

**FEZILE DABI DISTRICT
MUNICIPALITY**

FILE PLAN

**FEZILE DABI
DISTRICT MUNICIPALITY**

FILING PLAN

CONTENTS:

- A. GENERAL INSTRUCTIONS**
- B. LIST OF MAIN SERIES**
- C. NUMERICAL CLASSIFICATION**

GENERAL INSTRUCTIONS TO THE FILE PLAN:

APPLICABLE:

1. This system is for the use of the FEZILE DABI DISTRICT MUNICIPALITY and not applicable to other institutions without the consent of the Free State Provincial Archivist.

REPORTING:

2. All amendments and additions (the omission or insertion of an underlining is an amendment as well) must be submitted to the Free State Provincial Archivist for cognition and approval on a regular basis. In cases where amendments are circulated per circular, it would be adequate to provide a copy to the Archivist. For easy reference and control purposes, it is necessary to number notices each year starting at number one, e.g. 1/06, 2/06, etc. In cases of major changes, it is imperative to obtain the Provincial Archivist's consent before folders are opened. (For un-assignable correspondence see par. 15 of the instructions)

CONTROL OF THE SYSTEM:

3. With this, control of the system is entrusted to the Deputy Manager Administration and Auxiliary Services and no amendments and/or additions may be done without the consent of this official.

His/her duties *inter alia* include the following:

- (a) Must control the daily office file to ensure that correspondence is conducted on the correct file.
- (b) Must see to it that paragraphs 5 and 6 of these instructions are implemented, by checking the relevant files and to see to it that they are used correctly.
- (c) Must update the master copy on a regular basis (see paragraph 6 as well).
- (d) Must continuously review the practical operation of the system to ensure that the necessary adjustments are made. If new functions are adopted, new files need to be created and where necessary, existing files need to be subdivided further or be joined, as the case may be. Main files (i.e. headings that are further subdivided and that can be

used as self-sustained files) must be watched carefully to prevent it developing in general files, and where necessary additional sub-files must be created regularly.

- (e) Attention must also be given to cases where correspondence is started on a file and the emphasis later shifts to another aspect, that the issue be continued on the other relevant file.
- (f) For duties regarding the description of files and unassigned correspondence, see par. 12 and 15 hereunder.

(These duties must be indicated on the incumbent's job description)

ACCURATE PLACEMENT OF CORRESPONDENCE:

- 4. Every official that corresponds must be provided with a copy of the system. Officials must be familiar with the main file series that they work with and must continuously check that correspondence is assigned to the correct file. Erroneous placements must immediately be corrected to prevent that valuable documents are destroyed, or to prevent that ephemeral material are unnecessary being stored.

POLICY FILES:

- 5. Provision is made for Policy Files by means of a capital letter P after the reference number of the particular principal- or sub-series, e.g. 1/P, 1/1/P, etc. The objective of this is to have files where pieces regarding policy, decisions, instructions, procedures and regulations can be kept apart and together, in order to simplify reference to it. Regarding 'instructions' it is necessary to take notice that it is not meant instructions to persons, but for instructions regarding a component.
Until disposal authority on the system has been granted, the official in control of the file system has to decide, in the case where a policy development and -decision is developing on a non-policy file, whether such development should be transferred to the relevant policy file or whether copies of the decision only would suffice. After disposal authority is granted such development must be put on an A.30. When such development takes place on a D-file, complete copies must be placed on the policy file. In cases where only a small portion of a bulky document is really destined for the policy file, e.g. reports, only a selection of the particular report is put on the policy file. Correspondence carried on the policy file must be restricted to the formulation and amendment of policy. The following characteristically correspondence must not be carried on the policy file:

- (i) Enquiries on policies that will not have a bearing on the formulation of new policy or assigned interpretation of existing policy
- (ii) Handling of individual cases and concerns that will not have a bearing on the formulation of new policy or amendment of existing policy

ROUTINE ENQUIRIES:

- 6. Files for routine enquiries are provided at appropriate positions in the filing system. The aim of these files is to conclude once-off enquiries that are ephemeral of nature and that do not need to be referred back to. Under no circumstances may important pieces be placed on routine enquiry files.

REPORTS AND STATEMENTS:

- 7. Under the principal series "Reports and Statements", only reports and statements that cannot be accommodated under other principal series, are provided for. If files for reports and statements are provided for under other principal series, they are only used for cases where the particular report or statement cannot be placed on that particular principal series.

MASTER:

- 8. The Master is the copy of the system that contains all approved subjects and that indicates which files may be opened, how it may be opened and filed. No file may be opened until the file description is noted in the Master and the control official's approval is gained. Individual case files that are opened on the system in accordance to notes of the system, are not noted in the Master. The official in control must see to it that any addition is immediately noted in the Master.

REGISTER OF OPENED FILES:

- 9. The objective of this register is to keep complete record of every opened file. A loose-leaved register is used for this purpose, for extra pages to be inserted to note case files that forms part of the filing system. The register is kept in the same form as the system and files are entered in the same order. In addition, an extra column must be inserted to note the opening date of a file (date of first piece placed on file) opposite the description thereof. The first page of the register must indicate to which office it is applicable and when it was opened (for confidential files, see par. 21)

DESTRUCTION REGISTER:

10. As soon as the existing disposal instructions are issued on files in the system, a destruction register must be implemented. This register is subdivided in annual sections, e.g. 2006, 2007, 2008, etc. As soon as a volume has been closed, it is noted under the date of which it was considered for destruction. A volume that was closed in e.g. 2006, and of which the disposal instructions was D.3, is noted on the page of 2009. In this way, it is easy to determine which files in that particular year should be considered for destruction. As it is not possible to pre-determine the amount of pages needed for this particular register, it is recommended that a loose-leaved register be used for this purpose. (For disposal see par. 17).

CONVERSION:

11. This system will be in operation on 01 October 2014 and from the mentioned date no correspondence on any file from the previous system will be continued with, except those on the case file. Files from the previous system will be closed on the day before the date of conversion, and no pieces will be transferred to files of this new system. If needed, case files will be re-numbered to adapt to the new system.

OPENING OF FILES AND DESCRIPTION OF FOLDERS:

12. Files are opened, only when they are needed. Numbering and, where it is practically feasible, the description of files must be strictly adhered to as it occurs on the system. In cases where the description is too long, the description of certain components that do not form cardinal part of the heading can be left out. The complete heading of the following files, e.g. Finance, Budget, Capital Budget, Principle Approval, could be shortened to: Finance, Capital Budget, Principle Approval. However, it must be kept in mind that with the omission of certain components, the heading of the main series must always be provided and that the heading must also be comprehensive enough that no doubt exist on the contents of a file. To assist the Registration Officer, the official in charge should indicate which headings must be used. The beginning and end dates of the relevant correspondence, as well as the disposal instructions, must be noted on the folders. File folders in disrepair must be replaced regularly.

