality, as part of national and provincial heritage, capture, maintain and protect a corporate memory of decisions and actions that impacted on the lives of the people and the environment the municipality and contribute to the cultural identity and collective memory of the nation.

5.2.12 Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

6. SCOPE

6.1 This policy applies to all records created, received or maintained by employees and management of the municipality in the course of carrying their functions. The policy applies to all Thulamela Local Municipality departments and its satellite offices regardless of format medium or age. All records created or received during the execution of the municipality functions like electronic record are public records and must be managed in accordance with this guideline. This policy impacts upon the Thulamela Local Municipality' s work practices for all those who:

6.1.1 Create records including electronic records;

6.1.2 Have access to records;

6.1.3 Have any other responsibilities for records, for example storage and maintenance responsibilities;

6.1.4 Have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.

7. POLICY CONTENT

7.1 ADMINISTRATION OF POLICY

7.1.1 Sound Records Management is critical to good governance and accountability. Efficient and effective information forms the basis of formulating policies and managing resources and sustainable delivery of services to the community, therefore all records created and received by the municipality shall be managed in accordance with the following applicable records management principles:

7.1.1.1 Sound procedures for the creation, maintenance, retention, and disposal of all records, including electronic records.

7.1.1.2 Sound procedures for the security, privacy, and confidentiality of records.

7.2 AUTHORITY AND CONTROL

7.2.1 The Municipality is the owner of all the Municipal records and holds copyright to its complications of information, as well as to policies and manuals.

7.2.2 The Municipal Manager has the ultimate responsibility, authority and control for the records management practices and he/she must approve this policy before it is implemented. A copy of this policy is submitted to the provincial Archivist for his/her record.

7.3 OWNERSHIP OF RECORDS

7.3.1 All records created or received by the Municipality shall remain property of the Municipality.

7.3.2 All records that employee create, receive and maintain as part of their duties belong to the Municipality.

7.3.3 No record belongs to individual employees.

7.4 ACCESS AND SECURITY

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

7.4.2 Security classified records shall be managed in terms of the Minimum Information Security Standards (MISS) and Information Technology Security Techniques in SANS 17799.

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

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

7.4.5 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

7.4.6 No staff member shall disclose personal information of any member of staff or client of the Thulamela Local Municipality to any member of the public without consulting the Deputy Records Manager: Personnel Services and/or the Chief Information Officer, first

7.4.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.

7.4.8 Security classified information within various departments i.e. Forensic Services must be protected against/from unauthorized disclosure and when classified must be safe guarded according to the degree of harm that could result from its unauthorized disclosure. It may be accessible only to those holding an appropriate security clearance and who have a legitimate need to know and to fulfil their official duties or contracted responsibilities. If deemed to be valuable information, it must be protected against destruction, loss and jeopardy of cases.

7.4.9 The Records Manager must ensure security of onsite storage and offsite storage back up system for all based records. Records shall always be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of the Municipality.

7.4.10 The Records Manager or delegated authority shall have overall control over the removal of records from their place of custody or from the control of the responsible person.

7.4.11 All information in the Records shall be kept confidential for the protection of privacy and confidentiality (inappropriate disclosure may harm the organization or infringe privacy rights of individuals). The right to privacy is now enshrined in the Bill of Rights.

7.4.12 Unauthorized access to information on the Records is highly prohibited; any unauthorized access to such information may result in the disciplinary measures taken against an employee.

7.4.13 The Provincial Archivist must immediately be informed in writing when losses of public records occur.

7.4.14 Security classified records shall be managed in terms of the Information Security Policy

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

7.4.16 Employees must be allowed access to their personal records in their personal files

7.4.17 Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy.

7.4.18 Disclosure of personal information to third parties is prohibited

7.4.19 Records storage areas shall always be protected against unauthorized access.

7.4.20 Employees should not eat, drink, or smoke near records or in records storage areas.

7.4.21 The Records Manager must ensure that measures are in place to prevent unauthorized persons from having access to registry and record storage areas during or after office hours. The control of keys to these areas should be assigned to a specific person.

