

MOPANI DISTRICT MUNICIPALITY



RECORD MANAGEMENT POLICY

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1. PREAMBLE

- I. The Record Management Policy is intended to manage the Records of Mopani District Municipality in a well-structured record keeping system.
- II. Sound records management is fundamental to good governance and effective and efficient administration, and also implies that records are managed in terms of an organisational records management programme governed by this records management policy.
- III. Records management also provides a basis for accountability and protecting the rights of individuals.
- IV. To support continuing service delivery and provide the necessary accountability, government bodies should create and maintain authentic, reliable and usable records.
- V. Mopani District Municipality as a Government body should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations.
- VI. Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance.
- VII. As a public institution, MDM is required to manage its information resources in terms of the broad policy guidelines contained in the National Archives and Records Service of South Africa Act (No. 43 of 1996) and its regulations.

2. THE PURPOSE AND OBJECTIVE OF THE POLICY

- I. To ensure MDM continues to create and maintain authentic, reliable and usable records
- II. Ensure that the integrity of the records is protected for as long as they are required as evidence of organisational operations.
- III. to regulate the management of paper-based records in an integrated manner.

- IV. To ensure that the information resource is well managed as a valuable asset in the same standard as other resources like human, financial and physical resources.
- V. To ensure that MDM remains a library by ensuring that historical documents of the municipality are always made available for reference.

The main objective of this policy is ensure that Mopani District Municipality considers its records to be a valuable asset to:

- I. Enable Mopani District Municipality to find the right information easily and comprehensively;
- II. Enable Mopani District Municipality to perform its functions successfully and efficiently and in an accountable manner;
- III. Support the business, legal and accountability requirements of Mopani District Municipality;
- IV. Ensure the conduct of business in an orderly, efficient and accountable manner;
- V. Ensure the consistent delivery of services;
- VI. Support and document policy formation and administrative decision-making;
- VII. Provide continuity in the event of a disaster;
- VIII. Protect the interests of Mopani District Municipality and the rights of employees, clients, present and future stakeholders;
- IX. Support and document the Mopani District Municipality's activities, development and achievements;
- X. Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

2.2. Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

3. DEFINITIONS

Archives repository: The building in which records with archival value are preserved permanently.

Authentic records: they are records that can be proven to be what they were purported to be. They are also records that are considered by the creators to be their official records.

Correspondence system: A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

Custody: The control of records based upon their physical possession.

Disposal: The action of either destroying/deleting a record or transferring it into archival custody.

Disposal authority: A written authority issued by the National Archivist specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.

Disposal authority number: A unique number identifying each disposal authority issued to a specific office.

Electronic records: Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than the correspondence system.

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, programmers and meta data (background and technical information i.e. 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.

File plan: A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

Non-archival records: Records with a short lived interest or usefulness.

Public record: A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

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-visual records, etc.

RECORD:

- 1) Recorded information regardless of form or medium.
- 2) Evidence of a transaction, preserved for the evidential information it contains.

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.

Record keeping: Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

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

Retention period: The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

Schedule for records other than correspondence systems: A control mechanism for records 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.

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.

System procedure Manual: a manual containing all procedures relating to the operation and use of 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
- Document Classification
- Indexing
- Memorandum Workflow distribution process
- Authenticated output procedures
- File transmission
- Information retention
- Automated integration and capturing of email messages directly into the system.
- Management of all council resolutions.
- Management of Personnel records.
- Contracts Management
- Municipal Health business process
- Content search capability
- Comprehensive audit trail keeping in the system
- Backup and System recovery
- System maintenance

Senior Manager Corporate Services: The Senior Manager Corporate Services in his/her capacity or his/her delegate.

4. THE SCOPE OF THIS POLICY

- 4.1. This policy covers all records regardless of format, medium or age and it impacts upon Mopani District Municipality's work practice. It is applicable to all employees, Councillors, and Service Providers of the Mopani District Municipality.

