



# RECORDS MANAGEMENT POLICY

---

Date Approved: 30/10/2020

Council Resolution No: 5.1

---

## **FOREWORD BY THE MUNICIPAL MANAGER**

The Garden Route District Municipality keeps information resources to support its operations, as well as to fulfil legal and other obligations. In order to support continuing service delivery and provide the necessary accountability, the Municipality should create and maintain authentic, reliable and usable records. Sound records management is fundamental for good governance and effective and efficient administration by the Municipality. It forms a basis for formulating Municipal policy, managing resources and delivering services to the public. Sound records management also provides a basis for accountability and protecting the rights of individuals. The 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 in terms of the policy guidelines contained in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) and Regulations (P.N. 122/2006).

The Municipality established the Records Management Policy contained in this document in order to accomplish this and to link its own unique processes and procedures to the requirements of the Provincial Archives and Records Service of the Western Cape Act. This policy not only is in line with the Act, but is also linked up with the Municipality's overall mandate and mission objectives and will ensure that all records of the Municipality receive appropriate physical care, are protected by appropriate security measures and are managed in terms of the provincial archival guidelines. The policy will assist municipal employees to follow sound records management practices.

The policy document will be retained by the Records Manager of the Municipality and will be updated with such amending or additional instructions as are made available by the Western Cape Archive Services from time to time. The Records Manager will ensure that the information in this document is communicated to all Municipal staff who create records.

It is imperative that all municipal employees who create records and use existing records, become conversant with the Policy and apply the stipulations contained therein. The success of the municipal archival system depends on its users and an appeal is made on your positive support and compliance.

**Municipal Manager**

**MG STRATU**

**Garden Route District Municipality**

---

## CONTENT

	<i>Page</i>
<b>FOREWORD BY MUNICIPAL MANAGER</b>	ii
<b>GLOSSARY OF TERMS</b>	vi
<b>AMENDMENTS</b>	x

<b>1. INTRODUCTION</b>	<b>1</b>
<b>2. POLICY STATEMENT</b>	<b>2</b>
<b>3. RELATIONSHIP WITH OTHER POLICIES</b>	<b>2</b>
<b>4. SCOPE</b>	<b>2</b>
<b>5. STATUTORY AND REGULATORY FRAMEWORK</b>	<b>3</b>
<b>6. CONTINUUM MODEL</b>	
<b>7. ROLE-PLAYERS AND POLICY OBJECTIVES</b>	<b>4</b>
<b>8. POLICY ELEMENTS</b>	<b>7</b>
<b>7.1 DESIGNATION OF RECORDS MANAGER</b> <b>7.2 IDENTIFICATION AND MANAGEMENT OF PUBLIC RECORDS</b> <b>7.3 RECORDS CLASSIFICATION SYSTEMS FOR PUBLIC RECORDS</b> <b>7.4 DISPOSAL OF RECORDS</b> <b>7.5 CUSTODY</b> <b>7.5.1</b> Paper-Based Records <b>7.5.2</b> Other Records: Electronic Records <b>7.5.3</b> Other Records: Micrographic Records <b>7.5.4</b> Other Records: Videotapes, Audiotapes and other Magnetic Media <b>7.5.5</b> Media in Which Records are Kept <b>7.5.6</b> Registry Procedure Manual	
<b>7.6 SECURITY</b> <b>7.6.1</b> General Physical Security <b>7.6.2</b> Control over the Removal of Resources/ Records <b>7.6.3</b> Protection of Privacy and Confidentiality <b>7.6.4</b> Protection against Unauthorised Access	<b>13</b>

---

<b>7.6.5</b> Maintenance of Records' Integrity <b>7.6.6</b> Specific Concerns Regarding Electronic Information <b>7.6.7</b> Protection of Vital Records <b>7.6.8</b> Loss of Public Records	
<b>7.7 LEGALITY</b>	<b>16</b>
<b>7.8 TRAINING</b>	<b>17</b>
<b>7.9 MONITOR AND REVIEW</b>	
<b>7.10 INSPECTIONS BY THE HEAD OF THE PROVINCIAL ARCHIVES AND RECORDS SERVICE OF THE WESTERN CAPE</b>	
<b>7.11 EVALUATION</b> <b>7.11.1</b> Records Management Performance Criteria Relevant to the Provincial Archives and Records Service of the Western Cape Act,2005(Act 3 of 2005, as amended) <b>7.11.2</b> Records Management Performance Criteria Relevant to the Municipal Finance Management Act (Act 56 of 2003) <b>7.11.3</b> Records Management Performance Criteria Relevant to the Promotion of Access to Information Act,2000 (Act 2 of 2000) <b>7.11.4</b> Records Management Performance Criteria <b>7.11.5</b> Relevant to the Promotion of Administrative Justice Act,2000( Act 3 of 2000)	
<b>9. CONCLUSION</b>	<b>23</b>
<b>10. REFERENCES</b>	<b>24</b>

---

## **GLOSSARY OF TERMS**

### **Act:**

The Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) and The National Archives and Records Service of South Africa Act, 1996 (Act 43 of 1996)

### **Appraisal:**

The process of determining the eventual disposal of records and the decision regarding the preservation requirements of each document or series of documents.

### **Archival value:**

Those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records.

### **Archives:**

Records in the custody of the Western Cape Archives  
and Records Service

### **Closed Volume:**

Volumes of records in a current classification system that have reached a thickness of 3 cm or have become full, after which a new volume has been opened.

### **Correspondence system:**

A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

### **Current records:**

Records that form part of a records classification system still in use.

### **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 Western Cape Archives and Records Service 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.

---

**Disposal instruction:**

The specific instruction regarding disposal allocated to each record e.g. D for delete/destroy and A for transferring into archival custody.

**Electronic Document Management System:**

A system that provides the ability to capture, describe and categorise, store and retrieve, share and reuse electronic documents regardless of specific format.

**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 Management System:**

A system that supports the medium to long term information needs of an office. It provides functionality over and above that of an electronic document management system to preserve the security, authenticity and integrity of records to enable the permanent preservation of records. Its primary management functions are -

- to manage a corporate file plan according to which records are filed;
- maintaining the relationships between records and files, and between file series and the file plan;
- identifying records that are due for disposal and managing the disposal process;
- associating the contextual and structural data within a document;
- constructing and managing audit trails;
- managing record version control;
- managing the integrity and reliability of records once they have been declared as such;
- managing records in all formats in an integrated manner.

