

# LOCAL GOVERNMENT RECORDS MANAGEMENT TOOLKIT

2020



# ABOUT THIS PUBLICATION

This publication, developed by the Auditor-General South Africa (AGSA) and the South African Local Government Association (SALGA) is intended to provide guidance to municipalities on understanding of Records Management to ensure transparency, good governance, accountability, business continuity and service delivery in local government. The publication aims to assist Municipalities to maintain, manage and use records in line with sound records management principles

## ACKNOWLEDGEMENTS

The role of the joint Steering Committee (AGSA and SALGA) in the production of this toolkit is greatly appreciated. The valuable contribution of committee members throughout the duration of the project and during the consultation sessions is hereby acknowledged. The following individuals deserve special mention:

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The Toolkit was developed with the tools and support of the National Archives and Records Services of South Africa <http://www.nationalarchives.gov.za>

ISBN: 978-0-621-48262-1

**Title of Publication:** Local Government Records Management Toolkit

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# ABOUT THE AUDITOR-GENERAL OF SOUTH AFRICA (AGSA)

Chapter 9 of the Constitution of the Republic of South Africa, 1996 (constitution) establishes the AGSA as one of the state institutions supporting constitutional democracy. The constitution entrenches our independence by directing that we are subject only to the constitution and the law. The constitution requires us to be impartial and to exercise our powers and perform our functions without fear, favour or prejudice. Our functions are described in section 188 of the constitution. These functions are further regulated by chapters 2 and 3 of the Public Audit Act, 2004 (Act No. 25 of 2004) (PAA).

Annually, we conduct mandatory (regularity) audits of national and provincial government departments, certain public entities, municipalities and municipal entities (our clients or auditees). Furthermore, we conduct discretionary audits, such as performance audits, special audits and investigations. Our audit reports are made public and are tabled in Parliament, Provincial Legislatures and Municipal Councils. In addition to these audit-specific reports, we publish two general reports every year wherein we analyse the outcomes of the audits at national, provincial, and municipal levels.

The AG accounts to the National Assembly (NA) in terms of section 181(5) of the constitution read with sub-section 3(d) of the PAA. The standing committee on the auditor-general (SCoAG), established in terms of the constitution and the PAA, oversees our performance on behalf of the NA. The AG tables our annual report, annual financial statements and the audit report on those financial statements in Parliament as required by sub-section 10(1) of the PAA. Furthermore, the AG submits a business plan and budget to SCoAG in terms of sub-section 38(2) (a) and to the speaker for tabling in the NA as per sub-section 38(3) (a).

Through our audit activities, we play an important role in enabling accountability and thus promote democratic governance in South Africa. We do this by providing independent assurance to the various legislatures on whether entities that use public funds have managed their financial affairs in line with sound financial principles, have complied with the relevant legal framework and have provided credible information on the achievement of their financial and performance objectives in line with the PAA. This ensures that executive, officials, public entities and accounting authorities are held accountable by South African citizens who elected them. This provides the rationale for our work in empowering citizens 'to hold the custodians of public resources accountable' in terms of International Standard of Supreme Audit Institutions (ISSAI) 12, The value and benefits of supreme audit institutions (SAI) – making a difference to the lives of citizens.



# ABOUT SOUTH AFRICAN LOCAL GOVERNMENT ASSOCIATION (SALGA)

South African Local Government Association (SALGA) is an association of municipalities in South Africa recognised in terms of Section 163 of the Constitution of the Republic of South Africa. SALGA serves as the representative voice of 257 municipalities with a vision to be an association of municipalities that is at the cutting edge of quality and sustainable services.

SALGA aims to strengthen its role as the protector to enforce the rights of local government as well as to constructively disrupt where the existing overall system compromises the ability of the sector to deliver on its mandate. SALGA asserts the belief that local government is the sector that is closest to the people and therefore, must be empowered, resourced and capacitated to assume its critical role of delivering quality services.

Developmental Local Government is an essential component of the machinery of government. In accordance with its constitutional mandate, SALGA is obliged to transform the local government sector to one that has the required capacity to make a meaningful contribution to poverty alleviation, economic development and all socio-economic opportunities that the state has geared itself to provide for its people. SALGA mandate rests on six primary pillars:

1. Representation, Advocacy and Lobbying refers to representing the interests of members in legislatures and other policy making and oversight structures. It also refers to engaging with various stakeholders, public debates etc. in the interest of Local Government.
2. Employer Body refers to being an effective employer representative for members. Employer representation is carried out through collective bargaining (in terms of the Labour Relations Act) in various structures including but not limited to those established in the South African Local Government Bargaining Council.
3. Capacity Building refers to facilitating capacity building initiatives through among others; representing member interests in the Local Government Sector Education Authority (LGSETA). SALGA strives to facilitate a coherent, well-co-ordinated capacity building programme for municipal councillors and officials.
4. Support and Advice refers to the provision of tools and services that enable municipalities to understand and interpret trends, policies and legislation affecting Local Government and to implement the said policies and plans
5. Strategic Profiling of Local Government refers to enhancing the profile and image of local government as an important and credible agent for the delivery of services. Profiling focuses within South Africa, the African continent and the rest of the world.
6. Knowledge and Information Sharing refers to building and sharing a comprehensive hub of Local Government knowledge, intelligence and innovation that will enable informed delivery of other SALGA mandates.

# MESSAGE OF SUPPORT FROM AGSA



**Kimi Makwetu**  
Auditor-General

**W**e are excited and proud to be part of the development and delivery of the Local Government Records Management Toolkit formulated in partnership with the South African Local Government Association (SALGA) to enable and assist our colleagues in local government. This toolkit is one of the practical interventions that we have identified in our drive to strengthen the public sector. This intervention seeks to establish and entrench disciplines such as effective record management, which has been proven to provide a sound foundation for ensuring openness, good governance and accountability. Hopefully, this will enable accounting officers and those charged with records management to develop focused information management platforms.

The AGSA's involvement and engagements with the public sector since our inception in 1911 have informed the oversight we provide to the public sector. We can confidently state that it is this in-depth knowledge of the challenges faced by the public sector that compel us to not only highlight these challenges, but more importantly, also recommend solutions for improved public confidence in our democracy.

As with all offices of government, local government endeavours daily to serve and account to the South African public. Critical to this service is our ability to effectively manage records especially given the mandated reporting regulations and our duty to our stakeholders. Sustained and effective records management provides us with comfort in our ability to account and report back to our stakeholders in an open and transparent manner.

As we emphasised during the presentation of the Auditor General's 2015 -16 MFMA audit results and several times, improved record keeping at municipalities, ensures that the basic controls around transactions and reconciliations are in place. It also facilitates improved monitoring and credible reporting on important matters such as supply chain and contract management. As auditors, our ideal scenario when conducting audits is to receive the required information such as financial statements that can be cross-referenced to all the relevant and required documents and records. But experience has taught us that records management can be a stumbling block; and so we believe that this toolkit is a step in the right direction to restoring the integrity of our local government and building public confidence.

I trust that you will be able to use this toolkit to firstly help you get the basics right and secondly identify solutions for the challenges you may face in your roles individually and collectively.

The AGSA looks forward to seeing the results of this capacity building intervention in future local government audits.

**Kimi Makwetu**  
Auditor-General



# MESSAGE OF SUPPORT FROM SALGA



**Mr. Xolile George**  
SALGA Chief Executive

**F**inancial sustainability of local government and greater fiscal equity is one of the three goals of SALGA. The goal aims to develop and support the implementation of financial strategies for the long-term sustainability and viability of local government; support innovative revenue enhancement strategies for local government and strengthen financial management systems and controls.

This goal encapsulates the various policy, strategy and support initiatives that are required to build an enabling fiscal framework and adequate local government capacity to deal with financial management. The ultimate focus of this goal is to build long-term financial viability and broader sustainability of municipalities.

One of SALGA's mandates is to strengthen local government capacity to deliver services to their constituencies. To this effect, SALGA introduced a comprehensive, multi-disciplinary, target-driven and customised Municipal Audit Support Programme (MASP) to improve the audit outcomes and maintain a strategic balance between a focus on audit outcomes and providing the basic services to the citizens of South Africa. The overall objective of MASP is to support municipalities who attained qualified or worse audit outcomes in order to gradually improve and sustain improvements; and to support municipalities with unqualified, sustainable audit outcomes.

Long-term financial viability and sustainability of municipalities require effective management of information and records to enable business continuity, good governance and service delivery. The importance of effective records management for municipalities cannot be overemphasised.

I am delighted that SALGA is working with AGSA to contribute to the effective management of the local government's information resources to contribute to improved good governance and service delivery.

We look forward to seeing benefits of this exciting and important partnership

**Mr. Xolile George**  
SALGA Chief Executive

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# ABBREVIATIONS/ACRONYMS AND GLOSSARY OF TERMS

ABBREVIATIONS	
Abbreviations and Acronyms	Description
AGSA	Auditor-General of South Africa
EDRMS	Electronic Document and Records Management System
MFMA	Municipal Finance Management Act
NARS (Sometimes shortened to National Archives)	National Archives and Records Service (of South Africa)
RSA	Republic of South Africa
SALGA	South African Local Government Association
GLOSSARY OF TERMS	
Term	Definitions
Archival value	The long term use that records may have for purposes other than functional use. A document has archival value if its administrative, fiscal, legal, and evidential and/or information value justifies its indefinite or permanent retention as a record.
Archives	Records already in the custody of an archives repository.
Archives repository	A building in which records with archival value are preserved.
Appraisal	Means the decision regarding the preservation requirements of each record or series of records.
Custody	The control of records based upon the physical possession.
Disposal	The process of destroying/deleting records without archival value and transferring to an archives repository all records with archival value.
Disposal authority	The written authority issued by the National Archivist (or the Provincial Archivist) specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted.
Disposal instruction	The specific instruction regarding disposal allocated to each record or file e.g. D for delete/destroy and A20 for transferring into archival custody after 20 years.
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 correspondence system.
Electronic Documents and Records Management System (EDRMS)	A system specifically designed to manage the maintenance and disposition of records. The system maintains the content, context, structure and links between records to enable their accessibility and support their value as evidence. Electronic documents and records management systems are distinguished from business systems, because their primary function is the management of documents and records.
File	A series of documents in a file cover which are related in content.
File cover	A folder which is used to cover documents.
File Plan	A predetermined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

File reference number	A unique identifier for a file. This can be a numerical, alphanumerical or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.
Filing system	All resources, policies, procedures and guidelines around which filing is organised (the term is traditionally used to mean a file plan only).
Non-archival (ephemeral/D) records	Records with no archival value which may be destroyed after a disposal authority has been obtained from the National/ Provincial Archives.
Public record	A record created or received by a municipality in pursuance of its activities
Record	Recorded information regardless of form or medium.
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.
Records management	The management of information resources in the manner that makes information easily accessible, retrieved, stored, protected and disposed of when no longer required for administrative purposes.
Records other than correspondence systems (also known as other records)	Records that do not form part of a correspondence file or case file, e.g. registers, maps, building plans, video tapes etc.
Records retention/disposal schedule	A document which identifies all the records series created or maintained by a municipality, notes the appraisal decisions that have been taken, specifies the periods for which the series are to be retained and their place of custody, and authorises their disposal at the appropriate time (either destruction or transfer to the archival institution).
Registry	It is a physical place or office where records are managed.
Retention period	The length of time that records should be retained by a municipality before they are either transferred into archival custody or destroyed/deleted. 2). In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage in a hierarchical storage management system.
A schedule of records other than correspondence files	A classification system that is used to classify, arrange, and describe "other records" (also known as a Schedule of Other Records or Records Control Schedule).
Terminated records	Records that form part of the classification system that is no longer in use.





## 1. EXECUTIVE SUMMARY

Effective records management is critical to ensure transparency, good governance, accountability, business continuity and service delivery in local government. The aim of the Local Government Records Management Toolkit is to contribute to the effective management of the local government's information or records resources that will contribute to the improved good governance and service delivery.

Local government, established and categorised into metropolitan, district and local municipalities in terms of section 155 of the Constitution of the Republic of South Africa (RSA), seeks to provide democratic and accountable government for local communities.

In performing these objectives, municipalities generate high volumes of records in different formats on a day-to-day basis. As a Constitutional imperative, and in line with the National Archives and Records Service Act (Act No 43 of 1996) as well the various Provincial Archives and Records Services Acts, it is important for municipalities to maintain, manage and use these records in line with sound records management principles. For example, the scanned or physical invoices must always be linked to the payment number generated in the municipality's financial or accounting system. This can be done by combining the file plan reference number on the physical file cover or electronic folder together with the electronically generated payment number. In the absence of a file plan, all physical and scanned invoices or supporting documentation must be referenced using the payment number generated in a municipality's financial or accounting system. This will enable easy retrieval during the auditing process. Evidence has shown that there is a symbiotic relationship between good governance and good recordkeeping. Records management is acknowledged as one of the pillars of an accountable, transparent administration and business continuity.

The MFMA general reports attribute the lack of accountability and good governance to poor records-keeping/records management. Furthermore, poor records-keeping impact on business continuity in local government. This Toolkit provides a step-by-step guide on how to set-up a records management programme and will serve as a benchmarking tool for municipalities that have not yet implemented records management programme. In addition, it will help improve currently existing records management programmes in municipalities. Finally, information professionals will be capacitated and improve the knowledge and skills regarding records management.

Please note: A general observation has shown that a centralised approach to filing is suitable for small municipalities which do not generate high volumes of records. For example, it would be appropriate to have one official in the municipality receiving and managing invoices. On the other hand, a decentralised approach to filing is suitable for big municipalities which generate high volumes of records. For example, each business unit allocate one official to receive and manage invoices.



## 2. INTRODUCTION

Effective records management ensures transparency, good governance, accountability, business continuity and service delivery in local government. It is, therefore, important for municipalities to maintain, manage and use these records in line with sound records management principles. Firstly, the toolkit provides an overview of the local government sector in South Africa. Secondly, it shares the importance of records management in simple manner, followed by legislative framework and standards governing records management in local government. It then presents technical modules providing a step-by-step guide on how to develop and implement a records management programme. Finally, the toolkit presents requirements for setting up registry/records management facilities, followed by processes to be considered when developing and conducting staff records management training.



### 3. OVERVIEW OF THE LOCAL GOVERNMENT SECTOR IN SOUTH AFRICA

The adoption of the 1996 Constitution gave birth to a country-wide, all-inclusive Local government in South Africa. "The Constitution introduced, for the first time in the country's history, a wall-to-wall local government system by providing that municipalities be established for the whole of the territory of the Republic"<sup>1</sup>. As already stated, the Constitution provides for three categories of municipalities, namely, Metropolitan Municipalities, District Municipalities, and Local Municipalities. Together, these three categories of municipalities administer the country's cities and smaller local regions.

The powers and functions of these municipalities are provided for in two main sections in the Constitution, namely Sections 156 and 229. Section 156 outlines the powers and functions of municipalities whilst section 229 provides for Municipal fiscal powers and functions. Section 156 of the Constitution states the following:

- (1) A municipality has executive authority in respect of, and has the right to administer
- a. *the local government matters listed in Part B of Schedule 4 and Part B of Schedule 5 (refer to the table below); and*
  - b. any other matter assigned to it by national or provincial legislation.

As per sub-section (a) above, the functions of the municipalities can therefore be outlined as follows:

Part B of Schedule 4	Part B of Schedule 5
<ul style="list-style-type: none"> <li>• Air pollution</li> <li>• Building regulations</li> <li>• Child care facilities</li> <li>• Electricity and gas reticulation</li> <li>• Firefighting services</li> <li>• Local tourism</li> <li>• Municipal airports</li> <li>• Municipal planning</li> <li>• Municipal health services</li> <li>• Municipal public transport</li> <li>• Municipal public works (only in respect of the needs of municipalities in the discharge of their responsibilities to administer functions specifically assigned to them under this Constitution or any other law)</li> <li>• Pontoons, ferries, jetties, piers and harbours, excluding the regulation of</li> <li>• international and national shipping and matters related thereto</li> <li>• Storm-water management systems in built-up areas</li> <li>• Trading regulations</li> <li>• Water and sanitation services (limited to potable water supply systems) and</li> <li>• domestic waste-water and sewage disposal systems</li> </ul>	<ul style="list-style-type: none"> <li>• Beaches and amusement facilities</li> <li>• Billboards and the display of advertisements in public places</li> <li>• Cemeteries, funeral parlours and crematoria</li> <li>• Cleansing</li> <li>• Control of public nuisances</li> <li>• Control of undertakings that sell liquor to the public</li> <li>• Facilities for the accommodation, care and burial of animals</li> <li>• Fencing and fences</li> <li>• Licensing of dogs</li> <li>• Licensing and control of undertakings that sell food to the public</li> <li>• Local amenities</li> <li>• Local sport facilities</li> <li>• Markets</li> <li>• Municipal abattoirs</li> <li>• Municipal parks and recreation</li> <li>• Municipal roads</li> <li>• Noise pollution</li> <li>• Pounds</li> <li>• Public places</li> <li>• Refuse removal, refuse dumps and solid waste disposal</li> <li>• Street trading</li> <li>• Street lighting</li> <li>• Traffic and parking</li> </ul>

Table 1: Functions of Municipalities

<sup>1</sup> SALGA Website <https://www.salga.org.za/> accessed on the 6th July 2019



As stated on the previous page, additional powers and functions of municipalities are provided for in Section 229 of the Constitution which states the following regarding municipal fiscal powers and functions:

*(1) Subject to subsections (2), (3) and (4), a municipality may impose (a) rates on property and surcharges on fees for services provided by or on behalf of the municipality; and b) if authorised by national legislation, other taxes, levies and duties appropriate to local government or to the category of local government into which that municipality falls, but no municipality may impose income tax, value-added tax, general sales tax or customs duty.*

In discharging these powers and functions, municipalities generate high volumes of records on a day-to-day basis. It is important for them to maintain, manage and use these records in line with sound records management principles in order to realise the tangible benefits offered by records management, from economic good practice in reducing storage costs of documents, to enabling them to meet legislative requirements. It is with this understanding and appreciation (of records management) in mind that AGSA and SALGA took a decision to develop this toolkit that is aimed at improving recordkeeping practices within local government in South Africa.



## 4. THE IMPORTANCE OF RECORDS MANAGEMENT FOR PUBLIC INSTITUTIONS AND LOCAL GOVERNMENT IN PARTICULAR

What is records management? It is proper to first unpack the term “record”. The National Archives and Records Services Act, 1996 defines a record as recorded information regardless of form or medium. However, the National Archives and Records Services of South Africa (NARS)'s 2007 records management policy manual second definition of “record” means evidence of a transaction, preserved for the evidential information it contains. The table below provides examples of what is a record and what is not.

Records	Non-records
Budgets	Copies of correspondence, directives, forms, and other documents on which no administrative action is recorded or taken.
Payrolls	Routing slips and transmittal sheets adding no information to that contained in the transmitted material.
Accounting records	Tickler, follow up, or suspense copies of correspondence, provided they are extra copies of the originals.
Vouchers	Duplicate copies of documents maintained in the same file.
Reports,	Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set.
Meeting minutes	Catalogues, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken.
Emails	Physical exhibits, artefacts, and other material objects lacking evidential value.

Both records and non-records need to be managed properly for different reasons, for example, records are managed for their evidential value and non-records for their informational value. The importance of effectively managing records for evidential value is illustrated on a table below. The management of non-records, for instance, includes safeguarding personal information for confidential purpose, in the context of South Africa, in compliance with the Protection of Personal Information Act, 2013.

The South African National Standard 15489-1, of which NARS adopted, define records management as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. Without adequate records, the effectiveness of development projects will most likely suffer. There will be no means to verify and prove that funds for development are used as intended. Lack of records management is directly linked to the persistence of corruption and fraud. An unmanaged record system makes the performance of duties more difficult, costs municipalities time, money and resources, and makes them vulnerable to security breaches, prosecution and embarrassment. In an unmanaged records environment, retrieval of information becomes very difficult.

Why one would want to care about sound management of records within the public institutions and local government in particular? The following are just some of the benefits of sound records management:

<b>Benefit</b>	<b>Who benefits?</b>	<b>Example of records</b>	<b>Example of a Scenario</b>
<b>1. Organisation performance and service delivery</b>	Council Top Management Communities/Consumers	IDP documents	Access to IDP documents ensure delivery of municipal infrastructure that benefits communities
<b>2. Good governance</b>	Council Top Management Communities/Consumers	Budget allocations, Financial Reports	Well-kept records serve as evidence of how municipality spend their budgets
<b>3. Informed decision-making</b>	Council Top Management Communities/Consumers	Council Minutes, Financial reports,	If a Council cannot have access to previous minutes it becomes difficult to make informed decisions
<b>4. Compliance with legislation</b>	Council Top Management Communities/Consumers	Occupational Health and Safety (OHS) records	Easy access to OHS records ensures that municipality are able to prove compliance during inspections
<b>5. Protection of human rights and entitlements</b>	Communities/Consumers	Billing records	Proper billing records help to ensure that consumers are not overcharged for municipal services
<b>6. Achievement of strategic objectives</b>	Council Top Management	Strategic Plans Operational Plans	Readily available planning documents help the municipality to implement and report on their implementation plans with ease.
<b>7. Legal Defensibility</b>	Council Top Management	Contracts	Well-kept contracts are useful in resolving contractual disputes
<b>8. Improved audit opinions</b>	Top Management Auditors	Financial records	Readily available financial records makes auditing of municipality much easier.
<b>9. Enabler for e-government strategies</b>	Top Management Communities/Consumers	Electronic records	Availability of electronic information enables municipalities to automate their processes and therefore improve interaction with consumers.

Table 2: Benefits of sound records management



For the above benefits to be realised, municipalities must ensure the following elements (pillars) of sound records management programme as identified by the National archives are in place:

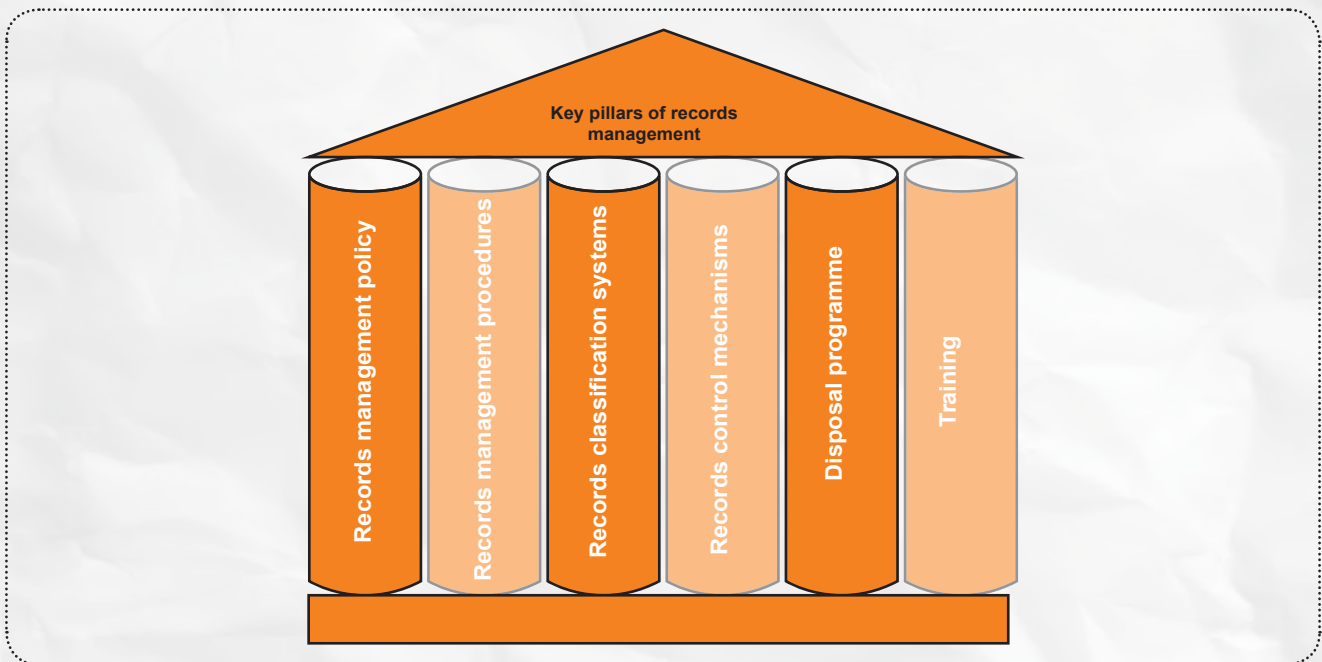


Figure 1: Key pillars of records management

- Records management policy: Records managers should implement records management policies which are endorsed by Municipal Managers and their top management teams as well as by the Provincial Archives.
- Records management procedures: The records management policy should be backed by the municipality's records management procedures.
- Records classification systems: Each municipality should implement and maintain a File plan against which correspondence records are classified, described, and arranged.
- Record control mechanisms: Each municipality should implement and maintain the following record control mechanisms: Register of files opened, Register of disposal authorities, and a Destruction register.
- Disposal programme: A systematic disposal programme should be implemented.
- Training: Records managers should attend training courses to equip themselves with the necessary skills needed to perform their tasks.