5. LEGISLATIVE FRAMEWORK

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

- I. *The Constitution of the Republic of South Africa, 1996;*
- II. *National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);*
- III. *National Archives and Records Service of South Africa Regulations;*
- IV. *Municipal Finance Management Act (Act no.56 of 2003);*
- V. *Promotion of Access to Information Act (Act No 2 of 2000);*
- VI. *Promotion of Administrative Justice Act (Act No 3 of 2000);*
- VII. *Electronic Communications and Transactions Act (Act No 25 of 2002).*

6. POLICY STATEMENT

- 6.1. All records created and received by Mopani District Municipality shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.
- 6.2. The following broad principles apply to the record keeping and records management practices of Mopani District Municipality:
 - a. The Mopani District Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - b. The records management procedures of Mopani District Municipality comply with legal requirements, including those for the provision of evidence.
 - c. Mopani District Municipality follows sound procedures for the security, privacy and confidentiality of its records.
 - d. Electronic records in Mopani District Municipality are managed according to the principles promoted by the National Archives and Records Service.

- e. Mopani District Municipality has performance measures for all records management functions and reviews compliance with these measures.

7. RELATIONSHIP WITH OTHER POLICIES

7.1. The Mopani District Municipality's 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 Mopani District Municipality. These policies are managed by the Senior Manager *Corporate Services*. The following parts exist: Senior Manager *Corporate Services*:

- a. Electronic records management policy
- b. E-mail policy;

- 7.1. Other policies that are closely related to the Records Management Policy are
- a. Promotion of Access to Information Policy which is managed by the
 - b. the Internet Usage Acceptable Use Policy to be managed by the IT Manager; and also
 - c. The Information Security Policy;

8. ADMINISTRATION OF THE POLICY

8.1. THE ACCOUNTING OFFICER

- 8.1.1 The Accounting Officer is ultimately accountable for the record keeping and records management practices of Mopani District Municipality.
- 8.1.2 The Accounting Officer is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 8.1.3 The Accounting Officer supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 8.1.4 The Accounting Officer shall designate the Senior Manager *Corporate Services* to perform such duties as are necessary to enhance the record keeping and records

management practices of Mopani District Municipality to enable compliance with legislative and regulatory requirements.

8.1.5. The Accounting Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

8.2 SENIOR MANAGER CORPORATE SERVICES

8.2.1 The Senior Manager Corporate Services 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. 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.

8.2.2 The Senior Manager Corporate Services is mandated to make such training and other interventions as are necessary to ensure that the Mopani District Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.

8.2.3 The Senior Manager Corporate Services may from time to time issue circulars and instructions regarding the record keeping and records management practices of Mopani District Municipality.

8.2.4 The Senior Manager Corporate Services shall ensure that all records created and received by Mopani 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 Service.

8.2.5. The Senior Managers Corporate Services is also responsible for the security of all records.

8.2.6. The Deputy Manager Admin shall also carry out all responsibilities of the Senior Manager in the implementation of this policy.

8.3. SENIOR MANAGERS

- 8.3.1. Senior Managers are responsible for the implementation of this policy in their respective units.
- 8.3.2. Senior Managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 8.3.3. Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- 8.3.4. 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.

8.4 DEPUTY MANAGER IT

- 8.4.1 The Deputy manager IT is responsible for the day-to-day maintenance of electronic systems that stores records.
- 8.4.2. The Deputy manager IT shall work in conjunction with the Senior Manager Corporate Services 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.
- 8.4.3. The Deputy manager IT together with Deputy Manager Administration shall ensure that they establish an offsite storage as backup to the documents in the main office.
- 8.4.4. The Deputy manager IT shall ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.
- 8.4.5. The Deputy manager IT shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.
- 8.4.6. The Deputy manager IT 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.