**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 in respect of 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:**

An organised arrangement of records on the same subject accumulated in chronological order within the same cover/folder/container.  
The physical action of allocating file reference numbers to records and placing them inside the cover/folder/container.

**File plan:**

---

A pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subject groups and subjects to facilitate efficient retrieval and disposal of records. The file plan is used for both current paper-based and current electronic correspondence systems. It usually contains the reference number, title, description and disposal authority of files/folders held in an office.

**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.

**File reference:**

A unique identifier for a file. This can be a numerical, alphanumerical or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.

**Governmental body:**

Any legislative, executive, judicial or administrative organ of state (including a statutory body) at the Provincial level of government, all provincial administrations and local authorities including municipalities.

**Integrated Document Management:**

A set of methods and technologies consisting of messaging & "calendaring", imaging & scanning, file/document tracking, electronic document management, electronic records management, workflow and search & retrieval functionalities, used to manage the classification, location, movement, security, auditing, retention, and disposal of an organization's records regardless of format.

**Municipal manager:**

The accounting officer of a municipality or the person who is acting as such.

**Non-archival records:**

Records with a short lived interest or usefulness.

**Public record:**

A record created or received by a municipality 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.
-

**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.

**Record 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. The records classification systems prescribed by the Western Cape Archives and Records Service are a *filing system* for correspondence systems and the schedule for records other than correspondence systems.

**Records management:**

Record management is a process of ensuring the proper creation, maintenance, use and disposal of records during the course of their life cycle to achieve efficient, transparent and accountable governance.

**Record system:**

A collection of policies procedures and systems, which capture information according to a records classification system, manage, store and provide access to records and their context over time. A.k.a. *record keeping system*.

**Regulations:**

The Provincial Archives and Records Service of Western Cape Regulations, 2002, Regulation R158 published in the *Government Gazette* No. 24085 of 20 Nov. 2002.

The Provincial Archives and Records Service of the Western Cape Regulations (P.N. 122/2006) relating to the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005)

National Archives and Records Service of South Africa Act (Act 43 of 1996)

**Retention period:**

The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted. As far as non-archival records are concerned the head of the office decides on the retention periods in accordance with the administrative use of the records and the legal obligations the records need to fulfil. In the case of archival records the Provincial Archives and Records Service of Western Cape Act, 2005 as amended, determines that such records must normally be kept for twenty years after the end of the year in which they were created, before they are transferred into archival custody.

---



In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.

***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.

***Scheduled:***

Records in respect of which a written disposal authority has been issued and which are due for disposal on a specific date.

***Terminated records:***

Records which were created or received by a municipality and which were managed by a records classification system no longer in use.

***Unscheduled records:***

Records in respect of which a written disposal authority has not yet been issued and which can thus not be disposed of.

***Vital/essential records:***

- Records that protect the enduring civil, legal, financial, property and other rights of the citizens of a country;
  - Records that are needed to continue operational responsibilities under disaster conditions;
  - Records that protect the legal and financial rights of the Government.
-

**GARDEN ROUTE DISTRICT MUNICIPALITY:  
RECORDS MANAGEMENT POLICY**

**AMENDMENTS**

The Records Management Policy Document will be kept up to date by amendments distributed to all relevant personnel.

Amended material will consist of instructions/information necessary to update the text of the Policy Document or to add instructions/information regarding new developments.

**A) Amendments**

Amendments will be distributed whenever necessary as complete page replacements or additions and shall be inserted into the Policy in accordance with the instructions given below:

- Amended pages will replace only pages with the same page number.
- Insert all additional pages in proper numerical order within each section.
- Page numbers followed by a decimal number shall be inserted in direct sequence with the same common numbered page.

**B) Identification of Amended Material**

Amended text and illustrations shall be indicated by a black vertical line along the outside margin of the page, opposite revised, added or deleted material. A line along the outside margin of the page will indicate that an entire page was added/amended.

Black lines will indicate only current amendments with changes and additions to or deletions of existing text and illustrations. Changes in case (upper- and lower case etc.), spelling, punctuation or the physical location of material on a page will not be identified by lines or by symbols.

---

**RECORD MANAGEMENT POLICY OF THE GARDEN ROUTE DISTRICT MUNICIPALITY:**

**LIST OF AMENDMENTS**

<b>Amendme nt Number and Date</b>	<b>Number s of Amend ed Pages</b>	<b>Description of Amendment</b>	<b>Signature of Municipal Manager and Date</b>

--	--	--	--

# **GARDEN ROUTE DISTRICT MUNICIPALITY: RECORDS MANAGEMENT POLICY**

## **1. INTRODUCTION**

Sound records management is fundamental for good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Records management also provides a basis for accountability and protecting the rights of individuals. To support continuing service delivery and provide the necessary accountability, governmental bodies, including municipalities, should create and maintain authentic, reliable and usable records. They should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations.

In terms of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) is the role of the Provincial Archives and Record Service to promote efficient administration by means of sound records management. Records management is the process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance. It is therefore required of all governmental bodies at the Provincial level of government, all provincial administrations as well as local authorities to put in place a records management policy. The Garden Route District Municipality, as a district local authority, is compelled to keep information resources to support its operations, as well as to fulfil legal and other obligations.

The Western Cape Archives and Records Service requires of governmental bodies, including Municipalities, to implement and maintain Integrated Document Management Systems that provide as a minimum the following records management functionality:

- managing a corporate file plan according to which records are filed,
- managing e-mail as records,
- managing web-sites as records,
- maintaining the relationship between records and files, and between file series and the file plan,
- identifying records that are due for disposal and managing the disposal process,
- associating the contextual and structural data within a document,
- constructing and managing audit trails,
- managing record version control,
- managing the integrity and reliability of records once they have been declared as such, and
- managing records in all formats in an integrated manner.

The purpose of these systems is to ensure that records in all formats are managed according to the same sound records management principals. Integrated Document Management Systems form the backroom support for e-government. The electronic delivery of services will generate records as evidence of transactions. This evidence will have to be retained as records to provide an

---

accountable framework within which the electronic delivery of services takes place.

In terms of the Provincial Archives and Records Service of the Western Cape Act (Act 3 of 2005), the Western Cape Archives and Records Service is responsible for these functions in the Western Cape and in terms of Part IV of the Regulations (P.N. 122/2006) relating to the Act, the head of a governmental body is responsible for the records of the relevant body.