7.4.22 These include precautions to prevent unauthorized entry from outside by burglar proofing all windows accessible from the street. A counter with a lattice gate and grating separates the registry work area from the entrance to prevent entry of unauthorized persons. The Head: Registry controls the keys to the security doors of these areas. The keys are assigned to a specific person. Staff from other divisions/sections does not have free access to the records, including personal files but only have authorized access to these files under supervision.

7.4.23 The loss of vital records would render the Municipality partially or totally unable to carry out its normal functions. Vital records protect the enduring civil, legal, financial, property and other rights of citizens. Vital records are records that are needed to continue operational responsibilities under disaster conditions and protect the legal and financial rights of the Municipality. The Municipality will therefore implement a vital records protection programme utilizing both on-site and off-site security storage, which includes Back-up policy and security controls (e.g. password protection and classification of records).

7.4.24 Loss of Public Records, the Provincial Archivist must immediately be informed in writing when losses of public records occur.

7.4.25 Records storage areas shall always be protected against unauthorized access. The following shall apply:

7.4.25.1 Registries other records storage areas and intermediate storage facilities shall be locked when not in use Access to server rooms and storage areas for electronic records media shall be managed through appropriate access control and authorized by the Director: ICT.

7.5 PROTECTION OF INFORMATION

7.5.1 In keeping with the Code of Conduct for Municipal Staff Members as set out in the Municipal Systems Act 32 of 2000, a Records Management and Registry Staff member may not use his/her position or privileges as a staff member of the Municipality, or confidential information obtained as a staff member of the municipality:

7.5.1.1 For private gain or to improperly benefit another person; or take a decision on behalf of the municipality concerning a matter in which that staff member or that staff member's spouse partner or business associate, has a direct or indirect personal and/or private interest.

7.6 LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

7.6.1.1 No records shall be removed from paper-based files without the explicit permission of the Records Manager/Deputy Records Manager.

7.6.1.2 Records that have been placed on files shall not be altered in any way.

7.6.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Records Manager/Deputy Records Manager

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

7.7 ELECTRONIC RECORDS

7.7.1 Thulamela Local Municipality shall use systems and standards in the code of Practice for Information Security Management (SANS 17799) which ensure that its electronic records are:

7.7.1.1 Authentic;

7.7.1.2 Not altered or tampered with

7.7.1.3 Auditable;

7.7.1.4 Produced in systems which utilize security measures to ensure their integrity.

7.7.1.5 Access control

7.7.1.6 The Electronic Records Management Policy which will be developed in due course, will contain specific Information regarding metadata and audit trail information

7.8 TRAINING

7.8.1 The Records Manager/Deputy Records Manager shall successfully complete the National Archives and Records Services Management course as well as any other records management training that would equip him/her to implement her duties. The municipality shall from time to time provide and support registry employee to gain skills in the Records Management. All employees working in the registry office should be conversant with the proper registry procedures to enable them to support registry to function properly. The Records Manager must ensure that all registry employees are well conversant with proper registry to enable them to support the Registry function properly. trained in records management. Training shall include on both Job training and formal training through attending records management courses offered by National Archives.

7.8.2 Storage of Records: Generally, records are constantly subjected to perils that may either damage or destroy the physical record. Ideally, records should be stored in facilities specifically built and equipped for effective storage. In this way, records would be completely protected and thus ensuring their durability. It is essential that all records be effectively stored and protected. The Records Manager must ensure that adequate steps are taken to ensure that the records in the custody of the Municipality are protected against the Municipal records shall be kept, at municipal premises and or Municipal Off-site Storage The off-site storage or physical storage of documents should be located within the province. It is important to take note that records must be protected against the following:

7.8.2.1 Fire: This can be one of the most destructive dangers to records and all possible precautions should be taken to protect records. In this regard, special attention should be given to the position of records storage areas, the construction of storage areas, shelving and cabinets, fire sources, smoke detectors and fire extinguishers. Water: Water on documents results in the records becoming illegible. Every precaution should be taken to avoid records being damaged by this peril.