- 8.4.7. The Deputy manager IT 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, reliable and accessible records should a disaster occur.
- 8.4.8. The Deputy manager IT shall ensure that back-ups are stored in a secure off-site environment.
- 8.4.9. The Deputy manager IT shall ensure that systems that manage and store records are virus free.
- 8.10. Mopani District Municipality should ensure that the following policies which outline the roles and responsibilities of the Deputy manager IT are developed:
- ***the Electronic Records Management Policy;***
 - ***the E-mail policy;***
 - ***the Web content management policy;***
 - ***document imaging policy; and the***
 - ***Information security policy.***

8.5. LEGAL SERVICES MANAGER

The legal services manager is responsible for keeping the Senior Managers Corporate Services updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Mopani District Municipality.

8.6 REGISTRY STAFF

- 8.6.1 The registry personnel are responsible for the physical management of the records in their care.
- 8.6.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual*.

8.7. STAFF

- 8.7.1 Every staff member shall create records of transactions while conducting official business.
- 8.7.2. 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 Provincial Archivist.

8.7.3. Every staff leaving MDM or changing positions within MDM are required to leave all records for their successors.

8.7.4. All records created during the course of normal business activity of MDM, including those created, are the property of the MDM until they are either destroyed or they are transferred to an archives repository.

8.7.5. Records management responsibilities shall be written into the performance agreements of staff members entrusted to deal with Records to ensure that they are evaluated on their records management responsibilities.

9. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

Mopani District Municipality has the following systems that organize and store records:

9.1. CORRESPONDENCE SYSTEMS

9.1.1 FILE PLAN

9.1.1.1 All correspondence records shall be classified, arranged, and described in line with the Functional subjects file plan approved by the Provincial Archive and Records Services.

9.1.1.2. Mopani District Municipality should adopt specific procedures for the allocation of file subjects and reference numbers with respect to electronic records. Specific guidance regarding the classification of E-mails should be reflected on the E-mail Management Policy.

9.1.1.3 Each staff member shall allocate file reference numbers 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 Senior Managers Corporate Services 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 Senior Managers Corporate Services.

9.1.2 STORAGE AREAS

9.1.2.1 PAPER-BASED CORRESPONDENCE FILES ARE KEPT IN THE CUSTODY OF-

9.1.2.1.1 THE CENTRAL REGISTRY

- 9.1.2.1.1.1 All paper-based correspondence system records that are not HR related are housed in the central registry.
- 9.1.2.1.1.2 All these records are under the management of the Senior Manager Corporate Services who is mandated to ensure that they are managed properly.
- 9.1.2.1.1.3 The registry is a secure storage area and only registry staff are allowed in the records storage area.
- 9.1.2.1.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter.
- 9.1.2.1.1.5 The registry shall be locked when registry is not in operation.
- 9.1.2.1.1.6 All paper-based records, other than correspondences created by the following units mentioned below will be managed in terms of the Mopani District Municipality's approved Schedule for paper based records other than correspondence system:
 - a. Technical Services Department**
 - b. Planning and Development Department**
 - c. Community Services Department**
 - d. Legal Services Section**
 - e. Office of the Municipal Manager**
- 9.1.2.2.5. The above Sections shall ensure that a dedicated official is given the responsibility to manage records of that department.

9.1.2.1.2 THE HUMAN RESOURCES REGISTRY

- 9.1.2.1.2.1 All Human Resources related records are housed in the HR Registry.
- 9.1.2.1.2.2 The general HR subject files as well as HR case files are under the management of the Senior Manager Corporate Services who is mandated to ensure that they are managed properly.
- 9.1.2.1.2.3 Mopani 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.
- 9.1.2.1.2.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Senior Manager Corporate Services.
- 9.1.2.1.2.5 The files exist only in paper-based format and the physical tracking of the case files are managed by means of a route card and with the file tracking System in the integrated Document and Records Management System.
- 9.1.2.1.2.6. The HR Section shall ensure that a dedicated official is given the responsibility to manage records of that department.

