

Item A-CORP (19-2018)  
CM 28/03/2019

**CORPORATE & SHARED SERVICES OVERSIGHT COMMITTEE  
REPORT ON THE CORPORATE LEGAL SERVICES  
DEPARTMENT'S REQUEST TO APPROVE THE REVIEW OF THE  
CITY OF EKURHULENI'S RECORDS MANAGEMENT POLICY**

## **RESOLVED**

1. **That** the Corporate Legal Service Department's request to approve the review of the City of Ekurhuleni Records Management Policy **BE NOTED**.
2. **That** the **REVIEWED** Records Management Policy and the Retention Schedule attached to the report as **Annexures A** and **B BE APPROVED**.

# **CITY OF EKURHULENI METROPOLITAN MUNICIPALITY**



## **RECORDS MANAGEMENT POLICY**

## PREAMBLE

- (1) **WHEREAS** the City of Ekurhuleni Metropolitan Municipality (hereafter “the City”) is a local government, a metropolitan municipality and **an organ of state**, as contemplated in section 2 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000) (hereafter “the Systems Act”), read with the provisions of Chapter 7 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996) (hereafter “the Constitution”) and section 12, read with section 14 of the Local Government: Municipal Structures Act, 1998 (Act No. 117 van 1998) (hereafter “the Structures Act”);
- (2) **AND WHEREAS** section 3 of the National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996) (hereafter “the Archives Act”) specifies that it is the objective and function of the National Archives to *inter alia* preserve **public** and non-public records with enduring value for use by the public and the State, make such records accessible and promote their use by the public and ensure the proper management and care of **public records**;
- (3) **AND WHEREAS** the term “*public record*” as defined in section 1 of the Archives Act and means a record created or received by a “*governmental body*” in pursuance of its activities;
- (4) **AND WHEREAS** the term “*governmental body*” is also defined in section 1 of the Archives Act and means any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government;
- (5) **AND WHEREAS** and whereas the National Archives has published policy manuals and guidelines, circulars and directives describing the manner in which the City should conduct record management activities within the City;

- (6) **AND WHEREAS** section 13(5)(a) of the Archives Act provides that the City Manager of the City shall designate an official of the City to be the Records Manager of the City;
- (7) **AND WHEREAS** section 13(5)(b) of the Archives Act determines that the Records Manager shall be responsible to see to it that the City complies with the requirements of the Archives Act;
- (8) **AND WHEREAS** the City may, in terms of the provisions of section 11(3)(a) of the Systems Act, adopt a Records Management Policy to ensure the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance and to co-ordinate, manage and prescribe the processes and procedures to be followed by the City when attending to the management of the records of the City;
- (9) **NOW THEREFORE**, this policy has been drafted in compliance with the provisions of section 11(3)(a) Systems Act and the City adopts the following Records Management Policy.

# THE CITY OF EKURHULENI

## METROPOLITAN MUNICIPALITY:

### RECORDS MANAGEMENT POLICY

#### TABLE OF CONTENTS

#### CHAPTER 1

#### GENERAL PROVISIONS

ITEM NO.	ITEM	PAGE NO.
1.	DEFINITIONS	6
2.	AIM, PURPOSE AND OBJECTIVES	10
3.	POLICY PRINCIPLES	12
4.	TITLE AND APPLICATION	13
5.	COMMENCEMENT AND VALIDITY	13
6.	RESPONSIBLE AUTHORITY	13
7.	LEGISLATIVE FRAMEWORK	13
8.	POLICIES, STRATEGIES AND GUIDELINES	14
9.	SCOPE OF APPLICATION OF POLICY	16
10.	MONITOR AND REVIEW	17

#### CHAPTER 2

#### ROLES AND RESPONSIBILITIES OF OFFICIALS

ITEM NO.	ITEM	PAGE NO.
11.	HEAD OF DEPARTMENT: CORPORATE LEGAL SERVICES	18
12.	SENIOR MANAGERS	19

13.	RECORDS MANAGER	19
14.	CHIEF INFORMATION OFFICER	20
15.	INFORMATION AND COMMUNICATION TECHNOLOGY DEPARTMENT	21
16.	DIVISIONAL HEAD: LEGAL SERVICES	22
17.	REGISTRY STAFF	22
18.	STAFF	23
19.	TRAINING	23

