



## **RECORDS MANAGEMENT POLICY**

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**Abbreviations**

ISO- International Organization for Standardization

ISO/IEC-International Organization for Standardization/International Electro Technical Commission

ISO/TR- International Organization for Standardization/Technical Report

ICT- Information Communication Technology

MISS- Minimum Information Security Standards

RCM- Records Continuum Model

WCARS- Western Cape Archives and Records Service

## Definition of key terms

<b>Act</b>	Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).
<b>Classification</b>	Systematic arrangement of records in groups or categories according to established criteria.
<b>Continuum model</b>	Is a conceptual model that helps to understand and explore recordkeeping activities in relation to multiple contexts over space and time.
<b>Off-site Storage</b>	A remote storage facility or site to provide protected storage for magnetic/optical media, microfilm, and paper records.
<b>Record</b>	Recorded information arising from transactions. It is created as a by-product of social and organisational activity in the course of transacting business of any kind, whether by governments, businesses, community organisations or private individuals. It is therefore defined by its contextuality and transactionality. The documentation of transactions may be in any storage media and is increasingly an electronic process, such as emails, internet content blogs, wikis, media sharing services, social networking systems, collaborative tools or any information that is paper based.
<b>Records Classification Scheme</b>	A tool used to classify records based on the business activities that generate records and also referred to as a file plan. Records classification schemes are not based on organisational structure but reflect and support the organisation's business functions and activities.
<b>Records Management</b>	The capturing and maintaining of accurate, complete, reliable and useable documentation of activities of an organisation in order to meet legal, evidential, accountability and social/cultural requirements.

## **1. PURPOSE**

The purpose of the policy is to provide direction to Overstrand Municipality on management of records for good governance, accountability as well as corporate and social memory.

## **2. SCOPE**

This policy is applicable to management of records regardless of form or media, created or received in the Municipality.

## **3. LEGISLATIVE FRAMEWORK**

- Electronic Communications and Transactions Act, 2002 (Act No 25 of 2002),
- National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996 as amended),
- Municipal Finance Management Act, 2002 (Act No 56 of 2003),
- Promotion of Access to Information Act, 2000 (Act No 2 of 2000),
- Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000),
- Protection of Personal Information Act, 2013 (Act No 4 of 2013),
- Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005),
- South African Constitution, 1996

## **4. GUIDING MODEL**

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

According to the RCM, archival principles are applied throughout the life of a record. In the electronic environment, for instance, technical issues involved in keeping electronic records arise at the moment of their creation to their disposition. The stages that the records undergo are recurring and fall both within archives and records management. In addition, the model highlights the importance of records and archives management for both managerial and social responsibilities. Adoption of this records management model is thus aimed at facilitating access to records for business and public use as well as

integrating and institutionalizing records and archives management with business processes in Overstrand Municipality.

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

- (a) creation or receipt (business activities which generate records as evidence of business transactions);
- (b) classification (ensuring that the record is given the necessary elements such as file numbers and metadata so that it will be available over time);
- (c) establishment of retention/disposal schedules and their subsequent implementation; and
- (d) maintenance and use (use by creators and other stakeholders).

All four stages are interrelated, forming a continuum in which both Records Managers and Archivists are involved, to various degrees, in the ongoing management of recorded information. Fundamental to this model is the integration of recordkeeping processes into the organization's business systems and processes and the continuing use of records regardless of media or form for transactional, evidentiary, and memory purposes.

## **5. POLICY STATEMENTS**

### **5.1 Creation or receipt of records**

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

- 5.1.1 Records management shall be integrated with the activities that promote the core mission and vision of the organisation instead of being considered as an add-on section.
- 5.1.2 Records are created internally or received from external sources and bear evidence of internal and external activities of the organisation. This evidential quality of records distinguishes them from any other type of information resource which may be produced and retained solely for reference purposes.
- 5.1.3 Records creation can occur in many ways using a variety of devices, such as personal computers, laptops and hand-held devices.
- 5.1.4 Records are important resources for planning, decision-making, accountability, good governance, research and to support service delivery. Creators of records must bear this in mind when records are created.