The technical modules in Chapter 6 provide a step-by-step guide on how to develop and implement all these key records management tools within municipalities. The following section presents legislative framework and standards governing records and information in South Africa.



## 5. LEGISLATIVE FRAMEWORK AND STANDARDS GOVERNING RECORDS MANAGEMENT IN LOCAL GOVERNMENT

Prior to the 1996 Constitution (Act no.108), public records of all three levels of government (national, provincial and local) were governed by national legislation. However, the new Constitution of the Republic of South Africa divides the responsibility for the management of records of public bodies between the National and the Provincial Archives Services. In terms of Schedule 5 of the Constitution, archives other than national archives are designated as a functional area of exclusive provincial legislative competence. As a Constitutional imperative, provinces are therefore expected to promulgate their own archives and records services legislation and to create and establish own archival and records management infrastructure.

Public records in municipalities should therefore be managed in terms of the broad policy guidelines contained in both the National Archives and Records Service Act and the various Provincial Archives Acts. At the time of developing this toolkit, North-West is the only province that is yet to promulgate its own Provincial Archives Act. In the absence of the provincial archives legislation, municipalities in the North-West Province are expected to manage their records in line with the provisions of the National Archives and Records Service Act, assisted by the North-West Provincial Archives. Below is an outline of applicable archival legislation in South Africa, followed by related legislation.

Item No	Legislations /Standards	Summary of the Objective
Legislation		
1.	The Constitution of the Republic of South Africa (Act No. 108 of 1996)	Section 195 outlines the basic values and principles governing public administration. Amongst these values the Constitution notes the following: <ul style="list-style-type: none"><li>• Effective, economical and efficient use of resources (Records are resources)</li><li>• Provision of timely, accessible and accurate information (Records is an enabler to this value).</li><li>• Accountable and transparent public administration (Records is an enabler to this value).</li></ul>
2.	The National Archives and Records Service Act (Act No. 43 of 1996 as amended)	The Act is aimed at regulating records management functions within governmental bodies at the national level of government. However, the Act serves as reference on records management processes to bodies at all levels of government. Section 13(1) states that "...the National Archivist shall be charged with the proper management and care of records in the custody of governmental bodies".

Item No	Legislations /Standards	Summary of the Objective
3.	The National Archives Regulations	Section 10(1) of the regulations states that “the head of a governmental body shall be responsible for ensuring that all records of such body - (a) receive appropriate physical care, (b) are protected by appropriate security measures; and (c) are managed in terms of standing orders of that body and other relevant legislation. Section 11(1) states that “no governmental body shall use a records classification system unless it has been approved by the National Archivist”.
4.	The Various Provincial Archives and Records Services Acts: <ul style="list-style-type: none"> <li>• Mpumalanga Archives Act (Act No. 14 of 1998)</li> <li>• Free State Provincial Archives Act (Act No. 4 of 1999)</li> <li>• KwaZulu-Natal Archives and Records Service Act, No. 8 of 2011</li> <li>• Northern Province (Limpopo) Archives Act (Act No.5 of 2001)</li> <li>• Eastern Cape Provincial Archives and Records Service (Act No. 7 of 2003)</li> <li>• Provincial Archives and Records Service of the Western Cape Act (Act No. 3 of 2005)</li> <li>• Northern Cape Archives and Records Services Act (Act No. 7 of 2013)</li> <li>• Gauteng Provincial Archives and Records Services Act (Act No. 5 of 2013)</li> </ul>	All these pieces of legislation are in concomitant and consistent with the National Archives and Records Services Act.
5.	The Municipal Finance Management Act (Act No. 56 of 2003)	In terms of Section 62. (1) The accounting officer of a municipality is responsible for managing the financial administration of the municipality, and must for this purpose take all reasonable steps to ensure— (a) that the resources of the municipality are used effectively, efficiently and economically, (b) that full and proper records of the financial affairs of the municipality are kept in accordance with any prescribed norms and standards.
6.	Treasury Regulations of 2005	Part 17.2 emphasises the need to properly manage financial information. It also stipulates the retention period for financial records.



Item No	Legislations /Standards	Summary of the Objective
7.	The Promotion of Access to Information Act (Act No. 2 of 2000)	The Act is aimed to foster a culture of transparency and accountability. To this end, Section 11(1) states that "a requester (of information) must be given access to a record of a public body if that requester complies with all the procedural requirements in this Act relating to a request for access to that record; and access to that record is not refused in terms of any ground for refusal Contemplated in Chapter 4 of this Part.
8.	The Promotion of Administrative Justice Act (Act No. 3 of 2000)	The Act is aimed to ensure that administrative action is lawful, reasonable and fair. Section 5 (1) states that "any person whose rights have been materially and adversely affected by an administrative action...may request the administrator to furnish written reasons...". Without good recordkeeping, it will be difficult for any municipality to explain its administrative action.
9.	The Electronic Communication and Transactions Act (Act No. 25 of 2002)	The Act aims to legalise electronic transactions and communications. Municipalities are encouraged to create authentic and reliable records/ data messages of electronic transactions and communications. Section 15(1) states that "rules of evidence in legal proceedings not to deny the admissibility of data messages in evidence".
10.	Basic Conditions of Employment Act (Act No.75 of 1997)	Section 31 requires the employer to maintain Staff personal files "for a period of three years from the date of the last entry in the record".
11.	The Protection of Personal Information (POPI) Act (No. 4 of 2013)	The Act is aimed "To promote the protection of personal information processed by public and private bodies" in line with Section 14 of the Constitution which provides "that everyone has the right to privacy".
12.	The Minimum Information Security Standard (MISS)	MISS is a policy document on information security in government. It is aimed at providing the necessary procedures and measures to protect information.
<b>Standards</b>		
13.	ISO 15489 (adopted by SABS as SANS 15489)	Section 4 of the ISO 15489-1:2001 states that records management includes: <ul style="list-style-type: none"> <li>• setting policies and standards;</li> <li>• assigning responsibilities and authorities;</li> <li>• establishing and promulgating procedures and guidelines;</li> <li>• providing a range of services relating to the management and use of records;</li> <li>• designing, implementing and administering specialised systems for managing records; and</li> <li>• integrating records management into business systems and processes.</li> </ul>



## 6. TECHNICAL MODULES

This section describes the practical knowledge and methods required to perform records management activities. Each set of standardised records management units are illustrated in figure 2 of this document.

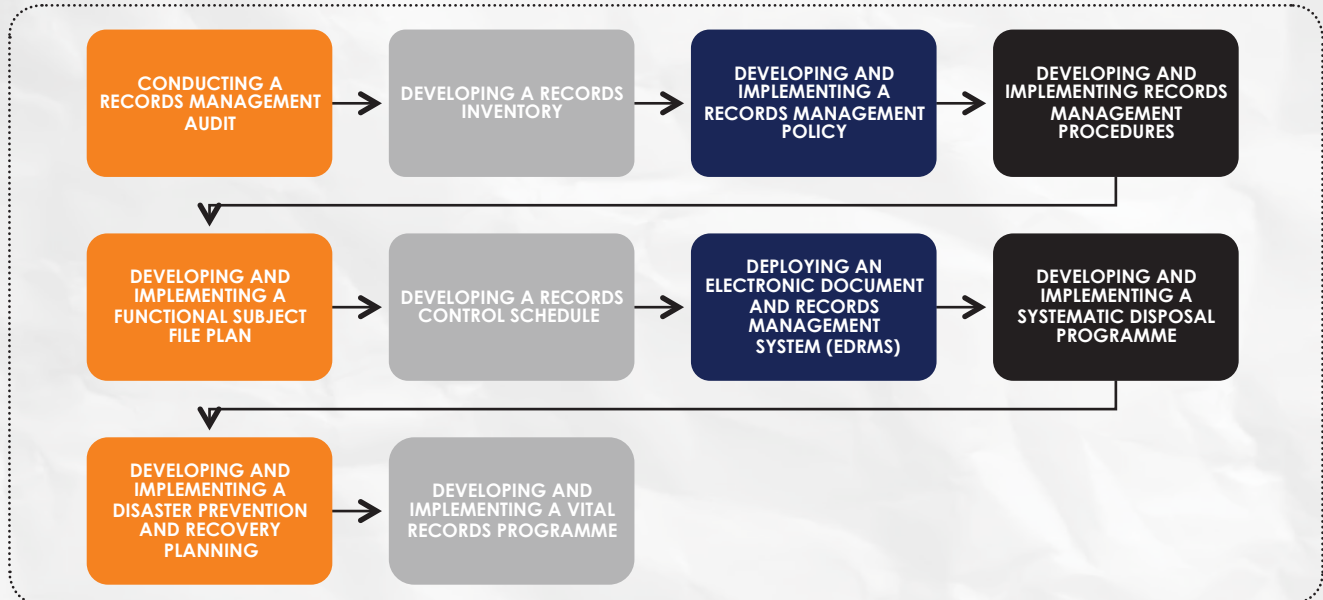


Figure 2: An overview of the technical modules

### 6.1 CONDUCTING A RECORDS MANAGEMENT AUDIT

#### 6.1.1 QUESTIONS TO REFLECT ON:

The following questions are worth reflecting on before tackling this section of the toolkit:

- At what maturity level is your municipality's records management programme?
- Does your municipality comply with all the records management requirements as prescribed by the National Archives and the Provincial Archives?



#### 6.1.2 WHAT IS A RECORDS MANAGEMENT AUDIT?

The word 'audit' is most often associated with an independent examination of financial records by external auditors or consultants, or the body or department undertaking this. In its broader context, 'audit' can be used to describe a review or scrutiny of any system, or of the processes that make up a system. The main purpose of an audit is to provide assurance that systems and processes are effective, compliant and risk free. It also provides a mechanism for regular scrutiny and improvement of systems.

Within the context of the objectives of this toolkit, a records management audit is an evaluation of a municipality's records management system to ascertain its reliability, efficiency, and compliance with minimum requirements. It is a management control designed to examine and evaluate the degree to which a municipality complies with the records management requirements as set down by the Provincial and National Archives.

The following are two types of audits:

- a. A comprehensive audit: this audit approach is an assessment of as many auditable elements as possible. This type of an audit is ideal for a first audit so that a complete picture of a municipality's records management environment is gathered. It is therefore less frequent than an Aspect-Specific audit since it requires more time and resources.
- b. An Aspect(s)-Specific audit: this audit approach focuses on a specific auditable element. It is ideal for a secondary or subsequent audits.

### 6.1.3 WHY CONDUCT A RECORDS MANAGEMENT AUDIT?

A successful records management programme starts with an understanding of a municipality's recordkeeping environment. A records management audit is therefore a precursor to defining a municipality's records management strategy. It is an exercise that is helpful in the familiarisation with the municipality's records environment or filing system. Knowing what records you have as a municipality, and knowing where they are created and where they are located, and the conditions under which they are managed, is an obvious first step in the journey to better information management and utilisation of information assets.

The following are some of the benefits of conducting a records management audit:

- a. To obtain a report of factual findings concerning the adequacy of records management practices within a municipality.
- b. To assess the level of compliance with applicable records management prescripts.
- c. To assess the adequacy of resources deployed for records management activities and initiatives within a municipality.
- d. To express an opinion on the municipality's filing system.
- e. To develop informed submissions and business cases for records management.

The following are among the key elements of records management that may be audited:

Key Auditable Element	Audit Objective
1. Records Inventory	To identify record series and locations within the municipality.
2. Records Management organisational structure	To look into the suitability of location of the records management function within the municipality.
3. Human resources / Staffing for Records Management	To assess the staffing needs of records management units within the municipality.
4. Recordkeeping systems, policies and guidelines	To assess the availability and use of records classification systems (file plan, records control schedule), policies, and guidelines.
5. Financial resources for Records Management	To assess the funding patterns for records management needs.
6. Material resources for Records Management	To assess resource allocation for records management initiatives.
7. Skills audit	To assess if relevant staff receives appropriate training in records management
8. Compliance with the Information Security principles	To assess the security and confidentiality of records
9. Electronic Records	To assess the technologies and practices for maintaining, storing and managing electronic records within the municipality
10. Archiving, disposal and destruction of records	To assess the actual processes involved as well as the schedules of records for archiving, disposal and destruction
11. Disaster Recovery and Business continuity Plan	To assess the municipality's readiness to cope with disasters that could damage records

Table 3: Auditable elements in Records Management



## 6.1.4 WHO SHOULD CONDUCT A RECORDS MANAGEMENT AUDIT?

In terms of Section 13 (5) (a) of the National Archives and Records Service Act (Act. No 43 of 1996 as amended), "the head of a governmental body shall, subject to any law governing the employment of personnel of the governmental body concerned and such requirements as may be prescribed, designate an official of the body to be the records manager of the body". Section 13 (5) (b) states further that "the records manager shall be responsible to see to it that the governmental body complies with the requirements of this Act". The various provincial Archives Acts carries the same provisions applicable to the provincial and local level of government.

Therefore, each municipality's records manager has overall control of the municipality's records management functions and activities. The Registry Procedure Manual states that "no procedural amendments concerning any records management practices should be implemented without the knowledge and/or consent of this official (records manager). In executing these functions, the records manager will normally be assisted by his/her own team (records management staff). However, the records manager may also engage the services of parties outside the records management unit (e.g. other relevant business units within the municipality, the regulatory body such as the Provincial Archives, or even an external service provider).

To this end, the Records Manager is responsible for ensuring that regular records management audits are undertaken for the purpose of identifying and closing gaps in the municipality's recordkeeping system. However, the records manager will also determine which approach to use in conducting an audit. There are basically two approaches/models to conducting a records management audit:

- a. **Internal Audit:** A records audit can be conducted internally by the Records Management Unit or an expert function such as Internal Audit, Risk Management, Compliance and Monitoring etc.
- b. **External Audit:** An audit can also be conducted by an outside entity such as a service provider or a regulatory body (e.g. the Provincial Archives or the National Archives). This approach is normally applied to demonstrate that the municipality complies with the standards, and industry best practices. Just as outside accounting auditors are required for financial controls and policies, outside records management auditors play an important role in helping a municipality improve their compliance and develop "plausible deniability" related to records management.

## 6.1.5 THE RECORDS MANAGEMENT MATURITY MODEL

It is important to note that municipalities within the country are at different levels of maturity in as far as records management is concerned. The question is, at what level of maturity is your municipality? To be able to answer this question it is important to understand the Records Management Maturity Model. The Model describes the typical behaviour exhibited by a municipality at five levels of maturity, namely, uncertainty, awakening, enlightening, wisdom, and certainty. Below is an attempt to describe the five levels so that each municipality is able to position itself within the model.

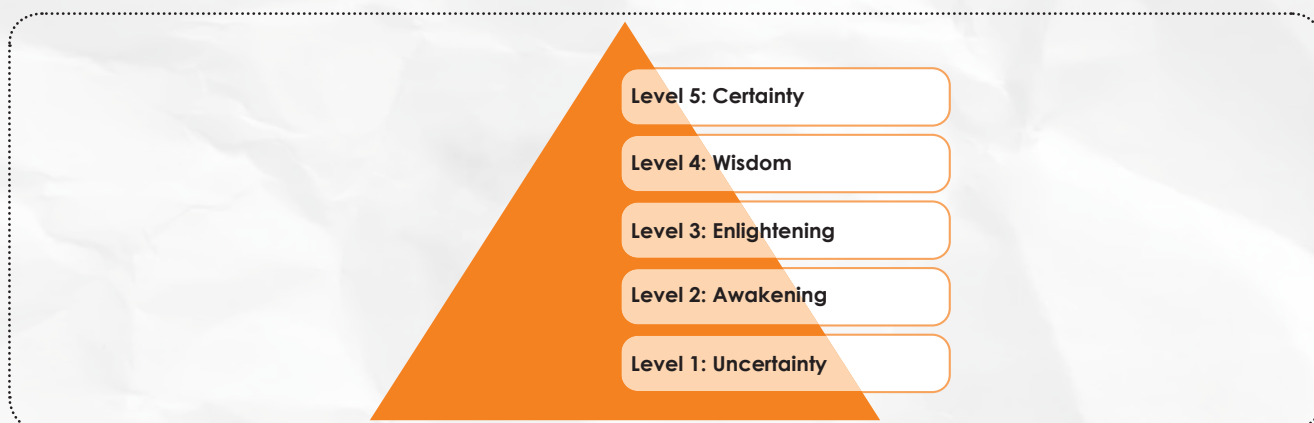


Figure 3: Records Management Maturity Model

- **Level 1: Uncertainty:** At this stage there are no disciplined records management processes. Recordkeeping depends on the efforts of few individuals. There is also no supporting platform for records management processes (E.g. no dedicated records management unit, no records storage facilities, no records classification systems, policies and guidelines etc.).
- **Level 2: Awakening:** At this stage, the platform is not yet intact but there are efforts to establish one. For example, relevant personnel is appointed, a file plan is developed etc. There are attempts to develop systems to support records management processes.
- **Level 3: Enlightening:** At this stage, the supporting platform is established: dedicated records management unit, trained records staff, classification systems, policies, guidelines, storage facilities. However, this platform is not supported by the human element: behaviour, practices and attitudes
- **Level 4: Wisdom:** At this stage there is a convergence between the platforms and the human factor. Officials within the municipality fully appreciate and adhere to the new records management regulations.
- **Level 5: Certainty:** The “meeting of minds” between the platform and the human factor is so mature that it makes it easy to implement an electronic records management system/s within the municipality.

### 6.1.6 A STEP-BY-STEP GUIDE IN CONDUCTING A RECORDS MANAGEMENT AUDIT

Below is a recommended flowchart to be deployed when conducting a records audit:

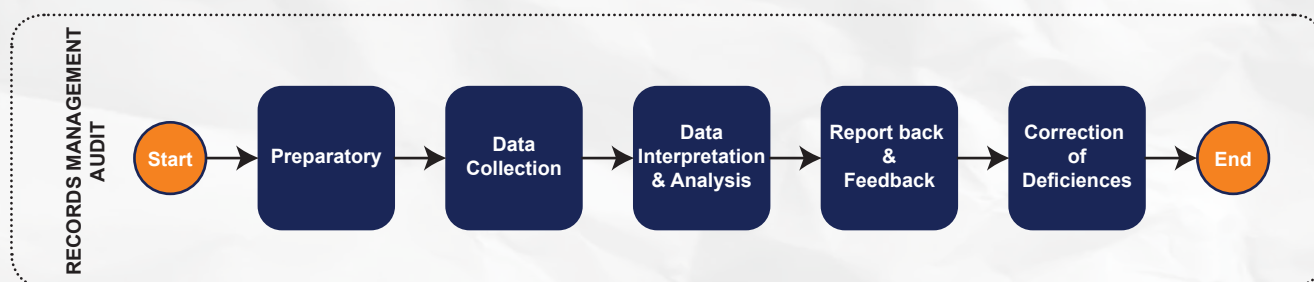


Figure 4: Records Management Audit Flowchart

The following are the 5 steps in conducting a records management Audit:

Step	Responsibility	Output/s
1. Preparatory	Audit team	Audit instruments/tools Audit Schedule
2. Data collection	Audit team	Completed audit instruments/tools
3. Data analysis and interpretation	Audit team	Draft audit report
4. Reporting and feedback	Audit team	Final audit report
5. Correction of deficiencies	Affected business units	Report

Table 4: Five steps in conducting a records management audit



## STEP 1: PREPARATORY STAGE

Although very short in nature, this phase is very important since it is used to lay the ground for processes to follow. It is at this stage that all operational matters such as programmes, timetables, timeframes etc. will be discussed and agreed upon. Planning the audit work will help to ensure that appropriate attention is devoted to important areas of a municipality's business, and that potential problems are identified and the work is completed expeditiously. Planning also assists in assigning tasks to staff, and in coordinating tasks with other project partners.

The following are the key preparatory activities:

- a. **Scoping:** a decision should be made on the extent of the audit (e.g. is it going to be an aspect-specific or comprehensive audit? is it a complete audit or sampling? Will the audit be executed across the municipality or at selected sites/business units? Will the audit cover all record types regardless of form or medium?)
- b. **Development of Audit Instruments:** data collection instruments such as questionnaires and checklists are developed. The contents of Audit Instruments are determined by the audit purpose (scope). Instruments should be user-friendly and measurable.
- c. **Establish an audit team:** A configuration of the audit team will depend on whether the audit is going to be undertaken by the records management unit or another function outside records management (e.g. Internal Audit, Risk & Security, Compliance & Monitoring etc.) or another entity outside the municipality (e.g. a service provider, the Provincial Archives, the National Archives etc.).
- d. **Inform staff:** A records management audit should not be seen as a policing act. All staff members will need to be aware that an audit is taking place. It is important to ensure that all managers and relevant officials are informed. The communication/s will request staff to provide their cooperation and to make records available to the audit team at the requested time.

## STEP 2: DATA COLLECTION

This is the main, and consequently the longest phase of an audit. All relevant data will be collected on agreed auditable records management aspects.

The following are the most workable methods for collecting the data:

- a. **Questionnaire:** Questionnaires are sent to relevant officials for completion.
- b. **Observation:** The audit team "walks through" all relevant records storage areas and gathers all the required information by querying, looking, measuring and questioning relevant staff.
- c. **Face-to-face interviews:** In a structured interview, the audit team asks a standard set of questions. Face-to-face interviews have a distinct advantage of enabling the audit team to establish a rapport with potential participants and therefore gain their cooperation. These interviews yield highest response rates in audit research. They also allow the auditor to clarify ambiguous answers and when appropriate, seek follow-up information.

## STEP 3: DATA ANALYSIS AND INTERPRETATION

Once data has been collected, it needs to be analysed and interpreted so that it provides answers to areas of concern. Analysing the data and interpreting the results is a "reward" for the work of collecting the data. Analysis of data is a process of inspecting, cleaning, transforming, and modelling data that was collected during the records management audit with the goal of discovering useful information, suggesting conclusions, and supporting decision making. Analysing information involves examining it in ways that reveal the relationships, patterns, trends, etc. that can be found within it. That may mean subjecting it to statistical operations that can tell you not only what kinds of relationships seem to exist among variables, but also to what level you can trust the answers you are getting. The point, in terms of your evaluation, is to get an accurate assessment of the filing environment within the municipality in order to better understand the overall situation.