### **CHAPTER 3**

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

<b>ITEM NO.</b>	<b>ITEM</b>	<b>PAGE NO.</b>
20.	RECORDS MANAGEMENT SYSTEM	25
21.	CORRESPONDENCE SYSTEM	25
22.	RECORDS OTHER THAN CORRESPONDENCE SYSTEMS	29

### **CHAPTER 4**

#### **STORAGE AND CUSTODY, ACCESS AND SECURITY, ACCURATE AND RELIABLE RECORDS AND RECORD DISPOSAL**

<b>ITEM NO.</b>	<b>ITEM</b>	<b>PAGE NO.</b>
23.	STORAGE AND CUSTODY	33
24.	ACCESS AND SECURITY	33
25.	ACCURATE AND RELIABLE RECORDS	34
26.	PRIMA FACIE EVIDENCE	36
27.	DISPOSAL OF RECORDS	36

# CHAPTER 1

## GENERAL PROVISIONS

---

### 1. DEFINITIONS

---

In this policy, except where the context otherwise indicates, or it is expressly stipulated otherwise, the following words and expressions shall have the respective meanings assigned to them hereunder, and words and expressions to which a meaning has been assigned in terms of the provisions of the applicable legislation referred to in the section under the headings “Legislative Framework” and “Policies, Strategies and Guidelines” herein below, will have a corresponding meaning assigned thereto in terms of such legislation, policies, by-laws or guidelines. All headings are included for convenience only and shall not be used in the interpretation of any of the provisions of this policy.

NO.	WORD/EXPRESSION	DEFINITION
<b>“A”</b>		
	<b>“annually”</b>	Means once every financial year.
	<b>“Archives Act”</b>	Means the National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996)
<b>“C”</b>		
	<b>“City” or “municipality”</b>	Means the City of Ekurhuleni Metropolitan Municipality, a local government and legal entity with full legal capacity as contemplated in section 2 of the Systems Act read with the provisions of Chapter 7 of the Constitution and sections 12 and 14 of the Structures Act, with its main place of business and the offices of the Municipal Manager, as envisaged in terms of the provisions of section 115(3) of the Systems Act, at: EGSC Building, 2 <sup>nd</sup> Floor, Corner of Cross and Rose Streets, Germiston, and may, depending on the context, include:

		<p>(a) its successor in title; or</p> <p>(b) a functionary, employee or official exercising a delegated power or carrying out an instruction, in the event of any power being delegated as contemplated in terms of the provisions of section 59 of the Systems Act, or exercising any lawful act in the furtherance of the City's duties, functions and powers; or</p> <p>(c) an authorised service provider fulfilling a responsibility assigned to it by the City through a service delivery agreement.</p>
	<b>“City Manager”</b>	Means the Municipal Manager of the City appointed in terms of the provisions of section 54A of the Systems Act and as referred to in the definition of “accounting officer” in section 1 of the MFMA, and also referred to in section 60 of the Local Government: Municipal Finance Management Act, 2003 (Act No 56 of 2003), and includes a person acting as an accounting officer, or the person to whom the accounting officer has delegated his/her authority to act.
	<b>“Constitution”</b>	Means the Constitution of the Republic of South Africa, 108 of 1996.
	<b>“correspondence system”</b>	Means a set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of municipal business, which is captured in a file plan and stored at specified storage areas and normally form part of a correspondence file or a case file, such as incoming mail, Faxes and E-mails.
<b>“D”</b>		
	<b>“disposal”</b>	Means the action of either destroying or deleting a record or transferring it into archival custody.
	<b>“disposal authority”</b>	Means written authority issued by the National Archivist specifying which records should be transferred into archival