5.1.5 Records created must be usable, accurate, authentic, have integrity and be reliable to ensure their evidential weight and legal admissibility:

- (a) The record must bear all of the following:
- The logo and address of the Overstrand Municipality,
  - Record creation date,
  - File reference number (from file plan approved by WCARS),
  - Author/s of the record,
  - Addressee,
  - Signature of the author or delegate. In the case of electronic records, sections 13(4) and 28(2) of the Electronic Communications and Transaction Act, 2002 (Act No 25 of 2002) apply,
  - Indication of attachments and or links to other records, and
  - Subject matter.
- (b) The record must be whole, unaltered and not reformatted. If for example, someone alters the minutes of a meeting after they have been approved, the minutes can no longer be considered an accurate record of the meeting. Complete and accurate records lead to efficiency and effectiveness, ensure straightforward audits and reduced legal risks.
- (c) Records are created as evidence of decisions, actions and transactions, they therefore must be created at the time of the transaction or incident to which they relate, or soon afterwards, such as documenting the minutes of a meeting from recordings made during the meeting. Reliability will be apparent if there is evidence that the records were created and captured as part of a legitimate business process. The operational context or business process within which a record has been generated or managed should also be visible.
- (d) Processes associated with individual records such as version control must be documented to reduce the risk of working from or updating the wrong version of a document or sending out the wrong version.
- (e) An electronic records management system used to create, provide access to and manage records (including hardware, software and network infrastructure must,
- (i) be reliable, be capable of continuous operation. Documentation to prove reliability must be kept and provided when needed,

- (ii) have security measures in place to protect records from unauthorized access, alteration or disposal,
  - (iii) be capable of implementing all records management processes according to the RCM,
  - (iv) be capable of retaining the authenticity, reliability and integrity of records should there be a system change, migration or discontinuation.
  - (v) be approved by WCARS as stipulated in the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).
- (f) Collaborator is the approved electronic records management system for Overstrand Municipality.

## **5.2 Records classification**

- 5.2.1 Records classification is an important method of procedural control over records creation (thus contributing to the reliability of records), as well as a critical means for the identification of records in context over time and space (thus contributing to establishing and maintaining the records' authenticity). Records classification facilitates efficient management and retrieval of records and lays a foundation for other records management processes.
- 5.2.2 Records classification shall be performed when the record is created and or received as the individual creating and or receiving the record is in the best position to provide its proper classification. The Records Manager however are responsible for the overall maintenance and management of the records classification system.
- 5.2.3 The Records Manager shall compile records classification systems which must be approved by the WCARS before embarking on records management processes.
- 5.2.4 Amendments and additions can be done to records classification systems when the need arises with the approval of the WCARS.
- 5.2.5 Overstrand Municipality shall use the records classification systems approved by WCARS.
- 5.2.6 Records classification systems must be used to assign file reference numbers to records created and received.
- 5.2.7 WCARS has issued Standing Disposal Authority Number PSO8KW on the schedule of records other than correspondence system.

### 5.3 Retention/disposal

- 5.3.1 Due to the evidentiary nature of records, it is important that they are retained. Records shall be kept for as long as they are needed to satisfy operational, legal, regulatory, research or historical requirements.
- 5.3.2 All records irrespective of medium in which they are stored shall have a retention period.
- 5.3.3 Scanned records are for reference purposes and easier access and are not meant to be retained permanently. Retention periods assigned to their original paper-counterparts shall be applicable. This also applies to printouts of born digital records. If this is not done, physical and electronic storage, system performance, access and retrieval time frames can be compromised.
- 5.3.4 The Records Manager shall develop a records inventory to provide an indication of the number, format and type of records and where they are stored, series description and recommended retention. The records inventory shall also be used to develop and update records retention schedules and analyse the value of records.
- 5.3.5 Appraisal of records shall take place when records series are determined. Where possible, the archival value of the record shall be determined during the appraisal process to ensure that the identified archival records are maintained properly until they are transferred to the WCARS.
- 5.3.6 Records retention schedules shall be developed by the Records Manager to record retention periods. The Municipal Manager or delegate shall nominate a team with decision-making powers and business professional knowledge to develop retention periods for the body. The retention schedules shall be reviewed regularly to effect changes which affect management of records, for example when new directorates or sections are created. The retention schedule can also be used to note the security classification of records.
- 5.3.7 Destruction of records poses a risk to any organisation and therefore must be approached with caution. The Records Manager must obtain written approval for destruction from WCARS on behalf of Overstrand Municipality. Officials must not destroy any records without approval of the WCARS.
- 5.3.8 WCARS has issued Standing Disposal Authority Numbers PSO7KW and PSO12KW for the disposal of records classified against the file plan.

