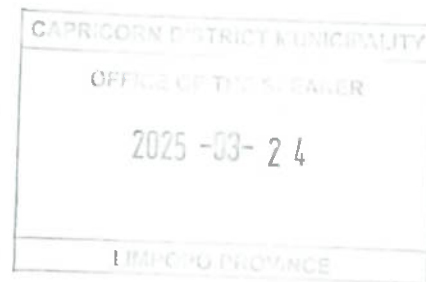




## **CAPRICORN DISTRICT MUNICIPALITY**

### **General Record Management Policy**

---

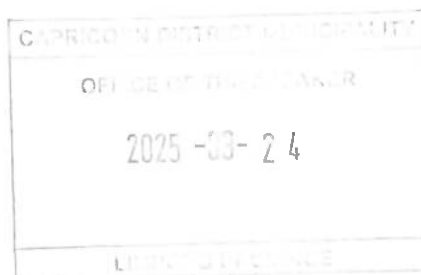


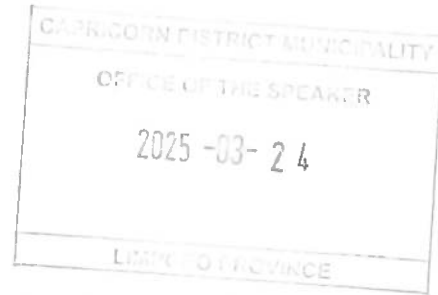
## TABLE OF CONTENTS

ITEM NO.	DESCRIPTION	PAGE NO.
1	Pre-amble	3
2	Objectives	4
3	Definitions	4
4	Legal mandate	6
5	Scope of application and intended audience	7
6	Guiding principles	7
7	Relationship with other policies	7
8	Policy Directive and procures	8
8.1	Creation of records	8
8.2	Classification and storage of records	8
8.3	Human resources (registry)	9
8.4	Finance records	9
8.5	Management of electronic records	10
8.6	Training and awareness	10
8.7	Access and Security	11
8.8	Inter-organizational and off-site transfer of records	12
8.9	Inspection of records	12
8.10	Disposal of records	13
9	Legal admissibility and evidential weight	14
10	Obligations	14
11	Role and responsibilities	14
12	Review of policy	18
13.	Default	18
14.	Procedures	18
15.	Enquiries	18
16.	Approval	19

## **1. Preamble**

- 1.1 The effective management of all recorded information across the organization is essential for the Municipality to operate efficiently.
- 1.2. Within the framework of legislative compliance and best practice, records management is a core obligation for business operations.
- 1.3. Annually, the CDM creates millions of records in different forms and media as part of their day-to-day business. Managing this information to agreed standards as it is created (and throughout its lifecycle) is essential if those records are to be understood or used in the future.
- 1.4. The availability, re-usability and life of the record depend on it being managed according to its context and value. The Promotion of Access to Information Act (No. 2 of 2000) put great emphasis on an organization's ability to make information available to the public.
- 1.5. These legislative obligations highlight the need for an effective framework for archives and records management to be in place throughout the organisation as a mechanism for managing and retrieving information on demand.
- 1.6. This policy therefore aims to address inconsistencies and uncertainties with regard to records management practices within the Municipality. It is also aimed at encouraging uniformity in the execution of records management activities within the Municipality.
- 1.7. The policy also provides the framework for CDM to effectively fulfill their obligations and statutory requirements under the archival legislation in the new dispensation.
- 1.8. Compliance with this policy will go a long way in promoting a requisite culture of sound archives and records management within the Municipality.





## 2. Objectives

2.1 To ensure that all municipal records are properly managed, easily accessible, and traceable.

## 3. Definitions

- (a) **Archives repository-** The building in which records with archival value are preserved permanently.
- (b) **Authentic records-** They are records that can be proven to be what they support to be. They are also records that are considered by the creators to be their official record
- (c) **Authoritative records-** They are records that are authentic, reliable, trustworthy and usable and are complete and unaltered.
- (d) **Correspondence system-** A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.
- (e) **Custody-** The control of records based upon their physical possession.
- (f) **Disposal authority-** A written authority issued by the National/Provincial Archivist specifying which records should be destroyed/deleted or otherwise disposed of:
- (g) **Disposal authority number-** A unique number identifying each disposal authority issued to a specific office.
- (h) **Electronic records-** Information which is generated electronically and stored by means of computer technology. Electronic records other than the correspondence system.
- (i) **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 metadata (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.
- (j) **File plan-** A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.
- (k) **File reference number –** A unique identifier for a file which is used to link a record to its specific subject file and subject grouping;
- (l) **Filing system-** Collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.
- (m) **Non-archival records-** Records with a short lived interest or usefulness.