7.8.2.2 Pests: Pests, plagues, fish moths, cockroaches, termites, rodents like rats and mice, etc. sometimes damage records. Records that are stored in cellars, attics and outbuildings are particularly vulnerable to these hazards. Damage can be prevented by not storing records in these areas. The relevant storage areas, strong rooms and registry are fumigated regularly by a pest control contractor.

7.8.2.3 Extremes of temperature and humidity: This peril is one that is gradual and least observed. In extremely damp and humid conditions, paper-based records become mildewed. While in extremely dry conditions, paper-based records become brittle and break easily. The best way of protecting records against these conditions is to select premises that are not exposed to extreme temperature and humidity.

7.8.2.4 Light: When records are exposed to light, their durability is severely affected. Paper-based records bleach and writing fades. This is particularly the case with records exposed to direct sunlight. However, even exposure to indirect sunlight and artificial light damages records over time. Thus, no direct sunlight should be allowed to shine on records. In the storage areas of records consulted less frequently all light should be switched off when nobody is working in the storage area.

7.8.2.5 Dust: The record storage area should be cleaned and dusted regularly. Records should be kept in boxes and in cabinets in order to protect the records against dust.

7.8.2.6 Handling: Constant handling results in records becoming damaged. Documents should be stored securely in file covers to provide protection from handling.

7.8.2.7 Unauthorized removal: To prevent records from becoming damaged, removed or destroyed, the Records Manager must ensure that measures are in place to prevent unauthorized persons from having access to registry and record storage areas during or after office hours.

7.9 INSPECTIONS BY PROVINCIAL AND NATIONAL ARCHIVES AND SERVICES RECORDS SERVICES

7.9.1 As stipulated in the National and Limpopo Archives and Records Services, subject to the exemption provision contained in section 13(2) (c) of the National Archives and Records Services Act, 1996 as amended, is entitled to full and free access, at all times, to all public records in the Municipality's custody. The objective of the inspection is to measure how efficiently and accurately the physical system is being maintained.

7.9.2 The Accounting Officer shall conduct records inspection on regular basis within the Municipality and at the Municipal Off-site storage facilities.

7.9.3 The Records Manager should conduct regular inspections in the individual components of the Municipality to ensure that their records management practices conform to the standards as required by the legislation.

7.9.4 Ideally these inspections should be done on an annual basis. A lot can happen in records management in a year, especially when the high turnover in registry staff is taken into account.

7.9.5 The following aspects should receive attention:

7.9.5.1 Does the master copy of the file plan correlate with the Provincial/National Archivist's master copy?

7.9.5.2 The appropriateness of maintenance procedures (e.g. register of files opened; the supervisory and management functions of the Head: Registry; etc.).

7.9.5.3 The accuracy of document subject classification - includes misfiling.

7.9.5.4 The degree of efficiency with regard to the flow of files in an office, in other words the demand, supply and locating thereof.

7.9.5.5 The correct use of policy, routine enquiry and parent files. vi. Filing order of documents on a file.

7.9.5.6 Preparation and maintenance of file covers.

7.9.5.7 Closure procedures of files.

7.9.5.8 Administration and storage of closed files.

7.9.5.9 Physical care of all files. If the processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Provincial Archives and Records Service. Systems compliance and monitoring should be documented, and reports submitted to the Municipal Manager

7.9.5.10 Copies of these reports should also be submitted to the Provincial Archivist.

8. TYPES OF RECORDS CLASSIFICATION

8.1 <u>RECORDS CLASSIFICATION</u>

8.1.1 The only classification that may be used for both paper-based and electronic records is the one approved by the Provincial Archivist. The records Manager shall be approached to get an allocation of reference numbers. No revisions and additions may be made to the classification system without the Records Manager's prior approval. Below is the is the summary of record classification as per the file plan:

8.1.1.1 Restricted Records: This classification is given those records that when compromised, can cause inconvenience to a person or municipality, but cannot hold a threat of damage. However, the compromise of such records can frustrate everyday activities.

8.1.1.2 Confidential Records: This classification is given those records that when compromised, can result in undue damage to the integrity of a person or municipality, but not entailing a threat of serious damage.

