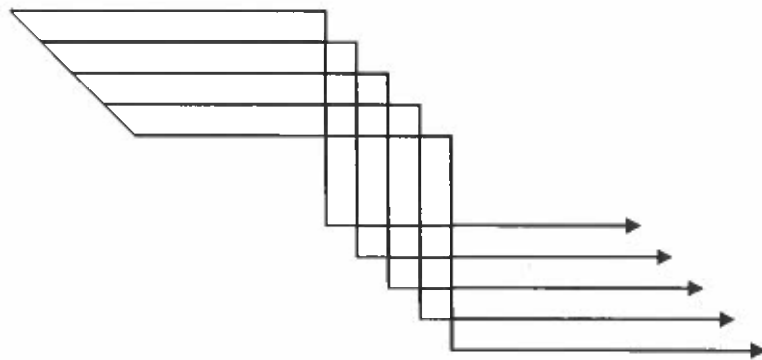




Molemole Municipality

# **Records Management Policy**



## Table of Contents

|                                                                    |   |
|--------------------------------------------------------------------|---|
| 1. Introduction .....                                              | 2 |
| 2. Purpose.....                                                    | 2 |
| 3. Objectives of the policy.....                                   | 3 |
| 4. Legislative Provisions .....                                    | 3 |
| 5. Scope .....                                                     | 4 |
| 6. Roles and Responsibilities .....                                | 4 |
| 6.1 The Municipal Manager .....                                    | 4 |
| 6.2 Senior managers .....                                          | 4 |
| 6.3 Manager: Administration .....                                  | 5 |
| 6.5 The Registry staff .....                                       | 5 |
| 6.6 The Admin Officer .....                                        | 5 |
| 6.7 IT Officer .....                                               | 6 |
| 6.8 Municipal Staff.....                                           | 6 |
| 7. Storage Areas .....                                             | 6 |
| 8. The Human Resources registry.....                               | 7 |
| 10. Maintenance of the file plan .....                             | 7 |
| 11. Protection of Records .....                                    | 8 |
| 11.1 Access.....                                                   | 8 |
| 11.2 Fire prevention measures and protection from roof leaks ..... | 8 |
| 12. Disposal of Records.....                                       | 9 |
| 13. Policy Evaluation and Review .....                             | 9 |

# 1. Introduction

- 1.1 Records and Registry Office is responsible for controlling all channels of communication which also enables an organization to perform its functions properly.
- 1.2 The Records and Registry office keeps all the records developed and/or received by the Municipality.
- 1.3 The records management policy serve as a guiding tool to all officials entrusted with the responsibility of creating correspondences within the institution. The records policy is used to outline the correct procedure regarding treatment of incoming and outgoing correspondence.
- 1.4 Like other resources of people, machinery and equipment, Molemole Municipality places a high regard for its information resource. This policy is an affirmation that the municipality is committed to managing its information resources in a way that will enhance its strategic value.

# 2. Purpose

- 2.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the any public entity to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that record keeping and records management practices comply with the requirements of the Act.

## 2.2 Policy statement:

All records created and received by Molemole Local Municipality shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.

- 2.3 The following broad principles apply to the record keeping and records management practices of Molemole Local Municipality:

- The municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- The records management procedures of the municipality comply with legal requirements, including those for the provision of evidence.
- The Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records are managed according to the principles promoted by the National Archives and Records Service.

### ***Relationship with other policies***

- The Municipal Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by this municipality. These policies are managed by the Admin Officer as well as any official assigned to oversee those polices. The following parts exist:
  - Electronic records management policy
  - E-mail policy;
  - Document imaging; and
  - Web content management policy
  - the Information Security Policy;
  - the Internet Usage Policy which is managed by the IT Manager; and the
  - Promotion of Access to Information Policy [Section 14 manual ]

### **3. Objectives of the policy**

- 3.1 To ensure all correspondence received by the municipality is safeguarded and processed according to the National Archives and Records Service of South Africa Act. 1996.
- 3.2 To ensure a consistent and uniform procedure is followed when filing, delivering and archiving correspondence
- 3.3 To keep control of correspondence's movement within municipal departments
- 3.4 To ensure that correspondence addressed to the municipality is timeously delivered to relevant addressees.
- 3.5 To ensure confidentiality of all incoming mail and ensure that all items reach the intended recipients in the same quantity
- 3.6 To promote a sound records management practice and eliminate unnecessary duplication of records.
- 3.7 To ensure a proper control, monitoring and storage of municipal records so as to reduce vulnerability to litigations and financial loss.

