



**CAPE WINELANDS DISTRICT**  
MUNICIPALITY • MUNISIPALITEIT • UMASIPALA

---

**RECORDS MANAGEMENT POLICY**

**FOR**

**CAPE WINELANDS DISTRICT MUNICIPALITY**

## RECORDS MANAGEMENT POLICY FOR CAPE WINELANDS DISTRICT MUNICIPALITY

	<b>Contents</b>	<b>Page</b>
	Foreword by Municipal Manager	3
1.	Purpose	5
2.	Policy Statement	6
3.	Relationship with other policies	7
4.	Scope and intended audience	9
5.	Regulatory Framework	9
6.	Records Continuum Model	11
7.	Roles and responsibilities:	11
7.1	Municipal Manager	11
7.2	Chief Information Officer	11
7.3	Senior Managers	12
7.4	Records Manager	12
7.5	Deputy Director: Information and Communication Technology	13
7.6	Director: Support Services	15
7.7	Deputy Director: Legal Services	15
7.8	Registry Staff	15
7.9	Staff	15
8.	Records Classification Systems related storage areas	16
8.1	Correspondence System	16
8.1.1	File Plan	16
8.1.2	Storage Areas for paper-based correspondence files	17
8.2	Records other than correspondence systems	19
9.	Disposal of Records	20
10.	Storage and Custody	21
11.	Access and Security	21
12.	Legal admissibility and evidential weight	22
13.	Training	23
14.	Inspections	24
15.	Monitor and Review	24
16.	Definitions	25
17.	References	30
18.	Authorization	31

## **FOREWORD BY MUNICIPAL MANAGER OF CAPE WINELANDS DISTRICT MUNICIPALITY**

The records management policy documents of the Cape Winelands District Municipality were developed in accordance with the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005) as well as to the National Archives and Records Service of South Africa Act (Act No 43 of 1996). In order to support continued service delivery and provide the necessary accountability, the District Municipality should create and maintain authentic, reliable and usable records.

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

Management has a responsibility to ensure that Cape Winelands District Municipality creates and have access to complete and credible information resources to enable the decision-making process to be in the best interest of the public. Information is one of the key resources required to run an efficient organization. For example, well-organized records:

- (a) Enable an organization to find the right information easily and comprehensively.
- (b) Enable the organization to perform its functions successfully and efficiently and in an accountable manner.
- (c) Support the business, legal and accountable requirements of the organization.
- (d) Ensure the consistent delivery of services.
- (e) Support and document policy formation and administrative decision-making.
- (f) Provide continuity in the event of a disaster.
- (g) Protect the interest of the organization and the rights of employees, clients and present and future stakeholders; and
- (h) Support and document the organization's activities, development and achievements.

The Records Manager will ensure that the information in this policy document is communicated to all Cape Winelands District Municipality employees who creates records. It is of outmost importance that all employees who create records, become conversant with the policy and apply the stipulations contained therein. The success of records management practices depends on its users and an appeal is made on your positive support and compliance to the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005).



**MUNICIPAL MANAGER**

14 April 2021

**DATE**

## 1. PURPOSE

- 1.1 Section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005) requires the Cape Winelands District Municipality to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record-keeping and records management practices comply with the requirements of the Act.
- 1.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of the Cape Winelands District Municipality must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. The Cape Winelands District Municipality considers its records to be a valuable asset to:
  - 1.2.1 Enable Cape Winelands District Municipality to find the right information easily and comprehensively.
  - 1.2.2 Enable Cape Winelands District Municipality to perform its functions successfully and efficiently and in an accountable manner.
  - 1.2.3 Support the business, legal and accountability requirements of Cape Winelands District Municipality.
  - 1.2.4 Ensure the conduct of business in an orderly, efficiently and accountable manner.
  - 1.2.5 Ensure the consistency of delivery of services.
  - 1.2.6 Support and document policy formation and administrative decision-making.

- 1.2.7 Provide continuity in the event of disaster.
  - 1.2.8 Protect the interests of Cape Winelands District Municipality and the rights of employees, clients and present and future stakeholders.
  - 1.2.9 Support and document the Cape Winelands District Municipality's activities, development and achievements.
  - 1.2.10 Provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenges or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

## **2. POLICY STATEMENT**

- 2.1 All records created and received by Cape Winelands District Municipality shall be managed in accordance with the records management principles contained in section 9 of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005).
- 2.2 The following broad principles apply to the record keeping and records management practices of Cape Winelands District Municipality:
- 2.2.1 The Cape Winelands District Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
  - 2.2.2 The records management procedures of Cape Winelands District Municipality comply with legal requirements, including those for the provision of evidence.