## **2. POLICY STATEMENT**

It is the responsibility of the Municipal Manager of the Garden Route District Municipality to ensure that all records of the municipality receive proper care, are protected by appropriate security measures and are managed in terms of the records policy document of the Municipality.

All records created and received by Garden Route District Municipality shall be managed in line with records management principles containing in Section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005)

## **3. RELATIONSHIP WITH OTHER POLICIES**

3.1 Garden Route District Municipality's Records Management Policy consists of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by Garden Route District Municipality. These policies are managed by the Records Manager. The following parts exist:

- E-mail policy;
- Document imaging; and
- Web content management policy

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

- the Information Security Policy which is managed by the Security Manager;
- the Internet Usage Policy which is managed by the IT Manager; and the
- Promotion of Access to Information Policy which is managed by the CIO.

## **4. SCOPE**

4.1 This policy impacts upon Garden Route District 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 Garden Route District Municipality and covers all records regardless of format, medium or age.

## **5. STATUTORY AND REGULATORY FRAMEWORK**

Sound records management exists within the same regulatory framework that requires and governs good governance, accountability and transparency. Efficient records management practices are imperative if the municipality wants to give effect to the provisions of the Acts mentioned below. The statutory and regulatory framework in which sound record management is founded is the following:

- 5.1 *The Constitution of the Republic of South Africa, 1996*. Section 195 of the Constitution provides amongst others for the:
- effective, economical and efficient use of resources,
  - provision of timely, accessible and accurate information, and
  - requires that the public administration must be accountable
- 5.2 *Provincial Archives and Records Service of the Western Cape Act, 2005* (Act 3 of 2005): The Act provides for a Provincial Archives and Records Service for the Province of the Western Cape, the proper management and care of public records in the province, the preservation and use of a provincial archival heritage and matters connected therewith. Sections 5 to 9 of the Act provides for the powers of the Head of the Provincial Archives and Records Service of the Western Cape and the management of records by the provincial governmental bodies, municipalities included.
- 5.3 *Provincial Archives and Records Service of the Western Cape Regulations* (P.N. 122/2006): These regulations further detail the management of public records by governmental bodies, including municipalities, in the province.
- 5.4 *National Archives and Records Service of South Africa Act* (Act 43 of 1996, as amended): Section 13 of the Act contains specific provisions for efficient records management in governmental bodies. It provides for the Provincial Archivist to –
- determine which record keeping systems should be used by governmental bodies,
  - authorise the disposal of public records or their transfer into archival custody, and
  - determine the conditions according to which –
    - records may be microfilmed or electronically reproduced, and
    - electronic records systems should be managed.
- 5.5 *National Archives and Records Service of South Africa Regulations* (R1458/2002) Part V: Management of Records contains the specific parameters within which the governmental bodies should operate regarding the management of their records.
- 5.6 *The Public Finance Management Act, 1999* (Act 1 of 1999): The purpose of the Act is to regulate financial management in the public service and to
-

prevent corruption by ensuring that all governmental bodies manage their financial and other resources properly.

- 5.7 The *Municipal Finance Management Act, 2003* (Act 56 of 2003): The purpose of this Act is to secure sound and sustainable management of financial affairs of municipalities and to provide norms and control measures for sound financial management.
- 5.8 The *Promotion of Access to Information Act* (Act 2 of 2000): The purpose of the Act is to promote transparency, accountability and effective governance by empowering and educating the public to –
- understand and exercise their rights,
  - understand the functions and operation of public bodies, and
  - effectively scrutinise, and participate in, decision-making by public bodies that affects their rights.
- 5.9 The *Local Government: Municipal Structures Act, 1998* (Act 117 of 1998): The purpose of the Act is to provide for the establishment of municipalities and defines the various types and categories of municipality. It also regulates the internal systems, structures and office-bearers of municipalities and provides for appropriate electoral systems.
- 5.10 The *Municipal Systems Act, 2000* (Act 32 of 2000): Defines the legal nature of municipalities as part of a system of co-operative government. It also clarifies the rights and duties of the municipal council, local communities, and the municipal administration. Clarifying the rights and obligations of different parties is an important step towards strengthening the democratic contract at the local level.
- 5.11 The *Promotion of Administrative Justice Act, 2000* (Act 3 of 2000): The purpose of the Act is to ensure that administrative actions are lawful, reasonable and fair and properly documented.
- 5.12 The *Electronic Communications and Transactions Act, 2005* (Act 25 of 2005): The purpose of the Act is to legalise electronic communications and transactions.
- 5.13 The *e-Government Framework and the Provincial e-Strategy*.
- 5.14 Other relevant Acts and regulations – tax laws, audit requirements, copyright, etc.
-



## 6 ROLE-PLAYERS AND POLICY OBJECTIVES

6.1 Various role-players are involved in the management of records of the Municipality:

- The **Municipal Manager** is, in terms of Part V of the Provincial Archives and Record Services of Western Cape Regulations, responsible for ensuring the proper management of the records of the Municipality. The Municipal Manager is therefore ultimately accountable for record management. In terms of the Provincial Archives and Records Service of Western Cape Act, the Municipal Manager must assign records management responsibilities to all employees of the Municipality, including the Records Manager and all other persons in the Municipality who create records as part of their work. This should be reflected in their job descriptions and applicable performance agreements.
  - **Senior Managers** are responsible for the implementation of this policy in their respective departments. As senior managers shall lead by example and shall themselves maintain good record keeping and records management practices. Senior management shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations. 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.
  - The **Records Manager** is designated by the Municipal Manager in terms of section 9 of the Provincial Archives and Record Services of Western Cape Act to see to it that the Municipality complies with all the requirements of the Act and other applicable legislation. A comprehensive Records Management Policy Manual, issued by the Western Cape Archives and Record Service serves as a detailed guideline for the Records Manager to operate effectively and efficiently. An overview of the Records Manager's responsibilities appears in paragraph 4.2.
  - The **Head of the Registry** is responsible for the day-to-day operations of the Registry and the management of records.
  - The **Registry staff** is responsible for the physical handing of the records. The day-to-day management of the records are contained in the Registry Procedural Manual.
  - The **IT Manager** is responsible for the day-to-day maintenance of electronic systems that stores records. 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. 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. 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. 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. The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur. The IT manager shall ensure that back-ups are stored in a secure off-site environment. The IT manager shall ensure that systems that manage and store records are virus free. Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- the Electronic Records Management Policy;
  - the E-mail policy;
  - the Web content management policy;
  - document imaging policy; and the
  - Information security policy.
- The **Manager Legal services** is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of Garden Route District Municipality.