		custody or specifying which records should be destroyed or deleted or otherwise disposed of.
	<b>“disposal authority number”</b>	Means a unique number identifying each disposal authority issued to the City to dispose of records contained in the City’s File Plan or Schedule.
<b>“E”</b>		
	<b>“electronic records”</b>	Means information which is generated electronically and stored by means of computer technology and may consist of or include an electronic correspondence system and electronic record systems other than the correspondence system of the City.
<b>“F”</b>		
	<b>“File Plan”</b>	Means the approved pre-determined classification plan of the City by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.
<b>“P”</b>		
	<b>“Promotion of Access to Information Act”</b>	Means the Promotion of Access to Information Act, 2000 (Act No 2 of 2000)
	<b>“Promotion of Administrative Justice Act”</b>	Means the Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000)
	<b>“Public records”</b>	Means a record created or received by a governmental body in pursuance of its activities, regardless of form or medium.
<b>“R”</b>		
	<b>“record keeping”</b>	Means collecting, compiling and maintaining complete, accurate and reliable evidence of official municipal business in the form of recorded information to establish a record of the City.
	<b>“record management”</b>	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.

	<p align="center"><b>“Records Management System”</b></p>	<p>Means the Records Management System of the City, which includes the record keeping and records management practices of the City for all categories of records and which consisting of:</p> <ul style="list-style-type: none"> <li>(a) the approved <b>Records Management Policy</b> of the City (this policy);</li> <li>(b) the approved <b>File Plan</b> of the City;</li> <li>(c) the approved <b>Records Retention Schedule</b> of the City;</li> <li>(d) the approved <b>Disposal Register</b> of the City; and</li> <li>(e) the approved <b>Procedure Manual Guide</b> of the City.</li> </ul>
	<p align="center"><b>“records other than correspondence systems”</b></p>	<p>Means any records that are not included under the “correspondence system” records of the City.</p>
	<p align="center"><b>“records other than correspondence systems”</b></p>	<p>Means any records that are not included under the “correspondence system” records of the City.</p>
<b>“S”</b>		
	<p align="center"><b>“Schedule for records other than correspondence systems”</b></p>	<p>Means a scheduled used as a control mechanism for records other than correspondence files, which contains <i>inter alia</i> a description of the record, the disposal instructions and retention periods of records not included in the “correspondence system” category’s File Plan. This schedule consists of the following parts:</p> <ul style="list-style-type: none"> <li>1. Schedule for paper-based records other than correspondence files;</li> <li>2. Schedule for electronic records systems other than the electronic correspondence system;</li> <li>3. Schedule for microfilm records;</li> <li>4. Schedule for audio-visual records.</li> </ul>

	<b>“Standing Disposal Authority Number LAE-S1NA”</b>	Means a letter of instruction dated 13 September, 2006 from the Department of Arts and Culture: National Archives and Records Service of South Africa addressed to the City of Ekurhuleni giving the City instructions on the disposal of its records in line with the City’s approved File Plan.
	<b>“Structures Act”</b>	Means the Local Government: Municipal Structures Act, 1998 (Act No 117 of 1998) and the regulations promulgated in terms thereof.
	<b>“Systems Act”</b>	Means the Local Government: Municipal Systems Act, 2000 (Act No 32 of 2000) and the regulations promulgated in terms thereof.

## **2. AIM, PURPOSE AND OBJECTIVES**

---

- (1) It is the aim and purpose of this policy to ensure that the City adheres to the legislative provisions of the Archives Act, read with the National Archives policy manuals and guidelines, circulars and directives which requires the City to manage its records in a well-structured record keeping system, and adopt and implement the necessary policies and procedures to ensure that it’s record keeping and records management practices of the City comply with the objectives and requirements of the Archives Act and the National Archives.
  
- (2) The main objective of this policy is to ensure that accurate and complete records are kept by the City, which records must be readily available for access by the public on request by following the prescribed processes and procedures. Accessibility of accurate and complete records and information from the City promotes good and transparent governance by the City and the City must thus ensure that its record management system will enable the City to:

- (i) ensure that records and information are **accurately captured** by the relevant officials of the City;
- (ii) assist the different divisions and departments within the City to **perform** its powers, functions duties and obligations successfully and efficiently and in an accountable manner through proper record keeping systems;
- (iii) ensure **responsible actions** by the City and promoting accountability through proper record keeping systems;
- (iv) **monitor, evaluate, assess and control** the conduct of municipal officials and councillors when performing their duties and functions through the implementation of a proper record keeping systems, ensuring that the operations of the City is done in an **orderly, efficient and accountable manner**;
- (v) **ensure and report on** the consistent delivery of services;
- (vi) **support and document** policy formation and administrative decision-making;
- (vii) provide **continuity** in records and information of the City in the event of a disaster;
- (viii) protect the interests of the City and the rights of employees, members of the public and present and future stakeholders by ensuring that there are proper records kept of events and occurrences within the City;

