

Policy Owner	Chief Executive Officer
Responsible Division	Office of the CEO
Approval Date	- 24 October 2022
Review Date	-

Records Management Policy

1. Preamble

uMgungundlovu Economic Development Agency recognizes the importance of sound records management. Proper records keeping will enable the Agency to exercise transparency, accountability, and good governance. The Agency is committed to ensure that all public records in its control are managed according to mandatory sound records management practices as prescribed by legislation governing Records Management in South Africa.

As a pre-eminent agency in KwaZulu-Natal, driven by the pursuit of knowledge and economic growth, with a unique organizational culture based upon the values, the Agency espouses, the Agency has opted to develop its first Records Management Policy.

As part of a regular review process, this policy is subject to review as and when necessary.

2. Policy statement

It is the intention of uMgungundlovu Economic Development Agency to manage its records in an accountable, effective, and efficient manner through the implementation of a records management programme that takes into account related objectives such as orderly classification of records, retention and disposal, accessibility, security and confidentiality, training and performance and quality management.

The Agency is dependent on its records as its corporate memory to operate efficiently, consistently, and productively and to account for its actions. This policy defines a structure for the agency to ensure that official records are identified and maintained and that they are managed and controlled effectively and at best value, commensurate with UMEDA's vision, values, and mission as well as legal, operational and information requirements.

It is furthermore the policy of UMEDA to comply with the Promotion of Access to Information Act (No 2 of 2000) (PAIA) and the broad principles of records management that are required by the National Archives and Records Service Act (No 43 of 1996), the International Standard for Records Management (ISO15489) and the South African National Standard for Records Management (SANS 15489) together with the Constitution of the Republic of South Africa and other applicable legislation.

This policy should be read in conjunction with the Archives, Museums and Special Collections Policy of the Department of Arts & Culture.

3. Definitions

3.1 Records

UMEDA records refer to anything that is produced due to the undertaking of a business activity or legislative requirement and is evidence of the fact that a process or procedure took place in support of the activity or requirement.

This policy relates to all operational and archival records to include, but not limited to:

- Administrative records (including records on the activities and processes of governance, management, human resources, finances, facilities, branding, marketing and communication, systems, and affairs)
- Records other than administrative records such as microfilm, audio-visual (such as CD's and DVD's), paper (photo's, maps, charts), and electronic (e.g., computerised financial, human resource and student systems).
- Records in all electronic formats (including websites, e-mail, etc).
- Records in the Archives of the UMEDA managed under the Registry.

3.2 Archives

Archives are either the records/collections housed (according to archival practices and principles) in one of the official UMEDA Archives or refer to the official Archive buildings of the Department of Arts and Culture and under the control of the Provincial Archivists or archive managers.

3.3 Disposal

Disposal refers to the action when a record identified in the UMEDA file plan as an official UMEDA record, is either destroyed (according to the set procedure) or archived at one of the official UMEDA Archives (according to the set procedure) after the expiry of the retention period indicated in the UMEDA file plan and disposal schedule.

3.4 Retention

Retention refers to the period an official UMEDA record has administrative or operational value to the UMEDA and should be kept in safe and secure custody in records storage areas or the network drive or approved electronic system by the relevant record owner until a disposal action is undertaken.

3.5 UMEDA file plan and disposal schedule

The UMEDA file plan and disposal schedule is a pre-determined and logical structure into which official UMEDA records are arranged and stored according to subjects to facilitate efficient retrieval and disposal of records. The file plan contains the reference number, subject description and disposal instruction of files/folders held in an office and assigns responsibility for the record to a responsible office/person. The disposal instructions in the UMEDA file plan and disposal schedule grants a standing disposal authority for all the records mentioned therein.

3.6 UMEDA records management programme

The UMEDA records management programme is the systematic and consistent control of all UMEDA records as identified in the UMEDA file plan and disposal schedule throughout their lifecycles and includes the sub programmes related to identification, classification, disposal, maintenance, risk management, compliance monitoring, quality and performance management, training, etc.

