RECORDS MANAGEMENT POLICY

Council Resolution No: ……………………………………………………………

Date: ……………………………………………………………

Municipal Manager: ……………………………………………………………

Executive Mayor ……………………………………………………………

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TABLE OF CONTENTS

FOREWORD BY THE MUNICIPAL MANAGER

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**

Section 9 of the Provincial Archives and Records Services 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.

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:

a)   enable the Municipality to find the right information easily and comprehensively
b)   enable the Municipality to perform its functions successfully and efficiently and in accountable manner
c)   support the business, legal and accountability requirements of the Municipality
d)   ensure the conduct of business in an orderly, efficient and accountable manner
e)   ensure the consistent delivery of services
f)   support and document policy formation and administrative decision-making
g)   provide continuity in the event of a disaster
h)   protect the interests of the Municipality and the rights of employees, clients and present and future stakeholders
i)   support and document the Municipality's activities, development and achievements
j)   provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory

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**

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).

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

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

3.   **CREATION OR RECEIPT OF RECORDS**

Records creation and receipt is the responsibility of all staff, hence:

3.1   Records management in governmental bodies shall be integrated with the activities that promote the core mission and vision of the organization instead of being considered as an add-on section.

3.2   Records are created internally or received from external sources and bear evidence of internal and external activities of an organization. This evidential quality of records distinguishes them

from any other type of information resource which may be produced and retained solely for reference purposes.

3.3   Records creation can occur in many ways using a variety of devices, such as personal computers, laptops and hand-held devices.

3.4   Records are important resources for planning, decision-making, accountability, good governance, research and to support service delivery. Creators of records must bear this in mind when records are created.

3.5   Records created in governmental bodies must be usable, accurate, authentic, have integrity and be reliable to ensure that their evidential weight and legal admissibility.

Records must bear all of the following

a)   The logo and address of the creating organization
b)   Record creation date
c)   File reference number (from a file plan approved by WCARS),
d)   Author/s of the record
e)   Addressee
f)   Signature of the author or delegate. In case of electronic records, sections 13(4) and 28(2) of the Electronic Communications and Transaction Act,2002 (Act No 25 of 2002 apply)
g)   Indication of attachment and or links to other records, and
h)   Subject matter

The record must be whole, unaltered and not reformatted. If for example someone alters the minutes of a meeting after they have been approved, the minutes can no longer be considered an accurate record of the meeting. Complete and accurate records lead to efficiency and effectiveness, ensure straightforward audits and reduced legal risks.

Records are created as evidence of decisions, actions and transactions, they therefore must be created at the time of the transaction or incident to which they relate, or soon afterwards, such as documenting the minutes of a meeting from recordings made during the meeting. Reliability will be apparent if there is evidence that the records were created and captured as part of a legitimate business process. The operational context or business process within which a record has been generated of managed should also be visible.

Processes associated with individual records such as version control must be documented to reduce the risk of working from or updating the wrong version of a document or sending out the wrong version.

An electronic record management system used to create, provide access to and manage records (including hardware, software and network infrastructure must,

a)   Be reliable, be capable of continuous operation. Documentation to prove
b)   Reliability must be kept and provided when needed,
c)   Have security measures in place to protect records from unauthorized access, alteration or disposal,
d)   Be capable of implementing all records management processes according to the RCM,
e)   Be capable of retaining the authenticity, reliability and integrity of records should there be a system change, migration of discontinuation.
f)   Be approved by WCARS as stipulated in the Provincial Archives and Records Services of the Western Cape Act,2005 (Act 3 of 2005).

4.   **RELATIONSHIPS WITH OTHER POLICIES**

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

a) The Computer Policy which is managed by the: Department, Legal, ICT and Building Management
b) Promotion of Access to Information Policy which is managed by the Director Corporate Services.

5.   **GUIDING MODEL**

This policy upholds the Records Continuum Model (RCM) which is a conceptual model that helps to understand and explore recordkeeping activities in relation to multiple contexts over space and time. Recordkeeping activities take place from before the records are created by identifying recordkeeping requirements in what is created and how is it managed over space and time. The RCM challenges the traditional view that separates archives and records as distinct entities. A continuum approach therefore highlights those records are both current and archival at the point of creation as it has been realized that records can be used continuously if they are considered to be of value at the time they are created.

According to the RCM, archival principles are applied throughout the life of a record. In the electronic environment, for instance, technical issues involved in keeping electronic records arise at the moment of their creation to their disposition. The stages that the records undergo are recurring and fall both within archives and records management. In addition, the model highlights the importance of records and archives management model is thus aimed at facilitating access to records for business and public use as well as integrating and institutionalizing records and archives management with business processes in the Western Cape Governmental Bodies (WCGB).

