OVERBERG DISTRICT MUNICIPALITY

RECORDS MANAGEMENT POLICY

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CONTENT

FOREWORD BY THE MUNICIPAL MANAGER OF OVERBERG DISTRICT MUNICIPALITY

The Records Management Policy of the Overberg District Municipaity was developed in accordance with the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) as well as to the National Archives and Records Service of South Africa Act (Act No. 43 of 1996). In order to support continuing service delivery and provide the necessary accoutablility, the Municipality should create and maintain authentic, reliable and usable records.

Sound records management is fundamental for good governance and effective and efficient administration. It also provides a basis for accountablility and protecting the rigths of individuals. Overberg District Municipality must ensure that the integrity of the records is protected for as long as they are required as evidence of business operations by managing the information resources for good records management practices stipulated in the Act. This policy document must also provide the mandate, mission and objectives of the Municipality to recieve appropriate physical care of records.

The Records Manager will ensure that the information in this policy document is communicated to all Overberg District Municipality staff that creates records. It is most important to all employees who create records, become conservant with the policy and apply the stipulations contained therein. The success of records mangement practices depends on its users and an appeal is made on your positive support and compliance to the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).

Management has a responsibility to ensure that Overberg District Municipality create and have access to complete and credible information resources to enable the decision-making process to be in the best interest of the public. Information is one of the key resources required to run an efficient organisation. Well-organised records:

- ➢ Enable the municipality to find the rigth information easily and comprehensively;
- ➢ Enable the municipality to perform its functions successfully and efficiently and in an accoutable manner;
- ➢ Support the business, legal and accountability requirements of the municipality;
- ➢ Ensure the conduct of business in an orderly, efficiently and accoutable manner;
- ➢ Ensure the consistent delivery of services;
- ➢ Provide continuity in service when staff leave;
- ➢ Support and document policy formation and administrative decision-making;
- ➢ Provide continuity in the event of a disaster;
- ➢ Protect the interest of the municipality and the rights of employees, clients and present and future stakeholders;
- ➢ Support and document of the organisation's activities, development and achievements;
- ➢ Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory of the nation.

1. Purpose

1.1 Section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 as well as the National Archives and Records Service of South Africa Act, 1996 requires the Overberg District 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.

1.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Overberg District Municipality therefore the municipality considers its records to be a valuable asset to:

- enable the Municipality to find the right information easily and comprehensively;
- enable the Municipality to perform its functions successfully and efficiently and in accountable manner;
- support the business, legal and accountability requirements of the 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 the Municipality and the rights of employees, clients and present and future stakeholders;
- support and document the Municipality's activities, development and achievements;
- provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

1.3 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.

2. Policy statement

2.1 All records created and received by the Overberg District 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).

2.2 The following broad principles apply to the record keeping and records management practices of the Municipality:-

- The Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- The records management procedures of the Municipality comply with legal requirements, including those for the provision of evidence.
- The Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in the Municipality are managed according to the principles promoted by the National Archives and Records Service.

3. Relationships with other policies

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

- The Computer Policy which is managed by the; Head ICT Manager and the
- Promotion of Access to Information Policy which is managed by the Chief Information Officer.

4. Scope of Policy

  4.1 This policy impacts upon the 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 these activities; or manage, or have design input into, information technology infrastructure.

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

5. Regulatory framework

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

- Constitution, 1996;
- National Archives and Records Service of South Africa Act (Act No. 43 of 1996 as amended).
- National Archives and Records Service of South Africa Regulations;
- Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005;
- Public Finance Management Act (Act No. 1 of 1999) and Municipal Finance Management Act (Act. No. 56 of 2003);
- Promotion of Access to Information Act (Act No. 2 of 2000);
- Promotion of Administrative Justice Act (Act No. 3 of 2000);
- Electronic Communications and Transactions Act (Act NO. 25 of 2002).
- Disciplinary Code of Conduct

6. Roles and responsibilities

6.1 Municipal Manager and Senior managers

  6.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of the Municipality.

  6.1.2 Senior managers are responsible for the implementation of this policy in their respective units and shall maintain good record keeping and records management practices.

6.1.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

6.2 Records Manager

6.2.1 The Head of Registry acting as Records Manager of the Municipality perform such duties as are necessary to enhance the record keeping and records management practices of the Municipality to enable compliance with legislative and regulatory requirements.

6.2.2 The Head of Registry 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 National Archives and Records Service Act, 1996 and Provincial Archives and Records Service of the Western Cape Act, 2005;
- 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.

