

UMZIMVUBU LOCAL MUNICIPALITY



UMZIMVUBU
— LOCAL MUNICIPALITY —

RECORDS MANAGEMENT POLICY

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1. PREAMBLE

Sections 141 and 195(1) of the Constitution, 1996 provides that governance should be accountable and transparent.

Accountability and transparency may only occur if-

- The public, to which governmental bodies are accountable, has ready access to all information that underpins the decision-making processes of governmental bodies.
- The Offices of the Auditor General has ready access to information on the financial transactions entered into by governmental bodies to enable it to report to the public on the spending of their tax monies

Governmental bodies should recognize their responsibility to the public by implementing and maintain sound records management practices. To ensure that records management receives the attention it deserves, it should be a strategic objective in the governmental body's strategic and business plans.

Heads of governmental bodies should also encourage that they budget for the records management function and that the necessary financial, human and technological resources are allocated to support the records management function.

2. Objective

Umzimvubu Local Municipality strive to ensure that institutional memory is always sustained and through a sound records management this can be achieved. This policy document will ensure that this is accomplished. It will further state out all the processes that should be followed at Records/ Registry. Further to that this policy document will introduce the new control systems that have procured by Umzimvubu Local Municipality in moving towards a paperless environment, that is the Electronic Document Management System.

3. Legal Framework for a Sound Records Management Programme

- The promotion of access to Information Act (Act. No.2 of 2000)
- The promotion of Administrative Justice Act (Act. No.3 of 2000)
- The Electronic Communications and Transactions Act (Act. No.25 of 2002)
- The National Archives and Records Service of South Africa Act (Act No.43 of 1996 as amended)
- Schedule of other records than correspondence systems.
- Electronic imaging
- File plan standards

4. Scope of Application

This policy shall be application to Records Management staff members, employees and councillors.

5. What is records management?

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance.

Sound records management implies that records are managed in terms of an organizational records management programme governed by an organizational records management policy.

6. Advantages of Effective Records Management

A Sound records management programme is advantageous because;

- A well-organised filing system enables an organization to find information easily. Records that are correctly filed and stored easily accessibly, and this facilitates transparency, accountability and democracy;
- The orderly and efficient flow of information enables the organization to perform its functions successfully and efficiently;
- Authoritative and reliable records are created and maintained in an accessible, intelligent and usable manner to support the business and accountability requirements of the organization;
- Efficiency and economy are ensured by eliminating unnecessary duplication of records
- A retention and disposal programme ensures that the organization maintains only those records it really needs for functional purposes; and
- Controls are exercised to ensure that only authorized persons have access to the information, thus preventing information and/or the records themselves from being stolen or damaged. This ensures the protection of privacy and confidentiality, and prevents the inappropriate disclosure of information that could harm the organization or infringe the privacy rights of individuals.

Governmental bodies can only be effective and efficient if-

- Records management is considered a business process designed to support business objectives.
- Records are considered a resource and are utilized fully and cost effectively to realize business objectives;
- Each governmental body creates and maintains a culture which will promote effective and efficient records management to facilitate efficient and timely decision-making.

7. Records Manager

Heads of governmental bodies should, in terms of section 13(5) of the National Archives of South Africa Act, 1996, designate staff members at the senior management level to whom they can delegate the responsibility to ensure that sound records management practices are implemented and maintained. These officials are the records managers of the bodies.

8. Users

All users should be aware of the policies, procedures, and tools for managing records and they should be capable of applying them consistently to all records. The full co-operation of the users is necessary to file documents into the filing system and to protect records against loss and damage. Without this, there will be no records to manage.

9. Elements of a Sound Records Management Programme

9.1 Records Management Policy

Records managers should implement records management policies, which are endorsed by the heads of the governmental bodies and their top management teams as well as by the National Archives.

The records management policy should address, within the broad policy guidelines provided for by the National Archives of South Africa Act, all aspects of the identification, security, safe custody, disposals and retrievals of records.

9.2 Records Management Procedures Manual

The records management policy should be backed by the governmental body's records management procedures. These procedures should be designed within the broad records management principles established by the National Archives of South Africa Act and take into account the unique functions, structures and resources of each governmental body.