According to the RCM, there are four stages of records management, namely:

a) creation or receipts (business activities which generate records as evidence of business transactions)
b) classification (ensuring that the record is given the necessary elements such as file numbers and metadata so that it will be available over time)
c) establishment of retention/disposal schedules and their subsequent implementation, and
d) maintenance and use (use by creators and other stakeholders).
e) All four stages are interrelated, forming a continuum in which both Records Managers and Archivists are involved, to various degrees, in the ongoing management of recorded information. Fundamental to this model is the integrated of recordkeeping processes into organization's business systems and processes and the continuing use of records regardless of media or form for transactional, evidentiary, and memory purposes.

6.   **SCOPE OF POLICY**

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

a) create records including electronic records
b) have access to records
c) have any other responsibilities for records, for example storage and maintenance responsibilities
d) have management responsibility for staff engaged in any these activities, or manage, or have design input, information technology infrastructure

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

7.   REGULATORY FRAMEWORK

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 Services of South Africa Act (Act No.43 of 1996 as amended).
- National Archives and Records Services of South Africa Regulations
- Provincial Archives and Records Services 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

8.   ROLES AND RESPONSIBILITIES

The Director Corporate Services must ensure compliance to the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005) and this policy.

The Municipal Manager may appoint an Assistant Records Managers for each component. These Assistant Record Managers however remain accountable to the Records Manager of the whole body.

The Records Manager in collaboration with the Division ICT Services must ensure that electronic records in the custody of the governmental body are properly managed, accessed and secured.

Every employee therefore is responsible for creating and keeping such records as may be necessary to record the functions, transactions, operations, decisions, administration, and management of the body fully and accurately.

8.1   **MUNICIPAL MANAGER AND SENIOR MANAGERS**

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

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

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

8.2   **RECORDS MANAGER**

- The Records Manager and Chief Clerk: Records of Registry 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. 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 National Archives and Records Services Act, 1996 and Provincial Archives and Records Services 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.

- The Records Manager 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.

- The Records Manager may from time-to-time issue circulars under the hand of the Municipal Manager and instructions regarding the record keeping and records management practices of the Municipality.

- The Records Manager 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.

8.3   **CHIEF INFORMATION OFFICER** (read in conjunction with 8.1)

- 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.

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

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

- 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.

8.4   **MANAGER: CONTRACT, LEGAL, ICT AND BUILDING MANAGEMENT**

- The Manager Contract, Legal, ICT and Building Management ("The Manager") is responsible for the day-to-day maintenance of electronic systems that stores records.

- The 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.

- The Manager shall ensure that appropriate systems technical manuals and systems procedures manuals are designed for each electronic system that manages and stores records.

- The 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.

- The 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.

- The Manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

- The Manager shall ensure that backups are stored in a secure off-site environment and are virus free.

8.5   **REGISTRY STAFF**

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

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

8.6   **STAFF**

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

- 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.

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

9.   RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

9.1   **RECORDS CLASSIFICATION**

Records classification is an important method of procedural control over records creation (thus contribution to the reliability of records), as well as a critical means for the identification of records in context over time and space (thus contributing to establishing and maintaining the records' authenticity). Records classification facilities efficient management and retrieval of records and lays a foundation for other records management processes.

Records classification shall be performed when the record is created and or received as the individual creating and or receiving is in the best position to provide its proper classification. Records Managers however are responsible for the overall maintenance and management of the records classification system.

The Record Manager shall compile records classification systems which must be approved by the WCARS before embarking on records management processes.

Amendments and additions can be done to records classification systems when the need arises in consultation and with the approval of the WCARS. However, amendments and additions to the File Plan must first be tabled at the Uniform File Plan Additions and Amendments Committee for their recommendation.

WCARS has adopted the Uniform File Plan (UFP) as a transversal records classification scheme for use by WCG departments. The benefit of the UFP is mainly to standardize records management in the WCG department and provide easier access to governmental records. The UFP shall be the only records classification scheme used in the Municipality.

Records classification systems must be used to assign file reference numbers to records created and received.

Records Control Schedules shall be developed for records other than correspondence.

9.2   CORRESPONDENCE SYSTEMS

9.2.1   FILE PLAN

Only the file plan approved on 15 February 1996 and implemented on 1 January 1997, and amended on 08 September 2022 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 may also be consulted for assistance.

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 head of registry.