- 2.2.3 The Cape Winelands District Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- 2.2.4 Electronic records in the Cape Winelands District Municipality are managed according to the principles promoted by the Western Cape Archives and Records Service.
- 2.2.5 The Cape Winelands District Municipality has performance measures for all records management functions and reviews compliance with these measures.

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

- 3.1 The Cape Winelands District Municipality's Records Management Policy, read with other related policies as included in paragraph 3.2, covers the unique nature of the broad spectrum of records generated by Cape Winelands District Municipality.
- 3.2 Other policies that are closely related to the Records Management Policy are:
  - 3.2.1 Budget and Treasury related policies which are managed by the Chief Financial Officer.
  - 3.2.2 Promotion of Access to Information Manual which is managed by the Municipal Manager.
  - 3.2.3 Policies which are managed by the Deputy Director: Information and Communication Technology:
    - (a) Information Technology Security Policy
    - (b) User Security Policy

- (c) Information and Communication Technology Backup Policy
- (d) Baseline Installation Procedure for the Operating Systems
- (e) Network Security Policy
- (f) Physical Environmental Security Policy
- (g) User Account Management Procedures
- (h) Change Management Process
- (i) Internet and E-mail Usage Policy
- (j) Mobile Device Policy
- (k) Information and Communication Technology Operating System Security Controls Policy
- (l) Information and Communication Technology Disaster Recovery Plan
- (m) Information and Communication Technology Backup and Retention Policy
- (n) Information and Communication Technology Service Level Agreement Management
- (o) Municipal Corporate Governance for Information and Communication Technology Policy



#### **4. SCOPE AND INTENDED AUDIENCE**

4.1 This policy impacts upon Cape Winelands District Municipality's work practices for all those who:

4.1.1 Create records including electronic records.

4.1.2 Have access to records.

4.1.3 Have any other responsibilities for records, for example storage and maintenance responsibilities.

4.1.4 Have management responsibility for staff engaged in any of these activities; or manage, or have design input into, information technology infrastructure.

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

#### **5. REGULATORY FRAMEWORK**

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

5.1 Constitution of South Africa, 1996

5.2 National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996) and Regulations

5.3 Promotion of Access to Information Act, 2000 (Act No 2 of 2000)

- 5.4 Promotion of Administrative Justice Act, 200 (Act No 3 of 2000)
- 5.5 Electronic Communications and Transactions Act, 2002 (Act No 25 of 2002)
- 5.6 Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 3 of 2005) and Regulations
- 5.7 Local Government: Municipal Finance Management Act, 2003 (Act No 56 of 2003) and Regulations
- 5.8 Local Government: Municipal Structures Act, 1998 (Act No 117 of 1998) and Regulations
- 5.9 Local Government: Municipal Systems Act, 2000, (Act No 32 of 2000) and Regulations
- 5.10 Protection of Personal Information Act, 2013 (Act No 4 of 2013)

## **6. RECORDS CONTINUUM MODEL**

- 6.1 This policy upholds the Records Continuum Model (RCM) which is a conceptual model that helps to understand and explore record keeping activities in relation to multiple contexts over space and time.
- 6.2 Record keeping activities take place from before the records are created by identifying record keeping requirements in policies, systems, organizations, processes, laws, social mandates that impact on what is created and how it is managed over space and time.

- 6.3 The Records Continuum Model (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.

## **7. ROLES AND RESPONSIBILITIES**

### **7.1 MUNICIPAL MANAGER**

- 7.1.1 Is ultimately accountable for the record keeping and records management practices of Cape Winelands District Municipality.
- 7.1.2 Is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 7.1.3 Supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 7.1.4 Shall designate a senior manager to be the Records Manager of the Cape Winelands District Municipality and shall mandate the Records Manager to perform such duties as are necessary to enhance the record keeping and records management practices of Cape Winelands District Municipality to enable compliance with legislative and regulatory requirements.

### **7.2 CHIEF INFORMATION OFFICER**

- 7.2.1 Is responsible for approval of requests for information in terms of the Promotion of Access to Information Act, 2000 (Act No 2 of 2000).