The Manager administers requests for information in terms of the Promotion of Access to Information Act. The Manager shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

- **Council, political office bearers and staff of the Municipality** are directly involved in record management as the receivers and creators of records and as such they must be aware of their responsibilities regarding record management as set out in this policy. Managers and supervisors of the Municipality must therefore make sure that they know what is required of them regarding record management and give appropriate guidance to sub-ordinate staff.

6.2 The **immediate objective** of this policy is to ensure the creation of authentic, reliable and usable records, capable of supporting the business functions of the Garden Route District Municipality. The **long-term objective** of this policy is to ensure that the Municipality, as part of our national and provincial heritage, capture, maintain and protect a corporate memory of decisions and actions that impacted on the lives of the people and the environment the municipality governs. Information is one of the key resources required to run an efficient organisation and this policy is aimed at providing the Municipality with well-organised records that will –

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

- support and document policy formulation 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 of the nation.

## 7 POLICY ELEMENTS

### 7.1 DESIGNATION OF RECORDS MANAGER

In terms of section 9(a) of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005), the Municipal Manager of the Garden Route District Municipality must designate a Records Manager for the Municipality. The Records Manager must possess the qualifications, training and experience prescribed in Part IV of the Provincial Archives and Records Service of Western Cape Regulations. The Records Manager is responsible for the effective, efficient and accountable control of all the public records in the Municipality. The Records Manager should be an official in a relatively senior and central position in the Municipality and must be able to communicate easily with Heads of Sub-directorates/Divisions and Senior Management. The Records Manager and the Registry Head should not be the same person. The Records Manager should have knowledge of the Municipality's organisational structure, functions and records classification systems. The position of the Records Manager is of a supervisory and managerial nature. The practical work connected to his/her responsibilities may be delegated to the Registry Head. **However, the Record Manager's responsibility to ensure that the organisation's records management practices comply with the requirements of the Act may not be delegated.**

In terms of section 9(a) of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005), the Municipal Manager has designated Mrs S Brinkhuys as Records Manager for the Garden Route District Municipality.

### 7.2 IDENTIFICATION AND MANAGEMENT OF PUBLIC RECORDS: RECORDS MANAGER

As the official charged with the responsibility of managing the records of the Municipality, the Records Manager needs to:

- 7.2.1 Identify the regulatory environment that affects the activities/functions of the Municipality and should ensure that the activities/functions of the Municipality are documented to provide adequate evidence of compliance with legislation governing the municipal environment and

to ensure compliance with the provisions of the Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000).

- 7.2.2 Ensure that all records created or received during the execution of the Municipality's functions (including electronic records, e.g. e-mail) are public records and **must** be managed in accordance with the determined policy guidelines.
  - 7.2.3 Ensure that public records are classified and stored according to the classification system (file plan) for paper based and electronic records so that they are easily accessible, thereby facilitating transparency, accountability and democracy.
  - 7.2.4 Ensure that all municipal records are stored and filed in a systematic and orderly manner. Records classification systems approved by the Western Cape Archives and Records Service should be used for this purpose.
  - 7.2.5 Assist the Municipal Manager to obtain a written disposal authority by the Western Cape Archives and Records Service in respect of all records in all formats in his/her custody before any records are destroyed, deleted, transferred into archival custody or otherwise disposed of.
  - 7.2.6 Ensure that paper-based records that are microfilmed or captured in electronic format are not destroyed merely because they now exist in another format. A written disposal authority for the destruction of the paper-based records should be obtained from the Western Cape Archives and Records Service before they are destroyed.
  - 7.2.7 Ensure that the Garden Route District Municipality complies with the conditions suitable for the effective storage of the various types of records, including electronic records, as determined by the Western Cape Archives and Records Service. The Records Manager may be requested to provide the Western Cape Archives and Records Service with detailed information on the custody, storage, treatment, classification and disposal of all public records in his/her care. The Western Cape Archives and Records Service can, on the grounds that the records are not managed and stored properly, require the Municipality to take the necessary steps to ensure that records are managed and stored properly.
  - 7.2.8 Assist the Municipal Manager, should functions be moved from the Municipality to another governmental body or from another governmental body to the Municipality, to inform the Western Cape Archives and Records Service in writing at least sixty days in advance that records would be transferred between offices falling under the Act. This notification must include a complete list of the records to be transferred.
  - 7.2.9 Manage access to records by members of the public in terms of the Promotion of Access to Information Act, (Act No 2 of 2000), and other relevant legislation recorded in the Schedules to that Act. To this end the Records Manager should ensure that he/she documents all
-

disposal actions taken in respect of records and that all cases of lost or damaged records are properly investigated, documented and reported in writing to the Western Cape Archives and Records Service to ensure that the Municipality is not held liable for concealing or wilfully destroying records in terms of section 90 of the Promotion of Access to Information Act, 2000.

- 7.2.10 Ensure that the Human Resources Manager utilises the Department of Public Service and Administration's Best Practice Model to Keep and Manage Paper-Based Employee Records, as well as the Provincial Minimum Information Requirements (NMIR) circulated in the DPAS's circular 4 of 2001 to manage Human Resources records. Financial records should be managed according to the regulations in terms of the Public Finance Management Act, 1999, the Municipal Finance Management Act (Act 56 of 2003) and the best practices contained in the Auditor-General's Audit Information Manual.
- 7.2.11 Strive to benchmark the records management programmes of the Municipality against the South African Provincial Standard (ISO) 15489-1 Information and Documentation – Records Management, Part 1 General and South African Provincial Standard (ISO) 15489-2 Information and Documentation – Records Management, Part 2 Guidelines.
- 7.2.12 Ensure that, in the transition to e-government, sufficient attention is given to the management of paper-based records generated by the Municipality and also ensure that all the requirements for the management of paper-based records prescribed in the Records Management Policy Manual of the Western Cape Archives and Records Service Management Procedure Manual of the Garden Route District Municipality are adhered to.

### **7.3 RECORDS CLASSIFICATION SYSTEMS FOR PUBLIC RECORDS**

Only classification systems that have been approved by the Western Cape Archives and Records Service may be used for both paper-based and electronic records.

When difficulties are experienced with the allocation of reference numbers the Head of Registry must be contacted.

No revisions and additions may be made to the classification systems (file plans with records control schedule) without the Records Manager's prior approval.