6.2.3 The Head of Registry is mandated to make such training and other interventions as are necessary to ensure that the Municipality's record keeping and records management practices comply with the records management principles contained in the National Archives and Records Services Act.

6.2.4 The Head of Registry may from time to time issue circulars under the hand of the Director Corporate Services and instructions regarding the record keeping and records management practices of the Municipality.

6.2.5 The Head of Registry shall ensure that all records created and received by the Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the Western Cape Archives and Records Service.

6.3 Chief Information Officer

6.3.1 The Executive Directors are designated deputy information officers in terms of Section 17 of the Promotion of Access to Information Act No 2 of 2000.

6.3.2 The Municipal Manager is the Chief Information Officer of the Municipality.

6.3.3 The Chief Information Officer is responsible for approval of applications for access to information in terms of the Promotion of Access to Information Act.

6.3.4 The Chief 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.

6.4 **HEAD ICT**

6.4.1 The Head of ICT acting as IT Manager is responsible for the day-to-day maintenance of electronic systems that stores records.

6.4.2 The Head of ICT shall work in conjunction with the Head of Registry 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.

6.4.3 The Head of ICT shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.

6.4.4 The Head of ICT 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.

6.4.5 The Head of ICT 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.

6.4.6 The Head of ICT 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.

6.4.7 The Head of ICT shall ensure that back-ups are stored in a secure off-site environment.

6.4.8 The Head of ICT shall ensure that systems that manage and store records are virus free.

6.5 Registry staff

6.5.1 The registry staff are responsible for the physical management of the records in their care.

6.5.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual.*

6.6 Staff

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

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

- allocating reference numbers and subject 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 Western Cape Archives and Records Service, after consultation with the Records Manager.

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

7. Records classification systems and related storage areas

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

7.1 Correspondence systems

7.1.1 File plan

7.1.1.1 Only the file plan approved on 15 February 1996 and implemented on 1 January 1997 shall be used for the classification of correspondence records. The Central Registry File Plan is available at the Registry Office. This document must be consulted for the allocation of reference numbers. The Registry Office of the Management Services Department may also be consulted for assistance.

7.1.1.2 When correspondence is created/received for which no subject exists in the file plan, the head of registry office 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 head of registry.

7.1.2 Storage areas

7.1.2.1 Paper-based correspondence files are kept in the custody of –

7.1.2.1.1 The Central Registry

7.1.2.1.1.1 All paper-based correspondence system records that are not HR related are housed in the central registry.

7.1.2.1.1.2 All these records are under the management of the head of registry who is mandated to ensure that they are managed properly.

7.1.2.1.1.3   The registry is a secure storage area and only registry staff are allowed in the records storage area.

Staff members that need access to files in the registry shall place a request for the files at the Registry counter.

7.1.2.1.1.4   The registry shall be locked when registry is not in operation.

7.1.2.1.2   The Human Resources registry

7.1.2.1.2.1   All Human Resources related records are housed in the HR Registry.

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

7.1.2.1.2.3   The Municipality shall maintain 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.

7.1.2.1.2.4   The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the head of registry.

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

7.1.2.2.1   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.

7.2   Records other than correspondence systems

7.2.1   Schedule for records other than correspondence systems

7.2.1.1   The Head of Registry 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. The schedule once formally approved, must be available to all staff members.

7.2.1.2   Should records be created/received that are not listed in the schedule, the head of registry should be contacted to add the records to the schedule.

7.2.2   Storage areas

7.2.2.1   Paper-based

7.2.2.1.1   The Municipality has sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on a daily basis. These records are listed in the schedule for Records other than Correspondence Files.

7.2.2.1.2   These records are under the control of the head of registry who is mandated to ensure that they are managed properly.

7.2.2.2   Audio-visual records

7.2.2.2.1   The Municipality has the following sets of audio-visual records that are stored in the Directorate Management Services.
– recording tapes or CD of council meetings are stored in the registry archives
- recording tapes or CD of disciplinary hearings are stored in the HR archive.

7.2.2.2.2   These records are under the immediate control of the Department Head and the supervisory control of the head of registry who is mandated to ensure that they are managed properly.

7.2.2.3 Electronic systems other than the correspondence systems

7.2.2.3.1 The Municipality has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records. These records are listed in the schedule for Records other than Correspondence Files.

7.2.2.3.2 The relevant department heads are responsible for the day-to-day maintenance of these systems. The head of the IT office is responsible for the proper and regular back-up of these systems.