9.2.2   STORAGE AREAS

Paper-based correspondence files are kept in the custody of:

9.2.2.1   CENTRAL REGISTRY

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

- All these records are under the management of the Records Manager who is mandated to ensure that they are managed properly.

- 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.

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

9.2.2.2   HUMAN RESOURCES REGISTRY

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

- 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.

- 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.

- 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.

- Electronic correspondence records are stored in an electronic repository that is maintained by the ICT Division.

- 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.

9.3 **RECORDS OTHER THAN CORRESPONDENCE SYSTEMS**

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. The schedule once formally approved, must be available to all staff members.

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.

9.4 **STORAGE AREAS**

9.4.1 **PAPER-BASED**

- 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.

- These records are under the control of the Records Manager who is mandated to ensure that they are managed properly.

9.4.2 **AUDIO-VISUAL RECORDS**

The Municipality has the following sets of audio-visual records that are stored in the Directorate Management Services:

(a) recording tapes or CD of council meetings are stored in the registry archives
(b) recording tapes or CD of disciplinary hearings are stored in the HR archive.

These records are under the immediate control of the Manager Human Resources and the supervisory control of the Director Corporate Services who is mandated to ensure that they are managed properly.

9.5 **ELECTRONIC SYSTEMS OTHER THAN THE CORRESPONDENCE SYSTEMS**

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.

The relevant department managers are responsible for the day-to-day maintenance of these systems. The ICT Division is responsible for the proper and regular back-up of these systems.

The records maintained in these systems are under the supervisory control of the Manager: Committee Services, Records Management and Council Support who is mandated to ensure that they are managed properly.

10. DISPOSAL OF RECORDS

10.1 **RETENTION / DISPOSAL**

- Due to the evidentiary nature of records, it is important that they are retained. Records shall be kept for as long as they are needed to satisfy operational, legal, regulatory, research or historical requirements.

- All records irrespective of medium in which they are stored shall have a retention period.

- Scanned records are for reference purpose and easier access and are not meant to be retained permanently. Retention periods assigned to their original paper-counter-parts shall be applicable. This also applies to print-outs of born digital records. If this is not done, physical and electronic storage, system performance, access and retrieval time frames can be compromised.

- The Records Manager shall develop a record inventory to provide an indication of the number, formant and type of records within that body and where they are stored, series description and recommended retention. The records inventory shall also be used to develop and update records retention schedules and analyses the value of records.

- Appraisal of records shall take place when records series are determined. Where possible, the archival value of the records shall be determined during the appraisal process to ensure that the identified archival records are maintained properly until they are transferred to the WCARS.

- Records retention schedules shall be developed by the Records Manager to records retention periods. The Municipal Manager shall nominate a team with decision-making powers and business professional knowledge to develop retention periods for the body. The retention schedules shall be reviewed when new directorates or sections are created. The retention schedule can also be used to note the security classification of records.

- Destruction of records poses a risk to any organisation and therefore must be approached with caution. Officials must not destroy records without approval of the Manager: Committee Services, Records and Council Support. The Records Manager must obtain written approval for destruction from WCARS on behalf of the Municipality.

- The file plan Municipality must be two years and older before application for disposal can be approved by WCARS.

- Transfer of records to the Western Cape Archives and Records Service, another governmental body, another office, electronic records management system, or to
- commercial off-site storage (including off-site data centers and cloud storage) shall take place in consultation with WCARS.

- Commercial off-site storage areas are not recommended for storage of records since records management processes ensure that there is a proper flow of records. However, if a need arises for off-site storage to be used, this shall be done in consultation with WCARS.

- When approval has been granted to transfer records to the WCARS, arrangement for transfer of such records shall be made with the WCARS prior to the transfer of the records.

- No public records including official e-mail shall be destroyed, erased or otherwise disposed without prior written authorization from the Manager: Committee Services, Records Management and Council Support.

- 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 Manager: Committee Services, Records Management and Council Support in terms of the disposal schedule.

- The Manager: Committee Services, Records Management and Council Support manages the disposal schedule.

- 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 Manager: Committee Services, Records Management and Council Support should be contacted to discuss a more appropriate retention period.

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

- All disposal actions shall be authorized by the Records Manager prior to their execution to ensure that archival records are not destroyed inadvertently.

- 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.

- 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.

- 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.

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

11. STORAGE AND CUSTODY

a. See par 7 for an identification of all record-keeping systems and their storage locations.

b. 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.

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

12. ACCESS AND SECURITY

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

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

c. 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 Records Manager.

d. 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.

e. 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.