The Records Manager and the registry staff must be trained in classification and file plan maintenance procedures. The Head: Registry assists the Records Manager to train users of the file plan to understand and use the file plan correctly, as well as to understand basic registry procedures. The Head: Registry also assists the Records Manager to monitor and assess the user requirement regarding revisions and additions to the file plan and the disposal authority. These responsibilities include the following:

- Maintenance of the Master Copy and the Register of Files Opened,
-

- Ensure that the electronic version and the paper-based version of the file plan is always synchronised,
- File/folder closure practices,
- The allocating of the correct reference numbers to records
- Efficiency of document flow,
- Correct use of the paper-based and electronic subject folders to ensure that records are not miss-filed,
- Correct use of paper-based and electronic policy, routine enquiry and parent files
- Filing order,
- Preparation and maintenance of file covers,
- Physical care of files, and
- Excessive loading of files that are not adequately sub-divided, or a too detailed division of files which should rather have been combined.

Further responsibilities of the Head: Registry in this regard includes assisting the Records Manager with:

- Supervising the disposal of closed records,
- Continual observation regarding the functioning of the system in practice against the needs of the Municipality,
- The reporting of revisions and additions made to the file plan by the Records Manager (who controls the expansion of the file plan in Municipality to the Western Cape Archives and Records Service to obtain their approval.

(The responsibilities of the Head of Registry are detailed in the Registry Procedure Manual of the Municipality)

## 7.4 DISPOSAL OF RECORDS

The disposal of records is done either by destroying records that have been identified as being non-archival in nature, or by transferring archival records into archival custody. It is imperative that **no** public records may be destroyed, erased or otherwise disposed of without prior written authorisation from the Western Cape Archives and Records Service. It is emphasised that retention periods for **non-archival records** must be determined by the Municipality itself. Transparency, accountability, the requirements of democracy, any other legal obligations as well as the Municipality's own functional needs must always be considered when determining retention periods. The Records Manager must be contacted whenever the staff disagrees with an allocated retention period. It is also emphasised that **archival paper-based records** must be kept for a period of 20 years before they are transferred to the Western Cape Archives and Records Service unless agreement on a shorter retention period has been reached with the Western Cape Archives and Records Service.

Management and disposal of electronic records are subject to the same requirements provided for in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005) that apply to the management and disposal of other records. The Act, in sections 9(2)(b)(ii) and 9(2)(b)(iii) provides for the Western Cape Archives and Records Service to determine the conditions according to which records shall be electronically reproduced and the conditions to which electronic records systems shall be

---

managed. The conditions determined by the Western Cape Archives and Records Service cover aspects such as the classification/filing, retrieval, disposal and long-term preservation of records. Detailed guidelines for the management of electronic records are contained in the National Records and Archive Service's Managing Electronic Records in Governmental Bodies: Policy Guidelines. In essence, the Western Cape Archives and Records Service require the Municipality to have a strategy for the effective management of electronic records in place. This entails that the Records Manager should:

7.4.1 Ensure that all electronic records systems, (including e-mail and websites, electronic correspondence systems and electronic records systems other than the correspondence systems) are managed according to the guidelines contained in Managing Electronic Records in Governmental Bodies: Policy Guidelines; ICT Security Controls Policy and Communication Policy of Garden Route District Municipality.

Recognise that notwithstanding the provisions of any other Act of Parliament to the contrary (e.g. the Electronic Communications and Transactions Act, 2002) no electronic records may be deleted without a prior written disposal authority issued by the Western Cape Archives and Records Service.

7.4.2 He/she should guarantee that this is strictly adhered to. He/she should ensure amongst others that a detailed written policy document and a reliable auditable process support the destruction of original records after they have been imaged;

7.4.3 Ensure that reliable electronic records are maintained as evidence of official business for accountability, operational continuity, disaster recovery as well as institutional and social memory;

7.4.4 Within the broader regulatory framework established by the DPSA, the GITO Council and SITA in conjunction with the Western Cape Archives and Records Service should document and implement policies and procedures which control the classification/filing, retrieval, access to, disposal and long term preservation of records to ensure that the context of the records is identified and that records are protected against unauthorised addition, deletion and alteration.

## **7.5 CUSTODY**

The Municipality has a written **disposal agreement** with the Western Cape Archives and Records Service in place covering both paper-based and other records. It contains special arrangements regarding the disposal for records.

The arrangements for the custody of information resources are as follows:

### **7.5.1 Paper-Based Records**

- a) Paper-based records are kept in accordance with the appropriate security measures in the:
-

- Central Registry in the Garden Route District Municipality Building, 54 York Street, George,
  - Store room at Stores, Mission Street, George, and
- b) To prevent damage by fire, water, pests, extremes of temperature, humidity, light, dust, handling and unauthorized removal, appropriate physical care of paper-based records should be taken as detailed in paragraph 4.6 of this Policy.
- c) The Municipality's paper-based records are kept under the immediate control of the Head: Registry.
- d) All Human Resources related records are housed at Registry. The general HR subject files as well as HR case files are under the management of the Records Manager who is mandated to ensure that they are managed properly. The HR files are confidential in nature and are housed in a secure storage area. 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. 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.

## **7.5.2 Other Records: Electronic Records**

- 7.5.2.1 The Garden Route District Municipality utilises the "Collaborator Electronic Records Management System".
- 7.5.2.2 Electronic records are kept in the Garden Route District Municipality Building, 54 York Street, George, in the Information Technology server room on a specific server in a SQL database.
- 7.5.2.3 Back-up copies of electronic records are made on a daily basis and these back-up copies are kept off-site Stores, Mission Street, George.
- 7.5.2.4 The storage environment is sufficient and appropriate.
- 7.5.2.5 The Municipality's electronic records are kept under the immediate control of the Records Manager.
- 7.5.2.6 Access, hardware and back up are, however, under the immediate control of the Information Technology Manager.
- 7.5.2.7 In order to ensure the appropriate physical care of electronic records, precautions which should be taken against fires and other hazards are detailed in paragraph 4.6 of this Policy. Specific concerns regarding electronic records are indicated in paragraph 4.6.6.
- 7.5.2.8 Preventing unauthorised alterations to electronic records are accomplished by utilising the Collaborator Electronic Records
-



Management System. In the case of incoming correspondence, as soon as a document is scanned, indexed and filed, no changes can be made to the scanned image of the document. Regarding outgoing correspondence, internal memorandums, reports etc. a MS Word document will be uploaded onto the system, where applicable. Once a document is uploaded, changes can only be made if a new version of the document is loaded. However, no changes can be made to the original document. The Collaborator System keeps all previous versions of the document as well as a workflow history of when and by whom (user) the new version of the document was loaded.