UNDERLINED DESCRIPTIONS:

13. Where a description is underlined in the system, it only serves as a heading to provide for further subdivision. Under no circumstances can files be opened for subjects that are underlined on the system.

EXPLANATION IN BRACKETS:

14. Explanations are placed in brackets in various places on the system. Its intention is to serve as guidance and must not be placed on file folders.

UNASSIGNED CORRESPONDENCE: PROCEDURE:

15. The official in control must immediately be approached when correspondence occurs where no file exist on the system. The official must indicate which existing file must be used or which new files need to be created.

ANNEXURE FOLDERS:

16. Folders must be kept for excess literature, etc. that may fill a normal file too quickly. No correspondence may be carried or be placed on it. The folder must contain the reference number of the file as well as the term "Annexure Folder". Pieces on the Annexure Folder must be identified with the particular covering letter, by noting the office of origin and date of the covering letter.

DISPOSAL OF FILES:

17. After disposal authority has been granted, the way of disposal on files will be indicated in the "DISPOSAL"-column. Symbols are interpreted as follows:

- A.20 Put in Archive for safekeeping (permanent safekeeping)
- D Disposal after date expired (indicated by the number on the letter), e.g. D7 – Disposal after 7 years

Destroying of files should be done regularly, at least once a year, after which the prescribed destruction certificate must be submitted. (Not applicable on ephemeral pieces). In cases where a file is not closed yet and already contains pieces that can be destroyed of, those pieces can be removed for destruction if it is worthwhile. The initial date, indicated on the file folder, needs to be amended.

THICKNESS OF FILES:

18. When a file reaches 3 cm thickness, the volume must be closed and a new folder, marked "Volume 2", must continue. The last piece on the closed volume will read "Closed. See Volume 2". The heading "Volume 1" will only be added after Volume 2 has been opened.

CLOSING OF IMPORTANT ARCHIVES:

19. The following procedures must be followed for files considered for permanent safekeeping that needs to be closed, thus files with disposal instructions A.20:
 - (a) Correspondence is checked page by page to ensure that all pieces are in place and that no misplaced pieces exist. A new sheet is filed at the front of the file: "Closed, Continue in Volume"
 - (b) Battered file folders need to be replaced with new file folders.
 - (c) Files are then stored in boxes specially used for this purpose.
 - (d) All A20 files are closed on the 31st of December and every 5 years consecutively. These files are closed to date, irrespective of the thickness thereof, to keep 5 years correspondence as a separate unit.

All file folders are marked "2011 Closed" or "2012 ..." as the case may be. Boxes are similarly marked.

CASES FILES:

20. Cases files that are part of the filing system are opened as indicated at the relevant places in the system. Particulars of cases files that do not form part of the filing system appear in the List for Detached Cases Series at the end of the filing system. See paragraph 8.

CONFIDENTIAL FILES:

21. The following procedure applies to confidential files:
- (a) Confidential files can be opened for any principle-, sub-, or file heading in the Master of this system. These files are distinguished from general files with the insertion of the letter "C" at the end of the reference number.
 - (b) If a confidential file is needed in a case where no appropriate principal-, sub-, or file heading exist in the system, an appropriate heading must be provided and must be reported to the Provincial Archivist in the same way as any other addition and/or amendment. It is, though, not necessary to indicate that the new file(s) will be used for confidential correspondence.
 - (c) Confidential files are not indicated in the Master or the Register for Opened Files of this system. A register for Opened Confidential Files must be kept separately, as indicated in paragraph 9 of these instructions.
 - (d) Arrangements for the safekeeping of Confidential Files are done separately and will not be included in these instructions.
 - (e) Confidential files have an automatically A20 disposal instruction and needs to be handled accordingly.

B. LIST OF MAIN SERIES

1. LEGISLATION
2. ESTABLISHMENT, POWERS AND FUNCTIONS AND DEMARCATION
3. ORGANISATION AND CONTROL
4. COUNCIL AND COUNCIL MATTERS
5. FINANCE
6. HUMAN RESOURCE MANAGEMENT
7. SUPPLY CHAIN MANAGEMENT
8. REPORTS AND RETURNS
9. PUBLICITY//INFORMATION/ TOURISM CAMPAIGNS
10. FESTIVALS AND SOCIAL MATTERS
11. COMPOSITION AND MEETINGS OF PUBLIC BODIES,
ORGANISATIONS, SEMINARS, CONGRESSES, CONFERENCES,
SYMPOSIUMS AND ASSOCIATIONS
12. REGIONAL PLANNING AND CONTROL
13. ADMINISTRATION OF JUSTICE
14. TECHNICAL SERVICES
15. INTEGRATED DEVELOPMENT PLANNING AND LOCAL ECONOMIC
DEVELOPMENT
16. COMMUNITY SERVICES

1. LEGISLATION

(Acts, regulations, ordinances, etc. must be kept outside this file plan)

FILE NUMBER	DESCRIPTION	DISPOSAL
1/P	Policy	
1/R	Routine enquiries	
1/1	<u>National legislation: Acts</u> (Open a file for each act and number consecutively)	
1/1/1	<u>Regulations</u> (Open a file for each regulation and number consecutively)	
1/1/2	Legal opinions	
1/2	<u>Provincial legislation: Acts</u> (Open a file for each act and number consecutively)	
1/2/1	<u>Regulations</u> (Open a file for each regulation and number consecutively)	
1/2/2	Legal opinions	
1/3	<u>Ordinances</u> (Open a file for each and number consecutively)	

2. ESTABLISHMENT, POWERS AND FUNCTIONS AND DERMACATION

FILE NUMBER	DESCRIPTION	DISPOSAL
2/P	Policy	
2/R	Routine enquiries	
2/1	Establishment of District Municipality	
2/2	Powers and functions	
2/3	<u>Demarcation</u>	
2/3/1	District Municipality	
2/3/2	Local Municipalities	
2/3/3	Surveys, reports and statistics	
2/3/4	Municipal Demarcation Board	