- (n) **Public record-** A record created or received by a governmental body pursuant to its activities, regardless of form or medium.
- (o) **Records other than correspondence systems-** Records that do not form part of a correspondence file, or a case file e.g. Registers, maps, plans, electronic records, audio-visuals records, etc.
- (p) **Record-** Recorded information regardless of form or medium  
Evidence of a transaction, preserved for the evidential information it contains.
- (q) **Records classification system-** A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.
- (r) **Recording-** Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.
- (s) **Record keeping-** Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
- (t) **Records manager** – An official designated by the Municipal Manager in terms of section 13 of the National Archives and Records of South Africa Regulations Act No. 43 of 1996
- (u) **Records management-** a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.
- (v) **Schedule of records other than correspondence systems**  
A control mechanism for record other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records. It consists of the following parts:

- Schedule for paper-based records other than correspondence files.
- Schedule for electronic records systems other than the electronic correspondence system.
- Schedule for microfilm records.
- Schedule for audio visual records.

(w) **System technical manual**

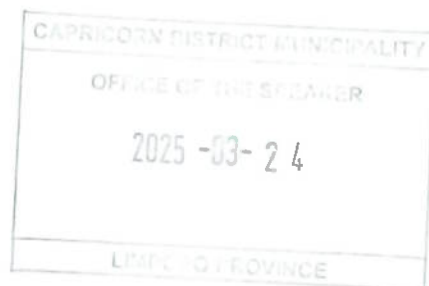
A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

(x) **System procedures manual**

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the

system. A system procedures manual would contain detailed procedures regarding.

- Document capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures.
- File transmission
- Information retention
- Backup and system recovery.
- System maintenance



#### 4. Legal mandate

The policy complies with the following acts, regulations, and best practice standards:

a.	The National Archives and Records Service Act (No. 43 of 1996 as amended)
b.	The Constitution of the Republic of South Africa (Act No 108, 1996)
c.	The Promotion of Access to Information Act (No. 2 of 2000)
d.	The Promotion of Administrative Justice Act (No. 3 of 2000)
e.	Limpopo Province Archives Act (Act no.5 of 2001)
f.	The National Minimum Information requirements (NMIR), DPSA Circular no.4 of 2001
g.	The Electronic Communication and Transactions Act (No. 25 of 2002)
h.	The Municipal Finance Management Act (Act No 56, 2003)
i.	The Minimum Information Security Standard (MISS)
j.	Protection of Personal Information Act 04 of 2013

#### 5. Scope of application and intended audience.

5.1. This policy impacts upon the CDM's work practices for all those who:

- a. Create records (including electronic records).
- b. Have access to records.
- c. Have any other responsibilities for records such as storage and maintenance responsibilities.

- d. Have management responsibility for staff engaged in any of these activities or manage or have design input into information technology infrastructure.
- 5.2. The policy therefore applies to all staff members of the CDM and the contractors.

## 6. Guiding principles

To meet the demands of the policy it is essential that all business units understand and practice the following principles when managing their recorded information regardless of its format:

- a. All records generated during a business unit's normal activities are the property of CDM.
- b. Every employee has a responsibility to adequately manage the records they create or use.
- c. Records must be managed to support business functions.
- d. Records should be held in managed systems and should be accurate, up to date and accessible.
- e. Records must not be retained, distributed, or copied unnecessarily.
- f. The management of records must be in accordance with security, protection, legal, environmental, and cost requirements.

## 7. Relationship with other policies

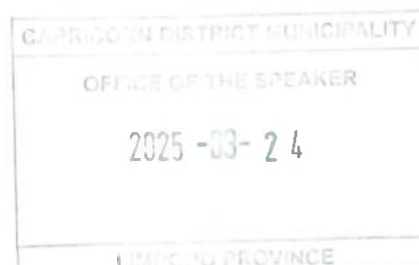
7.1. The Capricorn District Municipality's Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by Capricorn District Municipality.

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

- (a) The Information Security Policy is managed by the Chief Risk Officer.
- (b) The ICT Policies which are managed by the Chief Information Officer; and the

(c) The Promotion of Access to Information Manual (Policy) which is managed by the Municipal Manager (Information Officer).

(d) Protection of Personal Information policy is managed by Records Manager



## 8. Policy Directive and Procures

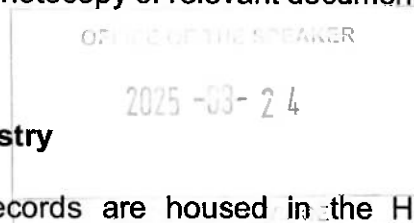
### 8.1. Creation of records

- a. All employees shall create records that adequately document the business activities in which they are involved.
- b. Employees leaving the CDM or changing positions within the CDM are required to leave all records for their successors.
- c. All records created during the course of normal business activity of the CDM, including those created by contractors, are the property of the CDM until they are either destroyed or they are transferred to an archive's repository.