9.1.2.2 FINANCE

- 9.1.2.2.1. The Finance Section shall maintain and operate its own records storage facility for the management of financial records.
- 9.1.2.2.2. The Chief Finance Office shall be responsible for the safe custody of the Finance Records of the Municipality.
- 9.1.2.2.3. The Finance Section shall ensure that a dedicated official is given the responsibility to manage records of that department.
- 9.1.2.2.4. The Municipality's approved File Plan and the Mopani District Municipality's approved Schedule for paper based records other than correspondence system shall be used to manage these records.

9.1.2.3. ELECTRONIC CORRESPONDENCE

9.1.2.3.1 Mopani District Municipality shall develop and implement an electronic records system which shall be managed in accordance with the standards and conditions determined by the National Archives and Records services.

9.1.2.3.2. Mopani District Municipality shall implement the systems to ensure that its electronic records are:

a. Authentic

b. Not altered or tempered with

c. Audible

d. Produced in systems, which utilises security measures to ensure their integrity.

9.1.2.3.3. The Senior Manager Corporate Services shall inform the Provincial Archives and Records Services with regards to the acquisition and implementation of the electronic records systems.

9.1.2.3.2 Access to storage areas where electronic records are stored is limited to the Information Technology personnel that have specific duties regarding the maintenance of the hardware, software and media.

9.2 RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

9.2.1 SCHEDULE FOR RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

9.2.1.1 The Senior Manager Corporate Services maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.

9.2.1.2 Should records be created/received that are not listed in the schedule, the Senior Manager Corporate Services or his delegate should be contacted to add the records to the schedule.

9.2.2 STORAGE AREAS

9.2.2.1. PAPER-BASED

9.2.2.1.1 Mopani District Municipality has the following sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on a daily basis (refer to the schedule for records other than the correspondence system).

9.2.2.1.2. These records are under the control of the Senior Manager Corporate Services who is mandated to ensure that they are managed properly.

9.2.2.2 AUDIO-VISUAL RECORDS

9.2.2.2.1 Mopani District Municipality has the following sets of audio-visual records that are stored in the Office of the Senior Manager Office of the Executive Mayor [cassettes, CD's and DVD's for Mayoral Committee and Council meetings].

9.2.2.2.3. Control of these records rests with the Office of the Senior Manager Office of the Executive Mayor

9.2.2.3 ELECTRONIC SYSTEMS OTHER THAN THE CORRESPONDENCE SYSTEMS

9.2.2.3.1 Mopani District Municipality should develop electronic records systems which are not part of the correspondence system and that generate and store public records.

9.2.2.3.2 The Deputy manager IT is responsible for the day-to-day maintenance of these systems.

9.2.2.3.3 The records maintained in these systems are under the control of the IT Deputy Manager under the Supervision of the Senior Manager Corporate Services who is mandated to ensure that they are managed properly.

9.2.2.3.4 Detailed guidance regarding the management of these systems is contained in the electronic records management policy.

9.3. INSPECTION OF RECORDS

- a. In order for the Provincial Archives and Records Services to conduct inspection as provided for by Section 13 (2) of the Northern Archives Act, all business units should, subsequent to consultations with the Senior Manager Corporate Services, provides access for authorised Provincial Archivist or delegated officials to records in their custody.
- b. The Senior Manager Corporate Services shall conduct records inspections in all sections on a regular basis and advice the municipality about the conditions under which these records are managed.
- c. All stakeholders should have access to the records of the Municipality for inspection purposes as approved by Council and through relevant legislations.
- d. The Senior Manager Corporate Services shall inspect all records due for destruction to validate authorisation and appropriateness.
- e. Reports of all audits/inspections shall be managed in line with this policy.