- (ix) support and document the City's activities, development and achievements; and
  - (x) **provide information** in the context of cultural activity and contribute to the cultural identity and collective memory.
- (3) The implementation of this policy will ensure that the records management system, through the proper control of the content and storage of records and information, will reduce the exposure of the City to legal actions or financial loss and it will also promote optimisation of human- and space resources through the implementation of effective of information and storage systems.

### **3. POLICY PRINCIPLES**

---

- (1) The contents and implementation of this policy is subject to the records management principles contained and set out in the Archives Act and all supporting policies, guidelines and directives from the National Archives.
- (2) It is the responsibility of the City to ensure the implementation of this policy and in doing so it must ensure that all officials responsible for the implementation of this policy must:
- (a) implement and follow the prescribed procedures for the creation, maintenance, retention disposal and availing of all records, including electronic records;
  - (b) comply with all legislative provisions and requirements;

- (c) implement and follow the prescribed procedures for the security, privacy and confidentiality of its records;
- (d) manage electronic records according to the principles promoted by the National Archives; and
- (e) implement and follow the prescribed performance measures for all records management functions and reviews compliance with these measures on a regular basis.

#### **4. TITLE AND APPLICATION**

---

- (1) This policy is known as the Records Management Policy of the City and is applicable within the municipal area of the City.
- (2) This policy revokes all previous policies, decisions and/or *ad hoc* clauses within any other policy, regarding the subject matter of this policy.

#### **5. COMMENCEMENT AND VALIDITY**

---

This policy shall come into full force and effect upon the acceptance thereof by the Municipal Council of the City by resolution.

#### **6. RESPONSIBLE AUTHORITY**

---

The responsible authority for the adoption and implementation of this policy is the City, and where applicable the Municipal Council of the City.

#### **7. LEGISLATIVE FRAMEWORK**

---

This policy is designed and must be read and implemented within the framework of *inter alia* the following legislation and the regulations applicable thereto:

- (1) the Constitution of the Republic of South Africa, 1996;
- (2) National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996);
- (3) Regulations promulgated under National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996);
- (4) the Promotion of Access to Information Act, 2000 (Act No 2 of 2000);
- (5) Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000);
- (6) Electronic Communications and Transactions Act, 2002 (Act No 25 of 2002).
- (7) Protection of personal information Act 2013

## **8. POLICIES, STRATEGIES AND GUIDELINES**

---

- (1) The Records Management System of the City consists of a policy, a plan, a schedule, a register and a guide, which documents should be read in conjunction with one another. Together these documents form the Records Management System of the City and consist of:
  - (a) the approved **Records Management Policy** of the City (this policy);
  - (b) the approved **File Plan** of the City;

- (c) the approved **Records Retention Schedule** of the City;
  - (d) the approved **Disposal Register** of the City; and
  - (e) the approved **Procedure Manual Guide** of the City.
- (2) There are several policies, strategies and guidelines relating to records management which compliment this policy and which must be recognised and taken into account in the implementation of this policy, including:
- (a) the Email Policy of the City which is managed by the Department: Information and Communication Technology;
  - (b) the Internet Usage Policy of the City which is managed by the Department: Information and Communication Technology;
  - (c) Promotion of Access to Information manual of the City which is managed by the Corporate Legal Services Department / the Chief Information Officers;
  - (d) the Information Technology Policy of the City which is managed by the Information Communication Technology Department;
  - (e) the Information Security Policy of the City which is managed by the City Managers Department; and



- (f) all guidelines, circulars, performance criteria, policy manuals and policy guidelines issued or published by the National Archives pertaining to records management in governmental bodies.

## **9. SCOPE OF APPLICATION OF POLICY**

---

This policy is applicable within the municipal area of the City and the contents and provisions thereof applies to:

- (a) municipal officials of the City;
- (b) municipal councillors of the City;
- (c) the local community of the City;
- (d) all stakeholders and any other persons within the municipal are of the City,
- (e) any person who has control over the records of the City or control over access to the said records;
- (f) or who has an interest in any records of the City or the contents thereof;
- (g) any person who has requested access to any records of the City at any time;  
or
- (h) any other person in any other instance relating to the contents of this policy or to the records of the City.