- 7.5.2.9 In the case of a “growing” document, that follows a prescribed workflow path, authorised additions and annotations are made when new versions are loaded during the workflow to add e.g. comments, approvals, translations and technical reviews. Each step is allocated to a specific user or user groups with the authority to make additions and annotations. Each time a document is changed a new version must be loaded. All changes to the documents are traceable as all previous versions are kept.
  - 7.5.2.10 Any alterations as well deletions and transfers of electronic records must be captured for the purpose of an audit and a transactions history and must be kept as a record. For this purpose, each transactional step of the prescribed workflow can be viewed in the “Workflow History”. This includes the responsible user, the task identification, the date the task was allocated, the date the task was completed or if applicable, the percentage completed. When a document is transferred to another user the new responsible person, to whom the document was transferred, is updated on the workflow history. Records can only be deleted by the authorised Records Manager when it is filed or re-filed in the “Delete Folder”. This folder is used specifically for records to be deleted or records that should not be kept in the File Plan as a record in accordance with the Western Cape Archives and Records Service Regulations.
  - 7.5.2.11 External e-mail received from the public or organisations, sent to [info@gardenroute.gov.za](mailto:info@gardenroute.gov.za). (Garden Route District Municipality's official e-mail address) will be reviewed for applicability at the Registry and if indeed a record, it will be forwarded and incorporated into the system for record keeping. If individual officials receive an official e-mail directly on their personalised e-mail, it must be forwarded to [info@gardenroute.gov.za](mailto:info@gardenroute.gov.za) be captured and distributed for attention by the appropriate staff.
  - 7.5.2.12 Mandatory and site-specific metadata fields are currently implemented to support the Correspondence and Decision Management processes. During the workflow design, the
-

mandatory as well as other specific metadata fields are specified by the client:

- **Correspondence Management:**

- **Incoming correspondence** - title, file number, author/ originator/creator, originating organisation, originating sub-office, registration user, department user, section user, department/section written response required, address, date received, due date, correspondence date, language, type (incoming/internal/outgoing), description of content, access level and instruction.
- **Outgoing correspondence** - title, address, organisation, sub-office, document date, file number, department, language, author and access level.
- **Memorandums (Internal correspondence)** - title, access level, file number, to, from, date, message, attachments, owner and memorandum instructions.

- **Decision Management:**

- **Item Reports** – item title, item closing date, event, departmental comments, legal approval, Municipal Manager/Director's approval, file number, delegated authority's approval, Portfolio Committee outcome, Portfolio Committee comments, Mayoral Committee outcome, Mayoral Committee comments, Council outcome, Council comments.

7.5.2.13 By utilising the Collaborator Electronic Records Management System and by having an annual licensing contract with the supplier of Collaborator, which includes the continuous upgrading and refining of the system, the Garden Route District Municipality ensure that procedures are followed for proper storage, regular recopying, reformatting or any other necessary maintenance as well as the migration to new technologies to ensure retention and usability of electronic records throughout their life cycle, are maintained.

### **7.5.3 Other Records: Micrographic Records**

The Garden Route District Municipality has no micrographic records at present.

### **7.5.4 Other Records: Videotapes, Audiotapes and Other Magnetic Media**

---

- a) The Garden Route District Municipality has only audiotape records at present that are included in the disposal agreement referred to in paragraph 4.5 of this Policy.
- b) Audiotape records of the Municipality are reflected in a schedule of "other records systems" to enable meaningful control to be exercised over them.
- c) Audiotape records are kept in the Central Registry in the Municipal Building, 54 York Street, George.
- d) To prevent damage by fire, water, pests, extremes of temperature, humidity, light, dust, handling and unauthorized removal, appropriate physical care of these records should be taken as detailed in paragraph 4.6 of this Policy.
- e) The Municipality's audiotape records are kept under the immediate control of the Head: Registry.

#### **7.5.5 Media in Which Records are Kept**

The Garden Route District Municipality utilises the Collaborator Electronic Records Management System and all current records are processed and kept in electronic format. However, hard copy source documents of records are scanned into the Collaborator Electronic Records Management System and these are the only documents of the Municipality which are kept in both electronic format and hard copy.

#### **7.5.6 Registry Procedure Manual**

A Registry Procedure Manual is in use in the Municipal Registry and a Records Management Procedure Manual is being developed for the Municipality. Information regarding Registry Procedures can be obtained from the Head of Registry.

### **7.6 SECURITY**

A detailed account of preventative measures for records damage is contained in the Registry Procedure Manual. Guidelines regarding the security of information systems and resources include:

#### **7.6.1 General Physical Security**

The Department Corporate Services is the custodian of personal and general correspondence; council agenda's and contracts. As such, it obligates staff to take the necessary measures to ensure that these records are protected. For the purpose a Disaster Plan was approved by Council as a plan of action in the event that the Department is struck by a disaster.

---

The undermentioned should be read in conjunction with the Disaster Recovery Plan for Records:

**a) General**

Records are constantly subjected to perils that may either damage or destroy the physical record. Ideally, records should be stored in facilities specifically built and equipped for effective storage. In this way records would be completely protected and thus ensuring their durability.

It is essential that all records be effectively stored and protected. The Records Manager must ensure that adequate steps are taken to ensure that the records in the custody of the Municipality are protected against the dangers discussed below.

**b) Fire**

This can be one of the most destructive dangers to records and all possible precautions should be taken to protect records. In this regard, special attention should be given to the position of records storage areas, the construction of storage areas, shelving and cabinets, fire sources, smoke detectors and fire extinguishers.

**c) Water**

Water on documents results in the records becoming illegible. Every precaution should be taken to avoid records being damaged by this peril.

**d) Pests**

Pests, plagues, fish moths, cockroaches, termites, rodents like rats and mice, etc. sometimes damage records. Records that are stored in cellars, attics and outbuildings are particularly vulnerable to these hazards. Damage can be prevented by **not** storing records in these areas. The relevant storage areas, strong rooms and registry are fumigated regularly by a pest control contractor.

**e) Extremes of temperature and humidity**

This peril is one that is gradual and least observed. In extremely damp and humid conditions, paper-based records become mildewed. While in extremely dry conditions, paper-based records become brittle and break easily. The best way of protecting records against these conditions is to select premises that are not exposed to extremes of temperature and humidity.

**f) Light**

When records are exposed to light, their durability is severely affected. Paper-based records bleach and writing fades. This is particularly the case with records exposed to direct sunlight. However, even exposure to indirect sunlight and artificial light damages records over time. Thus, no direct sunlight should be allowed to shine on records. In the storage areas of records

---

consulted less frequently all light should be switched off when nobody is working in the storage area.

**g) Dust**

The record storage area should be cleaned and dusted regularly. Records should be kept in boxes and in cabinets in order to protect the records against dust.

**h) Handling**

Constant handling results in records becoming damaged. Documents should be stored securely in file covers to provide protection from handling.

**i) Unauthorised removal**

To prevent records from becoming damaged, removed or destroyed, the Records Manager must ensure that measures are in place to prevent unauthorised persons from having access to registry and record storage areas during or after office hours. The control of keys to these areas should be assigned to a specific person.

#### **7.6.2 Control over the Removal of Resources/Records**

To ensure the security of records, control measures utilising a control card system under the supervision of the Head: Registry is followed when records are removed from their place of custody or from the control of the responsible person.

#### **7.6.3. Protection of Privacy and Confidentiality**

The right to privacy is entrenched in legislation. To prevent the inappropriate disclosure of information which may harm the Municipality or infringe on the privacy rights of individuals, the Municipality implemented the control measures detailed in paragraph 4.5 and paragraphs 4.6.1 (i) as well as 4.6.6 of this Policy.

#### **7.6.4 Protection against Unauthorised Access**

To prevent unauthorised removal of records the Records Manager ensured that measures are in place to prevent unauthorised persons from having access to the registry and record storage areas during or after office hours. These include precautions to prevent unauthorised entry from outside by burglar proofing all windows accessible from the street. A counter with a lattice gate and grating separates the registry work area from the entrance to prevent entry of unauthorised persons. The Head: Registry controls the keys to the security doors of these areas. The keys are assigned to a specific person. Staff from other divisions/sections does not have free access to the records, including personal files but only have authorised access to these files under supervision of the Head: Registry.

#### **7.6.5 Maintenance of Records' Integrity**

---

In order to protect the Municipal records against alteration or deletion the Municipality implemented the control measures detailed in paragraph 4.5 and paragraphs 4.6.1 ( i ) as well as 4.6.6 and 4.6.7 of this Policy.

#### **7.6.6 Specific Concerns Regarding Electronic Information**

It is imperative that the Records Manager, in conjunction with the Information Technology component of the Municipality, should ensure that a systematic back-up procedure is in place to prevent the partial or total loss of electronic records. In order to ensure proper control over software and especially to prevent pirated software from getting onto the Municipal System, all software should be evaluated by the Information Technology component of the Municipality before it is installed on the Municipal IT-system, or any computer connected to the system.

#### **7.6.7 Protection of Vital Records**

The loss of vital records would render the Municipality partially or totally unable to carry out its normal functions. Vital records protect the enduring civil, legal, financial, property and other rights of citizens. Vital records are records that are needed to continue operational responsibilities under disaster conditions and protect the legal and financial rights of the Municipality. The Municipality will therefore implement a vital records protection programme utilising both on-site and off-site security storage, which includes Back-up policy and security controls (e.g. password protection and classification of records).

#### **7.6.8 Loss of Public Records**

The Western Cape Archives and Records Service **must immediately be informed in writing when losses of public records occur.**

### **7.7 LEGALITY**

- 7.7.1 It is essential that Municipal records are admissible as evidence in court. In order to address this need, the Records Manager as well as the Information Manager should ensure that all relevant legal aspects be taken into consideration regarding the management of public records as stipulated in the Western Cape Archives and Records Service of Western Cape Act, 2005 (No 3 of 2005).
  - 7.7.2 Procedures should be identified and followed to ensure that all legal obligations relating to information management are satisfied regarding Tax Laws, the Public Finance Management Act (No 1 of 1999) (with special emphasis on audit requirements), the Promotion of Access to Information Act (No 2 of 2000), the Promotion of Administrative Justice Act (No 3 of 2000), copyright, etc.
  - 7.7.3 Refer to par. 4.10 of this Policy and the Records Management Policy of the Western Cape Governmental Bodies regarding evaluation standards.
-

## **7.8 TRAINING**

The Records Manager should attend the Records Management Course presented by the Provincial Archives and Records Services of the Western Cape.

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

The Information Manager/Head of Registry is/are responsible for training staff in the allocation of reference numbers. The Information Manager/Head of Registry is/are responsible for the training of the registry staff. The Information/Records Manager should ensure that all staff is conversant with the proper registry procedures to enable them to support the Registry to function properly.

## **7.9 MONITOR AND REVIEW**

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

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 Garden Route District Municipality.

## **7.10 INSPECTIONS BY THE HEAD OF THE PROVINCIAL ARCHIVES AND RECORDS SERVICE OF THE WESTERN CAPE**

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 Provincial Archives And Records Service of the Western Cape must inspect governmental bodies, including municipalities, to determine if their records management practices conform to policies, procedures and guidelines prescribed in terms of the Act.

The Records Manager should conduct regular inspections in the individual components of the Municipality to ensure that their records management practices conform to the standards promulgated in the Act. Ideally these inspections should be done on an annual basis. A lot can happen in records management in a year, especially when the high turnover in registry staff is taken into account.

The objective of the inspection is to measure how efficiently and accurately the physical system is being maintained. The following aspects should receive attention:

- i. Does the master copy of the file plan correlate with the Western Cape Archives and Records Service's master copy?
-

- ii. The appropriateness of maintenance procedures (e.g. register of files opened; the supervisory and management functions of the Head: Registry; etc.).
- iii. The accuracy of document subject classification - includes misfiling.
- iv. The degree of efficiency with regard to the flow of files in an office, in other words the demand, supply and locating thereof.
- v. The correct use of policy, routine enquiry and parent files.
- vi. Filing order of documents on a file.
- vii. Preparation and maintenance of file covers.
- viii. Closure procedures of files.
- ix. Administration and storage of closed files.
- x. Physical care of all files.

If the processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Western Cape Archives and Records Service.

Systems compliance and monitoring should be documented and reports submitted to the Municipal Manager. Copies of these reports should also be submitted to the Western Cape Archives and Records Service.

The Records Manager should retain contact with the Western Cape Archives and Records Service and should, when necessary, request the Western Cape Archives and Records Service to conduct inspections.