10. DISPOSAL OF RECORDS

- 10.1 Section 13(2) of the Northern Province Archives Act states that 'No public records under the control of a government body may be transferred to an Archives repository, destroyed, erased, dumped on the corridors or otherwise disposed of without a written disposal authority of the Provincial Archivist.' This includes emails.
- 10.2 The Provincial Archivist is yet to issue a Standing Disposal Authority Number for the disposal of records classified against the file plan. The Senior Manager Corporate Services manages the disposal schedule.
- 10.3 The Provincial Archivist issued Standing Disposal Authority Number LAM-52NA on the schedule of records other than correspondence systems. The Senior Manager Corporate Services manages the disposal schedule.
- 10.4 Retention periods indicated on the file plan and schedule were determined by taking Mopani District Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods,

the Senior Manager Corporate Services should be contacted to discuss a more appropriate retention period.

- 10.5 Disposal in terms of these disposal authorities will be executed annually after the approval by the Provincial Archivist.
- 10.6 All disposal actions should be authorized by the Council prior to their execution to ensure that archival records are not destroyed inadvertently.
- 10.7 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 Manager: Legal Services has indicated that the destruction hold can be lifted.
- 10.8 Paper-based archival records shall be safely kept in the records Centre until they are due to transfer to the National Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.
- 10.9 Specific procedure to dispose of electronic records are contained in the electronic records management policy and disposal should be through approval by Council.

11. STORAGE AND CUSTODY

- 11.1 See par. 8 for an identification of all record keeping systems and their storage locations.
- 11.2 All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.
- 11.3 Specific policies for the management of electronic storage media are contained in the electronic records management policy.

12. ACCESS AND SECURITY

- 12.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Mopani District Municipality.
- 12.2 Security classified records shall be managed in terms of the Minimum Information Security Standards (MISS) Policy.
- 12.3 No staff member shall remove records that are not available in the public domain from the premises of Mopani District Municipality without the explicit permission of the Senior Manager Corporate Services.
- 12.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Senior Manager Corporate Services.
- 12.5. 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.
- 12.6. No staff member shall disclose personal information of any member of staff or client of Mopani District Municipality to any member of the public without prior permission of the Senior Manager Corporate Services.'
- 12.7. An audit trail shall be logged off of all attempts to alter/edit electronic records and their metadata.
- 12.8.** Records storage areas shall at all times be protected against unauthorized access. ***The following shall apply:***
 - 12.8.1.1. Registry and other records storage areas shall be locked when not in use.
 - 12.8.1.2. Access to server rooms and storage areas for electronic records media shall be managed in such a manner that no unauthorized person should get access.

13. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

The records of Mopani District Municipality shall at all times contain reliable evidence of business operations.

13.1.1 PAPER-BASED RECORDS

- 13.1.1.1 No records shall be removed from paper-based files without the explicit permission of the Senior Manager Corporate Services.
- 13.1.1.2 Records that were placed on files shall not be altered in any way.
- 13.1.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Senior Corporate Services.
- 13.1.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

13.1.2 ELECTRONIC RECORDS

- 13.1.2.1 Mopani District Municipality shall use systems which ensure that its electronic records are:
 - a. authentic;**
 - b. not altered or tampered with;**
 - c. auditable; and**
 - d. Produced in systems which utilize security measures to ensure their integrity.**
- 13.1.2.2 The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

14. TRAINING AND AWARENESS

- 14.1 The Senior Manager Corporate Services and Deputy Manager Admin shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip them for their duties. This training should also be extended to other Senior Managers for proper monitoring of the implementation of this policy in their directorates.
- 14.2 The Senior Manager Corporate Services in consultation with the Deputy Manager Admin shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff is trained

appropriately. Training can also be extended to all staff members where necessary.

- 14.3 The Senior Manager Corporate Services and Deputy Manager Admin shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.
- 14.4. The MDM shall co-operate with other organizations interested in Archival matters or the management of records for purposes of improving records management practices within the municipality.

15. MONITORING OF THE POLICY

The Senior Manager Corporate Services shall review the record keeping and records management practices of Mopani District Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of Mopani District Municipality.