Analysis can be done in two ways:

- a. **Manual method:** calculations and assessment is done manually.
- b. **Electronic analysis methods:** electronic statistical methods or tools are used to reach a conclusion.



#### STEP 4: REPORTING AND FEEDBACK

Strictly speaking, the audit itself can be documented solely by the completed audit tool form. However, this may not be the most helpful way of communicating to the operating staff what the audit has discovered. It is therefore imperative to produce a report that makes specific recommendations, expand on audit findings, and perhaps most importantly, highlight good practices that are already in place within the municipality. It is also important that this comprehensive report be forwarded to the municipal manager (as the accounting officer), and/or to the Council for noting and sign-off. There is no prescribed format for an audit report: The report should be a combination of text and graphical sketches.

The following are some of the proposed components:

- Letter of transmittal
- Title page
- Table of Contents
- Executive summary
- Glossary (Definitions)
- List of abbreviations
- Background/Introduction
- Legal Mandate
- Audit Scope
- Methodology
- Findings
- Commendations & Recommendations
- Acknowledgements (if appropriate)/Words of thanks
- Annexures/Appendices

#### STEP 5: CORRECTION OF DEFICIENCIES

The benefit from audit work is not in the recommendations made, but in their effective implementation. Based on the findings outlined in the audit report, an action plan should be developed. The action plan should describe how the municipality will plan for and progressively implement actions to improve its records management practices. Correction of deficiencies is the roll-out of the records management action plan or strategy. In some ways, a records management action plan is a “heroic” act: it helps to turn records management dreams into a reality. A records management action plan is a way to make sure the municipality’s vision is made concrete. It describes the way the municipality will use its strategies to meet its objectives. An action plan consists of a number of action steps or changes to be brought about in the municipality with regard to records management systems and practices.

### 6.1.7 RECORDS INSPECTIONS CONDUCTED BY THE PROVINCIAL ARCHIVES

In terms of Section 13(2)(c) of the National Archives and Records Services Act, “the National Archivist shall inspect public records in so far as such inspection may be necessary for the performance of his or her functions under this Act: Provided that the inspection of public records which contain information the disclosure of which is restricted by any other Act of Parliament shall be done only with the consent of the head of the governmental body concerned”. The provincial archives and records service Acts of the various provinces also make provision for the Provincial Archives to undertake inspections of records in municipalities and other entities within provinces. Below are the categories of inspection conducted by the National/Provincial Archives:

**Routine inspection:** This inspection covers the full range of records management functions, but not in depth. It is designed to secure an overall picture of the municipality’s records management practices and to make the body aware of its responsibilities in terms of the Act. It is used primarily for new municipalities, municipalities which have undergone substantial organisational restructuring, and municipalities with which the National/Provincial Archives has had little contact.

**Inspection of approved file plan implementation:** This inspection should be undertaken within the first year of a file plan's implementation, and its purpose is fourfold:

- i. If the file plan has replaced a previous file plan, to check that the file plan and physical files have been properly terminated;
- ii. To confirm the desirability or otherwise of provisions in the file plan which although acceptable appear either unnecessary or inappropriate;
- iii. To check provisions in the file plan which could overlap;
- iv. To check all parent files in order to confirm their appropriateness (in other words that they are necessary and used in the correct way).

**Inspection of approved filing system maintenance:** This inspection is designed to measure how efficiently and accurately the physical system is being maintained. Ideally such an inspection should take place after the system has been in use for two years, and thereafter it should be undertaken regularly. The following aspects should receive attention:

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

**Appraisal inspection:** This inspection is designed to supplement standing disposal authority applications. Item descriptions, which do not clearly identify either ephemeral or permanently valuable records are investigated. In some cases, limited disposal authority applications can also be facilitated by an on-site inspection.

**Occasional inspection:** By its nature, this inspection is designed for ad hoc application. It is undertaken in response to a request for assistance from a client body, or when the National Archivist identifies a specific problem in a client body.

**Comprehensive inspection:** This inspection is designed to cover in depth all aspects of records management practice in a governmental body. It is seldom used, but is a useful tool in certain circumstances, notably when a client body is experiencing wide-ranging records management problems.

The ideal procedure for such an inspection is as follows:

- i. Send comprehensive inspection questionnaire to the municipality.
- ii. Process the completed questionnaire.
- iii. Do the on-site inspection by following up problems identified in the questionnaire and, where appropriate, inspecting the maintenance of the municipality's approved filing system(s).
- iv. Compile the inspection report and send it to the municipality.
- v. Follow up response to the inspection report.



## 6.1.8 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) TEMPLATE: RECORDS MANAGEMENT AUDIT INSTRUMENT: RECORDS MANAGEMENT PLATFORM

#### A. AVAILABILITY OF RECORDS CLASSIFICATION SYSTEMS, POLICIES AND PROCEDURES

Tick the appropriate answer with an X and comment if necessary

ITEM NO	QUESTION	ANSWER		COMMENT (IF NECESSARY)
1	Does the municipality have an approved file plan for current records?	NO	YES	
2	Does the municipality have a terminated file plan?	NO	YES	
3	Does the municipality have an approved Schedule of other records?	NO	YES	
4	Does the municipality have a terminated Schedule of other records?	NO	YES	
5	Does the municipality have a Registry Procedure Manual?	NO	YES	
6	Does the municipality have a Records Management Policy?	NO	YES	
7	Has the municipality implemented an electronic records management system?	NO	YES	
8	Does the municipality have a Disaster Recovery Plan for records?	NO	YES	
9	Does the municipality have a Records Management Strategy?	NO	YES	
10	Does the municipality have a disposal authority for records?	NO	YES	
11	Has the municipality systematically disposed records in the past?	NO	YES	
12	Does the municipality have a Registry?	NO	YES	
13	Does the municipality have a storage facility for terminated records?	NO	YES	
14	Have all officials in records-related functions undergone security clearance/ background check?	NO	YES	

#### B. APPLICATION, USE AND COMPLIANCE WITH RECORDS CLASSIFICATION SYSTEMS, POLICIES AND PROCEDURES

Rate the use of (or compliance with the following classification systems, policies and procedures within your municipality within a range of 1-5.

ITEM NO	REQUIREMENT	COMPLIANCE LEVEL				
1	File Plan	1	2	3	4	5
2	Schedule of other records	1	2	3	4	5
3	Registry Procedure Manual	1	2	3	4	5
4	Records Management Policy	1	2	3	4	5
5	Electronic Records Management System	1	2	3	4	5



### C. HUMAN, FINANCIAL AND MATERIAL RESOURCES

Tick the appropriate answer with an X and comment if necessary

ITEM NO	QUESTION	ANSWER		COMMENT (IF NECESSARY)
1	Does the municipality have a dedicated records management unit?	NO	YES	
2	Does the municipality have a records manager?	NO	YES	
3	If yes, is the records manager formally designated by the accounting officer?	NO	YES	
4	If yes, is the records manager at a senior management level?	NO	YES	
5	Does the Records Manager perform any other function apart from records management-related functions?	NO	YES	
6	Is the Records Manager overall in charge of records management functions within the municipality?	NO	YES	
7	Has your institution allocated enough storage space for records?	NO	YES	
8	Is there a budget allocation for records management?	NO	YES	

### D: TRAINING

Tick the appropriate answer with an X and comment if necessary

ITEM NO	QUESTION	ANSWER		COMMENT (IF NECESSARY)
1	Has the Records Manager or the person responsible for records management attended the National/Provincial Archives' records management course?	NO	YES	
2	Has the Records Manager or the person responsible for records management attended any basic course in records management?	NO	YES	
3	Has the Records Manager or the person responsible for records management attended any intermediate course in records management?	NO	YES	
4	Has the Records Manager or the person responsible for records management attended any advance course in records management?	NO	YES	
5	Has the Records Manager or the person responsible for records management attended any course in electronic records management?	NO	YES	
6	Has the Records Manager or the person responsible for records management completed a formal academic programme in records management?	NO	YES	
7	Does the Records Manager regularly offer in-service training to registry staff?	NO	YES	

## D: TRAINING

Tick the appropriate answer with an X and comment if necessary

ITEM NO	QUESTION	ANSWER		COMMENT (IF NECESSARY)
8	Does the Records Manager regularly offer Records Management awareness sessions to employees?	NO	YES	
9	Have registry officials attended the National/Provincial Archives' records management course?	NO	YES	
10	Have registry officials attended any basic course in records management?	NO	YES	
11	Have registry officials attended any intermediate course in records management?	NO	YES	
12	Have registry officials attended any advance course in records management?	NO	YES	
13	Have registry officials attended any course in electronic records management?	NO	YES	
14	Have registry officials completed a formal academic programme in records management?	NO	YES	
15	Have registry officials attended an in-service training in records management?	NO	YES	

## E. ASSESSMENT OF HR CAPACITY FOR THE RECORDS MANAGEMENT FUNCTION

Item No	Post Description	Post Level	No. of posts established	No. of filled posts	No. of vacant posts
<b>Staffing Levels</b>					
1	Senior Management				
2	Middle Management				
3	Operational Level				
4	Other				
5					
6					
7					
8					
9					
10					

## F. SKILLS AUDIT

Item No	Name of official	Post level	Attendance of academic programmes and short courses			
			Post-Matric Qualification	Short Courses	National/Provincial Archives	
			Yes/No	Yes/No	Yes/No	Last year attended
1						
2						

**F. SKILLS AUDIT**

Item No	Name of official	Post level	Attendance of academic programmes and short courses			
3						
4						
5						
6						
7						
8						

**(B) TEMPLATE: RECORDS MANAGEMENT AUDIT INSTRUMENT: FILING SYSTEM CHECKLIST****FILING SYSTEM CHECKLIST**

ITEM NO	MINIMUM REQUIREMENT	ANSWER	
1	Is the physical Appearance of Files neat?	NO	YES
2	Is there any backing reinforcement on the files?	NO	YES
3	Does the municipality use a standard file covers?	NO	YES
4	Are records attached by means of a spike or Indian tag?	NO	YES
5	Is the main series heading indicated?	NO	YES
6	Is the description on the file cover clearly stated?	NO	YES
7	Is the title correct?	NO	YES
8	Is the title done with a stencil?	NO	YES
9	Is the file number correct?	NO	YES
10	Is the date of file opened indicated?	NO	YES
11	If it's a closed file, is the date of closure indicated?	NO	YES
12	If it's a closed file, are the words "closed" written on the file cover?	NO	YES
13	Is the thickness of the file within the 3cm limit?	NO	YES
14	Are all documents in the file cover attached (no loose documents)?	NO	YES
15	Is there any control sheet and item numbers used?	NO	YES
16	Are documents in chronological sequence?	NO	YES
17	There are no signs of duplication?	NO	YES
18	There is no sign of misfiling?	NO	YES
19	Is there any sign of opening of files for underlined descriptions?	NO	YES
20	Any control registers?	NO	YES
21	Any master copy of the file plan?	NO	YES
22	Any copy of the registry procedure manual?	NO	YES
23	Do the records under review have a disposal authority?	NO	YES



**(C) TEMPLATE: RECORDS MANAGEMENT AUDIT INSTRUMENT: RECORDS STORAGE FACILITY CHECKLIST**

<b>RECORDS STORAGE FACILITY CHECKLIST</b>			
<b>ITEM NO</b>	<b>MINIMUM REQUIREMENT</b>	<b>ANSWER</b>	
1	The records storage facility should be purpose-built for recordkeeping	NO	YES
2	There should be no chemical/water/fire/pollution danger to the records nearby.	NO	YES
3	Shelves/cabinets in use should be suitable for recordkeeping	NO	YES
4	Shelves/cabinets should be lifted above the floor to minimise chances of water damage in case of flood.	NO	YES
5	Air conditioning system in use should be climatically controlled.	NO	YES
6	There should be no water pipes or basins in the records storage area.	NO	YES
7	Fire extinguishers should be installed and be regularly tested.	NO	YES
8	Fire extinguishers in use should be suitable for use on records (e.g. CO <sub>2</sub> ).	NO	YES
9	The facility should be fumigated regularly.	NO	YES
10	Records should not be exposed to too much direct sunlight or electrical lights.	NO	YES
11	There should not be any loose unprotected cables in the records storage area.	NO	YES
12	Shelves/cabinets should be constructed of non-flammable material.	NO	YES
13	Walls should be constructed of non-flammable material.	NO	YES
14	The records storage area should be equipped with sufficient burglar proofing system.	NO	YES
15	The records storage area should be designed in such a way that it is protected against unauthorised entry (e.g. with a counter or glass window).	NO	YES
16	There should be no signs of water leakages on the records storage's roof.	NO	YES
17	Records should not be exposed to dust.	NO	YES
18	No eating or smoking should take place in the records area.	NO	YES
19	The aisles between the cabinets should allow easy access.	NO	YES
20	There records storage area should not be used as an office space as well.	NO	YES
21	The facility's storage space should be sufficient for the records group involved.	NO	YES
22	The records storage area should be allocated a designated filing area for sensitive records (e.g. a safe or strong room).	NO	YES

## 6.2 DEVELOPING A RECORDS INVENTORY

### 6.2.1 QUESTIONS TO REFLECT ON:

The following questions are worth reflecting on before tackling this section of the toolkit:

- Does the municipality have an inventory of all its records?
- Is the municipality in a position to account for its records in terms of: media, volumes, physical locations, classification and indexing methods?



### 6.2.2 WHAT IS A RECORDS INVENTORY?

A “records inventory” is a detailed listing of an organisation's records. It is a systematic process for identifying all of the records in your municipality, who creates, uses, or receives the information, and where users store it. A completed inventory provides a complete picture of the information environment within a municipality. This picture is very helpful for assessing the needs of your records management program. The inventory serves to identify how information is created and used by employees and by individual groups and users. And it identifies where all that information is stored.

### 6.2.3 WHY DEVELOP A RECORDS INVENTORY?

One of the most important elements in gaining control of your records is the records and information inventory. Simply put, you need to know what records and information you have before you can manage it. This ties in directly with one of the general management principles – “you cannot manage what you do not know”. “A successful management of records obviously requires knowing what records exist within an organisation”<sup>2</sup>. Compiling a records inventory is a critical step in identifying and documenting the current-state of affairs with the management of records and information within the municipality.

A records inventory may be developed for the following purposes:

- The primary purpose of the inventory is to identify your municipality's records collection.
- It is also of tremendous value if your municipality is involved in a lot of litigation.
- The inventory also helps to identify inconsistencies in how records are created, stored, accessed, and managed.
- It serves as the foundation for your records management program and is the basis for many of the other instruments required to manage records effectively. For example, the inventory will have a direct impact on the municipality's classification schemes, including file plans, and records retention schedules.
- It can be used to identify those collections that are critical to the continued operations of your municipality (vital records) and enables you to manage them in the manner most likely to ensure their continued access and availability in the event of a disaster.
- And it can be used to identify current and future storage requirements.
- It can be used to minimise duplication of records
- It can be used to determine volume for scanning purposes

## 6.2.4 WHO SHOULD DEVELOP A RECORDS INVENTORY?

Each municipality's records manager has overall control of the municipality's records management functions and activities. However, developing a records inventory is a labour-intensive activity regardless of the inventory scope. It is therefore important that a team of records management practitioners is established for the purpose of developing a records inventory. The team should be trained on the use and completion of the inventory tools to be deployed. The inventory team may also include officials from other business units which may be relevant to the exercise.

## 6.2.5 A STEP-BY-STEP GUIDE IN DEVELOPING A RECORDS INVENTORY

Below is a recommended flowchart to be deployed when developing a records inventory:

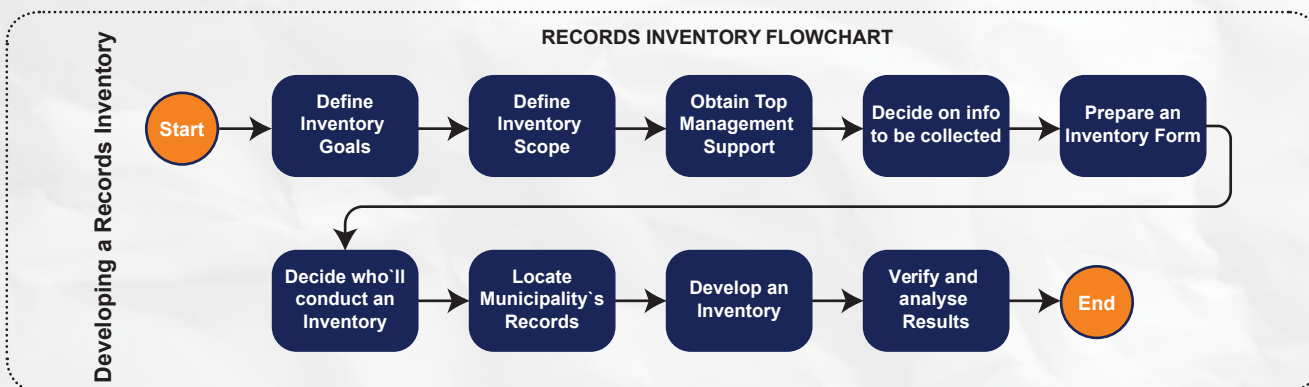


Figure 5: Records Inventory Flowchart

When developing an inventory, it might be more helpful to prioritise and do the important, or urgent, systems in the initial phase and catch the other systems in subsequent inventories. The 9 steps in the records inventory process are:

Step	Responsibility	Output/s
1. Define inventory goals	Records Manager	Concept document/proposal
2. Define inventory scope	Records Manager	Inventory schedule
3. Obtain top management support	Records Manager	Commitment statement
4. Decide on information to be collected	Records Manager	-
5. Prepare an inventory form	Records Manager	Inventory form/template
6. Decide on who will conduct an inventory	Records Manager	List of members of the inventory team
7. Locate municipality's records	Inventory team	-
8. Develop an inventory	Inventory team	Completed inventory forms
9. Verify and analyse the results	Inventory team	Final inventory forms

Table 5: Nine steps in developing a records inventory



1. Define the inventory's goals. While the main goal is gathering information for scheduling purposes, other goals may include preparing for conversion to other media, or identifying particular records management problems.
2. Define the scope of the inventory; it should include all records and other materials. It is also important to determine the scope of the inventory. Will it cover all business units across the entire municipality? That is a massive undertaking for a large municipality. How about all physical locations? Again, this could be quite expensive and effort-intensive. How about all information types? If not, perhaps there is some prioritisation that can be done.
3. Obtain top management's support, preferably in the form of a directive, and keep management and staff informed at every stage of the inventory. Before the inventory development begins, it's important to get senior management support. The inventory development takes time, energy, and effort and impacts every area of the municipality that is within scope. If management in those areas do not support the inventory development it will be difficult to compile it properly and gather all the necessary information.
4. Decide on the information to be collected (the elements of the inventory). Materials should be located, described, and evaluated in terms of use.
5. Prepare an inventory form, or use an existing one.
6. Decide who will compile the inventory, and train them properly. It is very important to determine who will be on your inventory development team. This should be a small, dedicated team that will act as a cohesive unit for the duration of the inventory development.
7. Learn where the municipality's files are located, both physically and organisationally. It is also helpful to identify liaison officials from the various different functional areas of your municipality within scope. After all, they are the subject matter experts who know where information is accessed from and stored. That said, there is a case to be made for "trust but verify." In other words, further along in the inventory process, the liaison officials should be able to identify all information-related processes in their area and where that information is stored. This may reveal locations that were inadvertently missed.
8. Develop an inventory.
9. Verify and analyse the results.

## 6.2.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) TEMPLATE: RECORDS INVENTORY

There is no prescribed template for a records inventory. However, the template below covers the most important elements that should be covered by an inventory:

Item No	File Description	Ref number (If any)	Date range	No. Of files/ Boxes	Location
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					

## 6.3 DEVELOPING AND IMPLEMENTING A RECORDS MANAGEMENT POLICY

### 6.3.1 QUESTIONS TO REFLECT ON

The following questions are worth reflecting on before tackling this section of the toolkit:

- Does your municipality have a Records Management Policy?
- Is the Records Management Policy endorsed by the Provincial Archives?
- Was the Records Management Policy work-shopped within the municipality?
- Do officials manage records in line with the Records Management Policy?



### 6.3.2 WHAT IS A RECORDS MANAGEMENT POLICY?

A Policy is a high-level document developed by an organisation for the purpose of transmitting to employees its guiding strategy and philosophy on a particular function. A policy defines, details, and specifies what is expected from employees with regard to the execution of that function. Policies are normally aligned to generally accepted practices, and/or in line with the regulator's guidelines and regulations, and/or in line with international standards, and a Records Management Policy is not any different. To this end, the National Archives provides guiding principles as follows:

“Records should be managed by the governmental body in terms of the broad policy guidelines contained in the National Archives and Records Service of South Africa Act, (Act No 43 of 1996 as amended). It is, however, essential for each body to establish its own records management policy to link its unique processes and procedures to the requirements of the National Archives and Records Service of South Africa Act. The policy should not only be in line with the Act, but should also link up with the body's overall mandate and mission objectives. The records management policy provides the framework within which a governmental body affirms its commitment to create authentic and reliable records<sup>3</sup>.”

The National Archives further advises that “records managers should implement records management policies, which are endorsed by the heads of the municipalities and their top management teams as well as by the National Archives and Records Service”<sup>4</sup>. The records management policy should address “all aspects of the identification, security, safe custody, disposal and retrieval of records”<sup>5</sup>.

### 6.3.3 WHY DEVELOP A RECORDS MANAGEMENT POLICY?

The purpose of the records management policy is to provide a well-structured records management system within a municipality that classifies, maintains, protects, retains, and disposes records in accordance with operational needs, audit requirements, regulatory requirements, fiscal/legal requirements, as well as historical and reference requirements. Therefore, the policy aims to ensure that records are maintained for as long as they are required until their disposal in accordance with the relevant legislation. The policy also provides the framework for a municipality to effectively fulfil its obligations and statutory requirements under the archival legislation in the new dispensation. It also provides a framework and assign responsibilities for ensuring that full and accurate records of the business activities of a municipality are created, maintained, accessed and disposed of in a controlled manner. Once designed, a policy should be implemented and enforced within the municipality to ensure that there is uniformity in terms of records management practices.

The policy is aimed at promoting and creating an enabling environment for the –

- a. Creation of records as evidence of business transactions
- b. Accurate classification and proper storage of records
- c. Management of electronic records
- d. Regulation of access to records
- e. Security and protection of records
- f. Regulation of transfer of records
- g. Inspection of records
- h. Training of records management practitioners
- i. Authorised disposal of records

3 NARS' Records Management Policy Manual (2007) p73

4 Ibid, p73

5 Ibid, p73



### 6.3.4 WHO SHOULD DEVELOP A RECORDS MANAGEMENT POLICY?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a records management policy is therefore the responsibility of the records manager. However, in developing a records management policy, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. The records manager will also seek guidance and assistance from expert areas such as the Policy Unit, Legal Services etc.