### 8.2. Classification and storage of records

- a. All correspondence records shall be classified, arranged, and described in line with the *Functional Subject File Plan* approved by the Provincial Archives and Records services.
- b. All "Other Records" shall be classified, arranged, and described in line with the *Schedule of records other than correspondence files* approved by the Provincial Archives and Records services.
- c. Records should be transferred to an appropriate record storage area regularly to avoid the build-up of piles in offices.
- d. All records shall be stored in purpose-built records storage facilities. Employees should minimize the number of files they keep on their workstations. It is advisable that only working files should be maintained by officials.
- e. Records shall be stored in a way that minimizes potential damage. Records, including those in boxes, should not be stored on the floor.

- f. The shelving, equipment and containers for records storage shall be designed in a manner that ensures that records are secure, accessible, and protected from deterioration.
- g. Under no circumstances shall an employee take a file home. If is necessary to work on a file at home, a photocopy of relevant documents should be made.



### **8.3. The Human Resources (HR) registry**

- a. All Human Resources related records are housed in the HR Registry.
- b. The general HR subject files as well as HR case files are under the management of the Record Manager who is mandated to ensure that they are managed properly.
- c. Capricorn District Municipality maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the HR registry.
- d. The case files are managed as part of the list of Series of Separate case File that is maintained and managed by the Records Manager
- e. The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records management System.

### **8.4 Finance**

- a. The Finance Section shall maintain and operate its own records storage facility for the management of financial records.
- b. In line with Section 17.2.1 of the *Treasury Regulations*, financial records relating to one financial year shall be retained by the Finance Records Storage Facility for a period of one year after the audit report for the financial year in question has been tabled in Parliament or the provincial legislature.
- c. In line with Section 17.2.1 of the *Treasury Regulations*, financial records relating to more than one financial year shall be retained by the Finance

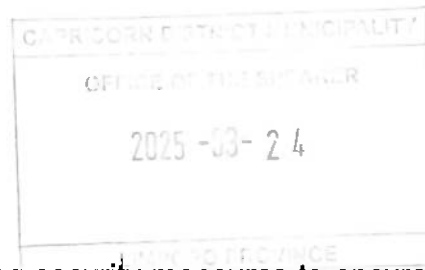
Records Storage Facility for one year after the date of the audit report for the last of the financial years to which the information relates.

- d. After the expiry of the above retention periods, the records shall be transferred to the Municipality's main registry for safekeeping and eventual disposal in line with Section 17.2.3 of the *Treasury regulations*.
- e. The Finance Section shall ensure that dedicated official is given the responsibility to manage records for the unit
- f. The Municipality's approved file plan shall be used to manage these records.

### **8.5 Management of electronic records**

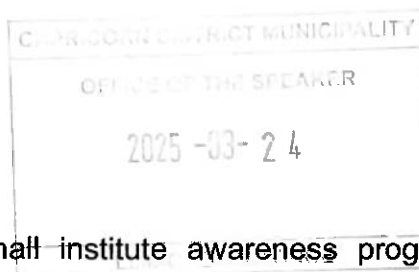
- a. Electronic records shall be managed in accordance with the standards and conditions determined by the National Archives and Records Services.
- b. The CDM shall implement systems that ensure that its electronic records are:

- a. Authentic.
  - b. Not altered or tampered with.
  - c. Audible.
  - d. Produced in systems, which utilize security measures to ensure their integrity.
- c. The Records Manager shall inform the Provincial Archives and Records Services with regard to the acquisition and implementation of electronic records systems.



### **8.6 Training and awareness**

- a. The Records Manager shall be responsible for the provision of training in the management of records within the CDM.



- b. The Records Manager shall institute awareness programmes and campaigns to promote sound records management within the Municipality.
- c. The Records Manager shall successfully complete the National Archives and Records Services' Records Management Course as well as any other records management training that would equip him/her in performing his/her duties.
- d. The Records Manager shall identify such training courses that are relevant to the duties of the registry personnel and shall ensure that the registry personnel is trained appropriately.
- e. The CDM may co-operate with other organizations interested in archival matters or the management of records for purposes of improving records management practices within the Municipality.
- f. The CDM may provide professional and technical support to Local Municipalities in records management activities.