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

g. At all times be protected against unauthorized access. The following shall apply:

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

ii. Access to server rooms and storage areas for electronic records media shall be managed by the Manager: Contract, Legal, ICT and Building Management.

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

13. PROTECTION OF INTEGRITY OF RECORDS

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

13.1 PAPER-BASED RECORDS

- No records shall be removed from paper-based files without the explicit permission of the Manager: Committee Services, Records Management and Council Support.

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

- No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the Records Manager.

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

13.2 ELECTRONIC RECORDS

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.

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

14. MAINTENANCE AND USE

The Record Manager shall develop a records management policy (in line with the Records Management Policy of Western Cape Governmental Bodies, 2017) and procedures to ensure the overall administration of records management processes Municipality The policy and procedures shall be approved by the WCARS.

It is however every official's responsibility to ensure that records in their care are protected for perils and any harmful materials which can damage records.

Records shall not be kept in offices but in the registry for central access, until their destruction or transfer. Access and use shall be according to registry procedures of the governmental body.

Inactive records shall be stored in the prescribed storage areas approved by WCARS. These records shall be organized logically to facilitate easier retrieval when needed and transferred to the WCARS or destroyed at the appropriate time.

Security measures shall be in place in and around the registry and records storage areas to prevent unauthorized access. Security classified records shall be managed and used according

to Chapter 4 of the Minimum Information Security Standards (MISS) and ISO/IEC 27002:2005. The Record Manager shall provide access to these standards.

The Record Manager shall conduct regular records inspections in their respective Offices to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.

WCARS shall conduct periods records management audits to monitor compliance to the Act and this policy.

The Record Managers and Information Technology Technician shall develop disaster management and disaster recovery plans and submit them to WCARS for approval before implementation.

15. TRAINING

All records management staff, including Record Manager, Chief Records Officer, study officials, trainers and registry staff must attend the Western Cape Archives and Records Service's Records Management Course and Registry Clerks Course, as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act. Records management staff shall in turn train other officials within the Municipality.

The Record Manager and ICT Officials must on continuing professional development so as to keep up with trends and rapid changes in records management, relevant legislation and technology.

Records management is the responsibility of everyone who creates and receives records, therefor training is compulsory for all staff of governmental bodies. All staff shall be trained to use an electronic records management system and will be notified of updates and changes.

Records Management shall take advantage of information and communication technology to enhance staff training, such as e-learning, electronic records management guides and manuals.

a. The Records Manager 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.

b. The Records Manger 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.

c. 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 for the staff to equip them for their records management duties.

16. MONITOR AND REVIEW

a. The Director Corporate Services shall review the record-keeping and records management practices of the Municipality on a regular basis and shall adapt it appropriately to ensure that it meets the business and service delivery requirements of the Municipality.

b. 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.

c. 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.

17.   INSPECTIONS

    a. 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.

    b. The Records Manager 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).

18.   NON-COMPLIANCE TO POLICY

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.

19.   PROTECTION OF PRIVACY AND CONFIDENTIALITY

Managing of Records in terms of the Protection of Personal Information Act, 2013 (Act 4 of 2013)

19.1   The right to privacy is entrenched in legislation. To prevent the inappropriate disclosure of information which may harm the Municipality of infringe on the privacy rights of individuals.

19.2   All personal information provided to this office will not be distributed to third parties and will be used for this office's benefit. All personal information will be filed and stored securely in a filing cabinet that always remains locked and is only accessible by the Records Manager or Snr Clerk Archives. Electronic records are secured by the user login credentials. This is maintained under the supervisory of The Manager Contract, Legal, ICT and Building Management.

Once this information is no longer required, it will be destroyed according to the Retention Schedules.

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

19.4   No staff member shall remove records that are not available in the public domain from the premises of Overberg District Municipality without the explicit permission of the Record Manager in consultation with the Director Corporate Services and Municipal Manager.

19.5   No staff member shall provide information and records that are not in the public domain to the public without consulting the Records Manager, Director Corporate Services or the Municipal Manager. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy.

19.6   Personal information shall be managed in terms of the Protection of Personal Information Act, No 4 of 2013 (POPIA). Each request will be considered on merit and as prescribed in the POPI Act specific reference to Section 23 and 26 of the POPI Act as guidelines.

20.   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 metadata (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.

21.   REFERENCE

National Archives and Record Service: Records Management Policy Manual.

22.   AUTHORIZATION

This policy was approved by Council on 28 June 2021 and revised in terms of the Protection of Personal Information Act, 2013, for adoption on 5 December 2022.