3.7 Records storage areas and off-site storage for hard copy records

Records storage areas refer to areas/rooms in buildings designated for the safe and secure storage of official UMEDA records for the duration of the retention period and until a disposal action is undertaken.

Records may also be stored off-site at the approved off-site storage facility, with the provision that the necessary documentation is completed to record such transfers.

4 Rules and Procedures

These rules and procedures are applicable to both paper-based, micrographic, audio-visual, and electronic records.

4.1 Board is responsible for the existence and monitoring/review of a Records Management Policy.

Agency Management, in particular the Chief Executive Officer (as chief information officer according to PAIA) with powers of delegation to the Records Manager, has overall responsibility for ensuring that records are managed responsibly within the UMEDA.

The Records Management unit under leadership of the Records Manager is responsible for instituting, implementing, facilitating, and coordinating a records management programme at the UMEDA.

Records Manager, through the records management representatives on the organization, as well as all line managers on the departments are responsible for ensuring that the records management policy is implemented in their individual areas of responsibility.

It is the responsibility of all staff to ensure that they keep appropriate records (as defined by the UMEDA file plan) of their work at the UMEDA and manage those records in keeping with this policy.

4.2 All records created during execution of the UMEDA's activities and processes (paper based, electronic, micrographic and audio-visual) are the property of UMEDA and must be managed in accordance with this policy.

4.3 All records must be classified and filed according to a classification and filing system known as the UMEDA File Plan and disposal schedule managed by the Records Manager. This classification system may not be revised or added to without the approval of Records Manager. The UMEDA file plan and disposal schedule will be updated annually or on an ad hoc basis as required by the record owners.

4.4 No records may be disposed of without adherence to the disposal instructions in the UMEDA File Plan and disposal schedule. Disposal of records must take place according to the disposal instructions in the UMEDA file plan by the indicated record owner to ensure records and the information within them can be efficiently retrieved by those with a legitimate right of access thereto, for as long as the records are held by the agency. These disposal instructions were compiled in accordance with statutory requirements and the operational needs of the department. The procedure for the disposal of records must be followed. Proper and legal disposal is a legitimate restriction to the right of access to information as provided by the Promotion of Access to Information Act.

The disposal actions undertaken will be documented in the transfer lists of the Archives, or the destruction register held by the Records Manager.

- 4.6 All records should be kept in safe and secure custody (either in records storage areas or off-site storage in case of hard copy records or on approved electronic systems in case of electronic records) according to prescribed procedures and guidelines provided by the Records Manager and Information Technology, according to an Information Governance Framework.
- 4.7 Generic and specific training in records management as well as records management awareness campaigns will be presented at regular intervals. Identified staff should attend training in records management as provided by the Records Manager.
- 4.8 In order to ensure compliance with this policy, the Records Manager will undertake sporadic compliance audits with the guidance of Internal Audit in order to ensure risk abatement and record owners are obliged to partake in these audits.

5 Security

- 5.1 In order to ensure an optimal information and records security environment, a system of security measures would be essential. In this regard access and movement would be prerequisite elements for an effective security system.
- 5.2 The electronic records management software must be able to control or limit access to records, files and metadata on user level in the document management system and in records repository.

6 Security Classification

- 6.1 Officials are required to adhere to document security guidelines as outlined in the Minimum Information Security Policy document. When classified records are not in use, they must be stored in the following manner:
- Restricted : Normal filing cabinets/ shelves
 - Confidential : Reinforced filing cabinets
 - Secret : Strong room/ reinforced cabinets
 - Top secret : Strong room, safe or walk-in safe

7 Commencement of the Policy

This policy shall be effective from the date of approval by the Board

Approved By


Mr Shile Ndlovu
Chairperson: Board of Directors

24 October 2022
Date: