BERGRIVIER MUNICIPALITY

RECORDS MANAGEMENT

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1. **INTRODUCTION**

This policy has been compiled in terms of the provisions of Section 9(a) of the Provincial Archives and Records Service of the Western Cape Act (No 3 of 2005).

This policy is compiled to:

- Foster a culture of transparency and accountability;
- To support Bergrivier Municipality's operations, as well as to fulfil legal and other obligations;
- Ensure the consistent delivery of services;
- To create authentic and reliable records; and
- To foster trustworthiness and reliability.

Accountability, transparency and good governance are the bedrock on which all efforts to realise democracy, depend. Sound records management is of vital importance in the realisation of these ideals. It is the foundation any government needs to provide services, to fulfil its obligation of accountability towards its citizens and to protect their rights in addition to it being essential in order to conduct office business and make public administration more efficient and effective.

2. **PURPOSE**

2.1 Section 9(a) of the Provincial Archives and Records Service of the Western Cape Act (No 3 of 2005) requires Bergrivier 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.

2.2 Information is a resource of the same importance to good management as other standard resources such as people, money and facilities. The information resources of Bergrivier 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. Bergrivier Municipality considers its records to be a valuable asset to:

- enable Bergrivier Municipality to find the right information easily and comprehensively;
- enable Bergrivier Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Bergrivier 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 Bergrivier Municipality and the rights of employees, clients and present and future stakeholders;

- support and document Bergrivier 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;
- to eliminate unnecessary duplication of records; and
- to promote sound •records management practices.

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 Bergrivier Municipality shall be managed in accordance with the records management principles contained in Section 9(a) of the Provincial Archives and Records Service of the Western Cape Act (No 3 of 2005).

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

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

4. RELATIONSHIP WITH OTHER POLICIES

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

- Promotion of Access to Information Policy which is managed by the Municipal Manager;
- Electronic records management;
- E-mail policy;
- Document imaging;
- Web content management;
- Information security policy; and
- Internet Usage Policy, managed by the IT Manager

5. SCOPE AND INTENDED AUDIENCE

5.1 This policy impacts upon Bergrivier 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 Bergrivier Municipality and covers all records regardless of format, medium or age.

6. 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 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 National 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 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 shod 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 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:
- Recorded information regardless of form or medium.
- 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 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.

7. LEGAL FRAMEWORK

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

Constitution, 1996;
National Archives and Records Service of South Africa Act (No 43 of 1996 as amended);
National Archives and Records Service of South Africa Regulations;

- Public Finance Management Act (No 1 of 1999);
- Promotion of Access to Information Act (No 2 of 2000);
- Promotion of Administrative Justice Act (No 3 of 2000);
- Electronic Communications and Transactions Act (No 25 of 2002).
- Provincial Archives and Records Service of the Western Cape Act (No 3 of 2005)
- Regulations relating to the Provincial Archives and Records Service of the Western Cape (PN 122/2006)
- Municipal Finance Management Act (Act No 56 of2003);
- Copyright Amendment Act (Act No 9 of2002).

8. ROLES AND RESPONSIBILITIES

8.1 Head of Bergrivier Municipality

8.1.1 The Municipal Manager is ultimately accountable for the record keeping and records management practices of Bergrivier 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 in this policy.

8.1.4 The Municipal Manager shall designate the Records Manager to perform such duties as are necessary to enhance the record keeping and records management practices of Bergrivier Municipality to enable compliance with legislative and regulatory requirements.

8.2 Senior Managers

8.2.1 Senior managers are responsible for the implementation of this policy in their respective units.

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

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

8.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

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 (No 3 of 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.

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 make such training and other interventions as are necessary to ensure that Bergrivier 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 (No 3 of 2005).

8.3.4 The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Bergrivier Municipality.

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

8.3.6 Comprehensive details regarding specific responsibilities of the Records Manager are contained in his/her job description.

8.4 Chief Information Officer

8.4.1 The Chief Information Officer (Municipal Manager) is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

8.4.2 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.

8.5 IT Manager

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

8.5.2 The IT 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 IT 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 IT 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 IT Manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.