16. COMMENCEMENT OF THIS POLICY

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

17. DISPUTE

- 17.1. All words contained in this policy shall have an ordinary meaning attached thereto, unless the definition or context indicates otherwise.
- 17.2 Any dispute on interpretation of this policy shall be declared in writing by any party concerned.
- 17.3 . The Local Labour Forum shall give a final interpretation of this policy in case of a written dispute.
- 17.4 If the party concerned is not satisfied with the interpretation, a dispute may then be pursued with the South African Local Government Bargaining Council/ or Arbitration.

18. DEFAULT

18.1. Disciplinary action shall be taken against any official who fails to comply with this policy.

19. REPEAL

19.1 This policy shall repeal all previous policies once it is approved by Council.

20. REVIEW OF THE POLICY

20.1 The policy will be reviewed when there is a need to do so due to changes in operational model or legislations.

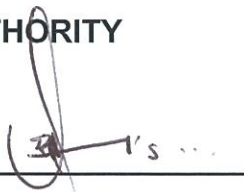
21. STAKEHOLDER'S CONSULTATION

All Stakeholder's were consulted on the 22-25 April 2024.

22.ADOPTION BY COUNCIL

Resolution NO: SCD/16/2024	Approved Date: 16 May 2024
Effective Date: 01 July 2024	Review Date: ANNUALLY

23.AUTHORITY



MUNICIPAL MANAGER
MR T.J MOGANO



COUNCIL SPEAKER
CLLR N.M MASWANGANYI

1. GENERAL INSTRUCTIONS

1.1 Control of the schedule

Control of the schedule is delegated to the Records Manager. No revisions/additions may be made to the schedule without the approval of this official.

1.2 Alterations, additions and reporting

All alterations/additions must be reported regularly to the National Archivist for noting/approval/issuing of disposal authority.

1.3 Master copy

The master copy of this schedule must be filed in a separate cover and clearly identified as such. The master copy is kept by the Records Manager. This official must ensure that the master copy is kept up to date and that the instructions in par. 1.2 above are implemented.

1.4 Destruction register

A destruction register must be maintained. This register should be arranged in years, e.g. a separate section or page for each year. When an item of other records is closed, a description of it is entered under the year in which it must be destroyed, e.g. when an item with a D3 disposal instruction is closed in 2006, its description is entered under 2009. In this way it can easily be determined which items qualify for destruction in a given year. As it is impossible to determine in advance how many pages will be required for a given year, it is advisable to make use of a loose-leaf register for this purpose.

1.5 Destruction

Destruction must take place regularly, but at least once a year. A prescribed destruction certificate must be submitted whenever records are destroyed. See Annexure A for an example of a destruction certificate.

1.6 Identification

Items should be identified in a prominent way on the outside cover by means of the number and description as it appears in the records control schedule as well as the appropriate disposal instruction. This information must be recorded within a rectangular block. Other records which qualify for permanent preservation in an archives repository, i.e. A20 items, must be clearly identified before transfer to the repository by inscribing the following information prominently on their covers: the descriptions given them in the records control schedule; and the name of the office/section which used them.

1.7 Explanation of disposal systems

Paper-based records

- A20 - Transfer to archives repository if a period of 20 years has elapsed after the end of the year in which the records came into existence.
- D - Destroy (office of origin itself determines retention period).
- D7 - Destroy 7 years after closure.

- AP - Can remain in the custody of the local authority indefinitely. When disposal does take place, e.g. when the office closes or assets are disposed of, it must be transferred to an archives repository.
- DAU - Destroy immediately after auditing is completed.
- DAU3 - Destroy 3 years after auditing is completed.
- DAU7 - Destroy 7 years after auditing is completed.

Electronic records

- A20 - Transfer to archives repository if a period of 20 years has elapsed since the end of the year in which the record came into existence.
- D7 - Destroy/erase after 7 years.
- D1M - Destroy/erase after copied/processed.
- DK - Destroy/erase after copied/processed.
- DPR - Destroy/erase when printout/new printout is available.
- DT - Destroy/erase when project is complete.
- N - Dispose of according to footnote.
- DX - Erase only outdated data.