3. ORGANISATION AND CONTROL

FILE NUMBER	DESCRIPTION	DISPOSAL
3/P	Policy	
3/R	Routine enquiries	
3/1	Grading of Municipalities	
3/2	<u>Organisational structure Changes</u>	
3/2/1	Macro organisation	
3/2/2	Corporate services	
3/2/3	Financial services	
3/2/4	Social development	
3/2/5	Local and Economic Development (LED) & Tourism	
3/2/6	Environmental & Health services (EHS)	
3/3	<u>Language</u>	
3/3/P	Policy	
3/4	<u>Delegation and Competencies</u>	
3/4/P	Policy	
3/4/R	Routine enquiries	
3/4/1	Permanent	
3/4/2	Temporary	
3/5	<u>Records Control</u>	
3/5/P	Policy (Records Management)	
3/5/R	Routine enquiries	
3/5/1	<u>Filing system</u>	
3/5/1/1	Compilation and amendments	
3/5/2	<u>Disposal of records</u>	
3/5/2/1	Obtaining of disposal authority	
3/5/2/2	Transfer: To Archives	
3/5/2/3	Destruction	
3/5/3	Inspection	
3/5/4	Reports	

4. COUNCIL AND COUNCIL MATTERS

FILE NUMBER	DESCRIPTION	DISPOSAL
4/P	Policy	
4/R	Routine enquiries	
4/1	<u>Elections</u>	
4/1/1	Nominations and election: Mayor, Speaker	
4/1/2	Nominations and election: Mayor's committee	
4/1/3	Nomination and election: Other committee	
4/2	<u>Meetings</u>	
4/2/P	Policy	
4/2/R	Routine enquiries	
4/2/1	Standing Orders	
4/3	<u>Council</u>	
4/3/1	Dates, Notices and Arrangements	
4/3/2	Motions and proposals	
4/3/3	Deputations	
4/3/4	Attendance and Leave (Notification of Absence, Attendance List included in minutes)	
4/3/5	Workshops	
4/4	<u>Mayoral Committee</u>	
4/4/1	Dates, Notices and Arrangements	
4/4/2	Motions and proposals	
4/4/3	Deputations	
4/4/4	Attendance and Leave (Notification of Absence, Attendance List included in minutes)	
4/4/5	Workshops	
4/5	<u>Other Committees</u>	
4/5/1	Dates, Notices and Arrangements	
4/5/2	Motions and proposals	
4/5/3	Deputations	

FILE NUMBER	DESCRIPTION	DISPOSAL
4/5/4	Attendance and Leave (Notification of Absence, Attendance List included in Minutes)	
4/5/5	Workshops	
4/6	<u>Council Training</u>	
4/6/P	Policy	
4/6/R	Routine enquiries	
4/7	Feedback: Unfinished Council resolutions	

5. FINANCE

FILE NUMBER	DESCRIPTION	DISPOSAL
5/P 5/R	Policy Routine enquiries	
5/1 5/1/P 5/1/R	<u>Budget</u> Policy Routine enquiries	
5/1/1	<u>Compilation of Annual Budget</u> (Open a file per financial year and number accordingly, e.g. 5/1/1 – 2013/2014)	
5/1/2	<u>Capital Budgets</u> (Open a file per financial year and number accordingly, e.g. 5/1/2 – 2013/2014)	
5/1/2/1	Submissions and Approvals	
5/1/2/2	<u>Principle Authorisation/ Approvals</u> (Open a file for each financial year e.g. 5/1/2/2 – 2013/2014)	
5/1/2/3	Government Authorisations	
5/1/2/4	<u>Items withheld</u> (Open a file for each financial year e.g. 5/1/2/4 – 2013/2014)	
5/1/2/5	<u>Freezing and Exceeding</u> (Open a file for each financial year e.g. 5/1/2/5 – 2013/2014)	
5/1/2/6	Releasing of funds	
5/1/3	<u>Revenue and Expenditure Budget</u> (Open a file per financial year and number consecutively e.g. 5/1/3 – 2013/2014)	
5/1/3/P 5/1/3/R	Policy Routine enquiries	
5/1/3/1	Mayor's Speech (Budget Speech)	
5/2 5/2/R 5/2/1 5/2/2 5/2/3	<u>Levies</u> Routine enquiries Unspecified levies Refunding Write off	
FILE NUMBER	DESCRIPTION	DISPOSAL
5/3 5/3/P 5/3/R	<u>Subsidies</u> Policy Routine enquiries	

5/4 5/4/P 5/4/R	<u>Trust Funds</u> Policy Routine enquiries	
5/5 5/5/P 5/5/R 5/5/1 5/5/2	<u>Investments</u> Policy Routine enquiries Offers (Investments made) Submission: Council	
5/6 5/6/P 5/6/R 5/6/1 5/6/2	<u>Loans</u> (Money loans by the District Municipality for own projects) Policy Routine enquiries Loan Authorisations Interest amendments	
5/6/3 5/6/3/1 5/6/3/1/1 5/6/3/1/2 5/6/3/2 5/6/3/2/1 5/6/3/2/2 5/6/3/2/3 5/6/3/3 5/6/3/3/P 5/6/3/3/1	<u>External loans</u> <u>Short term loans</u> Floating Authorisations and Loan Program Closing/Balancing of Register <u>Long term loans</u> Floating Authorisations and Loans Program Closing/Balancing of Registers Payment of Loans <u>Internal loans</u> Policy Authorisation by Council	
5/7 5/7/P 5/7/R 5/7/1 5/7/2 5/7/3	<u>Insurance</u> Policy Routine enquiries Appointment of Brokers Special Insurance Cell phone insurance	
5/8 5/8/P 5/8/R 5/8/1 5/8/2 5/8/2/1 5/8/2/1/1	<u>Accountability Reporting</u> Policy Routine enquiries Financial Regulations <u>Audit reports</u> <u>Auditor – General</u> Annual Auditor – General Report	
FILE NUMBER	DESCRIPTION	DISPOSAL
5/8/2/1/2	Audit enquiries	
5/8/3 5/8/3/1 5/8/3/2 5/8/3/3 5/8/3/4 5/8/3/5	<u>Internal Audit</u> Reports Audit enquiries Forensic Investigation VAT Safeguarding measures and regulations	