#### **8.7 Access and security**

- a. Records shall always be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Capricorn District Municipality.
- b. Security classified records shall be managed in terms of the Minimum Information Security standards (MISS).
- c. No staff member shall remove records that are not available in the public domain form in the premises of Capricorn District Municipality without the permission of the Records Manager in consultation with (Municipal Manager).
- d. No staff member shall provide information and records that are not in the public domain without consulting the Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Section 14 Manual which is maintained by the Information Officer.

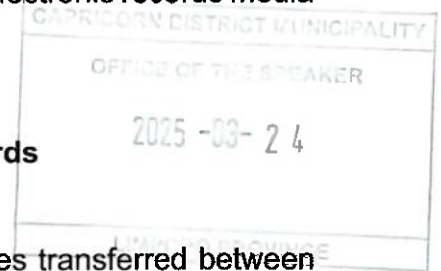
- e. Personal information shall be managed in terms of the Protection of personal information Act 04 of 20213 and regulations.
- f. No staff member shall disclose personal information of any member of staff or client of Capricorn District Municipality to any member of the public without consulting the Information Officer.
- g. Records storage areas shall always be protected against unauthorized access.
- h. Access to server rooms and storage arrears for electronic records media shall be managed with key card access.

#### **8.8 Inter-organizational and off-site transfer of records**

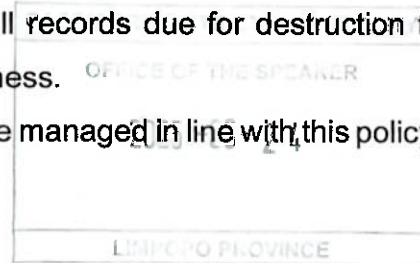
- a. The Registry Unit shall keep a register of all files transferred between CDM and other governmental bodies. These transfers often occur when functions are transferred from one office/institution/department to another.
- b. If records are transferred permanently the Provincial Archivist shall be informed through the Office of the Records Manager.
- c. No records shall be transferred to a private off-site data/records storage facility without prior authorization of the Municipal Manager and the Provincial Archives.

#### **8.9 Inspection of records**

- a. In order for the Provincial Archives and Records Services to conduct inspections as provided for by Section 13 (2)(c) of the Limpopo Archives Act 05 2001, all business units should, subsequent to consultations with the Records Manager, provide access for authorized Provincial Archives and Records Services officials to records in their custody.



- b. The Records Manager shall conduct records inspections in all business units on a regular basis and advise the Municipality about the conditions under which these records are managed.
- c. The Records Manager shall inspect all records due for destruction to validate authorization and appropriateness.
- d. Reports of all audits/inspections shall be managed in line with this policy.



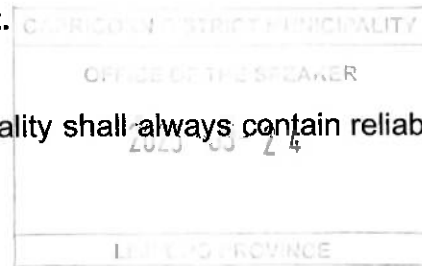
#### **8.10 Disposal of records**

- a. In terms of section 13 (2) of the Limpopo Province Archives Act, "no public records under the control of a governmental body may be transferred to an archives repository, destroyed, erased, dumped on the corridors or otherwise disposed of without a written disposal authority issued by Provincial Archivist".
- b. Business Units and employees who wish to initiate the disposal of records shall seek authorization from the Municipal Manager through the Records Manager's office before records are destroyed.
- c. Correspondence files shall be destroyed in accordance with the disposal authority issued by the Provincial Archives and Records Services following the approval of the Municipal Manager.
- d. Records with archival value shall be transferred to the Provincial Archives Repository 20 years after creation with the approval of the Municipal Manager after prior arrangements has been made with the relevant archives' repository.
- e. Records that are covered by the General Disposal Authority (e.g. Applications for posts, personnel records etc) shall be disposed of in accordance with the relevant National Archives-issued General Disposal Authority with the approval of the Municipal Manager.
- f. Upon destruction of the records, the Records Manager shall submit to the provincial archivist a destruction certificate of listing the records and certifying their destruction.
- g. The Records Manager shall insure the proper destruction of all ephemeral records, in accordance with the preceding provisions, within **90 (ninety)** days of the date of eligibility.
- h. Destruction of records shall only take place once there is assurance that the records in question are no longer required, that no work is

outstanding and that no litigation or investigation or request which would involve the records in question in terms of the Promotion of Access to Information Act or the Promotion of Administrative Justice Act is pending.

## **9 Legal admissibility and evidential weight.**

The records of Capricorn District Municipality shall always contain reliable evidence of business operations.