### 6.3.5 A STEP-BY-STEP GUIDE IN DEVELOPING A RECORDS MANAGEMENT POLICY

Below is a recommended flowchart to be deployed when developing and implementing a records management policy:

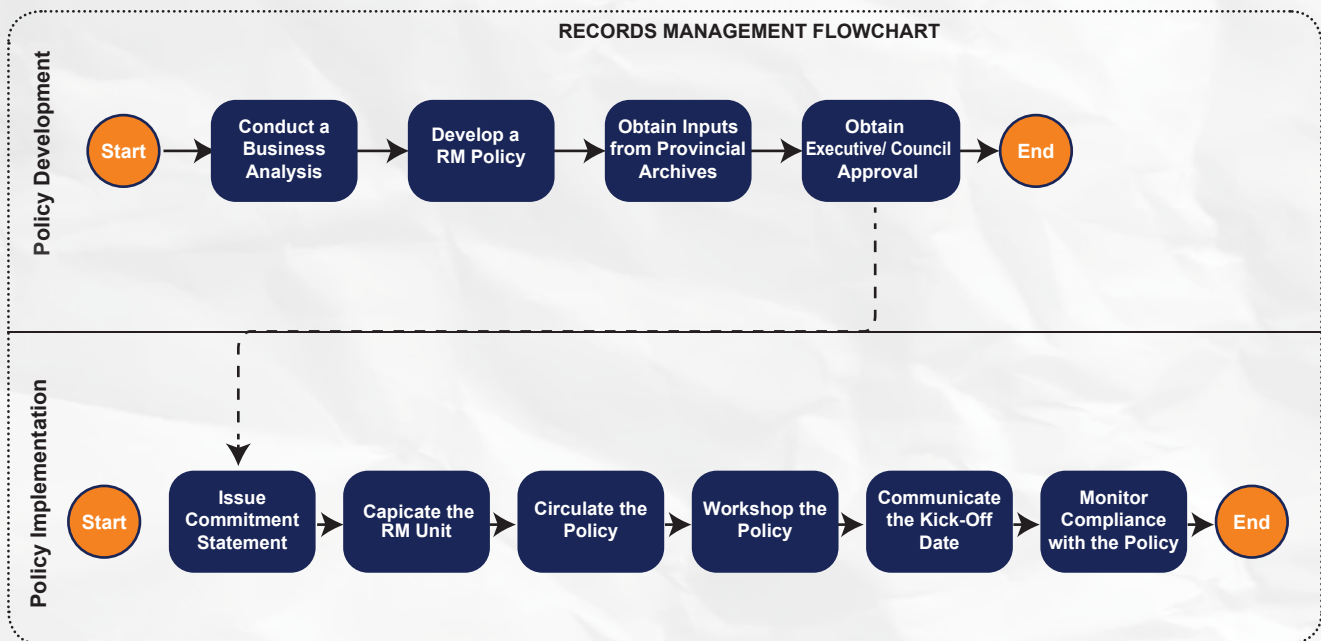


Figure 6: Records Management Policy Flowchart

Below is an outline of the 4 steps that Municipalities should undertake to develop a records management policy:

Step	Responsibility	Output/s
1. Conduct an analysis within which the Municipality operates	Records Manager	Business analysis report
2. Develop a Records Management Policy	Records Manager	Draft Records Management Policy
3. Obtain inputs from the Provincial Archives	Records Manager	Final draft of the Records Management Policy
4. Obtain Executive/Council Approval	Records Manager	Approved Records Management Policy

Table 6: Four step in the development of a records management policy

## Step 1: Conduct an analysis within which the municipality operates

To enable a governmental body to draft a policy that suits the business needs of the specific body, it is advisable that a thorough analysis be done of the environment within which the body operates<sup>6</sup>. The National Archives provides comprehensive guidelines to governmental bodies (including municipalities) in terms of how to develop a records management policy. In terms of these guidelines, there are 4 main aspects<sup>7</sup> to be considered when developing a records management policy:

a. *Understanding the environment in which the municipality exists*

The role of the municipality, its structure, administrative, legal, business, regulatory and socio-political environments in which it operates are major factors affecting its record keeping practices and service delivery obligations. Conducting an institutional analysis will provide:

- an understanding of the municipality and the administrative, legal, business and social contexts in which it operates;
- an understanding of the municipality's record keeping strengths and weaknesses
- an understanding of the records that need to be sustained over the long term;
- a sound basis for defining the scope of the municipality's record keeping project and presenting a business case for managerial support; and
- information about the requirements of the municipality's stakeholders.

The information gathered during an institutional analysis forms an essential foundation for the compilation of a records management policy as well as a functional subject file plan and the preparation of a records disposal authority.

b. *Understanding the business of a municipality:*

Records are created within the business context of a municipality, and are kept as evidence of business activity, i.e. they have an evidential purpose. Every decision a municipality makes, and everything a municipality does, involves the use of information. The manner in which a municipality creates, classifies, stores and manages its records contributes to the success or failure of that municipality. It is necessary to understand the business processes, why and when records are generated and how they should be managed to ensure that they do have evidential weight. This is why an analysis of the business processes is necessary to enable the drafting of a records management policy and a file plan, and to gain an understanding of why records are created and why and for how long they should be retained.

c. *Understanding the records generated by the municipality*

Records are the reflection of a municipality's activities. It is essential to know what information a municipality holds and thus be able to respond to requests for information. A records audit profiles each record series and system, and helps to identify any problems, to establish a records management programme, to design a records management policy and a file plan and to produce a disposal schedule. It also helps to determine what is required to install and maintain the records management programme (space, equipment, personnel, etc.) as well as how to evaluate the efficacy and economy of records management systems, particularly in the context of the preparation for compliance with the Promotion of Access to Information implementation. In order to meet records management objectives and users' needs, having regard to the likely availability of resources, a records audit needs to include the following:

- a full understanding of the municipality - the nature of its activities, its mission, objectives, components and operations;
- level of staff awareness of records management;
- what records are held and the activities to which they relate;
- an inventory of record containers (cabinets, shelves, etc.);
- records documentation (file lists, indexes, etc.);
- extent of records;
- where copies of records exist;

6 NARS' Records Management Policy Manual (2007) p74

7 Ibid, p74



- date range of the records;
- frequency of consultation of the records;
- tracking systems for the records;
- current records management system and competence levels of records management staff;
- record keeping costs;
- identification of records that should be sustained for the long term.

d. *Understanding the impact of records management practices and systems on the human resources*

Records management is a cultural issue in a municipality which requires sufficient understanding of what the current record keeping behaviour of the staff is and how the implementation of a records management policy would impact on the training, skills level and work processes and procedures of the staff. An investigation should be done to determine:

- The influence of ineffective record keeping on the staff and their service delivery;
- The skills level of the staff;
- How the staff would deal with a new record keeping system;
- How the staff would cope with technology when it is introduced;
- How the staff would deal with electronic service delivery;
- The training and change management activities that are necessary to create a record keeping culture.

The records management policy may have an impact on the job functions of existing staff. A municipality should, through an investigation, determine if there is a need to re-skill and redeploy staff. This will afford staff an opportunity to raise issues and concerns and result in them being more receptive to the policy.

To this end, there are 4 main activities that needs to be undertaken before a records management policy is developed, namely:

- Institutional analysis: to understand the municipality's business environment
- Business process analysis: to understand the different processes through which records are generated
- Compilation of a records inventory: to be familiar with the different categories of records regardless of form or medium
- Behavioural and Skills audit: to understand the current record keeping behaviour of the staff

These 4 activities may be undertaken jointly within the context of a records management audit).



### Step 2: Develop the records management policy

The development of a records management policy should be a consultative process to ensure that it addresses all requirements. It is recommended that a 3-cycle consultative process be undertaken as follows:

Development of the 1 <sup>st</sup> Draft
Develop the 1 <sup>st</sup> draft of the records management policy
Circulate the 1 <sup>st</sup> draft of the records management policy for inputs
Development of the 2 <sup>nd</sup> Draft
Develop the 2 <sup>nd</sup> draft of the records management policy upon receipt of the inputs
Circulate the 2 <sup>nd</sup> draft of the records management policy for further inputs
Development of the 3 <sup>rd</sup> and Final Draft
Develop the 3 <sup>rd</sup> and final draft of the records management policy upon receipt of the inputs
Workshop the 3 <sup>rd</sup> and final draft of the records management policy and obtain sign-offs from all business units

### Step 3: Obtain inputs from the Provincial Archives

*“The National Archives and Records Service encourages governmental bodies to submit their record keeping and records management policies to the National Archives and Records Service to review it to ensure that it is aligned with the requirements of the National Archives and Records Service Act”<sup>8</sup>.* In line with this guideline, it is advisable for municipalities to submit the draft records management policies to their respective provincial archives services for inputs and endorsement before internal approval processes.

### Step 4: Obtain Executive/Council approval

Once endorsed by the Provincial Archives, the records management policy can be taken through the internal policy approval processes until it is approved by the Municipal Manager or by the Council depending on approval procedures.

## 6.3.6 A STEP-BY-STEP GUIDE IN IMPLEMENTING A RECORDS MANAGEMENT POLICY

Below are the 6 steps in the implementation of a records management policy:

Step	Responsibility	Output/s
1. Issue a commitment Statement from top management	Municipal Manager	Commitment statement
2. Capacitate the Records Management Unit	Head: Human Resources	Revised organogram
3. Circulate the Records Management Policy	Records Manager	Communique to staff members (with policy as attachment)
4. Workshop the Records Management Policy	Records Manager	Training manual and training schedule
5. Communicate the Policy kick-off date	Records Manager	Communique to staff members
6. Monitor compliance with the policy	Head: Compliance Unit	Compliance report

Table 7: Six steps in the implementation of a records management policy

8 NARS' Records Management Policy Manual (2007) p81

### **Step 1: Issue a commitment statement from top management**

Top management should demonstrate support for the policy by issuing a commitment statement in this regard. The commitment statement may be included as one of the first sections of the policy document and should be disseminated to staff. Furthermore, top and senior management should lead by example by managing their own office's records in line with policy provisions. They should also demand compliance across the business units they are responsible for in order to gain buy-in on the concept from the staff.

### **Step 2: Capacitate the records management unit**

The implementation of a policy should be backed up with resources. Top management should ensure that the records management function is sufficiently resourced to facilitate that effective record keeping becomes a normal administrative practice.

### **Step 3: Circulate the records management policy**

The policy should be disseminated and communicated to the staff and be made available online.

### **Step 4: Workshop the Records Management Policy**

The records management unit should launch a series of records management awareness sessions to inform all the staff of their responsibilities. These sessions should target all officials regardless for rank although the content may be tailor-made for the various groups in terms of their interaction with records.

### **Step 5: Communicate the Policy kick-off date**

The records management unit should determine the implementation date (ideally the beginning of a financial year) and made staff aware of the need to comply with the policy henceforth.

### **Step 6: Monitor compliance with the policy**

Once implemented, it is necessary to monitor staff compliance to the policy. The staff's awareness and understanding of the policy should be monitored by doing spot checks on their record keeping and records management behaviour so that timely interventions can be made. The policy itself should be reviewed regularly to ensure that it continuously meets the business and service delivery needs of the municipality.

## 6.3.7 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) PROTOTYPE RECORDS MANAGEMENT POLICY

Note: For the intended purpose of this toolkit, the content of this National Archives prototype has been customised for municipalities.

#### 1. Purpose

- 1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the [name of the 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 [name of the 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. [Name of the municipality] considers its records to be a valuable asset to:
- enable [name of the municipality] to find the right information easily and comprehensively;
  - enable [name of the municipality] to perform its functions successfully and efficiently and in an accountable manner;
  - support the business, legal and accountability requirements of [name of the municipality];
  - ensure the conduct of business in an orderly, efficient and accountable manner;
  - ensure the consistent delivery of services;
  - support and document policy formation and administrative decision-making;
  - provide continuity in the event of a disaster;
  - protect the interests of [name of the municipality] and the rights of employees, clients and present and future stakeholders;
  - support and document the [name of the municipality]'s activities, development and achievements;
  - provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

#### 2. Policy statement

- 2.1 All records created and received by [name of the municipality] shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.
- 2.2 The following broad principles apply to the record keeping and records management practices of [name of the municipality]:
- The [name of the municipality] follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
  - The records management procedures of [name of the municipality] comply with legal requirements, including those for the provision of evidence.
  - The [name of the municipality] follows sound procedures for the security, privacy and confidentiality of its records.



- Electronic records in the [name of the municipality] are managed according to the principles promoted by the National Archives and Records Service.
- The [name of the municipality] has performance measures for all records management functions and reviews compliance with these measures.

### 3. Relationship with other policies

3.1 The [name of the municipality]'s Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by [name of the municipality]. These policies are managed by the records manager. The following policies exist:

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

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

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

[Note: These are only examples. Municipalities should list the policies that pertain to the records and information management practices in their particular environment.]

### 4. Scope and intended audience

4.1 This policy impacts upon [name of the municipality]'s work practices for all those who:

- create records including electronic records;
- have access to records;
- have any other responsibilities for records, for example storage and maintenance responsibilities;
- have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.

4.2 The policy therefore applies to all staff members of the [name of the municipality] and covers all records regardless of format, medium or age.

### 5. Regulatory framework

5.1 By managing its paper-based records effectively and efficiently [name of the municipality] strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:

- Constitution, 1996;
- National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);
- National Archives and Records Service of South Africa Regulations;
- The Municipal Finance Management Act (Act No. 56 of 2003);
- Promotion of Access to Information Act (Act No 2 of 2000);
- Promotion of Administrative Justice Act (Act No 3 of 2000);
- Electronic Communications and Transactions Act (Act No 25 of 2002).

[Note: Municipalities should list all other acts, regulations and codes of practices that impact on the record keeping and records management practices of the body.]

## **6. Roles and responsibilities**

### **6.1 Head of [Municipality]**

- 6.1.1 The [post designation] is ultimately accountable for the record keeping and records management practices of [name of the municipality].
- 6.1.2 The [post designation] is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 6.1.3 The [post designation] supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 6.1.4 The [post designation] shall designate a senior manager to be the records manager of the [name of the municipality] and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of [name of the municipality] to enable compliance with legislative and regulatory requirements.

### **6.2 Senior managers**

- 6.2.1 Senior managers are responsible for the implementation of this policy in their respective units.
- 6.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 6.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

### **6.3 Records manager**

- 6.3.1 The records manager is responsible for:
- the implementation of this policy;
  - staff awareness regarding this policy;
  - management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
  - 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.
- 6.3.2 The specific duties of the records manager are contained in the Records Manager's job description which is published on the intranet [give URL]/filed on file [give file number from the municipality's file plan].  
[Note: Municipalities should adapt this as is appropriate for their specific circumstances.]
- 6.3.3 The records manager is mandated to make such training and other interventions as are necessary to ensure that the [name of the municipality]'s record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.
- 6.3.4 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of [name of the municipality].



6.3.5 The records manager shall ensure that all records created and received by [name of the municipality] 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.

6.3.6 The [post designation] is the records manager for the whole [name of the municipality].

[Note: If a municipality has sub-records managers, each sub-records manager's area of responsibility should be defined.]

#### **6.4 Chief Information Officer**

6.4.1 The Chief Information Officer is responsible for approval of requests for information in terms of the Promotion of Access to Information Act.

6.4.2 The Chief Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

#### **6.5 IT manager**

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

6.5.2 The IT manager shall work in conjunction with the records manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.

6.5.3 The IT manager shall ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.

6.5.4 The IT manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.

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

6.5.6 The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.

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

6.5.8 The IT manager shall ensure that systems that manage and store records are virus free.

6.5.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in:

- the Electronic Records Management Policy;
- the E-mail policy;
- the Web content management policy;
- document imaging policy; and the
- Information security policy.

[Note: If a municipality does not have separate policies, the detailed requirements should be included in this document]



## **6.6 Security manager**

- 6.6.1 The security manager is responsible for the physical security of all records.
- 6.6.2 Details regarding the specific responsibilities of the security manager are contained in the information security policy.

## **6.7 Legal services manager**

- 6.7.1 The legal services manager 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 [name of the municipality].

## **6.8 Registry staff**

- 6.8.1 The registry staff are responsible for the physical management of the records in their care.
- 6.8.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual*.

## **6.9 Staff**

- 6.9.1 Every staff member shall create records of transactions while conducting official business.
- 6.9.2 Every staff member shall manage those records efficiently and effectively by:
- allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
  - sending paper-based records to the registry for filing;
  - ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.
- 6.9.3 Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

[Note: Municipalities should identify and define all other roles and their responsibilities.]

# **7. Records classification systems and related storage areas**

The [name of the municipality] has the following systems that organize and store records:

## **7.1 Correspondence systems**

### **7.1.1 File plan**

- 7.1.1.1 Only the file plan approved on [date] and implemented on [date] 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.
- 7.1.1.2 Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the [name of system] procedures manual that is published on the Intranet [provide URL]/filed on file [give file number from the municipality's file plan]. More specific guidance regarding the classification of e-mail is contained in the E-mail management policy that is published on the Intranet [provide URL]/filed on file [give file number from the governmental body's file plan]. [Note: Municipalities should adapt this as is appropriate for their specific circumstances.]

- 7.1.1.3 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- 7.1.1.4 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. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in the [name of system] procedures manual that is published on the Intranet [provide URL]/filed on file [give file number from the municipality's file plan]. [Note: Municipalities should adapt this as is appropriate for their specific circumstances.]

## **7.1.2 Storage areas**

### **7.1.2.1 Paper-based correspondence files are kept in the custody of-**

#### **7.1.2.1.1 The central registry**

- 7.1.2.1.1.1 All paper-based correspondence system records that are not HR related are housed in the central registry.
- 7.1.2.1.1.2 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.2.1.1.3 The registry is a secure storage area and only registry staff are allowed in the records storage area.
- 7.1.2.1.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter. [Note: Municipalities should adapt this as is appropriate for their specific circumstances.]
- 7.1.2.1.1.5 The registry shall be locked when registry is not in operation.

[Note: Municipalities should indicate where all the case files which are listed in the series of separate case files are stored and how they are managed]

#### **7.1.2.1.2 The Human Resources registry**

- 7.1.2.1.2.1 All Human Resources related records are housed in the HR Registry.
- 7.1.2.1.2.2 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.
- 7.1.2.1.2.3 [name of the municipality] maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the HR registry.
- 7.1.2.1.2.4 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.
- 7.1.2.1.2.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System

[Note: Municipalities should adapt the wording appropriately.]



### **7.1.2.2 Electronic correspondence records are stored in an electronic repository that is maintained by the IT section.**

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

[Note: Municipalities have not necessarily implemented Integrated Document and Records Management Systems. Should the electronic records be managed according to the file plan on each individual PC or on a shared drive that should be noted here? If the electronic records are not managed formally, they do not form part of a formal record keeping system and should not be listed here. The details regarding their management should be addressed in the electronic records management policy]

## **7.2 Records other than correspondence systems**

### **7.2.1 Schedule for records other than correspondence systems**

7.2.1.1 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. The schedule is available on the Intranet [provide URL]/filed on file [give file number from the municipality's file plan].

[Note: municipalities should adapt this as is appropriate for their specific circumstances.]

7.2.1.2 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.

### **7.2.2 Storage areas**

#### **7.2.2.1 Paper-based**

7.2.2.1.1 The [name of the municipality] has the following sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on a daily basis. [List the sets of records here]

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

[Note: If the municipality does not have such records not, this paragraph can be omitted]

#### **7.2.2.2 Micrographic records**

7.2.2.2.1 The [name of the municipality] has the following sets of microfilmed records that are stored in the [name of storage area]. [List the sets of records here]

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

[Note: If a municipality does not have such records this paragraph can be omitted]



### 7.2.2.3 Audio-visual records

- 7.2.2.3.1 The [name of the municipality] has the following sets of audio-visual records that are stored in the [name of storage area]. [List the sets of records here]
- 7.2.2.3.2 These records are under the control of the records manager who is mandated to ensure that they are managed properly.

[Note: If a municipality does not have such records this paragraph can be omitted]

### 7.2.2.4 Electronic systems other than the correspondence systems

- 7.2.2.4.1 [Name of the municipality] has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records. [List the sets of records here]
- 7.2.2.4.2 The IT manager is responsible for the day-to-day maintenance of these systems.
- 7.2.2.4.3 The records maintained in these systems are under the control of the records manager who is mandated to ensure that they are managed properly.
- 7.2.2.4.4 Detailed guidance regarding the management of these systems is contained in the electronic records management policy.

[Note: For each system note the name of system, where the database/repository is housed, and where the systems are scheduled.]

## 8. Disposal of records

- 8.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist.
- 8.2 The National Archivist has issued Standing Disposal Authority Number [add number] for the disposal of records classified against the file plan. The records manager manages the disposal schedule.
- 8.3 The National Archivist issued Standing Disposal Authority Number [add number] on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.
- 8.4 Retention periods indicated on the file plan and schedule were determined by taking [name of the 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.
- 8.5 Disposal in terms of these disposal authorities will be executed annually in December.

[Note: Municipalities should adapt this as is appropriate for their specific circumstances.]

- 8.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.
- 8.7 Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.

8.8 Paper-based archival records shall be safely kept in [name of storage area] until they are due to transfer to the National Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.

8.8 Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

## **9. Storage and custody**

9.1 See par. 7 for an identification of all record keeping systems and their storage locations.

9.2 All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.

9.3 Specific policies for the management of electronic storage media are contained in the electronic records management policy.

## **10. Access and security**

10.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of [name of the municipality].

10.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.

10.3 No staff member shall remove records that are not available in the public domain from the premises of [name of the municipality] without the explicit permission of the records manager in consultation with the information security manager.

10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Chief Information Officer.

10.5 Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.

10.6 No staff member shall disclose personal information of any member of staff or client of [name of the municipality] to any member of the public without consulting the Chief Information Officer first.

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

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

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

10.8.2 Access to server rooms and storage areas for electronic records media shall be managed with key card access

[Note: municipalities should adapt this to specific circumstances]



## 11. Legal admissibility and evidential weight

11.1 The records of [name of the municipality] shall at all times contain reliable evidence of business operations. The following shall apply:

### 11.1.1 Paper-based records

11.1.1.1 No records shall be removed from paper-based files without the explicit permission of the records manager.

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

11.1.1.3 No alterations of any kind shall be made to records other than correspondence files without the explicit permission of the records manager.

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

### 11.1.2 Electronic records

11.1.2.1 The [name of the municipality] shall use systems which ensure that its electronic records are:

- authentic;
- not altered or tampered with;
- auditable; and
- produced in systems which utilize security measures to ensure their integrity.

11.1.2.3 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.

## 12. Training

12.1 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/her for his/her duties.

12.2 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 appropriately.

12.3 The records manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

## 13. Monitor and review

13.1 The records manager shall review the record keeping and records management practices of [name of the municipality] on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of [name of the municipality].

13.2 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 [name of the municipality].



## 14. Definitions

[Note: Only terms that are used in the policy should be defined]

## 15. Authorization

This policy was approved by [post designation of head of the municipality] on [date].

**MUNICIPAL MANAGER**

DATE:

## 6.4 DEVELOPING AND IMPLEMENTING RECORDS MANAGEMENT PROCEDURES

### 6.4.1 QUESTIONS TO REFLECT ON:

The following questions are worth reflecting on before tackling this section of the toolkit:

- Does your municipality have a Registry Procedure Manual?
- Was the Registry Procedure Manual approved by the Provincial Archives?
- Do officials within the municipality comply with registry procedures as prescribed in the Procedure Manual?



### 6.4.2 WHAT ARE REGISTRY PROCEDURES?

Registry procedures are detailed activities built from the main records management policy. That is because procedures provide step-by-step instruction. They require more frequent changes to stay relevant to business processes and the technological environment.

### 6.4.3 WHY DEVELOP A REGISTRY PROCEDURE MANUAL?

In addition to the records management policy, municipalities are expected to develop a registry procedure manual in response to the National Archives proclamation that “every governmental body which falls under the stipulations of the National Archives and Records Service Act, is required to compile a Registry Procedure Manual and submit it to the National Archivist for approval”. In concomitant with these provisions, each municipality is expected to develop a registry procedure manual that describes in detail the registry and records management procedures that are applicable thereto. The manual should also be used for the training of registry staff. The manual should be approved by the Provincial Archives.