## **10. MONITOR AND REVIEW**

---

- (1) The Records Manager shall review the Records Management System and the record keeping and records management practices of the City on a regular basis to ensure compliance with all legislative provisions and that the contents thereof address and meet the needs of the City.
  
- (2) This policy shall be reviewed once every 5 years or as and when a need to do so arises.

## CHAPTER 2

### ROLES AND RESPONSIBILITIES OF OFFICIALS

---

#### 11. HEAD OF DEPARTMENT: CORPORATE LEGAL SERVICES

---

- (1) The Head of Department: Corporate Legal Services is responsible for ensuring accountability, transparency and improvement of service delivery through sound record keeping and records management practices by the City.
- (2) The duties, responsibilities, powers and functions of the Head of Department: Corporate Legal Services include:
  - (a) the implementation of the Record Management System of the City;
  - (b) maintenance of the Record Management System of the City;
  - (c) ensuring compliance with the provisions of the Record Management System of the City, which includes the provisions of this policy, by all officials, councillors and other interested parties;
  - (d) evaluation, revision, amendment or updating of the Record Management System of the City as and when needed;
  - (e) implementation of penalties and/or consequences for non-compliance with the provisions of this policy or any provisions of the Record Management System of the City;
  - (f) designating a senior manager to be the Records Manager of the City.

- (2) The Records Manager shall report to the Head of Department Corporate Legal Services of the City. The Records Manager is mandated to perform such duties required to enhance, maintain and implement the record keeping and records management practices of the City to enable compliance with legislative and regulatory requirements.

## **12. SENIOR MANAGERS**

---

- (1) Senior managers are responsible for the implementation of this policy in their respective departments.
- (2) Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- (3) Senior management shall ensure that all staff are aware of their record keeping and records management responsibilities and obligations and properly trained therein.
- (4) Senior managers shall ensure that the management of records including electronic mail is a key responsibility in the performance agreements of all the staff in their units.

## **13. RECORDS MANAGER**

---

- (1) The Records Manager is responsible for:
  - (a) the implementation of the Records Management System of the City, which include this policy;

- (b) staff awareness regarding the contents of this policy;
  - (c) the management of all records in accordance with the provisions of this policy;
  - (d) the determination of retention periods in consultation with the users of the specific records and taking into account the functional, legal and historical need of the City to maintain records of transactions.
- (2) The specific duties of the Records Manager are contained in the Records Manager's job description which is filed on file number 4/1/1/5 of the File Plan.
  - (3) The Records Manager is mandated to arrange such training or take any other necessary steps to ensure that the record keeping and records management practices of the City comply with the records management principles contained in this policy.
  - (4) The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of the City.
  - (5) The Records Manager shall ensure that all records created and received by the City are classified according to the approved File Plan and that a written disposal authority is obtained for them from the National Archives and Records Service.
  - (6) The Records Manager in the Corporate Legal Services Department is the Records Manager for the whole of the City.

#### **14. CHIEF INFORMATION OFFICER**

---

- (1) The deputy Information Officer, as appointed by the City Manager is responsible for approval of requests for information in terms of the Promotion of Access to Information Act, 2000 (Act No 2 of 2000) (hereafter “the Promotion of Access to Information Act”).
- (2) The deputy Information Officer shall inform the Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

#### **15. INFORMATION AND COMMUNICATION TECHNOLOGY DEPARTMENT**

---

- (1) The Information and Communication Technology Department is responsible for the day-to-day maintenance of electronic systems that stores records.
- (2) The Information and Communication Technology Department shall:
  - (a) 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.
  - (b) ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.
  - (c) 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.

- (d) 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.
  - (e) 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.
  - (f) ensure that back-ups are stored in a secure off-site environment.
  - (g) ensure that systems that manage and store records are virus free; and
  - (h) be responsible for the electronic security of all records.
- (3) Comprehensive details regarding specific responsibilities of the Information and Communication Technology Department are contained in the Email Policy of the City and the Information Technology Policy of the City.