The compromise of such records, however, can frustrate everyday functions, lead to inconvenience, and bring about wasting of funds.

8.1.1.3 Secret Records: This classification is given those records that when compromised, can result in the disruption of the planning and fulfilling of municipal objectives in such a way that it cannot properly fulfil its normal functions and can disrupt the operational co-operation between the municipality and its stakeholders in such a way that it threatens the functioning of one or more of the affected institutions.

8.1.1.4 Top Secret Records: This classification is given to those records that when compromised, can results in the functions of the municipality being brought to a halt by disciplinary measures, boycotts, or mass action.

9. RECORDS CLASSIFICATION SYSTEMS

9.1 <u>CORRESPONDENCE SYSTEMS</u>

9.1.1 File Plan:

9.1.1.1 Only approved File Plan shall be used for the classification of all correspondence records, it shall be used for the classification of paper-based, electronic and e-mail correspondence records.

9.1.1.2 Specific procedures for the allocation of file subjects and reference numbers to electronic records will be contained in the SOP Manual. More specific guidance regarding the procedure to file e-mail correspondence is contained in the SOP Manual.

9.1.1.3 Each staff member shall ensure that file reference numbers are allocated to all correspondence (paper, electronic, e-mail) according to the approved subjects in the File Plan

9.1.1.4 When correspondence is created/received for which no subject exists in the File Plan, the relevant Registry Head 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.

9.2 RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

9.2.1 Schedule for Records Other than Correspondence Systems:

9.2.1.1 The Records Manager maintains the schedule of all records other than Correspondence systems. The schedule contains a description of each set of records which indicates the storage location and retention periods of these records regardless of format. Should records be created/received that are not listed in the schedule, the Records Manager should be contacted to add the record to the schedule.

9.2.2 Paper-based:

9.2.2.1 Thulamela Local Municipality has current paper-based Records other than the Correspondence Systems that are in the custody of the various departments that use them on a daily basis, ie plans, registers, minute books.

9.2.2.2 These records are under the management of the Records Manager and Deputy Records Managers who are mandated to ensure that they are properly managed.

9.2.3 Micrographic Records:

9.2.3.1 Thulamela Local Municipality microfilmed records, ie. Housing files and Personnel files that are stored at its various departments;

9.2.3.2 These records are under the management of the Records Manager and Deputy Records Managers who are mandated to ensure that they are properly managed.

9.2.4 Audio-visual records:

9.2.4.1 Thulamela Local Municipality has audio-visual records that are stored at its various departments, ie Communication, Personnel Services, Executive Support and Safety & Security.

9.2.4.2 These records are under the management of the Records Manager and Deputy Records Managers who are mandated to ensure that they are properly managed.

9.3 ELECTRONIC SYSTEMS OTHER THAN CORRESPONDENCE SYSTEMS:

9.3.1 The day-to-day maintenance of the corporate document and records management system (SharePoint and SAP-Public Sector Records Management (SAP-PSRM) respectively) is the responsibility of the Director ICT, although the management of the Individual documents and records contained within these systems remain the responsibility of the respective Directorate Deputy Records Managers who are mandated to ensure that they are properly managed.

9.3.2 Storage and Caring of Records:

9.3.2.1 All records shall be kept in storage areas that are appropriate for the type of medium. The Limpopo Provincial Archives and Records Act No. 5 of 2001 guidelines contained in the SOP shall be applied.

9.4 PAPER-BASED STORAGE:

9.4.1 Registries:

9.4.1.1 Correspondence files in current use should be accommodated in a spacious storage area which provides for the growth in documentation.

9.4.1.2 Records stored in a registry should be protected from various perils, ie water damage, dust, rodents, pests and fire.

9.4.1.3 Records should be protected against unauthorized access to avoid theft, loss and breach of security.

9.4.1.4 Records should be stored under fire-proof conditions, ie on metal shelves/cabinets.

9.4.2 Storage facilities: Other paper-based records:

9.4.2.1 Other records in current use should be accommodated in a spacious storage area which provides for the growth of such records.

