



RECORDS MANAGEMENT POLICY

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1. Definitions

Archives repository:

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

Authentic records:

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

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 Provincial 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, programmes and meta

data (background and technical information i.r.o. 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.

Filing system:

The collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.

Non-archival records:

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

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 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 procedures manual:

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding –

- Document capturing
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures
- File transmission

- Information retention
- Information destruction
- Backup and system recovery
- System maintenance
- Security and protection
- Use of contracted services
- Workflow
- Date and time stamps
- Version control
- Maintenance of documentation

A systems procedures manual should be updated when new releases force new procedures.

2. PURPOSE

- 2.1 The Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) requires the Overstrand Municipality to manage its records in a well-structured 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.

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

- 2.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Overstrand Municipality must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. Overstrand Municipality considers its records to be a valuable asset to:

- enable Overstrand Municipality to find the right information easily and comprehensively;
- enable Overstrand Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Overstrand Municipality;
- ensure the conduct of business in an orderly, efficient and accountable manner;
- ensure the consistent delivery of services;

- support and document policy formation and administrative decision-making;
 - provide continuity in the event of a disaster;
 - protect the interests of Overstrand Municipality and the rights of employees, clients and present and future stakeholders;
 - support and document the Overstrand Municipality's activities, development and achievements; and
 - provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 2.3 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. Policy statement

- 3.1 All records created and received by Overstrand Municipality shall be managed in accordance with the records management principles contained in section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).
- 3.2 The following broad principles apply to the record keeping and record management practices of Overstrand Municipality:
- The Overstrand Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - The records management procedures of Overstrand Municipality comply with legal requirements, including those for the provision of evidence.
 - The Overstrand Municipality follows sound procedures for the security, privacy and confidentiality of its records.
 - Electronic records in the Overstrand Municipality are managed according to the principles promoted by the Provincial Archives and Records Service.

4. Relationship with other policies

- 4.1 The Overstrand Municipality's Records Management Policy consists of this policy. This policy is managed by the records manager.

4.2 Other policies that are closely related to the Records Management Policy are

- the E-mail and Internet Usage Policy which is managed by the ICT Manager;
- Promotion of Access to Information Policy which is managed by the Manager: Council Support Services, and the
- the Supply Chain Management Policy which is managed by the Manager: Supply Chain Management.

5. Scope and intended audience

5.1 This policy impacts upon Overstrand Municipality's work practices for all those who:

- create records including electronic records;
- have access to records;
- have any other responsibilities for records, for example storage and maintenance responsibilities;
- have management responsibility for staff engaged in any of these activities, or manage, or have design input into, information technology infrastructure.

5.2 The policy therefore applies to all staff members of the Overstrand Municipality and covers all records regardless of format, medium or age.

6. Regulatory framework

A large number of parliamentary acts have an impact on record management and place local governments under certain obligations.

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

6.1 Section 195 of the *Constitution of the Republic of South Africa, 1996* stipulates that:

- efficient, economic and effective use of resources must be promoted;
- public administration must be accountable; and
- transparency must be fostered by providing the public with timely, accessible and accurate information.

6.2 The *Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005)* provides *inter alia* for the proper management and

care of public records of governmental bodies (including local government). The *Regulations (P.N. 122/2006 dated 17 March 2006)*, promulgated in terms of the abovementioned Act, purport a specific framework regarding the management of records by which governmental bodies must function.

- 6.3 The objectives of the *Promotion of Access to Information Act, 2000 (Act 2 of 2000)* are to give effect to the constitutional right of access to any information held by the State as well as promoting transparency, accountability and effective governance and to allow for access to information required for the exercise or protection of any rights.
- 6.4 The *Promotion of Administrative Justice Act, 2000 (Act 3 of 2000)* gives effect to the right to administrative action that is lawful, reasonable and procedurally fair.
- 6.5 The *Electronic Communication and Transactions Act, 2002 (Act 25 of 2002)* provides for the facilitation and regulation of electronic communications and transactions.
- 6.6 The *Local Government: Municipal Finance Management Act, 2003 (Act 56 of 2003)* regulates the storage and safe keeping of all documents and contracts relating to supply chain management.

7. Management of records in accordance with strategic objectives

The effective management and retention of records are considered as essential to honour the Overstrand Municipality's vision "*To be a centre of excellence for the community*" and its mission "*To deliver optimal services in support of sustainable economic, social and environmental goals*".

Effective record management is necessary to comply with Batho Pele principles to give effect to the public's right of access to information held by the Municipality as well as promoting transparent administration.

8. Roles and responsibilities

8.1 Head of Overstrand Municipality

- 8.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of Overstrand Municipality.
- 8.1.2 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.

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

8.1.4 The Municipal Manager shall designate a senior manager to be the records manager of the Overstrand Municipality and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of Overstrand Municipality to enable compliance with legislative and regulatory requirements.

8.2 *Directors and Senior Managers*

8.2.1 Directors and senior managers are responsible for the implementation of this policy in their respective directorates and/or departments.

8.2.2 Directors and senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.

8.2.3 Directors and senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

8.2.4 Directors and 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 directorates and/or departments.

8.3 *Records manager*

8.3.1 The records manager is responsible for:

- the implementation of this policy;
- staff awareness regarding this policy;
- the management of all records according to the records management principles contained in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005); and
- the determination of periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

8.3.2 The specific duties of the records manager are contained in the records manager's job description.

8.3.3 The records manager is mandated to undertake training and other interventions as are necessary to ensure that the Overstrand

Municipality's record keeping and records management practices comply with the records management principles contained in the Provincial Archives and Records Service of the Western Cape Act.