## **16. Senior Manager: SUPPORT SERVICES**

---

The Senior Manager: Support Services is responsible for keeping the Records Manager updated about any developments in the legal and statutory environment that may impact on the record keeping and records management practices of the City.

## **17. REGISTRY STAFF**

---

- (1) The registry staff of the City are responsible for the physical management of the records in their care.
- (2) Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the **Registry Procedure Manual** of the City.

## **18. STAFF**

---

- (1) Every staff member shall create records of transactions while conducting official municipal business.
- (2) Every staff member shall manage those records efficiently and effectively by:
  - (a) allocating reference numbers and subjects to paper-based and electronic records according to the File Plan;
  - (b) sending paper-based records to the registry for filing;
  - (c) ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.
- (3) Records management responsibilities should be written into the performance agreements of all senior staff members to ensure that staff are evaluated on their records management responsibilities.

## **19. TRAINING**

---



- (1) The Records Manager shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip him or her to perform his or her duties.
- (2) The Records Manager shall identify such training courses that are relevant to the duties of the registry staff members and shall ensure that the registry staff members are trained appropriately.
- (3) The Records Manager shall ensure that all staff members are aware of the Records Management System and policies and documents relating thereto and shall conduct or arrange such training as is necessary for the staff to equip them to perform their record management duties.

## CHAPTER 3

### RECORDS CLASSIFICATION SYSTEMS AND RELATED STORAGE AREAS

---

#### 20. RECORDS MANAGEMENT SYSTEM

---

- (1) The Records Management System developed by the City is applicable to two categories of records, which categorisation guide officials to organise and store all records within the City in a consistent, orderly and organised manner. The categories within the Records Management System, which will be discussed in more detail in this Chapter, are as follows:
- (a) correspondence system; and
  - (b) records other than correspondence system.

#### 21. CORRESPONDENCE SYSTEM

---

The correspondence system records of the City consist of a set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of municipal business, which is captured in a file plan and stored at specified storage areas and normally form part of a correspondence file or a case file such as incoming mail, Faxes and E-mails.

- (1) **FILE PLAN:** The City has approved and implemented a **file plan** on 1 May 2004, which is updated on an as when required basis respectively (hereafter “the File Plan”), which specifies how records are to be organised once it has been created or received. This File Plan provides a roadmap to the records created and maintained by the City and facilitate dispositioning of the records

in the correspondence system. Pertaining to the File Plan in the correspondence system the following will apply:

- (a) The File Plan shall be utilised for the classification of correspondence records.
- (b) The File Plan shall be used for the classification of both paper-based records and electronic records, which includes electronic mail records.
- (c) Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the City's Procedures Manual that is filed on file 2/4 of the File Plan. Specific guidance regarding the classification of e-mail records are contained in the E-mail Management Policy that is published on the Intranet of the City and on file 6/2/2/P of the File Plan.
- (d) Each staff member shall allocate file reference numbers to all correspondence (paper, electronic and e-mail) according to the approved subjects contained in the File Plan.
- (e) When correspondence is created or received for which no subject exists in the File Plan the following process must be followed by all officials:
  - (i) the official must contact the Records Manager to assist the official to make an addition(s) to the File Plan.
  - (ii) no official may add subjects to the File Plan without the approval of the Records Manager.

- (iii) the specific procedures regarding the addition and approval of a subject in the File Plan pertaining to electronic records are contained in the City's Procedures Manual that is published on the Intranet of the City and filed on file 2/4 of the File Plan.

(2) **STORAGE AREAS:** The City has developed safe and secure **storage areas** within the City where all records of the City can be stored and managed in terms of the provisions of this policy. The storage areas are divided into facilities for paper-based correspondence and electronic correspondence, which are discussed in more detail herein below.

(a) **STORAGE AREAS FOR PAPER-BASED CORRESPONDENCE:**

All paper-based correspondence records are kept in the custody of either:

(i) **The Decentralised Registries of the City:**

(aa) All paper-based correspondence system records that are not human resource related are stored in the City's Decentralised Registries at different Customer Care Centres.

(bb) Records stored in the Decentralised Registries of the City are under the control of and management by the Records Manager.