9.4.2.2 Records should be protected from various perils i.e. water damage, dust, rodents, pests and fire.

9.4.2.3 Records should be protected against unauthorized access to avoid theft loss and breach of security.

9.4.2.4 Records should be stored under fire-proof conditions, i.e. on metal shelves/cabinets.

9.5 AUDIO-VISUAL STORAGE:

9.5.1 Audio-visual records are required to be stored in a clean dark, climatically controlled environment:

9.5.1.1 Records should be protected from various perils, ie water damage, dust, rodents, pests and fire.

9.5.1.2 Records should be protected against unauthorized access to avoid theft, loss and breach of security.

9.5.1.3 Records should be stored under fire-proof conditions and should be protected by storage in albums, enclosures and appropriate boxes.

9.6 MICROGRAPHIC STORAGE:

9.6.1 Micrographic records are required to be stored in a clean, climatically controlled environment:

9.6.1.1 Records should be protected from various perils, ie water damage, dust, rodents, pests and fire.

9.6.1.2 Records should be protected against unauthorized access to avoid theft, loss and breach of security.

9.6.1.3 Records should be stored under fire-proof conditions.

9.6.1.4 Original records (masters) should not be made available for regular use, but rather temporary record and reference copies should be made available.

9.7 ELECTRONIC RECORDS STORAGE:

9.7.1 Electronic correspondence records are stored in the corporate electronic repository that is maintained by the ICT Department.

9.7.2 Access to storage areas where electronic records are stored is limited to the ICT staff who have specific duties regarding the maintenance of the hardware, software and media.

9.8 INTERMEDIATE STORAGE FACILITIES:

9.8.1 Intermediate storage facilities are used for the storage of terminated records classification systems which have not reached their disposal date. These records include correspondence files and records other than correspondence files.

9.8.2 Records should be protected from various perils, ie water damage, dust, rodents, pests and fire.

9.8.3 Records should be protected against unauthorized access to avoid theft, loss and breach of security

9.8.4 Records should be stored under fire-proof conditions.

9.8.5 Records are required to be stored in a clean, climatically controlled environment.

9.9 DISPOSAL OF RECORDS:

9.9.1 The disposal of records is done either by destroying records that have been identified as being non-archival in nature, or by transferring archival records into archival custody.

9.9.2 It is imperative that no public records may be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist. It is emphasized that retention periods for non-archival records must be determined by the Municipality itself. Transparency, accountability, the requirements of democracy, any other legal obligations as well as the Municipality's own functional needs must always be considered when determining retention periods:

9.9.2.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior request by the Records Manager to the Provincial Archivist and acquisition of the written approved authorization from the Provincial Archivist.

9.9.2.2 The Provincial Archivist shall issue Standing Disposal Authorities for the disposal of records classified against the File Plan. This schedule shall be managed by the Records Manager.

9.9.2.3 The Provincial Archivist shall issue Standing Disposal Authorities for the Schedule of Records Other than correspondence systems. This schedule shall be managed by the Records Manager.

9.9.2.4 Retention periods indicated on the File Plan and schedule of records other than correspondence are determined by taking the municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the Records Manager/Deputy Records Manager should be contacted to discuss a more appropriate retention period.

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

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

9.9.2.7 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 Director: Legal Services has indicated that the destruction hold can be lifted.

9.9.2.8 Paper-based archival records shall be safely kept until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the Provincial Archives in its Records Management Policy, as amended from time to time together with the Thulamela's Records Disposal Manual.

10. IMPLEMENTATION: ROLES AND RESPONSIBILITIES

10.1 THE MUNICIPAL MANAGER

10.1.1 The Municipal Manager is therefore ultimately accountable for record management. In terms of the Provincial Archives and Records Service of Act, the Municipal Manager must assign records management responsibilities to all employees of the Municipality, including the Records Manager and all other persons in the Municipality who create records as part of their work. This should be reflected in their job descriptions and applicable performance agreements. In implementing his or her responsibilities, he/she is do the following:

10.1.1.1 committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained; and

10.1.1.2 supports the implementation of this policy and requires each staff member to support the values underlying in this policy; and

10.1.1.3 shall designate a senior manager to be the Records Manager of Thulamela Local Municipality (TLM) and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of the TLM to enable compliance with legislative and regulatory requirements.