5/8/3/6	Announcement of shortages, surpluses, financial losses	
5/8/4	<u>Financial reporting (MFMA)</u>	
5/8/4/P	Policy	
5/8/4/R	Routine enquiries	
5/8/4/1	<u>Reports</u>	
5/8/4/1/1	Monthly	
5/8/4/1/2	Quarterly	
5/8/4/1/3	Biannual	
5/8/4/1/4	Annual	
5/8/5	<u>Financial statements</u>	
5/8/5/1	Enquiries: Auditor General (Correspondence: from/to)	
5/8/5/2	Closing/Balancing: Financial Statements	
5/8/5/3	Outstanding statements	
5/8/6	<u>Audit Committee</u>	
5/8/6/P	Policy	
5/8/6/R	Routine enquiries	
5/8/6/1	Committee Members (Appointment/Resignation)	
5/8/7	<u>Audit Fees</u>	
5/8/7/P	Policy	
5/8/7/R	Routine enquiries	
5/9	<u>Bank Account</u>	
5/9/P	Policy	
5/9/R	Routine enquiries	
5/9/1	Opening and transfer of account	
5/9/2	Authority to sign, Amendments: Cheques	
5/9/3	Balancing of Account and Overdraft Facilities	
5/9/4	Bank Guarantees/Safeguarding	
5/9/5	Credit Granting	
5/10	<u>Fines</u>	
5/10	Collection of	

FILE NUMBER	DESCRIPTION	DISPOSAL
5/11	<u>Payment of Allowances</u>	
5/11/1	Salaries and Allowances: Councillors (Travel and Subsistence)	
5/11/2	Credit cards	
5/11/3	Telephones	
5/12	<u>Taxes</u>	
5/12/P	Policy	
5/12/R	Routine enquiries	
5/13	<u>Development Bank of South Africa</u>	
5/13/1	Submissions	

5/13/2	Biannual reports	
5/14	<u>Donations</u>	
5/14/P	Policy	
5/14/R	Routine enquiries	

6. HUMAN RESOURCE MANAGEMENT

(Files in this principal series are only used for general personnel matters. Correspondence that applies to a specific person is concluded on personal files that are kept outside the system)

FILE NUMBER	DESCRIPTION	DISPOSAL
6/1	<u>Organisation and Staff Establishment Control</u>	
6/1/P	Policy	
6/1/R	Routine enquiries	
6/2	<u>Job Evaluation</u>	
6/2/P	Policy	
6/2/R	Routine enquiries	
6/2/1	<u>Remuneration</u>	
6/2/1/P	Policy	
6/2/1/R	Routine enquiries	
6/2/1/1	Salary grades	
6/2/1/2	General revision of salaries	
6/3	<u>Job Descriptions</u>	
6/3/P	Policy	
6/3/R	Routine enquiries	
6/4	<u>Staffing</u>	
6/4/P	Policy	
6/4/R	Routine enquiries	
6/4/1	<u>Personnel Recruitment</u>	
6/4/1/R	Routine enquiries	
6/4/1/1	Advertisements: Vacant Posts	
6/4/2	<u>Applications and Appointments</u>	
6/4/2/R	Routine enquiries	
6/4/2/1	Appointments (As soon as a person is appointed, his/her application and personal documents are transferred to a personal file which are kept outside the file system)	
6/5	<u>Condition of Service</u>	
6/5/P	Policy	
6/5/R	Routine enquiries	
6/5/1	Uniform Condition of Service/Collective Agreements	
6/5/2	<u>Leave</u>	
6/5/2/P	Policy	
6/5/2/R	Routine enquiries	
6/5/3	Working hours	
6/5/4	<u>Overtime and Standby</u>	
6/5/4/P	Policy	
FILE NUMBER	DESCRIPTION	DISPOSAL
6/5/4/R	Routine enquiries	
6/5/5	<u>Transfers/Promotions</u>	

6/5/5/P 6/5/5/R	Policy Routine enquiries	
6/5/6 6/5/6/P 6/5/6/R 6/5/6/1 6/5/6/2 6/5/6/3 6/5/6/4 6/5/6/5 6/5/6/6 6/5/6/7	<u>Payment of Allowances</u> Policy Routine enquiries Subsistence and Travel Allowances Travel Allowances Telephone Tools and Protective Clothing Relocation Study loans Acting Allowances	
6/5/7 6/5/7/P 6/5/7/R 6/5/7/1 6/5/7/2 6/5/7/3 6/5/7/3/P 6/5/7/3/R 6/5/7/3/1	<u>Subsidies</u> Policy Routine enquiries Housing Ladies: Office Wear <u>Vehicle Purchase Loans</u> Policy Routine enquiries Applications and Grants	
6/5/8 6/5/8/P 6/5/8/R	<u>Membership: Funds</u> Policy Routine enquiries	
6/5/8/1 6/5/8/1/R 6/5/8/1/1	<u>Medical Aid Fund</u> Routine enquiries Determination of contribution	
6/5/8/2 6/5/8/2/R 6/5/8/2/1	<u>Pension Funds: Officials</u> Routine enquiries Determination of contribution	
6/5/8/3 6/5/8/3/R 6/5/8/3/1	<u>Provident Fund: Officials</u> Routine enquiries Determination of contribution	
6/5/8/4 6/5/8/4/R 6/5/8/4/1	<u>Pension Fund/Provident Funds: Councillors</u> Routine enquiries Determination of contribution	
6/5/8/5	<u>Unemployment Insurance Fund</u>	
FILE NUMBER	DESCRIPTION	DISPOSAL
6/5/8/5/R 6/5/8/5/1	Routine enquiries Determination of contributions	
6/5/9	Private Work	
6/6 6/6/P 6/6/R	<u>Membership: Unions</u> Policy Routine enquiries	

6/6/1	Independent Municipal & Allied Trade Union (IMATU)	
6/6/2	South African Municipal Workers Union (SAMWU)	
6/7	<u>SA Local Government Bargaining Council</u>	
6/7/R	Routine enquiries	
6/7/1	Decisions	
6/8	<u>Employment Equity</u>	
6/8/P	Policy	
6/8/R	Routine enquiries	
6/8/1	Employment Equity Plan (EEP) and Reports	
6/9	<u>Skills Development</u>	
6/9/P	Policy	
6/9/R	Routine enquiries	
6/9/1	Workplace Skills Plan (WSP) and Reports	
6/9/2	Training Courses and Workshops	
6/9/3	Learner ships	
6/10	<u>Local Labour Forum</u>	
6/10/P	Policy	
6/10/R	Routine enquiries	
6/10/1	Meetings	
6/11	<u>Employee Wellness</u>	
6/11/P	Policy	
6/11/R	Routine enquiries	
6/11/1	Occupational Health and Safety	
6/12	<u>Grievances</u>	
6/12/P	Policy	
6/12/R	Routine enquiries	
6/13	<u>Disciplinary Procedures</u>	
6/13/P	Policy	
6/13/R	Routine enquiries	
6/14	<u>Performance Management System</u>	
FILE NUMBER	DESCRIPTION	DISPOSAL
6/14/P	Policy	
6/14/R	Routine enquiries	
6/14/1	Reports	
6/14/2	<u>Employee Appraisal</u>	
6/14/2/P	Policy	
6/14/2/R	Routine enquiries	
6/15	<u>Injury on Duty</u>	
6/15/P	Policy	
6/15/R	Routine enquiries	
6/16	<u>Human Resources Reports</u>	
6/16/R	Routine enquiries	