7.2.2 Shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

### **7.3 SENIOR MANAGERS**

7.3.1 Are responsible for the implementation of this policy in their respective Departments.

7.3.2 Shall lead by example and shall themselves maintain good record keeping and records management practices.

7.3.3 Shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.

### **7.4 RECORDS MANAGER**

7.4.1 The Records Manager is responsible for:

(a) Shall ensure implementation of this policy.

(b) Shall ensure staff awareness regarding this policy.

(c) The management of all records according to the records management principles contained in the National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996).

(d) The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

7.4.2 The specific duties of the Records Manager are contained in the job description of the Director: Support Services.

7.4.3 The Records Manager is mandated to implement training and other interventions as are necessary to ensure that the Cape Winelands District Municipality's record keeping and record management practices comply with the records management principles contained in the National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996).

7.4.4 The Records Manager may from time-to-time issue circulars and instructions regarding the record keeping and records management practices of Cape Winelands District Municipality.

7.4.5 The Records Manager shall ensure that all records created and received by Cape Winelands District Municipality are classified according to the approved File Plan and that a written disposal authority is obtained for them from the Western Cape Archives and Records Service.

7.4.6 The Director: Support Services is the Records Manager for the whole Cape Winelands District Municipality.

## **7.5 DEPUTY DIRECTOR: INFORMATION AND COMMUNICATION TECHNOLOGY**

7.5.1 Is responsible for the day-to-day maintenance of electronic systems that stores records.

7.5.2 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.

- 7.5.3 Shall ensure that appropriate system technical manuals and system procedures manuals are designed for each electronic system that manages and stores records.
- 7.5.4 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.
- 7.5.5 Shall ensure that all electronic records in all electronic systems remain accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.
- 7.5.6 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.
- 7.5.7 Shall ensure that back-ups are stored in a secure off-site environment.
- 7.5.8 Shall ensure that systems that manage and store records are virus free.
- 7.5.9 Comprehensive details regarding specific responsibilities of the Deputy Director: Information and Communication Technology are contained in information technology related policies.

## **7.6 DIRECTOR: SUPPORT SERVICES**

7.6.1 Is accountable for the physical security of all records.

7.6.2 The Registry Staff is responsible for the physical security of all records.

## **7.7 DEPUTY DIRECTOR: LEGAL SERVICES**

7.7.1 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 Cape Winelands District Municipality.

## **7.8 REGISTRY STAFF**

7.8.1 Is responsible for the physical management of the records in their care.

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

## **7.9 STAFF**

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

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

- (a) Sending paper-based records to the Registry for filing; and
- (b) Allocating reference numbers and subjects to paper-based and electronic records according to the file plan, where applicable.

## **8. RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS**

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

### **8.1 CORRESPONDENCE SYSTEMS**

#### **8.1.1 FILE PLAN**

- (a) Only the File Plan approved on 7 July 2005 and implemented on 5 September 2005 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.
- (b) Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in file 2/7/1/1 on **Collaborator** (<http://collabapp15/default.aspx>). More specific guidance regarding the classification of e-mail correspondence is contained in the Internet and E-mail Usage Policy.
- (c) Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the File Plan, where applicable.



- (d) When correspondence is created / received for which no subject exists in the File Plan, the Registry Staff 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. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in file 2/7/1/1 on **Collaborator** (<http://collabapp15/default.aspx>).

### **8.1.2 STORAGE AREAS FOR PAPER-BASED CORRESPONDENCE FILES**

#### **(a) CENTRAL REGISTRY**

- (i) All paper-based correspondence system records that are not human resource related are housed in the Central Registry.
- (ii) All these records are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- (iii) The Registry is a secure storage area and only Registry Staff is allowed in the records storage area.
- (iv) Staff members who need access to the files in the Registry shall place a request for the files at the counter.
- (v) The Registry shall be locked when it is not in operation.

**(b) HUMAN RESOURCE REGISTRY**

- (i) All human resources related records are housed in a secure storage area in the Central Registry.
- (ii) The general human resources subject files as well as case files are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- (iii) Cape Winelands District Municipality maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the Central Registry.
- (iv) 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.

8.1.3 Electronic correspondence records are stored in an electronic repository that is maintained by the Division: Information and Communication Technology.

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

## **8.2 RECORDS OTHER THAN CORRESPONDENCE SYSTEM**

### **8.2.1 Schedule for records other than correspondence system**

- (a) The Registry Staff maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format. The schedule is available on file 2/7/1/1 on Collaborator (<http://collabapp15/default.aspx>).
- (b) Should records be created / received that are not listed in the schedule, the Registry Staff should be contacted to add the records to the schedule.

