

UMZIMKHULU LOCAL MUNICIPALITY



RECORDS MANAGEMENT POLICY

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PURPOSE.

- To provide guidelines in order to comply with the broad policy guidelines contained in the Archives Act of South Africa 43 of 1996.
- To serve as source of guidelines for the management and usage of classified public records of UMzikhulu Municipality.

1. OFFICIALS ASSIGNED FOR RECORDS MANAGEMENT

Records Management Officer

The Records Management Officer of the UMzikhulu Municipality is Miss N.F Mabuntane.

There are no subs Records Managers in place at the present.

The Records Management Officer is responsible for

- The implementation of this policy
- Staff awareness regarding this policy
- The management of all records according to the records management principles contained in the national archives and records service act no 43 of 1996
- 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.

However records management is a collective responsibility.

The Principal Clerk and Registry Administrator are both responsible for the maintenance, storage and control of public records.

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2. IDENTIFICATION OF UMZIMKHULU MUNICIPALITY PUBLIC RECORDS

- All records created or received during the execution of UMzikhulu Municipality's functions (including electronic records) are public records that must be managed in accordance with determined policy guidelines.

- All UMzimkhulu Municipality's records must be classified and stored so that they are easily accessible, in order to facilitate transparency, accountability and democracy.
- Only classification systems that have been approved by the Provincial Archivist may be used for paper-based and electronic records.
- Should there be difficulties experienced with the allocation of reference numbers, the Records Management Officer should be contacted.
- No revisions or additions may be made to the records classification system without the Records Management Officer's prior approval.

3. CUSTODY

- a) Information source shall be stored in the Registry Office. The paper based record shall be stored in the files according to the approved filing system. The electronic records shall be stored in computer software and in hard drive.
- b) The Registry office where records are kept should be protected from fire, water and humidity. The fire extinguisher should be provided in the office, and the windows should have blinds for preventing the direct sun rays from damaging the records. Periodic checks should be done in roofs and the walls to detect any roof leaks and dampness on the walls.
- c) The Registry Office should be locked during periods outside working hours, at weekends and during public holidays. The keys shall be kept by the Registry officials.
- d) The information sources shall be kept under the control of the Registry officials.

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4. DISPOSAL OF RECORDS

- a) No public records may be destroyed, erased or otherwise disposed of without prior written authorisation from the Provincial Archivist.
- b) The UMzimkhulu Municipality shall determine the retention periods for non-archival records.
- c) When determining retention periods there shall be consideration of transparency, accountability, the requirements of democracy, and any other legal obligations including the UMzimkhulu Municipality's own functional needs.
- d) The Records Management Officer must be contacted whenever staff disagrees with an allocated retention period.

- e) The archival paper-based records must be kept for a period of 20 years before they are transferred to a National Archives repository; unless agreement on a shorter retention has been reached with the National Archivist.

The Registry Administrator shall have the responsibility of opening files and allocating reference numbers to new files.

Disposal of all files also be the responsibility of Registry Administrator. No other person other than the Registry Administrator shall have the responsibility for opening and disposal of files, and allocating reference numbers to new files

5. ACCURATE FILING OF CORRESPONDENCE/DOCUMENTS

All officials conducting correspondence shall be supplied with the Master copy of filing system. They shall also be familiarised with the procedure manual for registry. Such orientation shall ensure that all correspondence is dealt with in the correct files. Incorrect filing of correspondence and documents shall be rectified immediately to ensure that permanently valuable information is not lost or misfiled. Any queries regarding missing files shall be referred to the Records Management Officer.

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6. SECURITY

Bullet the following for clarity to users.

- The safety and security of files shall be ensured by means of locked cabinets.
- The registry office shall be kept open only when the Registry staff are in the Registry office.
- Whenever the Registry staff leaves the registry office the door of that office shall be locked.
- The removal and return of files shall be controlled by the Registry Administrator by means of recording on file control card, which shall be signed on and off by the person removing or returning the file(s). In the event of lost or missing files the person(s) responsible for the removal shall be held accountable.
- No other person shall gain entry into the registry office in the absence of the registry staff and remove files without authorisation from the Registry Administrator.

- The privacy and confidentiality of the records shall be protected by the Registry Staff who shall avoid disclosure of information that may tarnish the image of the organisation or infringe on privacy rights of the individuals.
- The records shall also be protected against removal, alterations, or deletion. All the names of the filed documents shall be listed on the file cover.
- Such storage shall facilitate retrieval or access of stored information whenever required.

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7. TRAINING

- a) The Records Management Officer shall undertake any training on records management provided by the KwaZULU-Natal Archives Directorate as and when necessary.
- b) The Registry Staff shall undertake any registry courses provided by the Kwa Zulu-Natal Directorate as when necessary.
- c) The Registry Administrator shall be responsible for in-service training of staff in the allocation of file numbers.
- d) The Records Management Officer shall be responsible for in-service training of all registry staff.
- e) The Records Management Officer shall ensure that all staff members are conversant with proper registry procedures to enable them to support registry to function properly.

8. LEGALITY

- a) Whenever necessary, the Records Management Officer in consultation with the Municipal Manager shall ensure that the required records are admissible as evidence in the court of law.
- b) Whenever necessary, the Records Manager in consultation with the Municipal Manager shall ensure that adherence to the provisions of the Promotion of Access To Information Act 2000 is observed.
- c) The Records Management Officer shall ensure that the activities of storing, maintaining, and disposing of records comply with audit requirements.
- d) The provisions of the copyright law shall bind all records registered in the Master Copy of the Filing System, and the Records Control Schedule.

9. REVIEW EVALUATION, AND INSPECTION OF THE RECORDS MANAGEMENT SYSTEM.

9.1 REVIEWS

The records management system shall be reviewed regularly at least twice a year to ensure that it is being maintained without deficiencies, regularities, and misadministration.

In order to adapt the filing system to any change of circumstances, it may also be amended to meet the changing needs of the organisation.

9.2 EVALUATION

The records management system shall be reviewed in terms of the following criteria:

- Flexibility
- Simplicity
- Implementability
- Cost effectiveness
- Consistency
- Responsiveness to user needs

9.3 INSPECTION

According to section 13(2) (c) of the National Archives Records Service Act 43 of 1996 and amended KZN Archives is entitled to and free access, at all times to all public records in the UMzimkhulu Municipality custody.


Records shall also be open for inspection by the Provincial Archives officials.

*any files that should be exempted from inspection shall be set aside.

10. APPROVAL OF FILING SYSTEM

The UMzikhulu Municipality has an approved file plan that is recognized and stores records. Only the file plan approved on 13 August 2008 and implemented on 29 April 2011 shall be used for the classification of paper-based and electronic (including email) records.

10. APPROVAL

Records Management Officer	 Signature Date
Corporate Services Manager	 Signature Date
Municipal Manager	 Signature Date