10.1.1.4 shall designate Deputy Records Managers for the Portfolios of Human Resources and Information Technology. In addition, hereto he/she shall also designate Deputy Records Managers for all the Directorates of the Organization including the office of the Chief Audit Executive.

10.2 EXECUTIVE DIRECTORS, HEAD OF DEPARTMENTS, DIRECTORS AND MANAGERS (SENIOR MANAGERS)

10.2.1 Senior Managers are responsible for the implementation of this policy in their respective Directorates/Departments. Departmental and Section Heads have a responsibility for classification and management of records whilst in regular use (i.e. during their period of currency). These heads shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.

10.2.1.1 Senior Managers shall lead by example and shall themselves maintain good record keeping and records management practices in their Directorates/Departments.

10.2.1.2 Senior Management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

10.2.1.3 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.

10.3 <u>RECORDS MANAGER</u>

10.3.1 The Records Manager is the delegated overall authority with responsibility to maintain, disseminate and ensure Records integrity and accuracy. The Records Manager will control the file plan and ensure that amendments and/or additions to the file plan are approved by the National Archives representative in the province. The designated Records Manager is the Records Manager for the Organization. Therefore, the Records Manager is responsible for:

10.3.1.1 The implementation of this policy;

10.3.1.2 Staff awareness regarding this policy,

10.3.1.3 The management of all records according to the records management principles contained in the Limpopo Provincial Archives and Records Act of 2005 (Act No. 5 of 2001

10.3.1.4 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.

10.3.1.5 The Records Manager is mandated to make such training and other interventions as are necessary to ensure that Thulamela Local Municipality's record keeping and records management practices comply with the records management principles contained in the Limpopo Provincial Archives and Records Act of 2005 (Act No. 5) of 2001

10.3.1.6 The Records Manager may from time-to-time issue circulars and instructions regarding the record keeping and records management practices of the TLM.

10.3.1.7 The Records Manager shall ensure that all records created and received by the TLM are classified according to the approved file plan and that a written disposal authority is obtained from the Limpopo Provincial Archives and Records Act of 2005 Act No. 5 of 2001.

10.3.1.8 Records Manager shall by means of regular compliance inspections throughout all Directorates/Departments ensure that the physical security of all records and its confidentiality are properly maintained.

10.4 DEPUTY RECORDS MANAGER

10.4.1 The Deputy Records Manager is responsible for:

10.4.1.1 Assisting with the management of all records according to the records management principles contained in the Limpopo Provincial Archives and Records Act of 2005 Act No. 5 of 2001.

10.4.1.2 Assisting the Records Manager in the implementation of this policy in their respective Directorates/Functional Areas.

10.4.1.3 Creating staff awareness regarding this policy.

10.4.1.4 Assisting in 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

10.4.1.5 The establishment of Registries and the implementation of Registry Procedures where required in their functional areas

10.4.1.6 Identifying training and such other interventions as are necessary to ensure that their Directorate's record keeping and records management practices comply with the records management principles contained in the Limpopo Provincial Archives and Records Act of 2005 Act No. 5 of 2001.

10.4.1.7 Ensuring that all records created and received by their Directorates are classified according to the approved file plan.

10.4.1.8 Ensuring that the physical security of all records within their Directorates and the confidentiality thereof, are properly maintained.

10.5 CHIEF INFORMATION OFFICER

10.5.1 The Chief Information Officer and/or his/her nominee is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

10.5.2 The Chief Information Officer and/or his/her nominee shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

10.6 DIRECTOR: ICT

10.6.1 The Director: ICT shall be responsible for:

10.6.1.1 The day-to-day maintenance of electronic systems that stores records.

10.6.1.2 Working in conjunction with the Records Manager to ensure that public records, which are in electronic format are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.

10.6.1.3 Ensuring that appropriate systems, technical and procedural manuals are designed for each electronic system that manages and stores records.