### 6.4.4 WHO SHOULD DEVELOP A REGISTRY PROCEDURE MANUAL?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a registry procedure manual is one of the responsibilities of the records manager. However, in developing a registry procedure manual, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality.

### 6.4.5 A STEP-BY-STEP GUIDE IN DEVELOPING A REGISTRY PROCEDURE MANUAL

Below is a recommended flowchart to be deployed when developing a registry procedure manual:

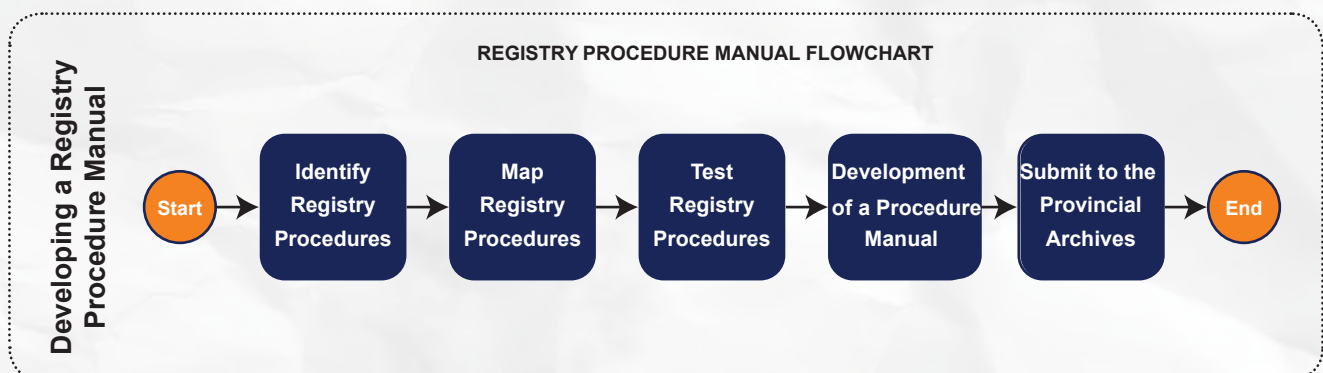


Figure 7: Registry Procedure Manual Flowchart

The National Archives provides a prototype registry procedure manual which may be used by municipalities in developing their own (see Section 3.4.7). However, the National Archives further provides the following guidelines regarding compilation of these manual.

- Customise the procedures to suit your environment: The prototype manual deals with the procedures and methods that normally apply to a large body. When municipalities begin compiling their own manuals, they must consider their own needs, and broaden, alter or even digress from the stipulated procedures when necessary. The manual must however, describe in detail the registry and records management procedures that are applicable to the municipality. These procedures must not deviate in principle unless there are valid reasons to do so.
- The manual to be designed for training purposes: The manual must be compiled in a way that it can be used for the training of registry staff.
- Approval: Municipalities should submit their draft registry manuals to the Provincial Archives for approval.
- Updated Copy: The Records Manager must keep an updated copy of the manual in his/her possession at all times.

Below is an outline of the 5 steps that Municipalities should undertake to develop a registry procedure manual:

Step	Responsibility	Output/s
1. Identify registry processes	Records Manager	Inventory of registry processes
2. Map registry processes	Records Manager	Draft Registry Processes Flowcharts
3. Test the registry procedures	Records Manager	Revised Registry Processes Flowcharts
4. Develop a Registry Procedure Manual	Records Manager	Final draft of the registry procedure manual
5. Submit the Registry Procedure Manual to Provincial Archives for approval	Records Manager	Approved version of the registry procedure manual

Table 8: Five steps in the development of a registry procedure manual

**Step 1: Identify registry processes:** During this stage all registry processes will be identified. Registry processes can be determined by analysing the functions performed by the registry, e.g. management of mail, management of records, distribution and circulation of documents etc. The objectives and scope of each process will also be determined. Role players involved in the process, as well as work areas impacted by the process will be identified. This step will entail asking questions such as what, who, where, when from the people who do the work.

**Step 2: Map registry process:** Once the registry processes have been identified, each process will be mapped into an easy, user-friendly, practical step-by-step guide of how it is executed from beginning to an end. Facts obtained from step 1 will be converted to a process map.

**Step 3: Test the registry procedures (and obtain inputs in the process):** Once all processes have been mapped, it is important to test one of the steps therein for practicality. During testing, inputs should be obtained from impacted role players and business units about the efficiency of the business process. Any process that does not produce desired results should be reviewed. This step may necessitate eliminating unnecessary work, combining steps, rearranging steps, and adding new steps where necessary.

**Step 4: Develop a Registry Procedure Manual:** Once all processes have been tested, they will be consolidated into a registry procedure manual.

**Step 5: Submit the Registry Procedure Manual to Provincial Archives for approval:** Once consolidated and signed-off by the municipal executive or council, the registry procedure manual should be submitted to the Provincial Archives for approval.



## 6.4.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) PROTOTYPE REGISTRY PROCEDURE MANUAL

Note: For the intended purpose of this toolkit, the content of this National Archives prototype has been customised for municipalities.

## 1. SUPERVISORY OFFICIALS

### 1.1. Records Manager

- 1.1.1. The overall control, preservation and care of the municipality's correspondence files and records other than correspondence files rest with \_\_\_\_\_. The concept "records" includes all documents and papers that are received or created in the process of running an office.
- 1.1.2. The official also exercises overall control of all the activities of the registry and personnel. No procedural amendments concerning any records management practices should be implemented without the knowledge and/ or consent of this official. The various departments and sections which use the records other than correspondence files may store them in their respective offices, however the Records Manager is responsible for control over them and should have access to them at all times.
- 1.1.3. The Records Manager is solely responsible for the following non-delegable duties:
  - a) Control of the maintenance and application of the filing system and the Records Control Schedule (see Ch.3);
  - b) Disposal of all records (see Ch.4);
  - c) Control over and safe preservation of all records (see Ch.5);
  - d) Training of Registry Head (see Ch.6); and
  - e) The application of a policy of document economy (see par. 2.2.3).
- 1.1.4. If any of the duties mentioned in par. 1.1.3 need to be delegated during the absence of the official, it should be assigned to a person with a similar or higher rank, but under no circumstances to the Chief Registry Official.

### 1.2. Chief Registry Official

- 1.2.1. The duties of the Chief Registry Official rest with \_\_\_\_\_.
- 1.2.2. The Chief Registry Official is responsible for the administration of, and supervising the administration of, all registry procedures, as stipulated in par. 2.1 to 2.9 below, as well as the direct supervision and training of all registry personnel. Furthermore, he/she and his/her staff are responsible for all tasks entrusted to them by the Records Manager under par. 3.1 to 5.8 hereafter. No other task should be entrusted to the Chief Registry Official or registry personnel without the permission/knowledge of the Records Manager.

## 2. REGISTRY PROCEDURES

### 2.1 Receipt of Post, Parcels and Remittances/Transferable Items

- 2.1.1 Procedures regarding the mailbag
  - 2.1.1.1 The mailbag is collected in the morning at \_\_\_ by \_\_\_ from the post office. Post is sorted and appropriately dispatched, while outgoing post is sealed and stamped. The mailbag is returned to the post office at \_\_\_ with the outgoing post. It is collected for a second time at \_\_\_ and the post is sorted again. At \_\_\_ it is returned for the last time to the post office with the outgoing post, where it remains until the following morning.
  - 2.1.1.2 The key for the mailbag is stored safely in \_\_\_\_\_ by \_\_\_\_\_.

2.1.2 Private post

- 2.1.2.1 Officials and employees must be informed that the office address may only be used for private correspondence, if it is unavoidable. Preferably, no private post should be handled by the registry.
- 2.1.2.2 Private letters that are received are placed unopened in a pigeonhole marked for this purpose. It is the duty of the addressee to collect the post him/herself.
- 2.1.2.3 The registry accepts no responsibility for private post.

2.1.3 Receipt, sorting and opening of post

2.1.3.1 Receipt of mailbag

- 2.1.3.1.1 Under the regulations of Financial Manual Chapter Q, par. Q4.1.1, it is a requirement that mail collected from the post office has to be carried in a sealed bag. Thus, mailbags are always sealed by the post office prior to their delivery.
- 2.1.3.1.2 When the mailbag is received in registry, it must be opened and emptied by the Chief Registry Official in the presence of \_\_\_\_\_.
- 2.1.3.1.3 Both of these officials must receive written instructions from the office head entitling them to receive and open post, and to note details of all remittances or negotiable in the remittance register, received by post or otherwise. These written instructions should be filed on the personal files of the relevant official.
- 2.1.3.1.4 In cases where one or both of the officials mentioned in par. 2.1.3.1.2 are not present to, or for any reason cannot open the post, permission for this task must be delegated, in writing, by the office head to other registry officials.
- 2.1.3.1.5 Under no circumstances may only one-person open post.  
Messengers are not permitted to help with the opening of post.
- 2.1.3.1.6 Incoming post is opened \_\_\_ time(s) a day, at \_\_\_ and \_\_\_\_. All official post and letters received while post is not being opened are locked away unopened in \_\_\_\_\_ until the post is opened again. However, post which is marked urgent, as well as telegrams, telex messages and express letters should be attended to immediately on receipt.

2.1.3.2 Sorting of post

- 2.1.3.2.1 Official letters addressed to persons by name are delivered to them unopened. However, if an official envelope is only marked for the attention of a particular person, it is opened by the registry personnel and dealt with in the usual manner.
- 2.1.3.2.2 Secret and confidential envelopes are delivered unopened to \_\_\_\_\_ who has been assigned this purpose.  
After these items have been handed over to the abovementioned official, the registry accepts no further responsibility for them. (Also see par. 2.4.4.1 and 2.4.4.2.)
- 2.1.3.2.3 All envelopes which indicate that the correspondence concerns staff matters are delivered unopened to \_\_\_\_\_.

2.1.3.3 Procedure for opening post

- 2.1.3.3.1 The registry is closed from \_\_\_ to \_\_\_ and again from \_\_\_ to \_\_\_\_. During these periods, post is opened, sorted and filed and all other activities are suspended. Telephone enquiries and requests for files during these periods must be limited to urgent cases only and should be the exception.
- 2.1.3.3.2 Post is opened only on the \_\_\_\_\_ and should be moved as little as possible from one table to another.
- 2.1.3.3.3 Envelopes are slit open on two sides to ensure that all the contents have been removed and, once emptied, the envelopes are immediately disposed of in the waste bin. Envelopes in which tender documents are received are dealt with as follows:  
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Envelopes of unclaimed/undeliverable letters are attached to the letter.



- 2.1.3.3.4 After the letters have been removed from the envelopes, they must be opened immediately and read to ensure that any annexures and monies referred to have actually been enclosed. If such items are missing, this must be neatly noted in the margin of the letter and initialled. In cases where money is missing, or the amount differs from that mentioned in the letter, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter or, in the case of bulky annexures, tied with string. When attaching documents care must be taken with original documents that are valuable to the sender, e.g. educational certificates, that they are not damaged by pins or anything else. (See also par. 2.2.2.2 in this respect.)
- 2.1.3.3.5 Registered and certified postal articles are treated in the same manner as ordinary post. Bearing in mind the regulations in the Financial Manual Chapter Q (par. Q4.1.2 - Q4.1.6), these articles should be recorded in the register kept for this purpose.
- 2.1.3.3.6 Incoming parcels are opened and dealt with in the same manner as incoming post.
- 2.1.3.3.7 Incorrectly delivered post is returned to the mail-bag.
- 2.1.3.3.8 Incoming telegrams, telex messages and express letters should immediately be opened by the Registry Chief and \_\_\_\_\_. It must then be decided whether the article should be delivered with or without the relevant file.  
If the file is not immediately available, the article must be shown to the official concerned and his/her further instructions be obtained thereon. The files to which such items are attached must be delivered immediately by hand to the official for whom it is meant.

#### 2.1.4 Receipt and handling of remittances/transferable items

- 2.1.4.1 Letters enclosed with money or transferable items must be immediately separated from the other post once it has been opened and handed to \_\_\_\_\_ who notes it in the remittance register.
- 2.1.4.2 As already mentioned in par. 2.1.3.3.4, money which is either not enclosed or does not correspond with the amount mentioned in the letter, must be noted in the margin and initialled by both officials opening the post.
- 2.1.4.3 In addition, the following extracts from Financial Manual Chapters J and Q must be strictly adhered to:  
"Q4.2.3. in the 'remittance register' the following should be recorded:  
a) the date of receipt;  
b) whether received by ordinary or registered post;  
c) from whom received;  
d) the nature of remittance;  
e) the amount of remittance (where applicable);  
f) the signatures of the officials present at the opening of the mail;  
g) the signatures of officials to whom handed over;  
h) the reference of the receipt, issued and the method of disposal; and  
i) the signature of the controlling official and the date of the cheque.

Q4.2.5. The controlling officer, \_\_\_\_\_, must examine the prescribed register at least once a week to ensure that all instructions are being complied with, and that all the valuables recorded therein, have been promptly accounted for. He must sign the register in the last column to indicate that this has been done.

Q4.2.2. Before a remittance register is brought into use, \_\_\_\_\_, the supervising official, must ensure that all the pages have been numbered consecutively throughout; and \_\_\_\_\_, responsible for checking the register, during the course of his check must verify that no pages have been removed from the register.

Q4.1.3 - Q4.1.6. In the case of registered and certified mail, the date of receipt and number of the advice slip of the relevant articles must be recorded in a separate register. The advice slip, issued by the post office, should be signed in order for the article to be cleared. Once



the articles have been collected, the officials responsible for opening the mail must compare them with the entries in the register. Each article prior to opening must be carefully examined for evidence of tampering. If they contain remittances or transferable items, these must be recorded in the remittance register.

Officials receiving remittances hand delivered must verify the letter's or packet's contents. If it has been entered in a "letter delivery book", the entry in that book must be signed in acknowledgement of receipt, after which the remittance should then be recorded in the register.

Q4.1.1. All postal matters collected from the post office must be carried in a sealed bag and, wherever possible, arrangements should be made to ensure that the bag is sealed by a post office official.

J.5.2. Warrant vouchers, cheques, bank drafts, money orders, postal orders, transfer orders or other items of payment, excluding stamps and bank notes, received by an official on behalf of the State, whether made payable to him/her in his official capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words "not negotiable" across the face of the item.

This instruction does not apply to the case of warrant vouchers specially drawn for encashment.

Q4.1.7. All monies or other transferable items received through the post must be handed over immediately to the officials responsible for accounting, and an acknowledgement should be made thereof in the relevant column of the remittance register."

## 2.2 Filing of Post

2.2.1 Application of date stamp and reference number

2.2.1.1 The date stamp is only applied to the first page of a letter.

No annexures and/or \_\_\_\_\_ are stamped.

2.2.1.2 The date stamp must be applied to an open space on the letter. If the front of the letter has insufficient space, the date stamp should be applied to the back.

Under no circumstances must any written or printed part of the letter be stamped as it could make important information illegible.

2.2.1.3 Cheques are stamped on the back.

2.2.1.4 Opened post should immediately be divided into three groups, namely those on which the office reference number already appears, those that do not need any reference number, and those to which a reference number must be allocated.

2.2.1.5 The following items receive no file numbers:

2.2.1.6 When a file number is allocated to a particular letter, it is written in the top right hand corner, and the letter is given to the officials responsible for drawing or locating the files.

2.2.1.7 Letters to which reference numbers must be allocated are dealt with as follows:

a) The Chief Registry Official reads the letters thoroughly and carefully to determine precisely what it deals with. Under no circumstances should the subject be determined simply from the letter heading. The latter can be misleading;

b) Only the filing system should be used to determine file numbers;

c) To determine the correct number, the list of main series should first be consulted and the most suitable series selected. Then the different sub-series should be consulted to eventually identify the correct file reference; and d) If there is still disagreement over the correct reference the Records Manager should be consulted.

2.2.1.8 If more than one subject is dealt with in a letter, the references should be identified for each subject and copies of the letter should be made for the relevant files.

2.2.1.9 Officials working with correspondence must also ensure that the correspondence they deal with is placed on the correct files. In cases where there is disagreement about the allocation of a file number, or the correctness of a given number, it should immediately be discussed with the Chief Registry Official.

2.2.1.10 Reference numbers i.r.o. personal papers of staff are allocated as follows:

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## 2.2.2 Correct and neat filing

2.2.2.1 Once the reference numbers have been allocated to the incoming post, the relevant files are determined and drawn according to the procedures explained hereunder.

The papers in question are filed on the split-pin in the files and the control sheets completed. Under no circumstances may loose papers be circulated either in the file cover or pinned to the front of the file, since correspondence can be damaged and soiled in this way.

2.2.2.2 Documents which must be sent back to a person, e.g. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned to the right hand side (flyleaf) of the file cover.

2.2.2.3 If a file on which correspondence must be sent out is not available within a reasonable time, or after the first search for it, the documents should be taken to the relevant department or section. If the matter cannot be dealt with without the file, the registry officials must search for it. If the file cannot be found after repeated attempts, a duplicate file is opened by the Chief Registry Official and entered in pencil in the Register of Opened Files. Meanwhile, attempts must still be made to trace the original file and when found, the contents of the temporary file must be amalgamated to it.

2.2.2.4 The following papers are always sent through for attention without files:

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2.2.2.5 Care must be taken to ensure that papers are neatly filed on the split pin. Attention must be paid to the correspondence which should be kept neat and tidy in the file covers. No papers should protrude from the files.

## 2.2.3 Application of a policy of document economy

2.2.3.1 Both the Records Manager and the Chief Registry Official must ensure that the following policy of document economy is carried out:

- a) Copies of reminders are not placed on files. Only the particular letter to which the reminder applies is endorsed;
- b) Excessive cross-filing and duplication of papers on files must be regularly guarded against. Where duplicates of an item are made for any reason, those unused should be filed separately in a folder and not on the file;
- c) Where identical letters are directed to more than one address, only one copy needs to be placed on the file, together with a list of the other addresses to which similar letters are sent; and
- d) Where a duplicate dispatch is made for the purpose of acknowledgement of receipt, the returned copy with the acknowledgement must be placed in the same file as the previous copy.

## 2.2.4 Numbering of items in files

2.2.4.1 Each individual item placed on a file is numbered consecutively. The item is seen as an entity and receives only one number. Since the pages of any one item are not separately numbered, it is not necessary for the item's pages to be placed in the file in reverse order.

## 2.2.5 System of completing correspondence on files

2.2.5.1 It must be regularly ensured that all incoming post and instructions on the files receive attention. It is the duty of the registry officials to ensure that an instruction to file or pend is noted of every item before the particular file is replaced. If this is not given, the file must be returned.

2.2.5.2 In order to make these controls as effective as possible, the following procedures are followed:

- a) Control sheets are pasted in the front of every file cover;
- b) The registry personnel place the documents received on the file, allocate the following item number on the file and enter the number in the first column on the control sheet;
- c) The date on which the item is placed on the file is written in the second column;
- d) The item is then marked out to the official who will receive it;



- e) If the item refers to previous correspondence, the relevant item number of that correspondence is placed in the fourth column;
- f) If the correspondence clerk makes a submission to his seniors, it is written on a new page with the following item number, and the details are written on the control sheet;
- g) When the original document is dealt with, in whatever manner, it is marked "file" with the correspondence clerk's signature, and date in the relevant column of the control sheet;
- h) Submissions which must circulate to various officials should be marked with only the following person's rank, or initials, in the third column.  
Officials who have already consulted the file should delete their initials, or rank, in order to avoid confusion; and
- i) If the incoming correspondence resulted in a letter being dispatched, the copy for filing must be marked "file", the outgoing copy must be signed, and instructions should be given to Registry in the relevant column of the control sheet, whether the letter should be pended or filed.

## 2.3 Circulation of and Search for Files

- 2.3.1 Once incoming mail is placed on the files; they are placed \_\_\_\_\_. From here they are taken by the messengers and circulated amongst the various officials and sections.
- 2.3.2 Only in exceptional cases should the registry personnel be given the instruction to search for a file urgently.
- 2.3.3 Once the registry personnel have drawn and dealt with the files in registry, as mentioned, a search list is compiled. On this list, file numbers of all unfiled papers are given in numerical order. This procedure simplifies and speeds up the search for files.
- 2.3.4 The offices are then systematically searched by \_\_\_\_\_, the correspondence is placed on the files and the control sheets are completed. The officials dealing with correspondence should be informed of the new correspondence being added to the file. If the official is not in his/ her office at the time, the file on which the new correspondence has been filed is simply replaced in his/her "in" tray.
- 2.3.5 Files should not be removed from an official's table without his knowledge. If he is absent, a note should be left stating where the file has been taken.

## 2.4 Outgoing Post

- 2.4.1 Instructions contained in the Postal Guide and Financial Manual
  - 2.4.1.1 Registry officials follow the instructions included in the Postal Guide and the Financial Manual regarding matters like postal money, weight, measurements, packaging, registered post, etc. which are dealt with thoroughly in the Postal Guide.
- 2.4.2 Rules for dispatch
  - 2.4.2.1 All files that contain post for dispatch must be placed in his/her tray for "post files" by the correspondence official. From here it is taken by \_\_\_\_\_ and brought directly to \_\_\_\_\_ in the registry.
  - 2.4.2.2 Officials must ensure that all post to be dispatched, reaches the registry before \_\_\_ and \_\_\_\_\_. Post received after the given times will only be dispatched the next time that mail is posted. In cases where post must be dispatched urgently, but is not ready at the correct time, the Chief Registry Official should be informed.  
Such post will be received and dispatched later.
  - 2.4.2.3 Letters and papers for dispatch should neither be placed on top of files, nor attached in front with a paperclip, but should be folded neatly in the file cover. This prevents outgoing papers from being soiled, detached from the relevant file or torn while being handled.
  - 2.4.2.4 The dispatch of all post occurs from \_\_\_\_\_ in the registry and is carried out by \_\_\_\_\_ who acts as dispatch clerk. Files with post for dispatch are placed \_\_\_\_\_ by the messengers so that it is within reach of the dispatch clerk.