### **8.2.2 STORAGE AREAS**

#### **(a) Electronic systems other than the correspondence systems**

- (i) The Cape Winelands District Municipality has a number of electronic record systems in operation which are not part of the correspondence system and that generate and store public records. (Samras and VIP).
- (ii) The Deputy Director: Information and Communication Technology is responsible for the day-to-day maintenance of these systems.
- (ii) The records maintained in these systems are under the control of the Chief Financial Officer who is mandated to ensure that they are managed properly.

## **9. DISPOSAL OF RECORDS**

- 9.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from Western Cape Archives and Records Service.
- 9.2 The Western Cape Archives and Records Service has issued Standing Disposal Authority Number PSC7KW for the disposal of records classified against the File Plan. The Records Manager manages the disposal schedule.
- 9.3 The Western Cape Archives and Records Service issued Standing Disposal Authority Number PSC5KW on the schedule of records other than correspondence systems. The Records Manager manages the disposal schedule.
- 9.4 Retention periods indicated on the File Plan and schedule were determined by taking Cape Winelands District Municipality's legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the Records Manager should be contacted to discuss a more appropriate retention period.
- 9.5 Disposal in terms of these disposal authorities will be executed annually in December.
- 9.6 All disposal actions should be authorized by the Records Manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 9.7 Non-archival records that are needed for litigation, Promotion of Access to Information Act requests or Promotion of Administration of Justice Act actions may not be destroyed until such time that the Deputy Director: Legal Services or Municipal Manager has indicated the destruction hold can be lifted.

- 9.8 Paper-based archival records shall be safely kept in Cape Winelands District Municipality's Archive at the Worcester offices until they are due to transfer to the Western Cape Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the Records Management Policy Manual.

## **10. STORAGE AND CUSTODY**

- 10.1 See paragraph 7 for an identification of all record keeping systems and their storage locations.
- 10.2 All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Service's guidelines contained in the Records Management Policy Manual shall be applied.

## **11. ACCESS AND SECURITY**

- 11.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability of the business of Cape Winelands District Municipality.
- 11.2 No staff shall remove records that are not available in the public domain from the premises of Cape Winelands District Municipality without the explicit permission of the Records Manager or the Municipal Manager.
- 11.3 No staff shall provide information and records that are not in the public domain to public without consulting the Records Manager or Municipal Manager. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Manual which is maintained by the Municipal Manager in his capacity as Chief Information Officer.
- 11.4 Personal information shall be managed in terms of the Promotion of Access to Information Act, 2000 (Act No 2 of 2000) until such time that specific protection of privacy of legislation is enacted.

- 11.5 No staff member shall disclose personal information of any member of staff or client of Cape Winelands District Municipality to any member of the public without consulting the Municipal Manager first.
- 11.6 An audit trail shall be logged of all attempts / edit electronic records and their metadata.
- 11.7 Records storage areas shall at all times be protected against unauthorized access. The following shall apply:
  - 11.7.1 Registry and all other records storage areas shall be locked when not in use.
  - 11.7.2 Access to server rooms and storage areas for electronic records media shall be managed with key card access.

## **12. LEGAL ADMISSIBILITY AND EVIDENTIAL WEIGHT**

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

### **12.1 PAPER-BASED RECORDS**

- 12.1.1 No records shall be removed from paper-based files without the explicit permission of the Records Manager.
- 12.1.2 Records that were placed on files shall not be altered in any way.
- 12.1.3 No alterations of any kind shall be made to records other correspondence files without the explicit permission of the Records Manager.

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

## **12.2 ELECTRONIC RECORDS**

The Cape Winelands District Municipality shall use systems which ensure that its electronic records are:

- 12.2.1 Authentic

- 12.2.2 Not altered or tampered with

- 12.2.3 Auditable

- 12.2.4 Produced in systems which utilize security measures to ensure their integrity

## **13. TRAINING**

- 13.1 The Records Manager shall successfully complete the Western Cape Archives Records Management Course, as well as any other records management training that would equip him / her for his / her duties.

- 13.2 The Records Manager shall identify such training courses that are relevant to the duties of the Registry Staff and shall ensure that the Registry Staff are trained properly.