- L - (File/item number) Follow disposal instruction for file/item in approved filing system or Records Control Schedule.

Micrographic records

- A20 - Transfer to archives repository if a period of 20 years has elapsed after the end of the year in which the records came into existence.
- AO - Transfer immediately after filming to an archives repository/records centre
- D5 - Destroy immediately after functional value has expired
- DO - Destroy immediately after filming and verification
- D10 - Destroy ten years after functional value has expired
- DP - May be kept by a body for an unspecified period. Must be destroyed as soon as no longer needed functionally.

2. LIST OF ITEMS

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
A. AGENDAS AND MINUTES	1. Council meetings 1.1 Agendas 1.2 Minutes	Committee Officers/Safe room	DAU7 A20
	2. Executive Committee meetings 2.1 Agendas 2.2 Minutes	Committee Officers/Safe room	DAU7 A20
	3. Cluster meetings 3.1 Agendas 3.2 Minutes	Committee Officers	DAU7 A20
3. REPORTS	1. Annual report of the Council 2. Mayor's report	Records	A20 A20
C. FINANCIAL BOOKS	1. Budget estimates 2. Financial Statements 3. Main ledger 4. Suspense account 5. Receipt books registers	Exp Section Exp Section Exp Section Rev Section Rev Section Rev Section	A20 A20 A20 DAU DAU7 DAU7

	6. Audit rolls	Rev Section	DAU7
	7. Petty Cash book	Exp Section	DAU7
	8. Invoice book (Debit Note)	Exp Section	DAU7
	9. Cheque counterfoils and cancelled cheques	Revenue Exp Section	DAU7 DAU7
	10. Bank deposit books/slips	Exp Section Exp Section	DAU7
	11. Bank statements		AP
	12. Bank reconciliation statements	Exp Section Rev Section	AP
	13. Expenditure vouchers and cashed cheques	Exp Section Rev Section	
	14. Consumer account statements	Rev Section	AP
	15. Debtors register	Exp Section	
	16. <u>Assets</u> and <u>investments</u>		DAU7 DAU7
	16.1 Assets register/inventory (For inventory of stores and equipment and the register of Works of arts see Category F)	Audit Audit Rev Section Rev Section Exp Section	D D D
	17. <u>Audit</u>		
	17.1 Reports		
	17.2 Enquiries		

[illegible]

	13.7 Cellphones 13.8 Transfers		
E. HUMAN RESOURCES ITEMS	1. Leave Register/Records 2. Unsuccessful job applications 3. Closed HR Personnel files 4. Skills Audit records 5. I.O.D Register 6. I.O.D Reports 7. I.O.D Claims 8. UIF Claims 9. Hearing tests 10.Attendance registers/Time sheets 11.Salary registers 12.Deduction Statements 13.Pay sheets/wage statements 14.Income tax certificates	HR HR HR HR HR HR Exp Division Exp Division Exp Division Exp Division Exp Division Exp Division Exp Division	DAU7 D DAU7 DAU7 DAU7 DAU7 A20 DAU DAU DAU DAU7 DAU3
F. STORES ADMINISTRATION AND PROCUREMENT	1. Stores registers 2. Stores issue and receipt vouchers 3. Stores requisitions 4. Vehicle spares requisitions	Stores Stores Stores Workshop Exp Division	DAU7 DAU7 DAU7 D DAU7

	5. Stocktaking sheets 6. Inventory of stores and equipment 7. Vehicle log sheets 8. Tender documents	Stores Exp Division Supply Chain	D D DAU3
3. TAX, LICENCES AND ROAD TRAFFIC	1. Valuation rolls 2. Trading licence register 3. Motor vehicle registration authority	Rev Section Licensing Licensing	A20 DAU7 DAU7
4. CARTOGRAPHIC MATERIAL	1. Local monuments (All categories of plan) 2. Places of worship (All categories of plan) 3. Views of special furnishing and decorations specially designed for a specific Building 4. Detailed plans as well as subordinate Building works as defined in the National Building Regulations and Building Standards Act, 1977 (Act No. 103 of 1977)	Building Sec Building Sec Building Sec Building Sec Building Sec Building Sec	.AP AP AP DP DP