- 2.4.2.5 After the dispatch clerk has stamped the post, he/she checks whether all stamps and signatures have been added, as well as whether all annexures mentioned have been enclosed.
- 2.4.2.6 The date of dispatch should not be typed on the letters, as the correspondence may not be posted on the same day, and alterations will then have to be made. The date of dispatch is stamped in the registry.
- 2.4.2.7 Post ready for placing in envelopes is placed \_\_\_\_\_ while files are placed \_\_\_\_\_ where they can be removed and filed by \_\_\_\_\_.
- 2.4.2.8 Post should be placed for dispatch in four separate groups, viz.:
- a) Ordinary post which is sent by the post office;
  - b) Registered post;
  - c) Certified post; and
  - d) Ordinary post which reaches its destination by means of messenger deliveries.
- 2.4.2.9 To prevent the wasting of envelopes, post intended for dispatch to \_\_\_\_\_ should be placed in separate trays. In this way several items can be placed together in one envelope.
- 2.4.2.10 Correspondence clerks who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) and address stamps (for organizations and offices with whom they correspond frequently) should be used.
- 2.4.3 Special dispatches
- 2.4.3.1 The regulations contained in the Postal Guide should be adhered to strictly when dealing with all of the undermentioned dispatches. Furthermore, the following apply.
- 2.4.3.2 Only important documents and correspondence which, for specific reasons, the addressee must sign, should be sent by registered post.
- 2.4.3.3 The official who sends registered post should:
- a) ensure that special registered post envelopes are used and properly sealed;
  - b) stick a registry label in the top left corner of the addressed face;
  - c) compile a list of the registered post in duplicate on form Z.209. The book should accompany the post to the post office where the original list is removed and proof of receipt applied to the duplicate copy.
- 2.4.3.4 All registered post should be handed over at the post office counter and must not be placed in the mailbag.
- 2.4.3.5 Labels for registered post are locked in \_\_\_\_\_ and are only issued by \_\_\_\_\_.
- 2.4.3.6 Post of value also requiring the addressee's signature of receipt, but are not so important that the post office has to give a receipt, are sent by certified post.
- 2.4.3.7 The certified post label is glued in the left upper corner of the address face of the envelope, while the duplicate is glued to the file copy of the letter.  
Certified post is placed in the mailbag with ordinary post and not recorded in a register.
- 2.4.3.8 Only in very urgent cases is a letter sent by express or preferential post. Such letters are handed in at the counter of the post office and must not be placed in the mailbag. This post must be addressed to a street address and not to a post box or private bag.
- 2.4.3.9 Telegrams are only sent in very urgent cases. The length of a telegram must be kept to the absolute minimum and sent to a telegraphic address. No register is kept for telegrams dispatched.
- 2.4.3.10 The \_\_\_\_\_ makes up the parcels and the registry personnel attach only the necessary stamps, postage stamps, etc. Ordinary parcels are placed together with the other post in the mailbag. For certified parcels, the same procedure applies as with certified letters (see par. 2.4.3.6 to 2.4.3.7), while insured parcels are handed in at the post office counter. The delivery receipt received for such a parcel is glued on the file copy of the covering letter. This controls the dispatch of the parcel.

#### 2.4.4 Handling of secret/confidential postal articles

2.4.4.1 Registry personnel do not deal with secret/confidential papers in their normal day to day work. If a registry official should be given the task, all the precautions contained in the "Guide for Security Measures for the Protection of State Secrets" (EM 9/12) should be followed and the head of the office should issue the instruction personally, and in writing.

2.4.4.2 Secret files are protected and managed by \_\_\_\_\_ and the registry carries no responsibility for them.

#### 2.4.5 Pending of papers

2.4.5.1 It is not the function of the registry staff to decide for how long a document should be pended; they only carry out an instruction.

2.4.5.2 The dispatch of reminders i.r.o. pended items is the responsibility of the relevant correspondence official.

2.4.5.3 The registry, as well as every correspondence official, keeps a diary according to which the pending of papers is managed. When a correspondence official wishes to append an item, he/she carries out the following procedures:

- a) Record the file and item number in the relevant date column of his/her diary;
- b) Complete the control sheet in the relevant file in the prescribed manner;
- c) Ensure that the pending inscription in his/her diary is cancelled if an answer arrives before the due date thus, preventing unnecessary requests for a file; and
- d) Request registry to send the relevant file to him/her on the pended day if it has not reached him/her by \_\_\_\_.

2.4.5.4 Similarly the registry personnel must record under the appropriate dates in their diaries which files have been pended for that day. These details are obtained by checking the control sheets of all files before they are replaced. Files pended for a particular day are drawn each day by \_\_\_\_\_ at \_\_\_\_\_. The messengers must ensure that the files are taken from registry to reach the correspondence clerks before \_\_\_\_\_.

#### 2.4.6 Filing of papers and replacing of files

2.4.6.1 Before a file is replaced, the registry personnel must first ensure that:

- a) All correspondence has received attention and that the instructions to file or pend have been complied with. This is ascertained from the control sheet in every file;
- b) The cover of the file is neat and intact, that the correspondence is placed neatly on the file, and the split pin is in one piece. All of these shortcomings must be corrected before a file is replaced;
- c) Pins and paper-clips are removed, as they can rust and thus damage the documents; and
- d) A file is not thicker than 3cm. When a file reaches this thickness, it should be closed and the next volume opened. (See par. 2.6.)

2.4.6.2 Filing of incoming post as well as file copies of outgoing letters must be attended to in registry, but correspondence clerks must file their submissions themselves.

2.4.6.3 When all papers intended for filing have been placed on the split-pin, care must be taken to ensure that the paper-washer is placed on top. The washer protects the correspondence and holds it firmly in place.

2.4.6.4 Documents must be filed in chronological order with the most recent date on top. An annexure or enclosure always forms part of the document with which it was received, regardless of the date thereon. The date of receipt, and not the date of dispatch, is used to file incoming papers. (See also par. 2.2.4.1.)

2.4.6.5 Bulky documents, such as reports and minutes, are not filed with other documents, but are placed in annexure file covers. An indication of this must be given on the corresponding file. The annexure cover must supply the file reference number as well as the words "Annexure Cover". No correspondence may be placed on this file.

2.4.6.6 The files of the filing system are placed on the shelves numerically, according to the sequence of the Master-copy. Personal files with reference to staff are filed alphabetically according to series (SP, ST, SV).

Loose case files are filed \_\_\_\_\_.



## 2.5 Movement of Files

- 2.5.1 The movement of files within \_\_\_\_\_ is not controlled. Officials who need files from registry must use the following procedure:
- No file may be personally removed from or replaced on the shelves. Files are requested and returned at the counter in the registry and are supplied, and replaced again only by the registry personnel;
  - Files should be requested by providing the file number only, and not the description of the subject content or the file description;
  - Files should not be held up unnecessarily in offices, but should be returned to the registry as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the registry until it is needed again; and
  - Files may not be removed from the building or sent through to \_\_\_\_\_ without the consent of the Chief Registry Official.
- 2.5.2 Only the movement of files leaving the building or being sent through to \_\_\_\_\_ are monitored. For this purpose, a card with the following information is placed in the usual space of the file:
- File number
  - Where sent to
  - Date of dispatch
- Files returned from other sections must immediately be brought to the attention of the registry personnel so that the card may be removed. Specially prepared cards are available in registry for this purpose.

## 2.6 Closure and Termination of Files and Records other than Correspondence Files

- 2.6.1 Closure at 3cm thickness
- 2.6.1.1 Files should not be allowed to become more than 3cm thick.
- 2.6.1.2 When a volume is closed, the date of the most recent correspondence is noted on the file cover. The date when the correspondence began is noted on the cover once the first item is placed on the file after opening.
- A sheet of paper is placed as the last item in the closed volume containing the words "Closed, see vol. \_\_\_", which is also written on the file cover.
- The volumes are numbered consecutively. Letters and roman numerals must not be used.
- 2.6.1.3 The closing procedure is as follows:
- A strip of cardboard, wide enough to fit in the file and long enough to wrap around both sides, is cut from file covers and placed beneath the correspondence in the file;
  - The correspondence is then meticulously checked to ensure that each item is in place, and that no misplaced items appear on the file. The items in the file are then replaced on top of the cardboard strip. A clean sheet of paper is placed on the file with the words "Closed, see vol. \_\_\_" thereon;
  - The cardboard strip is closed from the top and bottom covering the correspondence while the file is closed in the usual manner; and
  - If the file cover is damaged or not presentable, it must be replaced with a new one.
- 2.6.2 Termination during transfer from one office to another
- 2.6.2.1 Policy and subject files received from another institution when functions are transferred should be terminated immediately. No further correspondence may be added to these transferred files. These files may not be incorporated into the filing system and must be preserved as a separate entity.
- 2.6.2.2 However, when case files are received during the transfer of functions, they may with written consent of the National Archives be incorporated in the filing system. They may be renumbered and further correspondence filed on them, provided that the file is still required for existing correspondence. In cases where the file is no longer needed, it should be terminated and preserved as a separate entity.



2.6.2.3 Minute books that are received should be terminated and new ones opened. Financial books may be used until the end of the financial year in which they were received, and must then be terminated. Only financial books which are used for recording long term transactions such as the payment of loans, appropriation of capital funds and the \_\_\_\_\_, are exempted from this condition.

2.6.2.4 All other items of records other than correspondence files, except map collections and \_\_\_\_\_ which, by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity. (See also par. 4.3 to 4.3.2.)

### 2.6.3 Filing of closed and terminated records

2.6.3.1 All closed volumes or items from the approved filing system or Records Control Schedule are preserved in \_\_\_\_\_ on \_\_\_\_\_. Under no circumstances should closed volumes of correspondence files be filed with current files on the shelves. This can lead to correspondence being accidentally placed on a closed volume, and not being finalised.

2.6.3.2 Closed and terminated correspondence files can be filed in corrugated cardboard boxes for protection against light, dust and disintegration. Containers of corrugated cardboard are used for the filing of files.

Single walled simplex cardboard with B-corrugated construction used for this purpose should have the following measurements:

368mm X 267mm X 95mm (outside measurements) with a 152mm lid.

The containers can be ordered from:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(Tel. no. \_\_\_\_\_)

## 2.7 Keeping of Essential Registers/Schedules

### 2.7.1 Records Manager

2.7.1.1 The following essential registers/schedules are kept by the Records Manager:

a) the Master Copy of the filing system - this is the copy of the system in which all approved subjects are correctly and neatly reflected; and b) a Records Control Schedule - on which every type of item, which is not part of the filing system, is indicated.

### 2.7.2 Chief Registry Official

2.7.2.1 The following essential registers are kept by the Chief Registry Official:

- a) Remittances received by post. This register must record all remittances received by post - whether by ordinary, registered or certified post;
- b) Documents and correspondence received by registered and certified post. In this register, the number of the registered and/or certified item as well as the place of origin, is noted. After receipt of the items, they are opened and details of the contents are entered into the register opposite the relevant slip number. If remittances are received, the details of the reference are entered into the remittance register;
- c) Items sent by registered post;
- d) Register of Files Opened - this is a register which accurately reflects what files are already opened according to the Master Copy of the filing system;
- e) Destruction Register - this is a register which records details of all records which must be destroyed;
- f) Disposal Authorities Register - this is a register in which details of all disposal authorities received from the National Archivist, are recorded; and
- g) A Stamp Register.

## 2.8 Preparation and Opening of File Covers

- 2.8.1 File descriptions and numbers on files must be printed neatly and legibly with the aid of \_\_\_\_\_ and black Indian ink.
- 2.8.2 The description of the subject on the files must agree with the description of the subject in the filing system. Par. \_\_\_\_\_ of the General Instructions to the filing system must be strictly adhered to. The main series description must in all cases be indicated on the cover. Where there is uncertainty as to the correct description, or where registry officials are unsure which components can be omitted, the final decision must be made by the Records Manager. At all times, correct spelling must be emphasised.
- 2.8.3 It should be indicated on the cover which volume of the file it is and, as soon as the first volume is opened, it should be marked Vol. 1. Only Arabic numbers may be used for this purpose.
- 2.8.4 The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instructions that have not yet been approved by the National Archivist should not be recorded on these files.
- 2.8.5 Every file cover used must be provided with a card board file backing, a self-piercing type of paper fastener, 5cm long, and a cardboard washer. Control sheets are available in registry and should also be attached inside the front of every cover.

## 2.9 Use of Daily Files

- 2.9.1 Only copies of important letters, excluding confidential letters, are placed on the daily file. Copies of a) \_\_\_\_\_, b) \_\_\_\_\_, c) \_\_\_\_\_, d) \_\_\_\_\_, e) \_\_\_\_\_ do not appear on the daily file. The Records Manager in all cases has the final decision on what appears on the daily file.
  - 2.9.2 Once the daily file has been prepared for circulation, it is immediately sent to the Records Manager, who then checks that the correct file numbers have been allocated in all cases. Thereafter, it is circulated to all interested staff as follows:  
-----  
-----
- 2.9.3 Officials must note that they may only keep daily files for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official, and be requested for further study later.
- 2.9.4 As soon as the daily file has been circulated amongst all interested personnel, and returned again to the registry, it is filed for six months and then disposed of under Authority \_\_\_\_\_.

## 3. MAINTENANCE OF THE FILING SYSTEM AND RECORDS CONTROL SCHEDULE

### 3.1 Filing System

- 3.1.1 The Records Manager is responsible for the maintenance of the filing system. This includes:
  - a) Careful control over amendments and additions to the system to prevent its degeneration. The Records Manager should approve all such amendments and additions himself and should add them personally to the Master Copy of the system; and
  - b) Ensuring that correspondence is placed correctly prevents the subsequent deterioration of the system. The official exercises this control by means of the daily file, regular inspections and spot checks on the files in registry.
- 3.1.2 With regard to amendments and additions, special attention must be paid to the following:
  - a) Documents originating from new activities must not be forced into inappropriate files in the existing system. In such cases, new files, subjects or even main series must be created;
  - b) Faulty additions through which existing files are duplicated, or which overlap with existing subjects, or additions at incorrect places; and
  - c) The assurance that new descriptions satisfy these requirements.



- 3.1.3 As soon as the Records Manager has approved an addition or amendment, it must be immediately inserted in the Master Copy and thereafter, reported to the National Archivist. This reporting occurs, in the case of minor amendments and additions, every \_\_\_\_\_ months by means of amendment slips. These are numbered consecutively for every year (e.g. 3/1999, 4/1999) and are in stock in the registry. As soon as an amendment or addition is approved by the Records Manager, the Chief Registry Official completes official amendment slips for each official who deals with correspondence and has a copy of the system at his/her disposal. The slips are then supplied to these officials to make the amendments to their systems. A copy of each slip is kept together and sent collectively to the National Archivist.
- 3.1.4 In the event of wide-reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. Actual file covers can be opened in pencil and the task continued.  
In the meantime, the amendment is reported to the National Archivist and, as soon as approval is received, the provisions in the Master Copy and on the file covers may be finalised.
- 3.1.5 With regard to the correct placing of correspondence, special attention must be paid to the following:
- a) Over loading of files not sufficiently subdivided, a too fine subdivision of files which could be combined, or a need for the re-division of files, should be brought to the attention of the Records Manager in good time, and be corrected;
  - b) The tendency to add correspondence, in circumstances where a subject began on a specific file long after the nature of the correspondence justifies the continuation of the subject on another file;
  - c) The correct use of policy files to prevent non-policy items from accumulating on them, yet simultaneously ensuring that copies of items containing policy decisions are actually placed on the relevant policy file (see also par. \_\_\_ Of the General Instructions to the Filing System about the use of policy files); and
  - d) The placing of ephemeral items on A20 files and valuable items on D files after disposal authority has been issued to the system.
- 3.1.6 For the time being, all correspondence concerning the filing system must be directed to the Regional offices of the National Archives at the following addresses:
- (i) The National Archivist, National Archives of South Africa  
Private Bag X236  
PRETORIA  
0001
- (ii) The Head, Cape Archives Repository  
Private Bag X9025  
CAPE TOWN  
8000
- (iii) The Head, Port Elizabeth Archives Repository  
Private Bag X3932  
NORTH END  
6056
- (iv) The Head, Durban Archives Repository  
Private Bag X22  
GREYVILLE  
4023

(v) The Head, Natal Archives Repository  
Private Bag X9012  
PIETERMARITZBURG  
3200

(vi) The Head, Free State Archives  
Repository  
Private Bag X20504  
BLOEMFONTEIN  
9300 #

### 3.2 Records Control Schedule

3.2.1 The Records Manager is responsible for ensuring that all new types of records other than correspondence files used in the office are immediately added to the list and reported to the National Archivist along with the proposed disposal instructions (see par. 3.1.6 for address).

### 3.3 Separate Case Files

3.3.1 The following series of separate case files are kept in \_\_\_\_\_:  
\_\_\_\_\_  
\_\_\_\_\_

3.3.2 The registry personnel are responsible for full control and care of these files. Their existence is reflected in \_\_\_\_\_ and the Chief Registry Official is responsible for ensuring that the \_\_\_\_\_ is updated. All procedures and instructions which apply to the files in the filing system, also apply to all case files.

## 4. DISPOSAL OF RECORDS

### 4.1 Disposal Programme and Destruction

4.1.1 Standing Disposal Authority \_\_\_\_\_ applies to the current filing system and Standing Disposal Authority \_\_\_\_\_ applies to the Records Control Schedule. The following symbols are used in these authorities to show the disposal for files and records other than correspondence files:

- a) A20 - for valuable records which must be transferred to the \_\_\_\_\_ Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the record came into existence;
- b) D? - For records of an ephemeral nature which can be destroyed after the number of years indicated alongside the "D". This date is calculated from the date of the youngest item on the file.

4.1.2 In order to facilitate the destruction of files, the Chief Registry Official keeps a Destruction Register. As soon as a file or part of a file is closed, the number of the file is written under the year in which it must be destroyed. At the end of \_\_\_\_\_ every year, by consulting the Destruction Register, \_\_\_\_\_ must remove all the files which can be destroyed, and make arrangements for their destruction/removal. Files for destruction are removed by:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
(tel.no. \_\_\_\_\_)

All instructions and procedures concerning the removal of waste paper must be complied with carefully.



- 4.1.3 The registry personnel must also ensure that destructible records other than correspondence files are disposed of when instructed by the Records Manager. Nevertheless, it is the responsibility of the Records Manager to ensure that records other than correspondence files which can be destroyed are brought to the attention of the registry personnel regularly.
- 4.1.4 No files, or records other than correspondence files of any sort, may be destroyed without the written authority of the National Archivist. All authorities received from the National Archivist, and details of the records to which they refer, must be recorded in the Disposal Authorities Register by the Chief Registry Official.
- 4.1.5 When any records are destroyed, a destruction certificate, in the form specified hereunder, must be submitted to the National Archives:

"I certify herewith that the records appearing on the following list, which consisted of \_\_\_\_ linear metres shelf space, were destroyed today.

Signature: \_\_\_\_\_

Capacity: \_\_\_\_\_

Date: \_\_\_\_\_

No.	Description	Authority

- 4.1.6 Records must be given in alphabetical or numerical order on the above-mentioned list. With regard to case files, it is sufficient to mention the subject under which the files are opened, e.g. 1/1 - 1/2000 Cases: Application for permits.
- 4.1.7 The certificate must be signed by the Records Manager after he has ascertained that the records in question have actually been destroyed.
- 4.1.8 The copies of these lists of destroyed records are preserved by \_\_\_\_\_ in \_\_\_\_\_ and should serve as proof in connection with any enquiries concerning the records at all times.
- 4.1.9 In order to keep the Standing Disposal Authorities mentioned in par. 4.1.1 up to date, the Records Manager should approach the National Archivist regularly to approve disposal instructions regarding the new additions to the filing system and Records Control Schedule. All authorities that have been issued must be examined periodically by the Records Manager and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the National Archivist.
- 4.1.10 All correspondence concerning the disposal and destruction of records must be directed to the National Archivist (see par. 3.1.6 for address).

## 4.2 Transfer to Archives Repository/Records Centre

- 4.2.1 Records which are marked for permanent preservation (A20 archives) must, in accordance with the National Archives of South Africa Act (No. 43 of 1996), be transferred to the \_\_\_\_\_ Archives Repository if a period of 20 years has elapsed since the year in which the record came into existence.  
The Records Manager must personally liaise with the head of the repository/records centre to make transfer arrangements. The addresses and telephone numbers are as follows:

Postal Street Tel. no.

\_\_\_\_\_  
\_\_\_\_\_

4.2.2 On the other hand A20 records which have not yet reached the age of 20 years may be transferred to the \_\_\_\_\_ records centre. In this case the Records Manager must personally liaise with the head of the records centre to make transfer arrangements. The addresses and telephone numbers are as follows:

Postal Street Tel. no.

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-----  
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4.2.3 Archives transferred to the records centre, can be returned on loan. The procedure to follow is given below:

- a) Only \_\_\_\_\_ is authorised to request files on loan and only his/her signature will be accepted for loan requests;
- b) Correspondence officials who request files on loan must hand their written requests to registry every day before \_\_\_ and \_\_\_. The requests must be filled in on the request forms of the records centre, which are available in registry. However, the form must not be signed. That will be done by \_\_\_\_\_;
- c) When requesting a loan, the transfer list must be referred to and the particulars of the item on the list must be clearly indicated, e.g. volume number, etc.
- d) The messenger then takes the requests to the records centre, from where the files can be collected at \_\_\_ and \_\_\_. Files requested will be available in registry on the \_\_\_\_\_ at \_\_\_ and \_\_\_:
- e) Correspondence officials should note that files must be returned to the records centre within 60 days. Files earmarked for return to the records centre, must be left in registry on \_\_\_\_\_. The messenger returns these files to the records centre when he makes requests. The files which are returned are accompanied by a B.17 book in which they are entered. The person who receives them at the records centre must sign a receipt for every file in the book. This serves as the body's/office's proof that the loaned files were actually returned and receipt acknowledged by the records centre; and
- f) In emergencies files can be requested telephonically from the records centre, but the request must then be confirmed in writing when the files are collected. Such requests, however, must be kept to the minimum and should only be made in really urgent cases.

4.2.4 Records used regularly for administrative research and reference purposes should not be transferred to the records centre, as it can result in delays with consultation.

4.2.5 When transferring to the archives repository/records centre the following procedure is followed:

- a) The Records Manager informs the head of the repository/ records centre beforehand of the nature of the records he/she intends to transfer by submitting a list of the records as shown in (c) below. The linear metres shelf space of the records must be provided;
- b) The head of the relevant depot will then indicate if he/she can receive them;
- c) The records to be transferred are accompanied by a list in duplicate which contains the following information:

"I certify herewith that the undermentioned records were transferred today to the archives repository/ records centre in \_\_\_\_\_.

Name of body/office: \_\_\_\_\_

Street Address: \_\_\_\_\_

-----

Extent in linear metres: \_\_\_\_\_

Name of official transferring the records:

-----

Capacity: \_\_\_\_\_

Telephone number: \_\_\_\_\_

Date: \_\_\_\_\_



Item, box or parcel number	File, register or form number	Description	Period

d) Records are listed alphabetically or numerically; e) Unbound records are either packed neatly and securely with the parcels clearly marked in order, or boxed (see par. 2.6.4.2) and numbered;

f) Except where the National Archivist instructs otherwise, registers and indexes relating to the records are transferred too;

g) Registers are stamped on the inside of the flyleaf with the office stamp, while the nature of the register is indicated on the cover; and

h) The head of the relevant repository/records centre will compare the records with the list and acknowledge receipt on the duplicate copy which will be returned to the body/office.

4.2.6 Transfer occurs by \_\_\_\_\_ and the following procedure must be followed with regard to transport arrangements:

-----  
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### 4.3 Transfer from One Office to Another

4.3.1 If records are transferred permanently to another body/office the Records Manager must inform the National Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted. (See also par. 2.6.3.1 - 2.6.3.3.)

4.3.2 No records may be given, donated or transferred to a person, library, museum or any institution other than a governmental body without the approval of the National Archivist.

## 5 CONTROL AND PROTECTION OF RECORDS

### 5.1 Access

5.1.1 Access to records in the office not normally open to members of the public is controlled by \_\_\_\_\_ in agreement with section 12 of the National Archives of South Africa Act (Act no. 43 of 1996) and the National Archivist's Circular 1 of 1969.

5.1.2 All requests from researchers and persons who wish to consult records, must be submitted in writing. The \_\_\_\_\_ must personally make a thorough investigation as to the bona fides of the applicant to ensure that his/ her perusal will not be detrimental to the office.

5.1.3 Persons consulting records must do it in \_\_\_\_\_ under the supervision of \_\_\_\_\_. In this manner the supervisor must note that:

a) the greatest care must be exercised in the handling of the records, especially when turning pages;

b) pages are not folded;

c) the researcher must place a piece of paper under his/her hand if he/she wishes to follow the section he/she is copying with his/her finger, so that his/her bare hand does not rest on the page;

d) the researcher must only use a pencil or ballpoint pen to copy items;

e) the researcher must not disturb the order of the papers;

f) the researcher must not make any mark on the item or remove it;

g) if the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of, who must also ensure that the relevant items are not damaged in the process; and

h) no researcher may remove items from the office for any reason at all.