## **10 Obligations**

10.4 All employees are accountable for the decisions they make. Records plays a pivotal role in what, where, when and why of such decisions and actions.

10.5 Good record-keeping is therefore a collective responsibility, and each employee has an obligation to ensure that records are created and managed according to this policy.

10.6 All employees (temporary or permanent), consultants, contractors, and volunteers must comply with this policy and procedures issued in accordance with this policy.

## **11 ROLE AND RESPONSIBILITIES**

### **11.1. Municipal Manager**

11.4 The Municipal Manager is ultimately accountable for the record keeping and records Management practices of Capricorn District Municipality.

11.5 The Municipal Manager is committed to enhancing accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

11.6 The Municipal Manager supports the implementation of this policy and requires each staff to support the values underlying in this policy.

11.7 The Municipal Manager shall designate a senior official to be the records manager of Capricorn District Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of Capricorn District Municipality to enable compliance with legislative and regulatory requirements.

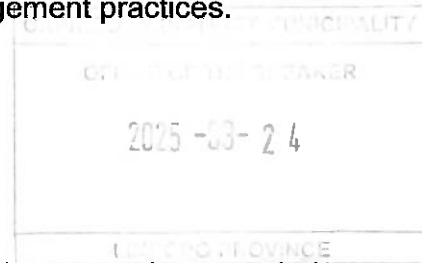
11.8 The Municipal Manager is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

### **11.2. Executive Managers**

- a. Executive Managers are responsible for the implementation of this policy in their respective units.
- b. Executive managers shall lead by example and shall themselves maintain good record keeping and records management responsibilities and obligations.
- c. Executive management shall ensure that all staff are made aware of their record keeping and records management practices.

### **11.3. Records Manager**

- a. The implementation of this policy;
- b. Staff awareness of this policy;
- c. 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.
- d. The specific duties of the records manager are contained in the Records Manager's job description.
- e. The records manager is mandated to make such training and other interventions as are necessary to ensure that the Capricorn District Municipality's record keeping and record's management practices comply with the records management principles contained in the National Archives and Records Service Act.



- f. The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Capricorn District Municipality.
- g. The records manager shall ensure that all records created and received by Capricorn District Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the National Archives and Records Services.
- h. The Operational Manager: Records is the records manager for the whole Capricorn District Municipality.



#### 11.4. The Chief Information Officer

- a. The **Chief Information Officer** is responsible for the day-to-day maintenance of electronic systems that stores records.
- b. The **Chief Information Officer** shall work in conjunction with 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.
- c. The **Chief Information Officer** ensures that all electronic systems capture appropriate systems generated metadata and audit trail for all electronic systems to ensure that authentic and reliable records are created.
- d. The **Chief Information Officer** shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.
- e. The **Chief Information Officer** shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the

recovery of authentic, authentic, reliable and accessible records should a disaster occur.

- f. The **Chief Information Officer** shall ensure that back-ups are stored in a secure off-site environment.
- g. The **Chief Information Officer** shall ensure that systems that manage and store records are virus free.



#### **11.5. The Legal Services Department**

The Legal Services manager is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Capricorn District Municipality.

#### **11.6. Registry Staff**

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

#### **11.7. Staff**

- a. Every staff member shall create records of transactions while conducting official business.
- b. Every staff member shall manage those records efficiently and effectively by:
  - Allocating reference numbers and subjects to paper-based and electronic records according to the file plan.
  - Sending paper-based records to the registry for filing.

- Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the national Archivist.

## **12. APPROVAL**

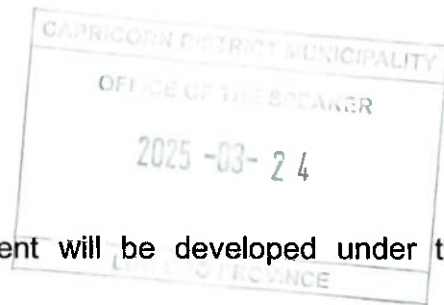
This policy will be used to deal with all General Record Management issues and will be reviewed by the Council in accordance with CDM policy provisions.

## **13. Default**

Any employee who contravenes the provisions of this policy shall be charged with misconduct and the necessary disciplinary measures shall be taken against the contravener.

## **14. Procedures**

Standard procedures for records management will be developed under the authority of this policy.



## **15. Enquiries**

Enquiries regarding this policy should, in the first instance, be directed to:

The Operational Manager: Records Management

Box 4100

POLOKWANE

0700

Tel: 015 2941220

Fax: 0152914297

E-mail: [Mavanyisim@cdm.org.za](mailto:Mavanyisim@cdm.org.za)