6/17 6/17/P 6/17/R 6/17/1 6/17/2 6/17/3	<u>Termination of Services</u> Policy Routine enquiries Resignations Retirement/Retire with Pension Dismissal/Absconding	
--	---	--

7. SUPPLY CHAIN MANAGEMENT

FILE NUMBER	DESCRIPTION	DISPOSAL
7/1	<u>Procurement</u>	
7/1/P	Policy	
7/1/R	Routine enquiries	
7/1/1	<u>Domestic Stock</u>	
7/1/1/P	Policy	
7/1/1/R	Routine enquiries	
7/1/1/1	Approval for purchases	
7/1/1/2	Stock taking	
7/2	<u>Furniture</u>	
7/2/P	Policy	
7/2/R	Routine enquiries	
7/2/1	Quotations	
7/2/2	Approval for Purchases	
7/2/3	Maintenance/Safeguarding	
7/2/4	Reporting of Losses	
7/2/5	Inventory (Complete list)	
7/2/6	Disposal: Furniture	
7/3	<u>Equipment</u>	
7/3/P	Policy	
7/3/R	Routine enquiries	
7/3/1	Photocopy machines	
7/3/2	Request for quotations	
7/3/3	Approval of Purchases	
7/3/4	Maintenance and Safeguarding	
7/3/5	Reporting of Losses	
7/3/6	Disposal	
7/3/7	Inventory	
7/4	<u>Computer/communication equipment</u>	
7/4/P	Policy	
7/4/R	Routine enquiries	
7/4/1	Request for quotations	
7/4/2	Approval: Purchases	
7/4/3	Software: Supplier	
7/4/4	Maintenance and safeguarding	
7/4/5	Service contracts	
7/4/6	Reporting of Losses	
7/4/7	Disposal	
7/4/8	Inventory	
7/5	<u>Service contracts</u>	
7/5/P	Policy	
7/5/R	Routine enquiries	
7/5/1	Postal services	
FILE NUMBER	DESCRIPTION	DISPOSAL
7/5/2	<u>Telephone services</u>	
7/5/2/P	Policy	
7/5/2/R	Routine enquiries	

7/5/2/1	Arrangements (Shifting: data lines, Upgrading) Siemens and Telkom)	
7/5/2/2	Telephone Service Contracts	
7/5/3	<u>Cell Phone Services</u>	
7/5/3/P	Policy	
7/5/3/R	Routine enquiries	
7/5/3/1	Copies: Cell Phone "ID"	
7/5/3/2	Service Contracts	
7/7	<u>Accommodation</u>	
7/7/P	Policy	
7/7/R	Routine enquiries	
7/7/1	Feasibility Study	
7/7/2	<u>Own Office Building</u>	
7/7/2/1	Letting of Office Building	
7/7/3	Selling of Building	
7/7/4	Renting of offices	
7/7/5	Security	
7/8	<u>Parking</u>	
7/8/P	Policy	
7/8/R	Routine enquiries	
7/8/1	Allocation of Parking: Personnel	
7/9	<u>Official Transport</u>	
7/9/P	Policy	
7/9/R	Routine enquiries	
7/9/1	Accidents Reports	
7/9/2	Transfer of official vehicles	
7/10	<u>Tenders</u>	
7/10/P	Policy	
7/10/R	Routine enquiries	
7/10/1	Tender conditions	
7/10/2	<u>Opening of Tenders</u>	
7/10/2/P	Policy	
7/10/2/R	Routine enquiries	
7/10/2/1	Recommendation of Tenders	
7/10/2/2	Request for Tenders: Advertisements	
7/11	<u>Contracts</u>	
FILE NUMBER	DESCRIPTION	DISPOSAL
7/11/P	Policy	
7/11/R	Routine enquiries	
7/11/1	Contract conditions	
7/11/2	Contract guarantees	
7/11/3	Instructions for signing contracts	
7/11/4	<u>Specific contracts:</u> (Open a file for each contract and number consecutively)	

<p>7/12</p> <p>7/13</p> <p>7/13/P</p> <p>7/13/R</p> <p>7/13/1</p> <p>7/13/2</p> <p>7/13/3</p>	<p>Quotations</p> <p><u>Consultants</u></p> <p>Policy</p> <p>Routine enquiries</p> <p>Consultant Roster</p> <p>Appointment: Consultant</p> <p>Advisors: Technical</p>	
---	---	--

8. REPORTS AND RETURNS

(Only monthly, quarterly, annual reports and other reports that are not applicable to other principal series must be provided under this principal series. Reports and statements that refer to separate principal series are handled according to that principal series)

FILE NUMBER	DESCRIPTION	DISPOSAL
8/1	<u>Reports</u>	
8/1/P	Policy	
8/1/R	Routine enquiries	
8/1/1	<u>Annual Reports of the Council</u> (Open a file for each council and number consecutively)	
8/1/2	Monthly Reports	
8/1/3	Quarterly Reports	
8/1/4	Reports from Local Municipalities	
8/1/5	Reports from other institutions	
8/1/6	Central Statistics Services	

9. PUBLICITY/ INFORMATION/ TOURISM CAMPAIGNS

FILE NUMBER	DESCRIPTION	DISPOSAL
9/1	<u>Publicity, Information</u>	
9/1/P	Policy	
9/1/R	Routine enquiries	
9/1/1	Own Projects – Mass Media	
9/1/1/1	Press statements/ advertisements	
9/1/1/2	Television/ Radio events	
9/1/1/3	Exhibitions/ displays	
9/1/1/4	Brochures/ Pamphlets/ Posters/ Billboards	
9/1/2	Competitions	
9/2	<u>Tourism</u>	
9/2/P	Policy	
9/2/R	Routine enquiries	
9/2/1	<u>Individual Projects</u> (Open a file for each project and number consecutively)	
9/2/1/1	Free State Tourism Board	

10. FESTIVALS AND SOCIAL MATTERS

FILE NUMBER	DESCRIPTION	DISPOSAL
10/P	Policy	
10/R	Routine enquiries	
10/1	Protocol and Guest lists	
10/2	<u>Tributes, Congratulations, Sympathy</u>	
10/2/P	Policy	
10/2/R	Routine enquiries	
10/3	<u>Receptions</u>	
10/3/P	Policy	
10/3/1	Arrangements	
10/3/1/1	Invitations and Acknowledgements	
10/3/1/1/1	Send to other institutions	
10/3/1/1/2	Received from other institutions	
10/4	<u>Special Events/ Festivities</u> (Open a file for each event/ festivity and number consecutively)	