- (cc) The Decentralised Registries are secure storage areas where strict access control is implemented over the premises. Only officials employed at the specific registry are allowed in the records storage area to ensure the safety of the records.
- (dd) Staff members that need access to files in the registry shall request the files from an authorised official at the Registry counter
- (ee) The registry shall be securely locked outside of office hours or when the registry is not in operation.
- (ff) All files classified as Case Files must be stored in a safe at the registry.

(ii) The Human Resources Registry:

- (aa) All Human Resources related records are stored in the Department: Human Resources.
- (bb) The general human resource subject files, as well as human resource case files are under the management of the Records Manager who is mandated to ensure that they are managed properly.
- (cc) The City maintains a set of paper-based case files for each staff member. These case files are confidential in nature and are stored in a secure storage area within the Human Resource Registry.

(dd) 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.

(ee) The files exist only in paper-based format and the physical tracking of the case files are managed according to the File Plan.

(b) **STORAGE AREAS FOR ELECTRONIC CORRESPONDENCE:**

(i) Electronic correspondence records are stored in an electronic repository that is maintained by the Department: Information and Communication Technology.

(ii) Access to storage areas where electronic records are stored is strictly controlled and limited to the staff members employed in the Department: Information and Communication Technology who have specific duties regarding the maintenance of the hardware, software and media.

## **22. RECORDS OTHER THAN CORRESPONDENCE SYSTEMS**

The records other than correspondence system of the City consist of all records, paper-based and electronic communications, which are not included in the correspondence system of the City.

(1) **SCHEDULE FOR RECORDS OTHER THAN CORRESPONDENCE SYSTEMS:**

- (a) The Records Manager maintains a **schedule** of all records other than the records contained in the correspondence system. The Schedule is available on file 2/7/1/1/ of the File Plan.
  
  - (b) The Schedule must:
    - (i) include a description of each set of records other than the records contained in the correspondence system; and
  
    - (ii) indicate the storage location and retention periods of these records regardless of format.
  
  - (c) Should records be created or received that are not listed in the Schedule, the Records Manager must be contacted to add the records to the Schedule.
- (2) **STORAGE AREAS:** The City has developed safe and secure **storage areas** within the City where all records other than correspondence system records, of the City can be stored and managed in terms of the provisions of this policy. The storage areas are divided into facilities for paper-based correspondence, micrographic records, audio-visual records and electronic systems other than the correspondence systems, which are discussed in more detail herein below.
- (a) **STORAGE AREAS FOR PAPER-BASED RECORDS:**

(i) The City has the following paper-based records in addition to the correspondence systems that are in the custody of the various officials that use them on a daily basis:

(aa) Minutes of Council Meetings;

(bb) Building Maps; and

(cc) Reports.

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

(b) STORAGE AREAS FOR MICROGRAPHIC RECORDS:

The City has **no** microfilmed records that are stored.

(c) STORAGE AREAS FOR AUDIO-VISUAL RECORDS:

(i) The City has the following sets of audio-visual records that are stored in the strong room of the City:

(aa) cassettes for the Committee Meetings; and

(bb) cd's containing the recordings for the Council and Mayoral Committee Meetings.



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

(d) STORAGE AREAS FOR ELECTRONIC SYSTEMS OTHER THAN THE CORRESPONDENCE SYSTEMS:

(i) The City has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records:

(aa) Evenus System;

(bb) Peelow System;

(cc) Geographical Information Systems;

(dd) Customer Relations Management System.

(ii) The Manager: Information and Communication Technology is responsible for the day-to-day maintenance of these systems. The records maintained in these systems are under the control of the Records Manager who is mandated to ensure that they are managed properly.

## CHAPTER 4

### **STORAGE AND CUSTODY, ACCESS AND SECURITY, ACCURATE AND RELIABLE RECORDS AND RECORD DISPOSAL**

---

#### **23. STORAGE AND CUSTODY**

---

- (1) All records must be identified in terms of the categories provided for in this policy and stored at the appropriate storage area applicable to the specific category of record as set out herein above.
- (2) All records shall be kept in storage areas that are appropriate for the type of record. The National Archives and Records Services' guidelines contained in the Records Management Policy Manual shall be applied.
- (3) Specific processes and procedures for the management of electronic storage media are contained in the Electronic Records Management Policy.