### **4. Legislative Provisions**

- 4.1 **The following legislative frameworks will form the basis for application of this Policy:**
  - Constitution of the Republic of South Africa, Act 108 of 1996
  - Promotion of Access to Information Act 2 of 2000
  - Municipal Systems Act, 32 of 2000
  - Municipal Structures Act, 117 of 1998
  - National archives and records service of South Africa act Act no. 43 of 1996

## **5. Scope**

This policy shall impact upon Molemole Municipality's work practices for all those who:

- 5.1 Create records including electronic records
- 5.2 Have access to Municipal records
- 5.3 Have any other responsibilities for records like storage, maintenance and disposal of correspondence

## **6. Roles and Responsibilities**

**The Department of Corporate Services**, through the Senior Administration Officer, shall be the implementing authority of this policy, and shall facilitate its annual revision.

### **6.1 *The Municipal Manager***

- a) The Municipal Manager is ultimately accountable for the record keeping and records management practices in the municipality
- b) She/he is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- c) To support the implementation of this policy and requires each staff member to support the values underlying in this policy.
- d) As the Accounting Officer, the Municipal Manager shall designate a senior manager to be the records manager of the municipality to perform such duties as are necessary to enhance the record keeping and records management practices to enable compliance with legislative and regulatory requirements.

### **6.2 *Senior managers***

- a) Senior managers are responsible for the implementation of this policy in their respective units.
- b) Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- c) Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- d) Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

### **6.3    *Manager: Administration***

- a) As the custodian of records management services in the municipality the Manager: Administration is responsible for:
  - i. The implementation of this policy;
  - ii. Staff awareness regarding this policy;
  - iii. The management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
  - iv. 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.
  - v. Making such training and other interventions as are necessary to ensure that the municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
  - vi. Issuing circulars and instructions from time to time regarding the record keeping and records management practices

**6.4    The Driver/Messenger** – will collect and deliver the mailbag on a daily basis.

### **6.5    *The Registry staff***

- a) Tasked with the responsibility to implement the registry procedure manual
- b) Responsible for sorting, opening and delivering mail to respective departments. He/she is also responsible for assigning file numbers to correspondence for ease of filing.
- c) He/she must also make sure that all faxes received are captured in the computer program designed specifically for that. He/she must then submit a daily register of all incoming mail to Admin Officer.

### **6.6    *The Admin Officer***

- a) Responsible for overseeing implementation of registry procedure manual
- b) Will open the mailbag in the presence of Registry Staff
- c) He/she will always keep the mailbag keys.
- d) Ensuring that all records created and received are classified according to the approved file plan and that a written disposal authority is obtained for them from the Provincial Archives services.

## **6.7 IT Officer**

- a) Responsible for the day to day maintenance of electronic systems that stores records. He/she will work with the Registry office 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.
- b) He/she will also ensure that electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology and format obsolescence.
- c) Comprehensive details regarding specific responsibilities of the IT Manager are contained in:
  - the Electronic Records Management Policy;
  - the E-mail policy;
  - the Web content management policy;
  - document imaging policy; and the
  - Information security policy.

## **6.8 Municipal 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:
  - i. Allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
  - ii. Sending paper-based records to the registry for filing;
  - iii. Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.
- c) Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

## **7. Storage Areas**

- 7.1 All correspondence, both paper-based and electronic must be housed in the central registry or a properly designated office.
- 7.2 Only duly authorized personnel are allowed in the registry office.

## **8. The Human Resources 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 Human Resource manager who is mandated to ensure that they are managed properly.
- c) The Human Resource Division 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 designated for Human Resource files
- d) The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Human Resource manager.

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

## **10. Maintenance of the file plan**

- 10.1 All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines shall be followed when implementing this policy.
- 10.2 The Admin Officer or a properly designated official is responsible for the maintenance of the file plan.
- 10.3 Officials must ensure that correspondences are placed correctly and prevents the subsequent wear and tear of the file plan.
- 10.4 Faulty additions through which exiting files are duplicated, or which overlap with existing subjects, or addition of documents to incorrect places should be avoided at all costs.
- 10.5 Any amendments made to the file plan should be properly documented in the Master file plan after approval by the Head of Administration.
- 10.6 All these amendments should be reported to the Provincial Archivist and as soon as approval is received, the provisions in the Master copy and on the file covers are finalized.