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

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

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

#### **5.4 Maintenance and use**

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

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

5.4.3 Correspondence shall not be kept in offices but in the Registry for central access, until their destruction or transfer. Access and use shall be according to registry procedures of the Municipality.

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

5.4.5 Security measures shall be in place in and around the registry and records storage areas to prevent unauthorised access.

5.4.6 The Records Manager shall conduct regular records inspections within the municipality to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.

5.4.7 WCARS shall conduct periodic records management audits in Overstrand Municipality to monitor compliance to the Act and this policy.

## 5.5 Record systems and related storage areas

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

### 5.5.1 Correspondence systems

#### 5.5.1.1 File plan

5.5.1.1.1 Only the file plan approved on 3 April 2001 (reference X10/3/4/2/140) and, retrospectively, implemented on 5 December 2000, shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.

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

5.5.1.1.3 When correspondence is created/received for which no subject exists in the file plan, the Records Manager should be contacted to assist with additions to the file plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager.

#### 5.5.1.2 Storage areas

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

##### 5.5.1.2.1.1 The central registry

5.5.1.2.1.1.1 All paper-based correspondence system records that are not Human Resources and/or Town Planning related are housed in the registries situated at:

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

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

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

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

5.5.1.2.1.1.5 The registry shall be locked when the registry is not in operation.

#### **5.5.1.2.1.2 The Human Resources registry**

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

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

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

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

5.5.1.2.1.2.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the Records Manager.

**5.5.1.2.2 Electronic correspondence records** are stored in an electronic repository that is maintained by the ICT section.

5.5.1.2.2.1 Access to storage areas where electronic records are stored is limited to the ICT staff who have specific duties regarding the maintenance of the hardware, software and media.

### **5.5.2 Records other than correspondence systems**

#### **5.5.2.1 Schedule for records other than correspondence systems (Records Control Schedule)**

5.5.2.1.1 The Records Manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format.

- 5.5.2.1.2 Should records be created/received that are not listed in the schedule, the records manager should be contacted to add the records to the schedule.

## **5.6 Training**

- 5.6.1 All records management staff, including the Records Manager, registry heads, and registry staff must attend the Western Cape Archives and Records Service's Records Management Course, Electronic Records Management Course and Registry Clerks Course, as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act. Records management staff shall in turn train other officials within the municipality.
- 5.6.2 The Records Manager and ICT Manager are encouraged to embark on continuing professional development so as to keep up with trends and rapid changes in records management, relevant legislation and technology.
- 5.6.3 Records management is the responsibility of everyone who creates and receives records; therefore training is compulsory for all staff. All staff registered on Collaborator shall be trained to use the system and will be notified of updates and changes.
- 5.6.4 Records Managers shall take advantage of information and communication technology to enhance staff training, such as e-learning, electronic records management guides and manuals.

## **6. ROLES AND RESPONSIBILITIES**

- 6.1 The Head of the Western Cape Archives and Records Service is responsible for the proper management of public records in the custody of governmental bodies.
- 6.2 The Municipal Manager or delegate shall appoint a Records Manager as stipulated in Section 9.5(a) of the Provincial Archives and Records Service of Western Cape Act, 2005.
- 6.3 The Municipal Manager or delegate and the Records Manager must ensure compliance to the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005) and this policy.
- 6.4 The Municipal Manager or delegate may appoint Assistant Records Managers for different components of the Municipality. These Assistant Records Managers however remain accountable to the appointed Records Manager of the Overstrand Municipality.

- 6.5 The Records Manager in collaboration with the ICT Department must ensure that electronic records in the custody of the Municipality are properly managed, accessed and secured.
- 6.6 Every employee therefore is responsible for creating and keeping such records as may be necessary to fully and accurately record the functions, transactions, operations, decisions, administration and management of the Municipality.

**7. POPIA NOTICE: PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT 4 OF 2013)**

All personal information provided to this Municipality will not be distributed to third parties and will be used for this office's benefit. All personal information contained in files will be stored securely in a filing cabinet/safe that always remains locked and is only accessible by the Records Management Section/Records Manager, Municipal Manager and authorized personnel.

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

**8. REVIEW OF POLICY**

The policy will be reviewed when the need arises, to accommodate new developments and changes.

<b>Policy Section</b>	Council Support Services
<b>Current update</b>	27 July 2022
<b>Previous review</b>	N/A
<b>Approval by Council</b>	23 September 2009