- 8.3.4 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Overstrand Municipality.
- 8.3.5 The records manager shall ensure that all records created and received by Overstrand Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the Provincial Archives and Records Service.
- 8.3.6 The Manager: Council Support Services, is the records manager for the whole Overstrand Municipality.

8.4 Information Officer

- 8.4.1 The Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act, 2000 (Act No 2 of 2000).
- 8.4.2 The Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

8.5 ICT Manager

- 8.5.1 The ICT manager is responsible for the day-to-day maintenance of electronic systems that store records.
- 8.5.2 The ICT manager shall work in conjunction with the records 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.
- 8.5.3 The ICT manager shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.
- 8.5.4 The ICT manager 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.

- 8.5.5 The ICT manager shall ensure that electronic records in all electronic systems remains accessible by migrating them on new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.
- 8.5.6 The ICT 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, reliable and accessible records should a disaster occur.
- 8.5.7 The ICT manager shall ensure that back-ups are stored in a secure off-site environment.
- 8.5.8 The ICT manager shall ensure that systems that manage and store records are virus free.
- 8.5.9 Comprehensive details regarding specific responsibilities of the ICT manager are contained in the ICT policies of the Overstrand Municipality.

8.6 Legal services manager

- 8.6.1 The legal services manager is responsible for keeping the records manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Overstrand Municipality.

8.7 Registry staff

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

8.8 Staff

- 8.8.1 Every staff member shall create records of transactions while conducting official business.
- 8.8.2 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.

9. Records classification systems and related storage areas

Overstrand Municipality has the following systems that organize and store records:

9.1 Correspondence systems

9.1.1 File plan

9.1.1.1 Only the file plan approved on 3 April 2001 (reference X10/3/4/2/140) and, retrospectively, implemented on 5 December 2000, 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.

9.1.1.2 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.

9.1.1.3 When correspondence is created/received for which no subject exists in the file plan, the records manager 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 manager.

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 registries situated at:

- Hermanus Administration
- Gansbaai Administration
- Stanford Administration
- Kleinmond Administration

9.1.2.1.1.2 All these records are under the management of the records manager 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 is 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 the registry is not in operation.

9.1.2.1.2 The Human Resources registry

9.1.2.1.2.1 All Human Resources related records are housed in decentralised HR Registries at:

- Hermanus Administration
- Gansbaai Administration
- Stanford Administration
- Kleinmond Administration

9.1.2.1.2.2 The general HR subject files as well as HR case files are under the management of the records manager who is mandated to ensure that they are managed properly.

9.1.2.1.2.3 Overstrand Municipality maintains a set of paper-based case files for each staff member. The files are confidential in nature and are housed in secure decentralised storage areas in the HR registries.

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 records manager.

9.1.2.2 Electronic correspondence records are stored in an electronic repository that is maintained by the IT section.

9.1.2.2.1 Access to storage areas where electronic records are stored is limited to the Information Technology staff who 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 records manager 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 records manager should be contacted to add the records to the schedule.

10. Disposal of records

- 10.1 No public records shall be destroyed, erased or otherwise disposed of without prior written authorisation from the Provincial Archivist.
- 10.2 The Provincial Archivist has issued Standing Disposal Authority Number¹ for the disposal of records classified against the file plan. The records manager manages the disposal schedule.
- 10.3 The Provincial Archivist issued Standing Disposal Authority Number² on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.
- 10.4 Retention periods³ indicated on the file plan and schedule were determined by taking Overstrand Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.
- 10.5 Disposal in terms of these disposal authorities will be executed annually in December.
- 10.6 All disposal actions should be authorised by the records manager 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 various administrations' storage areas until they are due to be transferred to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.

¹ Must still be obtained

² Must still be obtained

³ Must still be obtained

10.9 Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

11. Storage and custody

11.1 See paragraph 9 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 Provincial Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.

12. Access and security

12.1 Records shall at all times be protected against unauthorised access and tampering to protect their authenticity and reliability as evidence of the business of Overstrand Municipality.

12.2 No staff member shall remove records that are not available in the public domain from the premises of Overstrand Municipality without the explicit permission of the records manager in consultation with the Information Officer.

12.3 No staff member shall provide information and records that are not in the public domain to the public without consulting the Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Information Officer.

12.4 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.

12.5 No staff member shall disclose personal information of any member of staff or client of Overstrand Municipality to any member of the public without consulting the Information Officer first.

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

12.7 Records storage areas shall at all times be protected against unauthorised access. The following shall apply:

12.7.1 Registry and other records storage areas shall be locked when not in use.

12.7.2 Access to server rooms and storage areas for electronic records media shall be locked when not in use.

13. Legal admissibility and evidential weight

13.1 The records of Overstrand Municipality shall at all times contain reliable evidence of business operations. The following shall apply:

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 records manager.

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 records manager.

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 The Overstrand Municipality shall use systems which ensure that its electronic records are:

- authentic;
- not altered or tampered with;
- auditable; and
- produced in systems which utilise security measures to ensure their integrity.

14. Training

14.1 The records manager shall successfully complete the Provincial Archives and Records Service's Records Management Course, as well as any other records management training that would equip him/her for his/her duties.

14.2 The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff are trained appropriately.

14.3 The records manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training

as is necessary of the staff to equip them for their records management duties.

15. Monitor and review

- 15.1 The records manager shall review the record keeping and records management practices of Overstrand Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirement of Overstrand Municipality.
- 15.2 This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirement of Overstrand Municipality.

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