9.3 Filing Plan

Each governmental body should implement and maintain the following prescribed recordkeeping systems;

- Filing system, which is a plan by which documentation is arranged and stored to facilitate efficient retrieval and disposal. The filing system is used for both current paper-based and current electronic correspondence systems; and the
- Schedule of other records (section 6 of the Archives Instructions) (see glossary definition), which enables governmental bodies to manage records other than correspondence systems. These records are subject to the same requirements of control, care and disposal as records kept in the correspondence systems. The records control schedule consist of the following parts;

- Schedule of paper-based other records (annexure 4 and 5 of the Archives Instructions), which contains a description of all paper-based current records other than correspondence files;
- Schedule of microfilm projects (section 4 and annexure 8 of the Archives Instruction), which contains a description of all micrographic records and projects;
- Schedule of electronic records systems(section 3 and annexure 7 of the Archives Instruction), which contains a description of all electronic information systems other than the electronic correspondence system;
- Schedule of audio-visuals records (section 9 of the Archives Instructions), which contains a description of all audio-visuals records.

10. Records Control Mechanism

Each governmental body should implement and maintain the following record control mechanisms

- Register of files opened (par.1.5 (b) of the Archives Instructions), which contains a description of all files that were actually opened according to the subject provisions in the filing system.
- Register of disposal authorities (par. 1.5(b) of the Archives Instruction), which contains copies of all disposals authorities issued by the National Archives, to that specific governmental body.
- Destruction register, which contains information on the year in which non archival records are due for destruction.

11. Disposal Programme

A systematic disposal programme should be implemented-

- By applying the National Archive's General Disposal Authorities for records that are common to common to most offices;
- By applying for disposals authority (section2 of the Archives Instructions) on all current and terminated paper-based, electronic, micrographic and audio-visual records, which are not covered by the General Disposal Authorities;
- By ensuring that retention periods are determined for all non-archival records when the disposal authority has been issued; and
- By ensuring that the disposal authorities are carried out on a regular basis.

12. Training of Users

12.1 Records managers should attend the National Archives' Records Management Course to equip them with the necessary skills to enable them to perform their tasks.

12.2 After attending the course, the records managers should ensure that all staff members are capable to reading the filing system and allocating file reference numbers to documentation. They should also ensure that all staff members are conversant with the proper registry procedure to enable them to support the Registry to function properly.

12.3 The records managers should ensure that all registry staff is equipped with the necessary skills to enable them to carry out their functions properly.

12.3 All users should be trained on the Electronic Document Management System when joining the municipality.

13. Electronic Document Management System

The municipality is currently utilizing the Electronic Document Management System – Orbit System which is the mirror of the municipal filing plan as approved by the Provincial Archivist and the Council.

14. Archives and Records Management Working Group Forum

14.1 The municipality shall establish an Archives and Records Management Working Group,

14.2 The primary mandate of the Forum is to oversee all the archives and records management applications, enhance legal compliance and advise top management on any challenges within municipalities,

14.3 Improved adherence to compliance and risk managements;

14.4 Establish both strategic and operational collaborations in order to increase cohesion and leverage in creating a culture for archives and records management within our municipalities;

14.5 Establish first order principles of sustainability of archives and records management;

14.6 Identify the status of archives and records management both formal and informal, identify gaps, opportunities and priorities for future public records;

14.7 This working group will define a records management strategy and then focus on plans aimed at achieving their strategy.

14.8 There shall be Annual formulation and adoption of the records management strategy, which in turn will assist the municipality to focus on daily operational goals and objectives.

14. COMMENCEMENT OF THIS POLICY

This policy will come into effect on the date of adoption by Council.

15. INTERPRETATION OF THIS POLICY

- 15.1 All words contained in this policy shall have an ordinary meaning attached thereto, unless the definition or context indicates otherwise.
- 15.2 Any dispute on interpretation of this policy shall be declared in writing by any party concerned.
- 15.3 The Office of the Municipal Manager shall give a final interpretation of this policy in case of a written dispute.

16. PERMANENT/TEMPORARY WAIVER OR SUSPENSION OF THIS POLICY

This policy may be partly or wholly waived or suspended by the Municipal Council.

17. AMENDMENT AND/OR ABOLITION OF THIS POLICY

This policy may be amended or repealed by the Council.

18. COMPLIANCE AND ENFORCEMENT

Violation of or non-compliance with this policy will give a just cause for disciplinary steps to be taken.

It will be the responsibility of all Managers, Supervisors, Executive Committee and Council to enforce compliance with this policy.

This policy was adopted by the Council on its Council meeting held on the 30 January 2018.



MR. G.P. J. NOTA
MUNICIPAL MANAGER

30/01/2018
DATE