#### **24. ACCESS AND SECURITY**

---

- (1) Records shall at all times be protected against unauthorised access and tampering to protect their authenticity and reliability thereof.
- (2) Security classified records shall be managed in terms of the Information Security Policy which is available from the Security Manager.
- (3) No staff member shall remove records that are not available in the public domain from the premises of the City without the written permission of the Records Manager in consultation with the Information Security Manager.

- (4) No staff member shall provide information and records that are not in the public domain to the public without consulting the Information Officer of the City. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy of the City which is managed by the Information Officer.
- (5) Personal information shall be dealt with in accordance with the provisions of the Promotion of Access to Information Act and the Protection of personal information act.
- (6) No staff member shall disclose personal information of any other employee of the City, or of any rate payers within the municipal area of the City, or of service or goods provider of the City or of any other person to any member of the public without first consulting with the Information Officer of the City.
- (7) An audit trail shall be logged of all attempts to alter or edit electronic records and their metadata.
- (8) Record storage areas shall at all times be protected against unauthorised access. The following shall apply:
  - (a) Registries and other records storage areas shall be locked when not in use.
  - (b) Access to server rooms and storage areas for electronic records must be managed with key card access.

## **25. ACCURATE AND RELIABLE RECORDS**

---

The City shall ensure that the contents of its records are regularly updated, accurate and reliable at all times. The following rules shall apply to the specified category of records:

(1) **PAPER-BASED RECORDS:**

- (a) No records shall be removed from paper-based files without the written permission of the Records Manager.
- (b) Records that were placed in files shall not be altered by anybody in any way.
- (c) No alterations or amendments of any kind may be made to records other than correspondence files without the written permission of the Records Manager.
- (d) Should evidence be obtained of tampering with records, the staff member involved shall be subject to immediate disciplinary action.

(2) **ELECTRONIC RECORDS:**

- (a) The City shall use reliable systems which ensure that its electronic records are:
  - (i) authentic;
  - (ii) not altered or tampered with;

- (iii) auditable; and
  - (iv) produced in systems which utilise security measures to ensure its integrity.
- (b) The Electronic Records Management Policy contains specific information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

## **26. PRIMA FACIE EVIDENCE**

---

In legal proceedings by, or on behalf of the City, a certificate reflecting any information required in terms of this policy included in such a certificate and which is signed by the City Manager, or by a person duly authorised to do so, on behalf of the City, by resolution of the City, shall subject to the provisions of section 3 of the Law of Evidence Amendment Act, Act 45 of 1988, upon its mere production constitute *prima facie* evidence of the contents of the certificate.

## **27. DISPOSAL OF RECORDS**

---

- (1) No public records, including electronic mail records shall be destroyed, erased or otherwise disposed of without prior written authorisation from the National Archivist.
- (2) The National Archivist has issued Standing Disposal Authority Number LAE-S1NA, authorising the City to dispose of records contained in the City's approved File Plan. The Records Manager manages and is responsible for the Disposal Schedule.

- (3) The National Archivist issued Standing Disposal Authority Number LAE-S1NA authorising the City to dispose of records other than correspondence systems contained in the Schedule of these records kept by the City. The Records Manager manages and is responsible for the Disposal Schedule.
- (4) The retention periods specified in the File Plan and Schedule of the City were determined by taking the City'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.
- (5) Disposal in terms of these disposal authorities will be executed annually in December.
- (6) All disposal actions should be authorised by the Records Manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- (7) Non-archival records that are needed for litigation, requests in terms of the provisions of the Promotion of Access to Information Act or actions or applications in terms of the provisions of the Promotion of Administrative Justice, 2000 (Act No 3 of 2000) may not be destroyed until such time that the Head of Department: Corporate Legal Services has indicated that the destruction hold can be lifted.
- (8) Paper-based archival records shall be safely kept at the City's Archives Centre until they are due to transfer to the Gauteng Archives Repository. Transfer procedures are prescribed by the National Archives in the Records Management Policy Manual.

- (9) Specific guidelines regarding the procedure to dispose of electronic records are contained in the Electronic Records Management Policy.