## **11. Protection of Records**

### **11.1 Access**

- a) All officials must note that they have access to files and records only to carry out their duties. No unauthorized persons may gain access to the record centre during or after office hours. Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.
- b) No staff member shall remove records that are not available in the public domain from the premises of the municipality without the explicit permission of the Municipal Manager in consultation with the Manager: Administration.
- c) No staff member shall provide information and records that are not in the public domain to the public without consulting the Municipal Manager. Specific guidelines regarding requests for information are contained in the approved Section 14 Manual.
- d) 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.
- e) No staff member shall disclose personal information of any member of staff to any member of the public without consulting the Municipal Manager.
- f) Records storage areas shall at all times be protected against unauthorized access. The following shall apply:
  - i. Registry and other records storage areas shall be locked when not in use.
  - ii. Access to server rooms and storage areas for electronic records media shall be managed with biometric system

### **11.2 Fire prevention measures and protection from roof leaks**

- a. The lighting of matches, smoking and storage of inflammable material or cleaning solutions in registry is strictly forbidden. Only fire extinguishers may be used to extinguish fire in the registry office. The registry officials must from time to time advise when the extinguisher is due for inspection so that it is updated. Water should not be use.
- b. The registry office and offices where records are kept should be regularly inspected to guard against roof leaks and water pipe leaks. The Registry Officials should advise the Head of Administration if there is anything to be fixed.
- c. The registry and other areas where records are stored must be regularly examined to avoid the occurrence of pests and plagues.
- d. No direct sunlight must be allowed to shine on any records and for this reason the blinds in the registry must be kept rolled down when the sun shines in.
- e. All officials must be aware that it is considered to be violation of Limpopo Archives Act (Act 05 of 2001) to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible. Careful handling also saves time and money because damaged file covers do not have to be changed as regularly.

## **12. Disposal of Records**

- 12.1 No municipal records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist.
- 12.2 Retention periods must be adhered to if a records/correspondence is to be disposed. Retention periods are determined by taking into account Molemole Municipality's legal obligations and operational uniqueness.
- 12.3 Should a staff member disagree with the allocated retention period(s), he/she must contact the Manager: Administration to discuss a more appropriate retention period.
- 12.4 All disposals should be authorized by the Provincial Archivist prior to their execution to ensure that archival records are not destroyed inadvertently.
- 12.5 Approved disposals shall be conducted once every year at a time determined by Head of Department.
- 12.6 Non-Archival records that are needed for litigations, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services or any properly authorized officials has indicated the destruction hold can be lifted.

## **13. Policy Evaluation and Review**

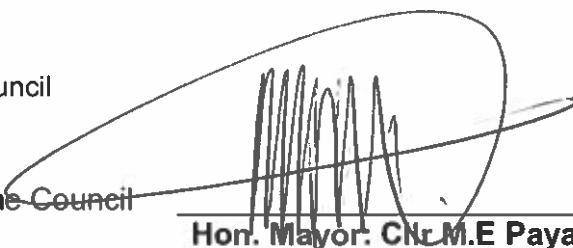
- a. This policy shall be reviewed once every year by Corporate Services Department, through Administration section to iron out any deficiencies identified during its implementation
- b. All municipal staff is encouraged to report any difficulties they experience during implementation to the Manager: Administration.

| Version | Date Approved | Details                    |
|---------|---------------|----------------------------|
| 01      | 29 May 2009   | First approval             |
| 02      | 30 April 2016 | 2 <sup>nd</sup> Amendment  |
| 03      | 28 May 2018   | 3 <sup>rd</sup> Amendment  |
| 04      | 29 May 2019   | 4 <sup>th</sup> Amendment  |
| 05      | 28 May 2020   | 5 <sup>th</sup> Amendment  |
| 06      | 28 May 2021   | 6 <sup>th</sup> Amendment  |
| 07      | 27 May 2022   | 7 <sup>th</sup> Amendment  |
| 08      | 30 May 2023   | 8 <sup>th</sup> Amendment  |
| 09      | 31 May 2024   | 9 <sup>th</sup> Amendment  |
| 10      | 29 May 2025   | 10 <sup>th</sup> Amendment |
| 11      | 29 May 2026   | 11 <sup>th</sup> Amendment |

#### 14. Approval of the policy

a) Date of Approval by Council

b) Signed on Behalf of the Council

  
Hon. Mayor. Cnr M.E Paya