8.5.6 The IT 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.

8.5.7 The IT Manager shall ensure that back-ups are stored in a secure off-site environment.

8.5.8 The IT Manager shall ensure that systems that manage and store records are virus free.

8.5.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in his/her job description.

8.6 **Registry Staff**

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

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

8.7 **Staff**

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

8.7.2 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

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

9.1 Correspondence Systems

9.1.1 File Plan

Only the file plan approved on 13 January 2001 and implemented on 13 January 2001 shall be used for the classification of correspondence records. The file plan shall be used for paper-based and electronic (including e-mail) records.

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

9.1.1.2 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 The central registry

9.1.2.1 All paper-based correspondence system records that are not HR related are housed in the central registry: 1st floor, Room no 3, Municipal Offices, Church Street, Piketberg.

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

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

9.1.2.4 Staff members that need access to files in the registry shall place a request for the files with the Records Manager.

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

9.1.2.6 The general Erf subject files are under the management of the Records Manager who is mandated to ensure that they are managed properly.

9.1.2.7 Bergrivier Municipality maintains a set of paper-based case files for each erf. These files are confidential in nature and are housed

in a secure storage area in the Department: Planning and Development.

9.1.2.8 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Manager : Planning and Development.

9.1.3 **The Human Resources registry**

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

9.1.3.2 The general HR subject files are under the management of the Records Manager who is mandated to ensure that they are managed properly.

9.1.3.3 Bergrivier Municipality maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the HR registry.

9.1.3.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Administrative Assistant: Human Resources.

9.1.3.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System.

9.1.4 **Electronic Correspondence Records**

9.1.4.1 Are stored in an electronic repository that is maintained by the IT section.

9.1.4.2 Access to storages 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.

9.1.4.3 Records other than correspondence systems/other records.

9.1.4.4 Schedule for records other than correspondence systems.

9.1.4.5 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 will be compiled and submitted to the Western Cape Archives and Records Service for approval.

9.1.4.6 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.

9.2. Storage areas

9.2.1 Paper-based

9.2.1.1 Bergrivier Municipality has the following 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.

PAPER -BASED	RECORDS LOCATION
Agendas and Minutes	Records Manager
Reports: Annual Report of the Council Mayor's Report	 Manager : Strategic Services
Financial items: Budget Financial Statements Main Ledger, Cash Book and Journal Valuation Rolls Suspense Account Proof Balance Book Receipt Books Receipt Book Registers Petty Cash Book Cheque Counterfoils Bank Deposit Book Bank Statements Bank Reconciliation Statements Expenditure Vouchers Site Rate Register Loan Register Stock Register	 Accounts Section
Registers: Register of files opened Master copy of the file plan Remittance register Register of registered or certified post Cemetery Register Building Plan Register Leave Register Attendance Register	 Records Manager Records Manager Records Manager Records Manager Superintendent Building Control Officer HR HR
Received Circulars	Records Manager
Regulations	Records Manager
Building Plans	Building Control Officer
Housing List	Housing Official
Erf Files	Planning & Development

PAPER -BASED	RECORDS LOCATION
Supply Chain Documents	Manager: Supply Chain
Photographs, Portraits	Museum
Miscellaneous: Deeds of transfer, servitudes and bonds Agreements Leases Policies	Records Manager

These records are under the control of each official who is mandated to ensure that they are managed properly.

9.2.2 **Electronic systems other than the correspondence system**

9.2.2.1 Bergrivier Municipality has electronic financial records systems in operation which is not part of the correspondence system and that generate and store public records.

9.2.2.2 The IT manager is responsible for the day-to-day maintenance of these systems.

9.2.2.3 The records maintained in these systems are under the control of each official who is mandated to ensure that they are managed properly.

9.2.2.4 Detailed guidance regarding the management of these systems is contained in the Electronic Records Management policy.

10. DISPOSAL OF RECORDS

10.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the Provincial Archivist.

10.2 The Standing Disposal Authority number will be issued by the Provincial Archivist after an application is lodged for the disposal of records classified against the file plan and also other than correspondence systems.

10.3 Retention periods indicated on the file plan and schedule will be determined by taking Bergrivier 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.