	<p>5. Finer detail of special furnishing and decoration specially designed for a specific building</p> <p>6. All other categories of maps, plans, building plans, construction plans and engineer's drawings (including aerial photographs and flight plans).</p> <p><i>When these items are no longer needed for administrative purposes, the National Archives Service must be contacted for disposal arrangements.</i></p>		
PUBLICATIONS PUBLISHED BY THE COUNCIL	<p>1. Advertising brochures</p> <p>2. Newsletters</p> <p>3. Programmes of festivals, exhibitions etc.</p> <p>4. Municipal notices</p>	<p>Comm</p> <p>Comm</p> <p>Comm</p> <p>Comm/PED</p>	<p>A20</p> <p>A20</p> <p>A20</p> <p>D</p>

I. PHOTOGRAPHS	1. Mayor and Council members 2. Council buildings 3. Historical Local Building 4. Important local functions, events etc.	Comm Comm Comm Comm	AP AP AP AP
K. RECORDS MANAGEMENT	1. Master copy of file plan 2. Records control schedule 3. Register of files opened 4. Destruction registers 5. Register of registered/certified post 6. Register of disposal authority 7. Route cards: file movements	Records Records Records Records Records Records Records	A20 A20 A20 A20 D A20 D
.. MISCELLANEOUS	1. Cemetery register 2. Delivery registers 3. Speeches 4. Procedure manuals 5. Daily files 6. Complaints and compliments register/forms	Com Serv Records/Fin Comm Records All Depts Comm Admin	A20 D A20 A20 D D D

	7. Meeting attendance lists		
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B. MICROGRAPHIC PROJECTS AND RECORDS

CATEGORY	DESCRIPTION	USER DEPT/DIVISION	IMPLEMENTATION	DISPOSAL

Note: Information on this category of records will captured when available.

C. ELECTRONIC PROJECTS AND RECORDS

NAME OF SYSTEM	PURPOSE OF THE SYSTEM	USER DEPT/ DIVISION	IMPLEME NTATION DATE	DISPOSAL
1. Collaborat or	The system is used for the capturing and workflow of: <ul style="list-style-type: none"> - incoming correspondence - outgoing correspondence - e-mails - memorandums - policies - by-laws - Council items 	Records/All Depts	2021	A20
2. Contour system	Prepaid Electricity	Fin/Rev		
3. Corvu	Revenue reports	Fin/Rev		
4. Promis	Water and lights Accounts Management	Fin/Rev		
5. Filezilla	Financial report	Fin/Exp		
6. Wideed	Deed Search	PED		
7. UMS	Credit Control & Indigents Management			
8. Bureau Focus	Bank Transfers and receipting system	Fin/Exp		
9. Cares	Receipt/Account Management	Fin/Rev		

10.Org Plus	The program is used to chart and manage the organizational structure of the Municipality. It is also compatible and can be integrated with payday.	HR		A20
11.Payday	Salaries system	Fin/Exp		
12.Baud	Asset Management	Fin/Exp		
13.Easypay	Receipt system	Fin/Exp		
14.Civil Design	Program is used to update and plot water, sewer, roads and stormwater networks within municipality	Civil Engineerin g		
15.Allycad	Drawing program used for structures such as roads, water, stand boundaries and sewer reticulation systems in the municipality.	Civil Engineerin g		

D. AUDIO VISUAL RECORDS

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
1. Recordings of Minutes	<p>A. Council meetings</p> <p>B. Executive Committee meetings</p> <p>C. Portfolio Committees meetings</p>	Committee Office	
2. Recordings of Legal cases	<p>A. Disciplinary hearings</p> <p>B. Legal meetings</p>	Legal Office	