10.6.1.4 Ensuring that all electronic systems capture appropriate system generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created

10.6.1.5 Ensuring 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.

10.6.1.6 Ensuring that all data, metadata, audit trail data, operating systems and applications. software is backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

10.6.1.7 Ensuring that back-ups are stored in a secure off-site environment.

10.6.1.8 Ensuring that systems that manage and store records are virus free

10.6.1.9 Further details regarding the position paper on Document Imaging and the security of information are obtainable from the Director ICT.

10.7 DIRECTOR: LEGAL SERVICES

10.7.1 The Director: Legal Services 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 Municipality.

10.8 REGISTRY STAFF

10.8.1 Registry staff are responsible for the physical management and functional processes of all the records in their care.

10.8.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained In the Registry Procedure Manual.

10.9 STAFF/ EMPLOYEES

10.9.1 Every staff member shall create records of transactions while conducting official business. Every staff member shall manage those records under their care efficiently and effectively by:

10.9.1.1 Ensuring that reference numbers are allocated to paper-based and electronic records according to the file plan,

10.9.1.2 Sending paper-based records to the registry for filing

10.9.1.3 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.

10.9.1.4 The destruction/deletion of records is the competence of the Records Manager and Deputy Records Managers, upon obtaining disposal authority issued by the National/Provincial Archives.

10.10 RECORDS USER

10.10.1 A Record user is an individual who has permission from the Records Manager to access and use records information. Users could be the internal or external clients. External Clients mean members of the public, legal practitioners or other government departments such as judiciary who may need to access certain information to facilitate their work.

11. LEGISLATIVE AND REGULATORY FRAMEWORK

11.1 By managing its paper-based records effectively and efficiently Thulamela Local Municipality strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:

11.1.1 Constitution of the Republic of South Africa of 1996

11.1.2 National Archives and Records Service of South Africa Act, Act No 43 of 1996

11.1.3 Limpopo Provincial Archives and Records Act No. 5 of 2001

11.1.4 Local Government: Municipal Finance Management Act, Act No 56 of 2003

11.1.5 Promotion of Access to Information Act, Act No 2 of 2000.

11.1.6 Promotion of Administrative Justice Act, Act No 3 of 2000.

11.1.7 Electronic Communications and Transactions Act, Act No 25 of 2002

11.1.8 Protection of Personal Information Act, Act No 4 of 2013.

11.1.9 Municipal Finance Management Act (Act No 56 of 2003);

12. STAKEHOLDER ENGAGEMENT (if applicable)

12.1 All the relevant stakeholders internal and external will be consulted through the development and implementation of this policy.

13. MONITORING AND EVALUATION

13.1 The Records Manager shall review the record keeping and records management practices of Thulamela Local Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the Municipality. The Municipal Manager should ensure that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented.

13.2 The Records Manager should conduct regular inspections in the individual components of the Municipality to ensure that their records management practices conform to the standards promulgated in the Act. If processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Provincial Archives and Record Service's Records Management Division. Systems compliance and monitoring should be documented and reports maintained. Copies of these reports should be submitted to the Provincial Archivist. The Records Manager should retain contact with the Provincial Archives and Record Service and should, when necessary, request the Provincial Archives and Record Service to conduct inspections.

13.3 The Records Management Performance Criteria of the Provincial Archives is utilized by the Records Manager of the Municipality to evaluate records management compliance. This document is kept in possession of the Records Manager.

14. CONCLUSION

14.1 In conclusion, the Records Management Policy outlines critical matters raised in the purpose and the objectives. The provisions in the policy contents highlights the need for municipality to adhere to the key issues narrated which will address challenges encountered and lead to effective and efficient implementation of the policy.

14.2 The Municipality commits to make resources available, monitor and evaluate the effectiveness of the policy, thus encouraging all relevant stakeholders to familiarise themselves with the policy and take necessary actions to fully participate and ensure compliance of the policy.

15. REVISION DATE

15.1 The Records Manager in consultation with the Compliance Officers shall review the record management policy on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of the organization.

15.2 This policy shall be reviewed on annual basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Thulamela Local Municipality.

16. ANNEXURES

16.1 Business Process Maps

16.2 Standard Operating Procedure