7.2.2.3.3 The records maintained in these systems are under the supervisory control of the Head of Registry who is mandated to ensure that they are managed properly.

8. Disposal of records

8.1 No public records (including official e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Head of Registry.

8.2 Standing Disposal Authority issued by the Western Cape Archives and Records Service for the disposal of records classified against the file plan or records other than correspondence systems must be managed by the Head of Registry in terms of the disposal schedule.

8.3 The Head of Registry manages the disposal schedule.

8.4 Retention periods indicated on the file plan and schedule were determined by taking the Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the head of registry should be contacted to discuss a more appropriate retention period.

8.5 Disposal in terms of these disposal authorities will be executed annually.

8.6 All disposal actions shall be authorized by the Head of Registry prior to their execution to ensure that archival records are not destroyed inadvertently.

8.7 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 Municipal Manager has indicated that the destruction hold can be lifted.

8.8 Paper-based archival records shall be safely kept in the Municipal Archive until they are due to transfer to the Western Cape Archives and Records Service Repository. Transfer procedures shall be as prescribed by the National Archives.

8.9   Paper-based archival records shall be safely kept in the Municipal Archive until they are due to transfer to the Western Cape Archives and Records Service Repository. Transfer procedures shall be as prescribed by the National Archives.

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

9.   Storage and custody

9.1   See par 7 for an identification of al record keeping systems and their storage locations.

9.2   All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines shall be applied.

9.3   Specific policies for the management of electronic storage media are contained in the electronic records management policy.

10.   Access and security

10.1   Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of the Overberg District Municipality.

10.2   Security classified records shall be managed in terms of the Information Security Policy which is available from the municipal manager.

10.3   No staff member shall remove records that are not available in the public domain from the premises of the Municipality without the explicit permission of the head of registry.

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

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

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

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

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

    10.7.2 Access to server rooms and storage areas for electronic records media shall be managed by the head of ICT.

    10.7.3 No employee may gain access to an area where records are stored, save for employees who are responsible for such areas.

11. Protection of integrity of Records

11.1 The records of the Overberg District Municipality shall at all times contain reliable evidence of business operations. The following shall apply:

11.1.1 Paper-based records

    11.1.1.1 No records shall be removed from paper-based files without the explicit permission of the records head of registry.

    11.1.1.2 Records that were placed on files shall not be altered in any way.

    11.1.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the head of registry.

    11.1.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

11.1.2 Electronic records

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

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

    11.1.2.2 The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

12.   Training

12.1   The Head of Registry shall successfully complete the Western 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.

12.2   The Head of Registry 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.

12.3   The Head of Registry shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

13.   Monitor and review

13.1   The Head of Registry shall review the record keeping and records management practices of the Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the 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 the Municipality.

13.3   This policy shall come into effect on the date which it was adopted by the Council and shall remain in full force and effect until it is reviewed, revoked or amended by the Council.

14.   Inspections

14.1   In terms of section 9 (2) (c) of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) the Head of the Western Cape Archives and Records Service must inspect governmental bodies to determine if their records management practices conform to policies, procedures and guidelines prescribed by the Act. Officials of the Western Cape Archives and Records Service are entitled to have free access, at all times to all public records held by the Municipality.

14.2   The Head of Registry shall, in terms of predetermined criteria, him/herself ensure that the regular inspections are done to ensure that all records held by the Overberg District Municipality are managed in accordance with the records management principles contained in the Provincial Archives and Records Service of the Western Cape Act,2005 (Act 3 of 2005).

15.   Non-compliance to Policy

15.1   Non-compliance to any of the provisions contained in this policy will be regarded as misconduct and must be dealt with in terms of the Disciplinary Code.

16. 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 the creators to be their official record.

"***Authoritative records***": Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.

"***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 are 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 Western Cape Archives and Records Service 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.

"***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 system's:* 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.

"*Recording*": Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.

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

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

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

"*Schedule for records other than correspondence systems*": A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records. It consists of the following parts:

- Schedule for paper-based records other than correspondence files;
- Schedule for electronic records systems other than the electronic correspondence system;
- Schedule for microfilm records;
- Schedule for audio-visual records.

"*System technical manual*": A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

"*System procedural 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 capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures

- File transmission
- 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.

"The Municipality": The Overberg District Municipality.

17.   Reference

National Archives and Record Service: *Records Management Policy Manual.*

18.   Authorization

This policy was approved by Council on 5 December 2017