11. COMPOSITION AND MEETINGS OF PUBLIC BODIES, ORGANISATIONS, SEMINARS, CONGRESSES, CONFERENCES, SYMPOSIUMS AND ASSOCIATIONS

FILE NUMBER	DESCRIPTION	DISPOSAL
11/P	Policy	
11/R	Routine enquiries	
11/1	<u>Nominations/Designation of Representatives</u>	
11/1/1	<u>Public Bodies</u>	
11/1/1/1	<u>Organisations</u> (Open a file for each organisation and number consecutively)	
11/1/2	<u>Seminars, Congresses, Conferences, Symposiums</u>	
11/1/2/1	Seminars	
11/1/2/2	Congresses	
11/1/2/3	Conferences	
11/1/2/4	Symposiums	
11/2	<u>Agendas, Minutes and Reports</u>	
11/2/1	<u>Institutes</u> (Open a file for each institute and number consecutively)	
11/2/1/1	Institute for Municipal Financial Officers (IMFO)	
11/2/1/2	Institute for Local Government Management of South Africa (ILGM)	
11/2/1/3	Institute for Municipal Personnel Practitioners (IMPSA)	
11/2/2	<u>Associations</u>	
11/2/2/1	South African Local Government Association (SALGA)	
11/2/2/2	SAMRAS	

12. REGIONAL PLANNING AND CONTROL

FILE NUMBER	DESCRIPTION	DISPOSAL
12/P	Policy	
12/R	Routine enquiries	
12/1	Directory enquiries	
12/2	<u>Town Planning</u>	
12/2/P	Policy	
12/2/R	Routine enquiries	
12/3	<u>Establishment of Town Area</u> (Open a file for each area and number consecutively)	
12/4	<u>Control of Town Areas</u>	
12/4/1	<u>Land use of all Town Areas</u>	
12/4/1/1	Zoning, Subdivision, Use of specific purposes (Physical Planning Act ,Act 88 of 1967)	
12/4/1/2	Consent Uses	
12/4/1/3	Existing Uses	

13. ADMINISTRATION OF JUSTICE

FILE NUMBER	DESCRIPTION	DISPOSAL
13/P	Policy	
13/R	Routine enquiries	
13/1	<u>Legal Opinions and Court Cases</u> (Only copies, original documents are placed on applicable file)	
13/1/1	Appointment of Lawyers	
13/1/2	Eskom: Levies	
13/2	<u>Lawsuits</u> (Open a file for each lawsuit and number consecutively)	
13/3	<u>Agreements</u>	
13/3/1	Service level agreements	
13/3/2	Lease agreements	

14. TECHNICAL SERVICES

FILE NUMBER	DESCRIPTION	DISPOSAL
14/1	<u>Services delivered by the District Municipality to Persons or Institutions</u>	
14/1/P	Policy	
14/1/R	Routine enquiries	
14/1/1	<u>Services: Installation, Improvements and Delivering</u>	
14/1/1/1	<u>Bulk – Water Provision</u>	
14/1/1/1/1	Department of Water Affairs and Forestry	
14/1/1/1/2	Water Research	
14/1/1/2	<u>Bulk Electricity Provision</u>	
14/1/1/2/1	Electricity Services	
14/1/1/3	<u>Sewerage Purification</u>	
14/1/1/3/1	Sewerage Purification Works and Main Sewer Reticulation	
14/1/1/3/2	Sewerage Services	
14/1/1/4	Refuse Dumping Site	
14/1/1/5	<u>Road Network System</u>	
14/1/1/5/1	Municipal Roads	
14/1/1/6	<u>Agreements concluded with persons and institutions of delivering of services</u>	
14/1/1/6/P	Policy	
14/1/1/6/R	Routine enquiries	
14/1/1/6/1	Conditions	
14/1/1/6/2	Agreements	
14/1/1/6/3	Capital Projects: MIG Projects	
14/1/1/6/4	Retaining fees	
14/2	<u>Delivering of Services to District Municipalities by persons and institutions</u>	
14/2/P	Policy	
14/2/R	Routine enquiries	
FILE NUMBER	DESCRIPTION	DISPOSAL
14/2/1	<u>Appointments</u>	
14/2/1/R	Routine enquiries	
14/2/1/1	Architects	
14/2/1/2	Quantity Surveyors	
14/2/1/3	<u>Engineers</u>	
14/2/1/3/1	Electro – technical	
14/2/1/3/2	Mechanical	
14/2/1/3/3	Civil	

--	--	--

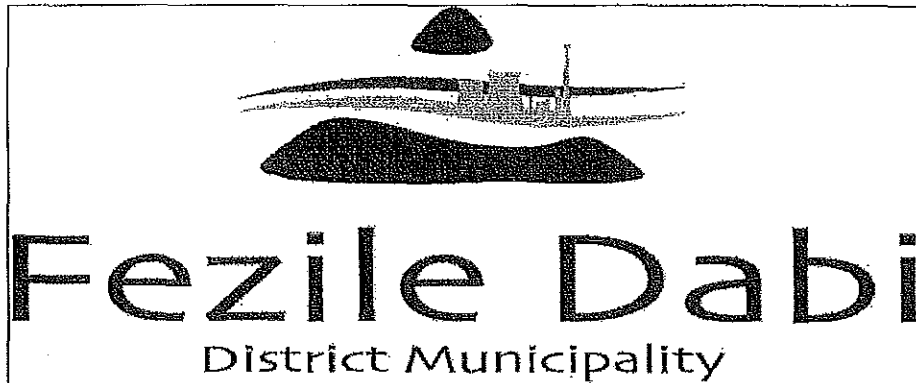
15. INTEGRATED DEVELOPMENT PLANNING AND LOCAL ECONOMIC DEVELOPMENT

FILE NUMBER	DESCRIPTION	DISPOSAL
15/1	<u>Integrated Development Planning (IDP)</u>	
15/1/P	Policy	
15/1/R	Routine enquiries	
15/1/1	Meetings/ Workshops: Agendas, Minutes, Agreements	
15/1/2	<u>Land Use Management</u>	
15/1/2/P	Policy	
15/1/2/R	Routine enquiries	
15/1/3	<u>Spatial Development Framework</u>	
15/1/3/P	Policy	
15/1/3/R	Routine enquiries	
15/1/3/1	<u>Specific Spatial Development Frameworks</u> (Open a file for each case and number consecutively)	
15/1/3/2	<u>Land Development Objectives</u>	
15/1/3/2/P	Policy	
15/1/3/2/R	Routine enquiries	
15/1/3/3	<u>Local IDP's</u> (Open a file for each case and number consecutively)	
15/1/4	GIS	
15/1/4/P	Policy	
15/1/4/R	Routine enquiries	
15/1/4/1	Surveys and Reports	
15/1/4/2	Workshops	
15/2	<u>Local Economic Development</u>	
15/2/P	Policy	
15/2/R	Routine enquiries	
15/2/1	Mainstream economic development	
15/2/2	Socio – economic development	
15/2/3	<u>Investments</u>	
15/2/3/P	Policy	
15/2/3/R	Routine enquiries	
15/2/3/1	Promotion and Information	
15/2/3/2	<u>Investigations</u> (Open a file for each case and number consecutively)	