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

10.5 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 Director: Administrative Services has indicated that the destruction hold can be lifted.

10.6 Paper-based archival records shall be safely kept in the archive until they are due to transfer to the Provincial Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the Records Management Policy Manual.

11. STORAGE AND CUSTODY

11.1 See par. 8 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 National Archives and Records Services' guidelines contained in the Records Management Policy Manual shall be applied.

11.3 The Municipality's records storage areas are subject to certain requirements which are contained in the Registry Procedure Manual.

12. ACCESS AND SECURITY

12.1 All records, including security classified records, shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of Bergrivier Municipality.

12.2 No staff member shall remove records that are not available in the public domain from the premises of Bergrivier Municipality without the explicit permission of the Records Manager. The Registry Clerk controls the removal of records. A register needs to be signed by the staff member to remove any record from the registry.

12.3 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 (as approved by the Council of Bergrivier Municipality) which is maintained by the Chief Information Officer.

12.4 Personal information shall be managed in terms of the Promotion of Access to Information Act (Act 2 of 2000) 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 Bergrivier Municipality to any member of the public without consulting the Chief Information Officer first.

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

General physical security:
Records storage areas are locked when not in use.

Control over the removal of files:

A paper-based register to control the movement of files. When a file is needed by a staff member he/she signs for the receipt of the file.

Protection of privacy and confidentiality:
No staff member shall disclose personal information of any member of staff or client of Bergrivier Municipality to any member of the public without consulting the Chief Information Officer first.

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

Electronic records

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

12.10 Records storage areas shall at all time be protected against unauthorized access.

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

12.12 Access to server rooms and storage areas for electronic records media shall be managed by the Head: IT.

12.13 Electronic records are protected against alteration or deletion by using a password on the computer.

Vital Records

12.14 Vital Records will be locked away in a safe in the office of the Records Manager and will be protected at all times against unauthorized access.

Loss or unlawful damage or deletion of public records

12.15 The Western Cape Archives and Records Service will be notified immediately in writing if any loss or unlawful damage or deletion of public records occurred.

13. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT

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

13.1 **Paper-based records**

13.1.1 No records shall be removed from paper-based files without the explicit permission of the Records Manager.

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

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

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

13.2 **Electronic records**

13.2.1 Electronic records are kept on a server located in the Server Room, Municipal Offices, Church Street, Piketberg.

13.2.2 Bergrivier 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.

14. TRAINING

14.1 **External**

14.1.1 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.

14.1.2 The registry-training course should be attended by registry clerks at times as arranged by Provincial Archives and Records Service.

14.1.3 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.

14.1.4 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.

14.2 **Internal**

14.2.1 The Records Manager is responsible for training the line components staff in the allocation of file reference numbers.

14.2.2 The Records Manager shall ensure that all staff is conversant with proper registry procedures to enable them to support registry to function properly.

15 INSPECTIONS

15.1 **External**

Section 9(1)(c) of the Provincial Archives and Records Service of the Western Cape Act (No 3 of 2005), stipulates the following with regard to inspections by the Provincial Archivist:

"the Head of the Service must inspect public records in so far as such inspection may be necessary for the performance of his/her functions under this Act; provided that the inspection of public records which contain information, the disclosure of which is restricted by any other Act of Parliament, must be done only with the consent of the head of the governmental body concerned."

15.2 Internal

- File plan checked regularly for amendments and additions;
- Ensure that registry maintains and updates the register of files opened;
- Monitor the correct placement of documentation on files - filing order of documents and ensure that records are not misfiled;
- Monitor descriptions on file covers to ensure that the file covers are described accurately;
- Physical care of files.

16. MONITOR AND REVIEW

16.1 Heads of governmental bodies should ensure that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented.

16.2 The Records Manager shall review the record keeping and records management practices of Bergrivier Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of Bergrivier Municipality.

16.3 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 Bergrivier Municipality.

17. REFERENCES

National Archives and Records Service: Records Management Policy Manual, April 2006.

18. AUTHORISATION

This policy was approved by the Mayoral Committee of Bergrivier Municipality on .....