- 5.1.4 The \_\_\_\_\_ must first inspect and approve any researcher's research work before it is published or in any way duplicated. Such a researcher must also be requested beforehand to donate two annotated copies to the head of the office. One copy of this must be sent to the National Archivist.
- 5.1.5 Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties.
- 5.1.6 The Records Manager must ensure that no unauthorised person may, or is able to gain access to the registry, or records store rooms during or after office hours.

The following rules apply:

- a) The registry and \_\_\_\_\_ are closed during lunch and after office hours;
- b) During office hours the registry should not be left unattended. If this does happen, the door must be locked;
- c) \_\_\_\_\_ exercises control over all the keys; and
- d) The registry and \_\_\_\_\_ may only be cleaned by cleaners while one or more registry personnel are present.

## 5.2 Fire and Fire Prevention Measures

- 5.2.1 The lighting of matches, smoking and the storage of inflammable material or cleaning solutions in \_\_\_\_\_ is strictly forbidden. Registry personnel may smoke at their desks in registry, but under no circumstances is smoking allowed amongst the shelves where files are stored. No burning cigarettes may be left on a desk while the official works elsewhere.
- 5.2.2 Only CO2 fire extinguishers may be used to extinguish a fire in a location where records are stored. Water, in all instances, must only be considered as a last resort.
- 5.2.3 Fire extinguishers must be inspected every \_\_\_\_\_ months and \_\_\_\_\_ must ensure that it is actually done. On their appointment, all registry personnel must learn to handle fire extinguishers.

## 5.3 Water

- 5.3.1 Registry, and other areas where records are held, must be regularly inspected by the Chief Registry Official and the Records Manager to ensure that roof leaks, leaks in water pipes, etc. are traced in time and repaired before damage can be done to the records.
- 5.3.2 When records become wet for whatever reason, efforts to dry them must be made as soon as possible. The documents should be separated carefully and dried between sheets of blotting paper. Warm air is then blown over them with a fan or hairdryer. Under no circumstances should wet documents be spread out to dry in direct sunlight.

## 5.4 Pests and Plagues

- 5.4.1 The registry, and other areas where records are stored, must be regularly examined by the Chief Registry Official and Records Manager to avoid the occurrence of pests and plagues. Officials who notice fish-moths, cockroaches, etc. in any of these areas must immediately report it to the Chief Registry Official.
- 5.4.2 Areas where records are stored, must be fumigated every \_\_\_\_\_ months against fish-moths and other pests.  
It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records. Sprays with a high acid content or which release acid, should be avoided. The safety of personnel must also be taken into account.



## 5.5 Light

- 5.5.1 The lights in \_\_\_\_\_ must be switched off whenever nobody is present in the area. The lights between the shelves in registry must similarly be switched off whenever files are not being filed or withdrawn.
- 5.5.2 No direct sunlight must be allowed to shine on any records and for this reason the blinds in \_\_\_\_\_ must be kept rolled down when the sun shines in.

## 5.6 Damage Through Handling

- 5.6.1 All officials must be aware that it is considered to be a violation of the National Archives of South Africa Act (Act No. 43 of 1996) to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible. Careful handling also saves time and money because damaged file covers do not have to be changed as regularly.
- 5.6.2 No food or drink may be consumed at a table or desk where records are placed. Glasses of water, bottles of cool-drink, etc. must not be placed on cabinets or on shelves where files and records are stored.

## 6 TRAINING OF REGISTRY PERSONNEL

- 6.1 Both the Records Manager and the Chief Registry Official must attend the Records Management Course presented by the National Archives to receive the correct training for their various tasks. The other registry personnel should, however, be trained by the Chief Registry Official.
- 6.2 In-service training under the Chief Registry Official occurs during the normal execution of duties and is conducted along the lines of the Registry Manual on \_\_\_\_\_ at \_\_\_\_\_. Officials undergoing training write tests every \_\_\_\_\_ to test their knowledge.

## (B) A MODEL REGISTRY PROCESS FLOW

The National Archives provides a comprehensive prototype registry procedure manual. Below is a simplified sample of a records management process flow. The purpose of this document is to outline and map the processes that are performed by the Registry.

The processes of the Registry are defined into 5 main categories, namely:

- Classification of records: administration of allocation of file reference numbers
- Incoming Records from business units: administration of Incoming records into the central registry received from Business Units
- Request and Return of Records: administration for the handling of requests and returns of Files
- Incoming Mail: administer the collection and distribution of all incoming mail
- Outgoing Mail: ensure that all internal and external Outgoing mail is processed.

### a. Classification of records

Task No	Task Flow Diagram	Task Description
1	Creation of a record	The author determines the subject of the record on creation and consult the approved file plan for the correct file reference number
2	File reference number found?	If the correct reference number is found, then allocate it on the record. The file reference number should appear on the top left corner of the record.  If the correct reference number is not found, then consult the registry
3	Printing/production of a record	The finalised record is printed/produced
4	Submission of the record to the registry	The record is submitted to the central registry for filing in the corporate filing system
5	Check the file reference	The registry checks the record to see if the correct reference number was allocated
6	Correct reference number	If the allocated reference number is incorrect, the registry corrects it and advises the author to that effect. If the allocated reference number is correct then proceed to step 7.
7	Folio-numbering	The record is folio-numbered. The item is an entity and receives just one number (not numbers for every page)
8	Filing of a record	A relevant file is drawn and the record is filed. Documents must be filed in a chronological order with the most recent being on top.  If a record has more than one subject, copies are made for the other files
9	Listing the record on a control sheet	Once filed, the record is listed on the control sheet
10	Returning the file to the shelve	The file is placed on the shelve numerically as per the file plan sequence



## b. Incoming Records from business units

Task No	Task Flow Diagram	Task Description
1	Decide on semi-active status of files	Business Unit decides whether the status of files should be changed from active to a semi-active state.
2	Submit files to Registry	Business Unit submits the files to the Central registry for storage. Business Unit submits an email notification to the central registry requesting for storage of semi active files.
3	Receive files from Business Unit	Central registry receives files from Business Unit.
4	Register the file in Open File Register	Registry staff records the file in the Open File Register
5	Capture file onto Inventory list	Central Registry captures the file onto the Inventory list
6	Pack file into storage shelves	Central Registry physically packs the file onto the storage shelves

## c. Request and Return of Records

Task No	Task Flow Diagram	Task Description
1	Request for File	Requester asks for file to be extracted from the Central registry (CR) and delivered.
2	Receive request	Central Registry receives request for file.
3	Search for file on Inventory list	Registry staff searches the Inventory list for the files location.
4	File found?	CR checks whether the file has been found? If the file is found, then extract the file and proceed to Task 6.  If the file is not found, then proceed to Task 5
5	Notify requester that file does not exist	CR notifies the requester that the file has not been found Process Ends (if the requested file is not found).
6	Retrieve the file from filing room	Registry staff extracts / retrieves the file from the filing room.
7	Issue the file out	Registry staff issues the file out i.e. marks the file as outgoing
8	Deliver file to requester	Registry staff delivers the requested file to the requester.
9	Signs register to acknowledge receipt of file	Requester signs the outgoing file register to acknowledge receipt of the file.
10	Notify registry to collect file	Upon completion of usage, the Requester notifies the Central registry that the file is ready for collection.
11	Collect returned file	Registry staff collects the file from the Requester and returns the file to the Central Registry.
12	File marked as returned	Central Registry updates the register and marks the file as returned.
13	Returned file is re-shelved	Registry staff re-shelves the returned file in its correct filing location.

#### d. Incoming Mail

Task No	Task Flow Diagram	Task Description
1	Collect mail bag from Post Office	Registry staff collects the mailbag from the Post Office and delivers the mailbag to the Central Registry for sorting.
2	Collect hand delivered and courier mail from reception	Registry staff collects all hand and courier delivered mail from reception and returns the mail to the Central registry for sorting.
3	Register mail in incoming mail register	Registry staff registers all incoming mail into the incoming mail register to acknowledge that the mail was received by the Central Registry.
4	Municipality or Personal mail?	Registry staff determines whether incoming mail is official municipality mail or personal staff mail. If the mail is official company mail, then proceed to Step 6.  If the mail is personal staff mail, then proceed to Step 5.
5	Mail distributed in pigeon holes	Registry staff distributes the personal staff mail into the pigeon holes. Process ends for personal staff mail.
6	Official or Confidential mail?	Registry staff determines whether the municipality mail is official or confidential mail as confidential mail may only be opened by the addressee (or recipient). If the mail is official company mail, then proceed to Step 12.  If the mail is confidential municipality mail (i.e. to be opened by addressee), then proceed to Step 7.
7	Deliver unopened confidential mail	Registry staff delivers the unopened confidential company mail to the addressee.
8	Acknowledge receipt of mail	Addressee acknowledges receipt of the unopened confidential municipality mail by signing the register. The register must be signed by the addressee (or receiver) to confirm that the confidential mail has been delivered by the registry staff.
9	Return mail to Registry	Addressee determines whether the "now opened" confidential municipality mail may be returned to the Central Registry or whether it should be retained and filed within the Business Unit. If the mail can be returned to the CR, then proceed to Step 10.  If the mail must be retained by the BU, then proceed to Step 11.
10	Confidential mail received	Registry staff delivers the returned mail back to the Central registry. Proceed to Step 13.
11	Confidential mail retained	Addressee retains and files the confidential mail within the Business Unit Process Ends (for confidential mail retained within Business Unit).
12	Open official mail	Registry staff opens the official municipality mail.
13	Certify receipt of mail	Registry staff certifies that the official municipality mail has been received by the Central registry.



Task No	Task Flow Diagram	Task Description
14	Allocate unique no	Central registry allocates a unique number for identification purposes.
15	Register the incoming mail	Registry staff acknowledges receipt of the official company mail and records the mail in the Incoming mail register.
16	Sort mail per business unit	Registry staff sorts the mail per business unit. The mail is now ready to be distributed / delivered.
17	Distribute mail to Business Unit	Registry staff delivers official municipality mail to the relevant Business Unit to whom the mail has been addressed.

#### e. Outgoing Mail

Task No	Activity Flow Diagram	Activity Description
1	Outgoing mail inserted in Outbox	Business Unit (BU) delivers outgoing mail in the BU's Outbox
2	Registry staff collects outgoing mail	Registry staff collects outgoing mail from Business Units
3	Outgoing mail received at Registry	Outgoing mail is received at the Central Registry
4	Sort Outgoing mail	Registry staff sorts the outgoing mail into 4 categories: <ul style="list-style-type: none"> <li>• Hand delivered mail</li> <li>• Ordinary mail</li> <li>• Registered mail</li> <li>• Courier mail</li> </ul>
5	Hand Delivered mail	Registry staff sorts all the outgoing mail accordingly into 1 of 4 categories. If Hand delivered outgoing mail, then proceed to Task 9.  If not Hand delivered outgoing mail, then proceed to Task 6.
6	Ordinary mail	Registry staff sorts mail accordingly into 1 of the 4 categories. If Ordinary outgoing mail, then proceed to Task 17.  If not Ordinary outgoing mail, then proceed to Task 7.
7	Registered mail	Registry staff sorts mail accordingly into 1 of the 4 categories. If Registered outgoing mail, then proceed to Task 13.  If not Registered outgoing mail, then proceed to Task 8.
8	Courier mail	Registry staff sorts mail accordingly into 1 of the 4 categories. If Courier outgoing mail, then proceed to Task 18.  If not Courier outgoing mail, then proceed to Task 4.

#### **Hand Delivered Mail**

9	Transport request for hand delivery	Registry staff completes transport request to deliver hand-delivered mail to its destination. The completed request is forwarded to the Transport department.
10	Driver collects hand delivered mail from Registry	The driver collects the hand delivered mail from the Central Registry.
11	Mail hand delivered to destination	The driver proceeds to deliver the mail to its destination.

12	Receive confirmation of mail delivery	The driver receives confirmation that hand-delivered mail was successfully delivered. END PROCESS (for Hand delivered mail)
<b>Registered Mail</b>		
13	Register mail in Registered mail register	Registry staff registers all Registered outgoing mail in mail register.
14	Fill in tracking number	Registry staff completes the tracking number on the registered mail for tracking purposes.
15	Complete registry letter slip	Registry staff completes the Registry letter slip.
16	Deliver outgoing mail to Post Office	Registry staff delivers the Registered and Ordinary outgoing mail to the Post Office. PROCESS END (for Register and Ordinary outgoing mail).
<b>Courier Mail</b>		
17	Register mail in Courier mail register	Registry staff records the mail in the Courier mail register
18	Complete physical address in Weigh bill	Registry staff completed the physical address on the Weigh bill.
19	Select the courier service	Registry staff selects the courier service that will deliver the mail.
20	Contact courier service to collect mail	Registry staff contacts the courier service and requests them to collect the mail.
21	Deliver mail to reception. Complete register	Registry staff delivers the mail to reception and completes the register.
22	Collects mail from reception	The courier collects the mail from the reception.
23	Update and sign Outgoing Courier register	The courier updates and signs the outgoing courier



## 6.5 DEVELOPING AND IMPLEMENTING A FUNCTIONAL SUBJECT FILE PLAN

### 6.5.1 QUESTIONS TO REFLECT ON:

The following questions are worth reflecting on before tackling this section of the toolkit:

- Does your municipality have an approved file plan?
- Are you familiar with your municipality's file plan?
- Upon creating official records, do you allocate file reference numbers derived from the file plan thereto?
- Do you describe (name) your files according to an approved file plan?
- Do you arrange records according an approved file plan?



### 6.5.2 WHAT IS A FILE PLAN?

A file plan is a predetermined classification plan by which correspondence records are stored in the interest of efficient retrieval and disposal. It is a primary records management planning document. Although file plans can differ across organisations, they typically:

- Describe the kinds of items the municipality acknowledges to be records.
- Describe what broader category of records the items belong to.
- Indicate where records are stored.
- Describe retention periods for records.
- Delineate who is responsible for managing the various types of records.

The file plan that is recommended by the National Archives and Records Service of South Africa (NARSSA) for use in municipalities in South Africa is referred to as the Functional Subject File Plan. The functional approach to developing a file plan bases its structure around the underlying functions and activities which the municipality performs, rather than trying to reflect the municipality's structure it uses to perform those functions. Although the same department may be known as Human Resources, Personnel & Staff Development and Staff Welfare in as many years, the roles it carries out will largely remain constant: recruitment, appraisal, training, disciplinary procedures etc. Basing the structure of the file plan on these underlying functions and the activities which are carried out to achieve those, results in a far more stable filing system. It should also be easier to navigate by those who do not have a detailed knowledge of the area in question as it does not rely on obscure department-specific names or acronyms.

The basic requirements of a good file plan are as follows:

1. *It must be logical and consistent:* the file plan should be arranged logically and not merely compiled without purpose or sense. When a particular method of arrangement has been decided upon, it must be adhered to consistently and deviations should not occur without sound reasons.
2. *It must be flexible:* A file plan is a living document. As such, it should be designed in such a way that any further additions can be introduced in the future without disturbing the original pattern and without requiring major amendments to the file plan itself. Thus, it should be possible to make additions as though they were known at the time when the file plan was drawn up.
3. *It should be as simple as possible:* A file plan should not be made complicated without rhyme or reason. Preference should always be given to the simple method rather than the complicated one, where both may achieve the same object.

A file plan is based on 3 principles:

1. **The organisational principle:** This principle helps to determine the number of file plans required by an organisation. To have its own file plan, a body (or part thereof) should represent a complete entity. Thus it should be able to function independently (not autonomously).
2. **The functional principle:** The Functional Subject File Plan is based on the functions of an organisation. Main functions are determined and referred to as the main series of the file plan. The organisation's support functions precede the line functions in terms of the order of the main series.
3. **The one subject-one file principle:** The principle implies that a file cover should contain documents dealing with one subject. In other words, after identifying the main functions of an organisation, the functions should be broken down finely into specific subjects. E.g. HR-Labour relations-disputes. Records on the same subject should then belong to a single home (file cover). It does not matter from whom the records come; by whom or which organisation it was created. What matters is the subject. Records authored by different people in different organisations (inter and intra-departmental) will share the same folder by virtue of their common subject.

### 6.5.3 WHY DEVELOP A FILE PLAN?

The following are the 3 main uses of a file plan:

1. Classification of records: a file plan is used for the purpose of allocating reference numbers to records.
2. Description of files: a file plan provides for a system or method by which the files are named.
3. Arrangements of files: a file plan provides a sequence by which files are arranged orderly.

### 6.5.4 WHO SHOULD DEVELOP A FILE PLAN?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a file plan is therefore the responsibility of the records manager. The General Instructions of a file plan further states that "control of the file plan is assigned to the records manager and that no amendments and/or additions to the file plan may be made without the approval of this official (records manager) or an official with a duly authorised delegation. However, in developing a file plan, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. The records manager will also seek guidance and assistance from expert areas such as the Work-Study (Organisational Development), Legal Services etc.

### 6.5.5 A STEP-BY-STEP GUIDE IN DEVELOPING A FILE PLAN

Below is a recommended flowchart to be deployed when developing and implementing a file plan:

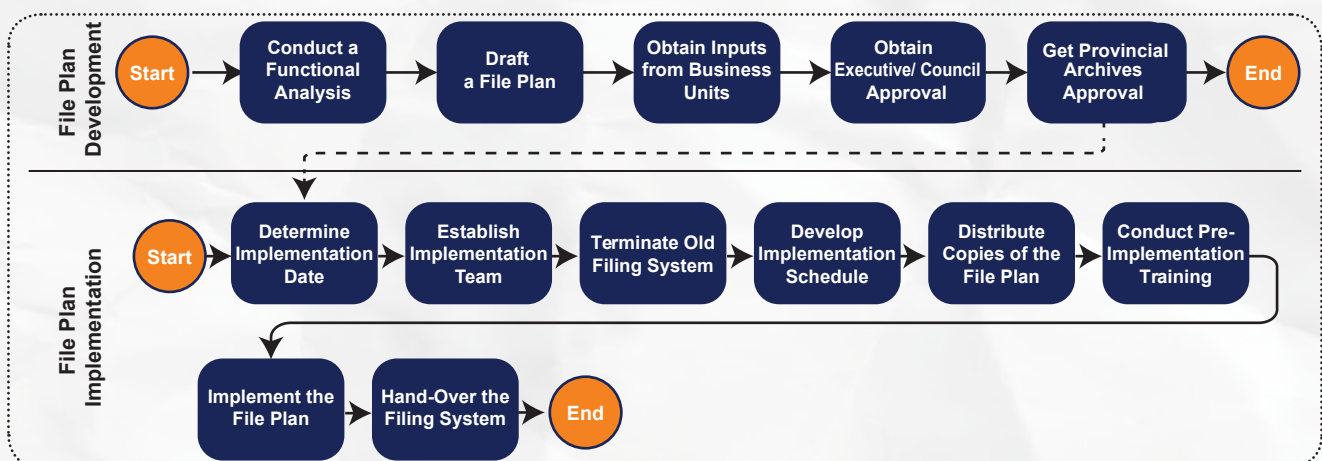


Figure 8: File Plan Flowchart



A background to the compilation of a file plan can be obtained from the NARSSA Website: <https://www.nationalarchives.gov.za/node/426?page=1>. Below we have outlined 5 steps in the development of a Functional Subject File Plan:

Step	Responsibility	Output/s
1. Conduct a Functional Analysis	Records Manager	Functional analysis report
2. Draft a File Plan	Records Manager	1 <sup>st</sup> draft of the file plan
3. Distribute the File Plan for Inputs	Records Manager	Revised draft of the file plan
4. Get an Executive/Council Sign-Off	Records Manager	Sign-off
5. Submit the File Plan to the Provincial Archives for Approval	Records Manager	Approved file plan

Table 9: Five steps in the development of a file plan

**Step 1: Conduct a Functional Analysis:** In order to develop a comprehensive functional subject file plan, it is essential to conduct a study of the municipality's functions and activities. This is because the file plan will be based on this framework and requirements. The final file plan will thus have to reflect the functions of the municipality. This exercise requires consultations with the business unit responsible for developing the municipality's organisational structure, it requires a thorough analysis of the structure itself, as well as consultations with all business units to fully understand their mandate.

**Step 2: Draft the File Plan:** Once consultations are completed, the drafting of the file plan may commence. A list of main functions should be compiled and should be such that they cover all activities of the municipality, but at the same time they should have been so chosen and described that they exclude one another. The number of these main functions, referred to main series, should be as few as possible, for the more there are the more difficult it will be to describe them mutually exclusive and consequently the more difficult it will be to place a document correctly. Below are the 7 steps to be undertaken in developing a File Plan.

## 7 Steps in drafting a file plan

Step 1	<p><b>Identify the high level functions of the municipality, e.g.:</b></p> <ul style="list-style-type: none"> <li>• Community Services</li> <li>• Human Resource Management</li> <li>• Licences and Permits</li> <li>• Financial Management</li> <li>• Supply Chain Management</li> <li>• Essential Services</li> <li>• Council and Council Matters</li> <li>• Facilities Management</li> <li>• Legal matters</li> <li>• Town planning and control</li> </ul>
Step 2	<p><b>Arrange the high level functions starting with the support functions and then the line functions:</b></p> <p>Support Functions</p> <ul style="list-style-type: none"> <li>• Human Resource Management</li> <li>• Financial Management</li> <li>• Supply Chain Management</li> <li>• Council and Council Matters</li> <li>• Facilities Management</li> <li>• Legal matters</li> </ul> <p>Line Functions</p> <ul style="list-style-type: none"> <li>• Community Services</li> <li>• Licences and Permits</li> <li>• Essential Services</li> <li>• Town planning and control</li> </ul>
Step 3	<p><b>Allocate a reference code to each high level function:</b></p> <ol style="list-style-type: none"> <li>1. Human Resource Management</li> <li>2. Financial Management</li> <li>3. Supply Chain Management</li> <li>4. Council and Council Matters</li> <li>5. Facilities Management</li> <li>6. Legal matters</li> <li>7. Community Services</li> <li>8. Licences and Permits</li> <li>9. Essential Services</li> <li>10. Town planning and control</li> </ol>
Step 4	<p><b>Identify activities (2nd level functions) for each high level function e.g. (HRM):</b></p> <p style="text-align: center;">1. <u>HUMAN RESOURCE MANAGEMENT</u></p> <p>Recruitment          Training and development          Labour relations          Employee wellness          Staff losses          Leaves</p>



### 7 Steps in drafting a file plan

Step 5	<p><b>Allocate a reference code to each activity (2nd level function) e.g. (HRM):</b></p> <p style="text-align: center;">1. <u>HUMAN RESOURCE MANAGEMENT</u></p> <p>1/1 Recruitment 1/2 Training and development 1/3 Labour relations 1/4 Employee wellness 1/5 Staff losses 1/6 Leaves</p>
Step 6	<p><b>Identify sub-activities (3rd level functions) for each activity e.g. (Recruitment):</b></p> <p style="text-align: center;">1. <u>HUMAN RESOURCE MANAGEMENT</u></p> <p>1/1 <u>Recruitment</u> Advertisement Shortlisting Interviews Appointments</p>
Step 7	<p><b>Allocate reference codes for each sub-activities (3rd level functions) e.g. (Recruitment):</b></p> <p style="text-align: center;">1. <u>HUMAN RESOURCE MANAGEMENT</u></p> <p>1/1 <u>Recruitment</u> 1/1/1 Advertisement 1/1/2 Shortlisting 1/1/3 Interviews 1/1/4 Appointments</p>

**Step 3: Distribute the Draft File Plan:** Once the draft file plan has been completed, it should be distributed to all business units for inputs. It is recommended that a 3-cycle consultative process be undertaken as follows:

#### Development of the 1<sup>st</sup> Draft

- Develop the 1<sup>st</sup> draft of the file plan
- Circulate the 1<sup>st</sup> draft of the file plan for inputs

#### Development of the 2<sup>nd</sup> Draft

- Develop the 2<sup>nd</sup> draft of the file plan upon receipt of the inputs
- Circulate the 2<sup>nd</sup> draft of the file plan for further inputs

#### Development of the 3<sup>rd</sup> and Final Draft

- Develop the 3<sup>rd</sup> and final draft of the file plan upon receipt of the inputs
- Workshop the 3<sup>rd</sup> and final draft of the file plan and obtain sign-offs from all business units

**Step 4: Get an executive/council sign-off to submit the File Plan to the Provincial Archives:** Once the business units are comfortable with the final draft of the file plan, it is essential to obtain the final sign-off from the executive/council for the purpose of submitting the file plan to the provincial archives for approval.