FILE NUMBER	DESCRIPTION	DISPOSAL
15/2/3/3	Economic Database	
15/2/3/4	Reports	

16. COMMUNITY SERVICES

FILE NUMBER	DESCRIPTION	DISPOSAL
16/P	Policy	
16/R	Routine enquiries	
16/1	<u>Environmental Health Services</u>	
16/1/P	Policy	
16/1/R	Routine enquiries	
16/1/1	Service Delivery Agreements	
16/1/2	Inspections and Reports	
16/2	<u>Fire Fighting Services</u>	
16/2/P	Policy	
16/2/R	Routine enquiries	
16/2/1	Service Delivery Agreements	
16/2/2	Reports	
16/3	<u>Disaster Management</u>	
16/3/P	Policy	
16/3/R	Routine enquiries	
16/3/1	Training	
16/3/2	Contingency Plans	
16/3/3	Inspections and Reports	



RECORDS MANAGEMENT POLICY

Date of adoption by Council: 29 May 2014

Council Resolution Number : 112

Municipal Manager: Ms. Lindi Molibeli

1. DEFINITIONS

1.1 ARCHIVES REPOSITORY

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

1.2 AUTHENTIC RECORDS

Authentic records are records that can be proven to be what they purport to be and are considered by creators to be their official record.

1.3 CORRESPONDENCE SYSTEM

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

1.4 CUSTODY

The control of records based upon their physical possession.

1.5 DISPOSAL

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

1.6 DISPOSAL AUTHORITY

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

1.7 DISPOSAL AUTHORITY NUMBER

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

1.8 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.

1.9 FILE PLAN

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

1.10 FILING SYSTEM

The collective noun for a storage system in which records are stored in a systematic manner according to a file plan.

1.11 NON-ARCHIVAL RECORDS

Records with a short lived interest or usefulness as determined by the Provincial Archives.

1.12 PUBLIC RECORDS

A record created or received by a governmental body in pursuance of its activities

1.13 RECORD

Means recorded information regardless of medium or form, it is also evidence of a transaction which is preserved for the evidential information it contains.

1.14 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.

1.15 RECORD KEEPING

Maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

1.16 RECORDS MANAGEMENT

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

2. PURPOSE

Section 13 of *the National Archives and Records Service of South Africa Act, 1996* requires Fezile Dabi District Municipality (hereinafter referred to as the Municipality) to manage its records in a well-structure record keeping system and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act. Transparency, accountability and good governance are the cornerstone on which all efforts to realize democracy as well as service delivery. Information is a resource of the same importance to good governance as other resources such as people and facilities and the records of the Municipality must therefore be managed as a valuable asset.

Records Management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and ordination of information and storage systems. Every administrative process conducted by a government official, is informed by a record and a single transaction has the potential of generating multiple records which are of assistance to everyday accounting and serves as paper trail for audit purposes during such cycles.

This Policy will ensure that the records, irrespective of the format or medium, that are received or created by the Municipality in the performance of its functions and execution of its activities, are managed in such a manner that will promote good governance and comply with appropriate legislature.

The Municipality considers its records to be valuable assets due to the following:

- The ability to find the right information easily and comprehensively
- To ability to perform functions successfully and efficiently in an accountable manner
- Ensuring effective and consistent delivery of services
- The elimination of unnecessary duplication of records
- Provision of continuity in the event of a disaster
- Protection of the interests of the Municipality and the rights of employees, clients, present and future stakeholders
- Promotion of sound records management practices

3. POLICY OBJECTIVES

- 3.1 All records created and received by Fezile Dabi District Municipality shall be properly managed and easily accessible and traceable in accordance to a duly approved file plan.
- 3.2 Sound procedures shall be followed for the creation, maintenance, retention and disposal of all records, including electronic records.
- 3.3 Procedures shall also be put in place for the security, privacy and confidentiality of records.
- 3.4 Sound records management improves the flow of information and knowledge sharing within the organization.

4. SCOPE OF APPLICATION

- 4.1 This Policy is applicable to all offices, management, staff as well as directorates within Fezile Dabi District Municipality.

5. PRINCIPLES

- 5.1 All records created and received by FDDM shall be managed in accordance with the records management principles contained in section 13 of the *National Archives and Records Service Act, 1996*.
- 5.2 The following broad principles shall apply to the record keeping and records management practices of FDDM:

- (a) FDDM follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records;

- (b) The records management procedures shall comply with the legal requirements, including those for the provision of evidence.
- (c) FDDM follows sound procedures for the security, privacy and confidentiality of its records.
- (d) Electronic records are managed according to the principles promoted by the National Archives and Records Service.

6. ROLES AND RESPONSIBILITIES

6.1 Municipal Manager

6.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of the Institution. 6.1.2 The Municipal Manager is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

6.1.2 The Municipal Manager supports the implementation of this policy and requires each staff to support the values underlying in this policy.

6.1.3 The Municipal Manager is responsible for approval of requests for information in terms of the *Promotion of Access to Information Act*.

6.2 Senior Managers

6.2.2 Senior Managers are responsible for the implementation of this policy in their respective units.

6.2.3 Senior managers shall lead by example and shall themselves maintain good record keeping and records management responsibilities and obligations.

6.2.4 Senior management shall ensure that all staff are made aware of their record keeping and records management practices.

6.2.5 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 Administrative Manager

6.3.2 The administrative manager is responsible for:

- a) The implementation of this policy;
- b) Staff awareness of this policy;
- c) Staff management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
- d) 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.

6.3.3 The administrative manager is mandated to make such training and other interventions as are necessary to ensure that FDDM's record keeping and record's management practices comply with the records management principles contained in the National Archives and Records Service Act.

6.3.4 The administrative manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of FDDM.

6.3.5 The administrative manager shall ensure that all records created and received by FDDM are classified according to the approved file plan and that a written disposal authority is obtained for them from the Provincial Archives and Records Services.