- 13.3 The Records Manager shall ensure that all staff are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their record management duties.

## **14. INSPECTIONS**

- 14.1 Officials of the Western Cape Archives and Records Service are entitled to full and free access, at all times to inspect the public records held by the Cape Winelands District Municipality, promulgated in terms of section 9(2)(c) of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act No 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.
- 14.2 The Records Manager should conduct regular inspections in the individual components/Departments of the Cape Winelands District 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, and the internal audit report must be reported to the Western Cape Archives and Records Service.

## **15. MONITOR AND REVIEW**

- 15.1 The Records Manager shall review the record keeping and records management practices of Cape Winelands District Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirement of Cape Winelands District Municipality.
- 15.2 This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of Cape Winelands District Municipality.



## **16. DEFINITIONS**

### **16.1 Archives repository**

The building in which records archival value are preserved permanently.

### **16.2 Authentic records**

Authentic records are records that can be proven to be what they purport to be. They are also records that are considered by creators to be their official records.

### **16.3 Authoritative records**

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

### **16.4 Correspondence system**

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

### **16.5 Custody**

The control of records based upon their physical possession.

### **16.6 Disposal**

The action of either destroying/ deleting a record or transferring it into archival custody.

### **16.7 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.

### **16.8 Disposal authority number**

A unique number identifying each disposal authority issued to a specific office.

### **16.9 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.

### **16.10 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.

### **16.11 File plan**

A pre-determined classification plan by which records are filed and / or electronically indexed to facilitate efficient retrieval and disposal of records.

## **16.12 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.

## **16.13 Non-archival records**

Records with a short-lived interest or usefulness.

## **16.14 Public record**

A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

## **16.15 Records other than correspondence**

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.

## **16.16 Record**

16.16.1 Recorded information regardless of form or medium.

16.16.2 Evidence of a transaction preserved for evidential information it contains.

## **16.17 Records classification system**

A plan for the systematic identification and arrangement of business activities and / or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

### **16.18 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.

### **16.19 Record keeping**

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

### **16.20 Records management**

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

### **16.21 Retention period**

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

### **16.22 Schedule for records other than correspondence system**

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:

16.22.1 Schedule for paper-based records other than correspondence files.

16.22.2 Schedule for electronic records system other than the electronic correspondence system.

16.22.3 Schedule for microfilm records.

16.22.4 Schedule for audio-visual records.

### **16.23 System technical manual**

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

### **16.24 System procedures manual**

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding:

16.24.1 Document capture

16.24.2 Document scanning

16.24.3 Data capture

16.24.4 Indexing

16.24.5 Authenticated output procedures

16.24.6 File transmission

16.24.7 Information retention

16.24.8 Backup and system recovery

- 16.24.9 System maintenance
- 16.24.10 Security and protection
- 16.24.11 Use of contracted services
- 16.24.12 Workflow
- 16.24.13 Date and time stamps
- 16.24.14 Version control
- 16.24.15 Maintenance of documentation

A system procedures manual should be updated when new releases force new procedure.

## **17. REFERENCES**

- 17.1 Department of Public Service and Administration: Draft Information Security Policies. Security Information in the Digital Age
- 17.2 National Archive and Records Service: Records Management Policy Manual, April 2006.
- 17.3 National Archives and Records Service: Managing Electronic Records in Governmental Bodies, Policy, Principles and Requirements, April 2006.
- 17.4 National Archives and Records Service; Performance Criteria for Records Managers in Governmental Bodies, April 2006.
- 17.5 National Intelligence Agency: Minimum Information Security standard.

- 17.6 South African Bureau for Standards: SANS 15489: Information and documentation-Records Management- Part 1: General.
- 17.7 South African Bureau for Standards: SANS: 15489: Information and documentation- Records Management- Part 2: Guidelines.
- 17.8 South African Bureau for Standards: SANS: 15801: Electronic Imaging- Information stored electronically- Recommendations for trustworthiness and reliability.
- 17.9 South African Bureau for Standards: SANS: 23081: Information and documentation-Records Management processes- Metadata for records – Part 1: Principles.
- 17.10 South African Bureau for Standards: SANS: 17799: Information Technology Security Techniques Code of Practice for Information Security Management.

**18. AUTHORIZATION**

This policy was approved by the MUNICIPAL MANAGER.



14 April 2021

---

APPROVED: HF PRINS  
MUNICIPAL MANAGER

---

DATE

Reference: 2/7/B