

# **CORE RECORDS MANAGEMENT POLICY**

**MOHOKARE LOCAL  
MUNICIPALITY**

**Document control:**

Document Title	Core Records Management Policy
Directorate	Corporate Services
Committee Item	Reviewed Policy 8.2.1 , 13 May 2015
Council Item	13.1.11.3, 28 May 2015
Date Approved	28 May 2015

## POLICY CONTENTS

Item No	Item	Page
1.	Introduction	4
2.	Legal Mandate	4
2.1	Specific Stipulations	4
2.2	Records Management Definitions in terms of the Act	5
3.	Core Records Management	
3.1	Accounting Officer	5
3.2	Records Manager	5-6
3.3	Records Classification Systems	6
3.4	Disposal of Records	6
3.5	Custody	6
3.6	Security	7
3.7	Training	7
3.8	Inspections	7
3.9	Evaluation	8
4.	Implementation Date	8

## **1. Introduction**

Records management can be described as that area of management concerned with achieving efficiency and accountability in the creation, maintenance, use and disposal of records. Records management practice determines what records an organization will generate, and how they will be identified, kept and used.

## **2. Legal Mandate**

### **2.1 Specific Stipulations**

- a)** The broad policy guidelines regarding records management are contained in the Free State Provincial Archives Act, no. 4 of 1999 and the Free State Provincial Archives Regulations published in the Provincial Gazette, no. 104 of 16 September 2005.
- b)** Section 3(1) (c) of the Act requires that the Free State Provincial Archives shall “ensure the proper management and care of all public records”. Section 3(1) (f) further determines that the Archives must “promote an awareness of archives and records management, and encourage archival and records management activities”.
- c)** Part IV of the Free State Provincial Archives Regulations deals with records management. Paragraph 23 thereof determines that: “The head of a governmental body is responsible for ensuring that all records of such body – (a) receive proper physical care; (b) are protected by appropriate security measures; and (c) are managed in terms of standing orders of that body.” Paragraph 25 determines that: “The head of a governmental body shall comply with all directives and instructions issued by the Provincial Archivist and pertaining to the management and care of public records.”
- d)** As a public body the Mohokare Local Municipality also falls under the Promotion of Access to Information Act (no. 2 of 2002). This is particularly valid with regard to its internal records systems and archival records that are younger than 20 years in age. The accounting officer shall in the determination of records management policy and procedures take the stipulations of this Act into account.
- e)** The abovementioned piece of legislation should also be read together with the Protection of Personal Information Act (No. 4 of 2013) with the object to give effect to the constitutional right to privacy. The Act balances the constitutional right to privacy with the constitutional right to access to information.

## **2.2 Records Management Definitions in Terms of the Act**

**appraisal**” means the archival function of determining the eventual disposal of records;

**“custody”** means the control of records based upon their physical possession;

**“disposal authority”** means a written authority issued in terms of section 13(2)(a) of the Act specifying records to be transferred into the custody of the Provincial Archives or specifying records to be otherwise disposed of;

**“governmental body”** means any legislative, executive, judicial or administrative organ of state (including a statutory body) at the provincial or local level of government in the Province;

**“non-public record”** means a record created or received by a private individual or a body other than defined as a governmental body in terms of the Free State Provincial Archives Act, no. 4 of 1999.

**“public record”** means a record created or received by a governmental body in pursuance of its activities;

**“record”** means recorded information regardless of form or medium;

**“records classification system”** means a classification plan for the identification, arrangement, storage and retrieval of records.

## **3. Core Records Management Policy Mohokare Local Municipality**

To give effect to the Free State Provincial Archives Act and Regulations, the following core policy measures must be implemented:

### **3.1 Accounting Officer**

- (i) Section 13 (5)(a) of the Act determines that: “The head of a governmental body, subject to any law governing the employment of personnel of the governmental body concerned and such requirements as may be described, designate an official of the body to be the Records Manager of the body”.
- (ii) The Municipal Manager of Mohokare Local Municipality shall therefore be the accounting officer for the drafting, approval and implementation of the body’s records management policy.

### **3.2 Records Manager**

- (i) Mohokare Local Municipality must appoint a Records Manager. This official must be tasked exclusively with the body’s records management.
- (ii) The requirements of the post must include the stipulations of Part IV, paragraph 34 of the Free State Provincial Archives Regulations. See also attached recommended Job Description

for a Records Manager and *Performance Criteria for Records Managers in Governmental Bodies* in Annexure B.

### **3.3 Records Classification Systems**

- (i) Only classification systems which have been approved by the Provincial Archivist may be used for paper-based as well as electronic records.
- (ii) All amendments and additions to such systems can only be done with the approval of the Records Manager and the Provincial Archivist.

### **3.4. Disposal of Records**

- (i) No records may be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist.
- (ii) The retention periods of non-archival records shall be determined by the governmental body itself. In doing so, the body shall take into account the requirements of democracy, accountability, transparency, any other legal obligations and the body's own functional needs.
- (iii) Archival paper-based records shall be kept for 20 years before transfer to the Free State Archives Repository, unless agreement on a shorter retention period has been reached with the Provincial Archivist.

### **3.5 Custody**

- (i) The Mohokare Local Municipality must create a proper registry where current records can be safely stored.
- (ii) Terminated records which have low functional value must be stored in specially prepared vaults.
- (iii) The Records Manager must have control over all records, current and terminated, and must be aware of where all records of the body are stored, be it in a registry, vault, or electronically on computer hard drives.
- (iv) To ensure the orderly management of records, a Registry Procedure Manual must be drafted and implemented by the Mohokare Local Municipality after it has been approved by the Provincial Archivist.

### **3.6. Security**

- (i) The Mohokare Local Municipality is responsible for the general physical security of records.
- (ii) Registry staff must control the flow of records to and from the registry and other storage facilities, limit access to authorized staff only and guard against the harmful effects of perils like insects, fire, water, sunlight, etc.
- (iii) The Records Manager and his staff must ensure the secrecy, privacy and confidentiality of records.
- (iv) Of great importance is the protection of the integrity of records. Measures must be taken to ensure that no unauthorized alterations or deletions take place. It must be emphasized that records belong in a central storage location (registry) and that the staff of a body are not allowed to keep embryonic classification systems on the side. The legality of records is thus also ensured.

### **3.7 Training**

- (i) The Records Managers must attend the Records Management Course presented by the Free State Provincial Archives.
- (ii) In turn the Records Manager must ensure that he trains his staff, or that they attend workshops like the Records Management Orientation Workshop presented by the Archives.

### **3.8 Inspections**

- (i) The Free State Provincial Archives, subject to the exemptions contained in Section 13(2)(c ) of the Act, is entitled to free access at all times, to all public records in the Mohokare Local Municipality's custody.
- (ii) Scheduled inspections shall be undertaken by staff of the Archives. The recommendations which will be made in the records inspection report must be implemented as soon as reasonably possible.

### **3.9. Evaluation**

The Records Manager shall undertake the necessary measures to evaluate the effectiveness of records management practices. This include practical steps like monitoring the absence of perils in storage facilities, the keeping of daily files to monitor registry staff's accurate allocation of reference numbers and adherence to the recommendations contained in the above-mentioned records inspection reports.

### **4. Implementation Date**

This policy is effective at the date of approval of Council.