7. IT Manager

7.1.1 The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.

- 7.1.2 The IT manager shall work in conjunction with the Administrative Manager 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.
- 7.1.3 The IT manager shall ensure that appropriate *systems technical manuals and systems procedures manuals* are designed for each electronic system that manages and stores records.
- 7.1.4 The IT manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail for all electronic systems to ensure that authentic and reliable records are created.
- 7.1.5 The IT Manager 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.
- 7.1.6 The IT Manager 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, authentic, reliable and accessible records should a disaster occur.
- 7.1.7 The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- 7.1.8 The IT manager shall ensure that systems that manage and store records are virus free.

7.2 Legal Services Manager

- 7.2.1 The Legal Services manager is responsible for keeping the Chief Records Clerk updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of PDDM.

7.3 Records Staff

7.3.1 The records staff is responsible for the physical management of the records in their care.

7.3.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the Registry Procedure Manual and respective Job Descriptions.

7.4 FDDM Staff

7.4.1 Every staff member shall create records of transactions while conducting official business.

7.4.2 Every staff member shall manage those records efficiently and effectively by:

- a) Allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
- b) Sending paper-based records to the registry for filing;
- c) Ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the Provincial Archivist.

7.4.3 Records Management responsibilities shall be written into the performance agreements of all staff members to ensure that staff is evaluated on their records management responsibilities.

8. POLICY DIRECTIVES AND PROCEDURE

8.1 Records classification systems and related storage areas

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

8.1.1 *Correspondence Systems*

8.1.1.1 FILE PLAN

- a) Only the file plan approved and implemented shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.
- b) Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- c) When correspondence is created/received for which no subject exists in the file plan, the Records Staff 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 Records Staff.

8.1.1.2 STORAGE OF RECORDS

- a) Paper-based correspondence files that are not HR related are kept in the custody of the central records unit/office.
- b) All these records are under the management of the Records Staff which staff is mandated to ensure that they are managed properly.
- c) The Records Unit is a secure storage area and only Records Staff is allowed in the records storage area and office.
- d) Staff members that need access to files in the registry shall place a request for the files at the counter.
- e) Records can only be made accessible upon completion of control card.
- f) The records unit shall be locked when registry is not in operation.

8.1.1.3 The Human Resources (HR) Records

- (a) All Human Resources related records are housed at the HR Office.
- (b) The general HR subject files as well as HR case files are under the management of HR Manager who is mandated to ensure that they are managed properly.
- (c) FDDM 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.
- (d) The case files are managed as part of the list of Series of Separate case Files that is maintained and managed by the HR Manager.
- (e) The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Records management System.

8.1.1.4 Electronic Correspondence records

These are stored in an electronic repository that is controlled by the Records Unit and maintained by the IT section.

9. DISPOSAL OF RECORDS

- a) No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist.
- b) The Provincial Archivist has issued Standing Disposal Authority Number for the disposal of records classified against the file plan and the Records Staff manages the disposal schedule.
- c) Retention periods indicated on the file plan and schedule were determined by taking FDDM's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the Administration Manager should be contacted to discuss a more appropriate retention period.

- d) Disposal in terms of these disposal authorities will be executed annually in December.
- e) All disposal actions should be authorized by the Administration Manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- f) 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 has indicated the destruction hold can be lifted.
- g) Paper-based archival records shall be safely kept in a storage area until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the Provincial Archives.
- h) Specific guidelines regarding the procedure to dispose of electronic records shall be contained in the Electronic Records Management Policy still to be developed.

10. ACCESS AND SECURITY

10.1 Paper-based records

- 10.1.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of FDDM.
- 10.1.2 Security classified records shall be managed in terms of the Security Policy as well as the FDDM Information Manual which are available on the FDDM intranet.
- 10.1.3 No staff member shall remove records that are not available in the public domain from the premises of FDDM without the explicit permission of the Municipal Manager.
- 10.1.4 No staff member shall provide information and records that are not in the public domain to any outside person or entity without consulting the Municipal Manager. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Section 14 Manual which is maintained by the Municipal Manager or delegate of the Municipal Manager .
- 10.1.5 Classified information shall be managed in terms of the Promotion of Access to Information Act until such time specific protection of privacy legislation is enacted.

10.1.6 No staff member shall disclose personal information of any member of staff or client of FDDM to any member of the public without written application coupled with reasons for the request to the Municipal Manager.

10.1.7 An audit shall be logged of all attempts to alter/edit electronic records and their metadata.

10.1.8 Records storage areas shall at all times be protected against unauthorized access and the following shall apply:

- a) Records Unit and other records storage areas shall be locked when not in use.
- b) Access to server rooms and storage arrears for electronic records media shall be managed with key card access.

11. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

The records of FDDM shall at all times contain reliable evidence of business operations and the following shall apply:

11.1 Paper-based records

- a) No records shall be removed from paper-based files without the explicit permission of Records Staff.
- b) Records that were placed on files shall not be altered in any way.
- c) No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Administration Manager.
- d) Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

11.2 Electronic records

- a) The FDDM shall use systems which ensure that its electronic records are:
 - (i) Authentic;

- (ii) Not altered or tampered with;
 - (iii) Auditable; and
 - (iv) Produced in systems which utilize security measures to ensure their integrity.
- a) An Electronic Records Management Policy, still to be drafted, shall contain specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

12. TRAINING

- (a) The Administration Manager and Records Staff, shall successfully complete the National Archives and Records Services' Records Management Course, as well as any other records management training that would equip him/her for his/her duties.
- (b) The Administration Manager shall identify such training courses that are relevant to the duties of the records staff and shall ensure that staff is trained appropriately.
- (c) The Administration Manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training or workshops as is necessary for the staff to equip them for their records management duties.

13. EVALUATION CRITERIA

- 13.1 The Administration Manager shall review the record keeping and records management practices of FDDM on a regular basis and shall adapt them appropriately to ensure that they meet business and service delivery requirements of the Municipality.
- 13.2 This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of FDDM.

14. BREACH OF POLICY

None-compliance with these guidelines may be dealt with under the FDDM's Disciplinary Procedure Policy.

15. REVIEW AND AMENDMENT

This policy can be reviewed at any time but can only be adopted by Council.

16. ENFORCEMENT OF THE POLICY

This Policy shall be enforced through the Department of Corporate Support Services of Fezile Dabi District Municipality.

17. AUTHORITY

Formulation of Policy	: Corporate Support Services
Authorization of Policy	: Municipal Council
Ownership & Maintenance	: Corporate Support Services