#### **7.10.1 INTERNAL INSPECTIONS BY THE RECORDS MANAGER**

The Records Manager will conduct one inspection per year to the registry office as well as to the individual sections of the municipality to ensure that the records management practices conform to the standards promulgated in the Act.

#### **7.11 EVALUATION**

The Municipal Manager should ensure that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented. The Records Manager should conduct regular inspections in the individual components of the Municipality to ensure that their records management practices conform to the standards promulgated in the Act. If processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the Western Cape Archives and Records Service. Systems compliance and monitoring should be documented and reports maintained. Copies of these reports should be submitted to the Western Cape Archives and Records Service. The Records Manager should retain contact with the Western Cape

---



Archives and Records Service and should, when necessary, request the Western Cape Archives and Records Service to conduct inspections.

The Records Management Performance Criteria of the Western Cape Archives and Records Service is utilised by the Records Manager of the Municipality to evaluate records management compliance. This document is kept in possession of the Records Manager.

**7.11.1 Records Management Performance Criteria Relevant to the Provincial Archives and Records Service of Western Cape Act, 2005 (Act 3 of 2005, as amended):**

- a) Does the Municipality have a proper and properly approved records management policy?  
✓ Answer: YES
  - b) Has the records management programme been allocated the appropriate resources (staff/finances/equipment) to enable it to be maintained?  
✓ Answer: YES
  - c) Does the Municipality have a formally designated records manager and has records management responsibilities been formally assigned to him/her and the sub-records managers as well as to the individual personnel and documented accordingly?  
✓ Answer: YES
  - d) Is the records management programme organisationally located in the most appropriate position in the Municipality?  
✓ Answer: YES at Registry
  - e) Has the Records Manager attended the Records Management Course offered by the Provincial Archives and Record Service of Western Cape?  
✓ Answer: YES
  - f) Does the Municipality have a copy of the Records Management Policy Manual issued by the Western Cape Archives and Records Service of Western Cape?  
✓ Answer: YES
  - g) Is records management an objective in the strategic plan of the Municipality and does the records management programme have a documented strategic plan?  
✓ Answer: YES
  - h) Record keeping and disposal of records – does the Municipality:
    - Have a file plan complying with all appropriate requirements for paper-based records?
    - Use the same file plan used for electronic correspondence systems?
-

- Have a schedule of records complying with all appropriate requirements, for paper-based records other than correspondence files?
  - Have a schedule for microfilm records?
  - Have a schedule of records complying with all appropriate requirements, for electronic records other than the electronic correspondence system?
  - Have a schedule of records complying with all appropriate requirements, for audio-visual records?  
✓ Answers: YES
- i) If the Municipality has terminated records (i.e. records which were created or received by the Municipality and which were managed by a records classification system no longer in use) is the disposal authority carried out frequently?  
✓ Answer: YES
- j) Records control mechanisms -
- Does the Municipality have and implemented a "Register of Files Opened"?
  - Does the Municipality have a "Register of Disposal Authorities"?
  - Does the Municipality have an up-to-date "Destruction Register" with the destruction dates of all non-archival records recorded in it?
  - Registry Procedures - Does the Municipality have a Registry Procedure Manual in use in all registry offices and is the registry staff conversant with the registry procedures?  
✓ Answers: YES
- k) Record Keeping Procedures –
- Do all members of staff know what records the Municipality generates and how these records are to be identified, kept and used?
  - Is e-mail, which forms part of the official records, filed according to the paper-based file plan or is controlled via the electronic document/records management system and stored in electronic form?
  - Are all members of staff capable of allocating the correct file reference numbers to all paper-based and electronic documentation?  
✓ Answers: YES
- l) Physical custody and care –
- Has the Records Manager approved all locations for records storage and are the storage areas dedicated to records storage?
  - Are paper-based correspondence files stored in numerical sequence, to facilitate easy retrieval, on shelves inside the storage areas?
-

- Are all records protected against careless and rough handling, unauthorised removal, fire and water damage, mould, pests, excessive light and dust?
- Are the location/storage areas of all records systems other than correspondence files recorded in the records control schedule?
- Are all electronic records systems protected against tampering, unauthorised alteration, accidental/intentional damage or destruction and are electronic storage media refreshed on a regular basis?
- Are records that are kept on magnetic, optical and audio-visual storage media stored in climatically controlled storage areas?  
✓ Answers: YES
- Does the Municipality have a migration strategy for its electronic media?  
✓ Answer: NO

#### **7.11.2 Records Management Performance Criteria Relevant to the Municipal Finance Management Act (Act 56 of 2003)**

- a) Has the Municipality received any requests for evidence in terms of this Act and was the Municipality able to provide this evidence within the prescribed time frame?
- b) Was the Municipality able to retrieve and provide the evidence comprehensively in paper or other formats and to prove accountability in terms of the Act?  
✓ Answers: YES

#### **7.11.3 Records Management Performance Criteria Relevant to the Promotion of Access to Information Act (No 2 of 2000)**

- 7.11.3.1 Does the Municipality keep a manual on functions and an index of records held by it?
- 7.11.3.2 Has the Municipality received any requests for information in terms of this Act and was the Municipality able to provide this information within the prescribed time frame?
- 7.11.3.3 Was the Municipality able to retrieve and provide the information comprehensively in paper or other formats?  
✓ Answers: YES

#### **7.11.4 Records Management Performance Criteria Relevant to the Promotion of Administrative Justice Act (No 3 of 2000)**

- 7.11.4.1 Has the Municipality received any requests for reasons of administrative action in terms of this Act and was the Municipality able to provide these reasons within the prescribed time frame?
-

7.11.4.2 Was the Municipality able to formulate reasons with the support of records maintained in paper or other formats?

## **8 CONCLUSION**

- 8.1 The person ultimately accountable for the records management practices in the Garden Route District Municipality is the Municipal Manager.
- 8.2 This policy will be approved by the Municipal Council of the Garden Route District Municipality In terms of the provisions of the Western Cape Archives and Records Service of the Western Cape Act,2005 (Act 3 of 2005)
- 8.3 The implementation date of this policy is with effect after approval by the Municipal Manager and must be adopted by all staff throughout the Municipality.

## **9 REFERENCES**

- Ekurhuleni Metropolitan Municipality –Records Management Policy,2010
  - Engel Brecht and Schoeman,2007
  - Records Management Policy of Western Cape Governmental Policy,2017
  - Performance Criteria for Records Managers of Governmental Bodies,1<sup>st</sup> Edition, Version 1.3.April 2006
-