**Step 5: Submit the File Plan to the Provincial Archives for approval:** When a file plan has been completed to the satisfaction of the interested parties and has been compiled in its final draft form, the necessary approval for its implementation will have to be obtained. This is done by sending two copies of it to the Provincial Archivist, applying for approval of the file plan and for its implementation. In provinces that do not have their own archival legislation, the draft file plan should be submitted to the National Archives. As soon as approval has been obtained from the Provincial Archivist the date of implementation can finally be determined and the necessary arrangements made.

### 6.5.6 A STEP-BY-STEP GUIDE IN IMPLEMENTING A FILE PLAN

Below are the 7 Steps in the implementation of a file plan:

Step	Responsibility	Output/s
1. Determine the Implementation Date	Records Manager	Communicate to staff members
2. Establish an Implementation Team	Records Manager	List of members of the team
3. Terminate the Old Filing System	Records Manager	Inventory of terminated files
4. Develop an Implementation Schedule	Records Manager	Implementation schedule
5. Distribute Copies of the File Plan	Records Manager	Communicate to staff members (with attached file plan)
6. Conduct Pre-Implementation Training	Records Manager	Training manual Attendance registers
7. Implement the File Plan	Implementation Team	Register of files opened

Table 10: Eight steps in the implementation of a file plan

**Step 1: Determine the Implementation Date:** It is important to set a date for the implementation of the new file plan. This date should be communicated to all users within the municipality with the understanding that from that date onwards, full compliance will be expected.

**Step 2: Establish an Implementation Team:** Implementing a file plan requires a knowledgeable team of records management practitioners. To this end, it is important to identify officials who will be involved in the process.

**Step 3: Terminate the old filing system:** Before the implementation of the new file plan, old files should be terminated as soon as possible. It may be necessary to refer to the old files for a while, but such files should be appended loosely to the new files until they are no longer required and then placed with the other old files. No further correspondence should be carried out on the old files and no original documents should be transferred from the old files to the new ones.

**Step 4: Develop an Implementation Schedule:** The implementation process may necessitate doing it business unit by business unit. As such, it may be necessary to develop a schedule of visits to all business units within the municipality.



**Step 5: Distribute copies of the file plan:** Sufficient copies of the file plan should be available for each official within the municipality. A copy may even be posted on the intranet for easy access. It is then the duty of every official to ensure that the file numbers allocated by the registry staff are correct and, when files are requested from registry, the file number should be quoted and not merely the description. All amendments to the file plan should be circulated from time to time so that each official may keep his copy up to date.

**Step 6: Conduct Pre-Implementation Training:** It is important to conduct training to all users before implementation to help clear all misunderstandings around the process.

**Step 7: Implement the File Plan:** Once the ground work is completed, the file plan may be implemented. Below is an outline of the main activities to be undertaken during the implementation stage as well as the tools that will be required:

Activity	Tools/enablers
1. Classification of records	Standard Templates
2. Open new files etc.	File covers, Backing Boards, Stencil, Markers, Paper faster, 1 hole puncher, Stapler, records storage boxes
3. Arrange files according to the file plan sequence	Storage Space/Filing cabinets
4. Make additions/amendments on the file plan	Copy of File Plan
5. Receive inputs on the retention periods on the Disposal Authority	Copy of File Plan
6. Remove all semi-active and non-active records from active storage facility	Mobile trolleys
7. Shred all records overdue for destruction	Shredder/s

Table 11: A list of activities (and tools) for file plan implementation

## 6.5.7 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) A PROTOTYPE FILE PLAN

Note: For the intended purpose of this toolkit, the content of this National Archives prototype has been customised for municipalities.

# MUNICIPALITY OF BENTVILLE FILE PLAN

#### **TABLE OF CONTENTS**

- A. General instructions
- B. List of main series
- C. Subject classification
- D. List of series of separate case files



## A. GENERAL INSTRUCTIONS TO FILE PLAN

### NAME OF OFFICE

1. This file plan is for the use of the **(name of municipality)** and it may not be applied to any other office without the prior permission of the Provincial Archivist.

### REPORTING

2. All amendments and additions (the omission or insertion of an underlining is an amendment as well) should be submitted regularly to the Provincial Archivist for notification and formal approval. In cases where the amendments/additions are circulated by means of circulars, it will suffice if a copy thereof is forwarded to the Provincial Archivist. For easy reference and effective control the notifications should be numbered each year starting at number one, e.g. 1/..., 2/..., etc. It is advisable that in cases where major amendments and/or additions are required, the prior approval for the amendment be obtained from the Provincial Archivist before any new files are opened. (For unclassified correspondence see par. 16 of these instructions.)

### CONTROL OF SYSTEM

3. Control of the file plan is assigned to the..... No amendments and/or additions to the file plan may be made without the approval of this official. The duties of this official comprise inter alia the following:
  - a. He/she must scrutinize the office daily file regularly to ensure that all correspondence is dealt with on the correct files.
  - b. He/she must ensure that paragraphs 5 and 6 of the instructions are strictly adhered to by scrutinizing the relevant files regularly to ensure that they are used correctly.
  - c. He/she must keep the master copy up to date. (See also par. 9.)
  - d. The efficiency of the file plan should be examined regularly to ensure that the necessary amendments are provided. When new functions are acquired, new files should be created and where necessary, existing files should be broken up or combined as the case may be. Parent files (i.e. headings which are subdivided but also used as files) should be examined regularly to prevent them from becoming general files and where necessary further sub-files should be created. NB - Such changes must be reported in terms of par. 2 of these instructions.
  - e. Particular attention should be paid to cases where correspondence is started on one file and where the emphasis then shifts to another aspect in order to ensure that the matter is dealt with on the appropriate file.
  - f. For duties i.r.o. the descriptions on file covers and unclassified correspondence, see paragraphs 13 and 16 below.

(These duties should be included on the official's job description/performance agreement.)

### ACCURATE FILING OF CORRESPONDENCE

4. All officials conducting correspondence should be supplied with a copy of the file plan. Officials must ensure that they are conversant with the series with which they work and should ensure that all correspondence is dealt with on the correct file. Incorrect filing should be rectified immediately to ensure that permanently valuable documents are not destroyed and to prevent the retention of ephemeral documents.

## **POLICY FILES**

5. Provision has been made for policy files. These files are identified by the symbol "P" as the last component of the reference number, e.g. 1/P, 1/1/P, etc. All matters concerning policy, rulings, instructions, procedures and directives, should be dealt with on these files to ensure easier reference. It must be noted that the term "instructions", as used above, indicates instructions regarding the work of a section and not instructions to officials. If a case arises before disposal authority has been issued on the file plan where a policy matter is decided on a subject file, the Records Manager should decide whether copies of the correspondence as a whole, or a copy of the final decision only, should be placed on the relevant policy file. Once disposal authority has been issued, a copy of a policy decision taken on an A20 file should be placed on the policy file with a cross-reference to the file on which the case was finalized. If a policy decision is taken on a D file, copies of all relevant documents should be placed on the relevant policy file. Where a bulky document, e.g. a report, contains a policy decision or ruling, only an extract of the relevant section of the report should be placed on the policy file. Correspondence dealt with on policy files should be limited to that relating to the formulation and/or revision of policy.

### **THE FOLLOWING CORRESPONDENCE SHOULD NOT BE PLACED ON POLICY FILES –**

- i. Enquiries regarding policy that do not result in the formulation of new policy or new amended interpretation of existing policy.
- ii. Dealings with individual cases which do not result in the formulation of new policy or amendments to existing policy.
- iii. Cases concerning a main or sub-series as a whole, but which are not policy matters, as well as individual aspects of the particular subject for which no file exists. In such cases suitable files should be opened.

## **ROUTINE ENQUIRIES**

6. At appropriate places in the file plan files for routine enquiries have been provided. These files are identified by the symbol "R" as the last component of the reference number, e.g. 1/R, 1/1/R, etc. These files are for enquiries of a routine nature which require no further action subsequent to the reply. **UNDER NO CIRCUMSTANCES MAY MATTERS OTHER THAN THE ROUTINE SUPPLY OF INFORMATION BE DEALT WITH ON THESE FILES.**

## **REPORTS AND RETURNS**

7. In the main series for REPORTS AND RETURNS provision has been made only for those reports and returns which cannot be dealt with under the other main series. Where files for reports and returns have been provided in the other main series they are to be used only where the relevant report or return cannot be placed on a subject file under that main series.

## **ASPECTS NOT SEPARATELY PROVIDED FOR**

8. Sometimes it is necessary to provide files for subjects which in the beginning do not receive sufficient correspondence to warrant separate files being opened for each subject. These files may, however, not be used as "general" files.

When the Records Manager notices that a specific subject generates sufficient correspondence to justify creating a separate subject file, such a file must be provided for in the file plan.



## MASTER COPY

9. The master copy is that copy of the file plan which contains all approved subjects and which indicates how files are to be opened and stored. No file may be opened unless the file description has already been recorded in the master copy and the approval of the Records Manager has been obtained. Individual case files which are opened according to notes in the file plan are not recorded in the master copy. They should be recorded in a register of files opened (see par. 10). The Records Manager must ensure that all amendments and/or additions are recorded in the master copy immediately.

## REGISTER OF FILES OPENED

10. The purpose of this register is to keep a complete record of all files opened. A loose-leaf binder is recommended as it facilitates the insertion of extra pages which are usually required for case files which form part of the subject classification. The register is maintained in the same form as the file plan and files are entered in the same consecutive order. An extra column should be provided opposite the file descriptions in which to note the date of opening (date of first document) next to the file title. The first page of the register should indicate the name of the office to which the file plan is applicable as well as the date of implementation. (For secret files see par. 22.)

## DESTRUCTION REGISTER

11. A register of closed D files should be drawn up as soon as disposal authority has been obtained. This register is divided into years, e.g. 2010, 2011, 2012, etc. When a file volume is closed, its reference number should be entered under the year in which it will be destroyed. A volume which is closed in 2012 and for which the disposal instruction is D3, therefore, will be entered under the year 2015. The register thus indicates which volumes are to be destroyed in any particular year. The use of a loose-leaf binder is recommended as it is not possible to determine the number of pages needed per year beforehand. (For disposal see par. 18.)

## IMPLEMENTATION

12. This file plan will be implemented on ..... and thereafter no correspondence may be dealt with on the files of the previous file plan. Permission can be obtained from the Provincial Archivist to incorporate case files from the previous file plan into the new file plan. All files from the previous file plan should be closed on the day prior to the date of implementation, and no original correspondence should be transferred from the old to the new file plan.

## OPENING OF FILES AND DESCRIPTIONS ON FILE COVERS

13. Files should be opened only when required. Care should be taken that the numbering and descriptions of the files, as indicated in the file plan, are strictly adhered to. In cases where file descriptions are too lengthy, certain components which do not form an essential part of the file description may be omitted. Where, for instance, the complete file description reads as follows: Finance, Taxes, Land and Property Tax, Remission, the word Taxes may be omitted. Although certain components may be omitted, the title of the main series must always be given and the file description must be sufficiently comprehensive to describe the content of the file. In order to assist the registry staff, the Records Manager should indicate which components may be omitted in such cases. Titles should be printed in indelible ink. The dates of first and last correspondence as well as applicable disposal instructions when available, should be indicated on the file cover. Worn covers should be replaced regularly.



## **UNDERLINED DESCRIPTIONS**

14. All underlined descriptions indicate subject headings only. Subdivisions must be made under these subject descriptions but NO FILE MAY BE OPENED FOR ANY UNDERLINED DESCRIPTION.

## **EXPLANATIONS IN BRACKETS**

15. The explanations in brackets under the subject headings or file descriptions are intended as a guide and should not be entered on file covers.

## **UNCLASSIFIED CORRESPONDENCE: PROCEDURE**

16. When correspondence is received for which no file is provided, the Records Manager should be approached immediately to indicate on which existing file the correspondence should be placed, or which new file should be opened.

## **ANNEXURE FILE COVERS**

17. An additional cover must be opened where necessary for storing bulky documentation which if filed would result in an inordinate increase in the volume of a file. No correspondence, may however be filed in such a cover. The cover should be marked clearly with the correspondence file reference number and "Annexure File" written on the outside cover. Every document contained in the Annexure file should bear a cross-reference to the correspondence on which it was received.

## **DISPOSAL OF FILES**

18. Once disposal authority has been issued disposal instructions are recorded opposite each file in the disposal column provided in the file plan. The disposal symbols indicate the following –

A20: Keep for transfer to the appropriate archives repository if a period of 20 years has elapsed since the end of the year in which the record came into existence.

D: Destroy (after the lapse of number of years which is indicated by the number following the letter D) after closure of the records.

The destruction of files qualifying for destruction should be done regularly, but at least once a year. The prescribed destruction certificate should be submitted to the Provincial Archivist.

## **THICKNESS OF FILES**

19. Files should not exceed 3 cm. in thickness. On reaching this thickness a file must be closed and a new cover should be opened. The number of the new volume (e.g. vol. 2) must be indicated on the outside of the new cover. A sheet of paper with the wording "Closed, see volume ..." should be filed as the last item on the closed volume.

## **CLOSURE OF A20 FILES**

20. The following procedure should be followed when volumes of A20 files are closed:
- The correspondence should be examined in order to correct any misfiling. A sheet of paper containing the words "Closed, see volume ..." is then filed as the last item in the volume.
  - Worn file covers should be replaced.
  - The files are then stored in boxes especially used for this purpose.

## CASE FILES

21. Case files which form part of the subject classification are to be opened in accordance with the instructions appearing at the appropriate places in the file plan. For particulars concerning case files which do not form part of the subject classification, see the list of series of separate case files at the end of the subject classification. (See also paragraph 9.)

## SECRET FILES

22. Concerning secret files the following procedure should be followed:

- (a) Secret files may be opened under any main series, sub-series or file description appearing in the master copy of this file plan. These files are distinguished from the ordinary files by the addition of a capital letter S to the reference number.
- (b) Should a secret file be needed for a subject for which a suitable main series, sub-series or file description does not exist, an appropriate provision should be made and reported in the usual way to the Provincial Archivist. It is not necessary, however, to indicate that it is intended for secret correspondence.
- (c) Secret files are not indicated as such in the master copy and are also not recorded in the register of files opened for ordinary files. A separate register of secret files opened should be kept along the same lines as set out in paragraph 10 of these instructions.
- (d) Separate arrangements for the safe-keeping of secret files must be made and should not be incorporated as a part of these instructions. See the Minimum Information Security Standards (MISS) for storage of classified documents.
- (e) The disposal instruction for all secret files is A20 and they should be dealt with accordingly.

## *B. LIST OF MAIN SERIES*

1. LEGISLATION
2. ORGANISATION AND CONTROL
3. COUNCIL AND COUNCIL MATTERS
4. HUMAN RESOURCES
5. FINANCE
6. DOMESTIC SUPPLIES AND SERVICES
7. BUILDINGS AND GROUNDS
8. TENDERS, QUOTATIONS AND CONTRACTS
9. REPORTS AND RETURNS
10. PUBLICITY AND INFORMATION
11. FESTIVALS AND SOCIAL MATTERS
12. COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS
13. LEGAL MATTERS
14. LICENCES AND PERMITS
15. TOWN PLANNING AND CONTROL
16. ESSENTIAL SERVICES
17. COMMUNITY SERVICES



## C. SUBJECT CLASSIFICATION

### 1. LEGISLATION

(Acts, regulations, ordinances, etc. must be kept outside the file plan.)

NUMBER	DESCRIPTION	DISPOSAL
1/P	Policy	
1/R	Routine enquiries	
1/1	<u>Parliamentary legislation and regulations</u>	
1/1/1	<u>Drafting and amendment</u> (Open a file for each act and/or regulation and number consecutively.)	
1/1/2	Legal opinions (For legal opinions related to the contravention of legislation, see 13/1.)	
1/2	<u>Provincial legislation and regulations</u>	
1/2/1	<u>Drafting and amendment</u> (Open a file for each act and/or regulation and number consecutively.)	
1/2/2	Legal opinions (For legal opinions related to the contravention of legislation, see 13/1.)	
1/3	<u>Council by-laws</u>	
1/3/1	<u>General</u>	
1/3/1/1	<u>Drafting, amendment, tabling</u> (Open a file for each by-law and number consecutively.)	
1/3/1/2	<u>Advertising, objections, publication</u> (Open a file for each by-law and number consecutively.)	
1/3/1/3	<u>Submission for approval by premier</u> (Open a file for each by-law and number consecutively.)	
1/3/2	<u>Standard</u>	
1/3/2/1	<u>Drafting and amendment</u> (Open a file for each by-law and number consecutively.)	
1/3/3	<u>Compulsory</u>	
1/3/3/1	<u>Drafting and amendment</u> (Open a file for each by-law and number consecutively.)	
1/4	<u>Council regulations</u>	
1/4/1	<u>Drafting and amendment</u> (1. Representations for amendment are placed on the file concerned hereunder. 2. Open a file for each regulation and number consecutively.)	

## 2. ORGANISATION AND CONTROL

NUMBER	DESCRIPTION	DISPOSAL
2/P	Policy	
2/R	Routine enquiries	
2/1	Functions	
2/2	Survey to ascertain extension demands and systems investigation	
2/3	Establishment of new sections/offices (For posts control see 4/1.)	
2/4	Work-planning and procedures	
2/5	<u>Delegation of authority</u>	
2/5/1	Temporary	
2/5/2	Permanent	
2/6	Office instructions	
2/7	<u>Record control</u>	
2/7/1	<u>File plan</u>	
2/7/1/1	Compilation and amendment	
2/7/2	<u>Disposal of records</u>	
2/7/2/1	Obtaining of disposal authority	
2/7/2/2	Transfer	
2/7/2/3	Destruction	
2/7/3	Microfilming (Correspondence regarding obtaining of disposal authority from the provincial archives service should be dealt with on 2/7/2/1.)	
2/7/4	Data processing (Correspondence regarding obtaining of disposal authority from the provincial archives service should be dealt with on 2/7/2/1.)	
2/7/5	Inspections	
2/7/6	Returns (See par. 7 of the general instructions.)	
2/8	Privatisation	
2/9	Grading of local authority	
2/10	<u>Meetings of heads</u>	
2/10/1	Arrangements	
2/10/2	Agendas	
2/10/3	Minutes	



### 3. COUNCIL AND COUNCIL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
3/P	Policy	
3/R	Routine enquiries	
3/1	<u>Election</u>	
3/1/1	<u>Council</u>	
3/1/1/1	Determination of wards	
3/1/1/2	Voters' rolls	
3/1/1/3	Nominations	
3/1/1/4	Polling booths	
3/1/1/5	Presiding officer and polling Officer: appointment	
3/1/1/6	Petitions	
3/1/1/7	<u>Revision court</u>	
3/1/1/7/1	Appointment of members	
3/1/1/7/2	Agenda and minutes	
3/1/2	Council committees	
3/1/3	Office-bearers	
3/2	<u>Meetings</u>	
3/2/1	<u>Main files</u>	
3/2/1/P	Policy	
3/2/1/1	Motions	
3/2/1/2	Questions by members	
3/2/1/3	Outstanding resolutions	
3/2/1/4	Leave of absence	
3/2/1/5	Caucus meetings	
3/2/1/6	Standing orders	
3/2/2	<u>Council</u>	
3/2/2/1	Arrangements	
3/2/2/2	Agendas	
3/2/2/3	Minutes	
3/2/3	<u>Committees</u>	
3/2/3/1	Arrangements	
3/2/3/2	Agendas	
3/2/3/3	Minutes	
3/3	<u>Matters concerning councillors</u> (Only matters which cannot be placed elsewhere - financial matters are e.g. placed on 5/12 and qualification for election on 3/1/1/3.)	
3/3/1	Trade with councillors	
3/3/2	Awards to councillors	

## 4. HUMAN RESOURCES

(Files under this main series should be used for general human resources matters only. Correspondence in connection with a particular person is placed on the personal files which do not form a part of this file plan. See list of series of separate case files.)

NUMBER	DESCRIPTION	DISPOSAL
4/1	<p>Posts control                      (1. For surveys to ascertain extension demands, systems investigations, establishment of new sections/offices, see main series 2.                      2. Posts control has only to do with posts structure and not with the staff filling the posts, i.e.                      i) Estimates                      ii) Designation and classification of Posts                      iii) Creation and conversion of posts.)</p>	
4/1/1	<u>Main files</u>	
4/1/1/P	Policy	
4/1/1/1	<u>Furnishing of information</u>	
4/1/1/1/1	To other bodies	
4/1/1/1/2	By other bodies	
4/1/1/2	Duty sheets	
4/1/1/3	Evaluation of posts	
4/1/2	<u>Sections</u>	
4/1/2/1	Municipal Manager	
4/1/2/2	Support Services	
4/1/2/3	Financial Services	
4/2	<p><u>Determination of conditions of service</u>                      (1. For grants, payments and deductions see 4/5 sub-series.                      2. For negotiations with trade unions, see 4/10/1.)</p>	
4/2/1	Salary scales	
4/2/2	Leave	
4/2/3	Official hours of attendance	
4/3	<u>Vacancies and appointments</u>	
4/3/P	Policy	
4/3/R	Routine enquiries	
4/3/1	Temporary/Part time appointments	
4/3/1/1	Holiday work	
4/3/2	<p><u>Permanent appointments</u>                      (As soon as a person is appointed, his/her personal documents are removed from the files hereunder and transferred to his/her personal file. See list of series of separate case files.)</p>	
4/3/2/1	Section Municipal Manager	
4/3/2/2	Section Support Services	
4/3/2/3	Section Financial Services	



4/4	<u>Training and qualifications</u>
4/4/P	Policy
4/4/R	Routine enquiries
4/4/1	Scholarships
4/4/2	Courses
4/4/3	Language qualifications
4/5	<u>Financial</u>
	(1. Aspects regarding conditions of service are to be dealt with under 4/2.
	2. All deductions should be dealt with on the 4/5/3 sub-division.)
4/5/P	Policy
4/5/1	Salaries and overtime
4/5/2	<u>Payment of allowances</u>
	(For councillors see 5/12.)
4/5/2/1	Subsistence and transport
4/5/2/2	Leave
4/5/2/3	Housing
4/5/3	<u>Deductions</u>
4/5/3/1	Income-tax
4/5/3/2	Pension
4/5/3/3	Insurance
4/5/4	<u>Loans</u>
4/5/4/1	Housing
4/5/4/2	Study
4/5/4/3	Purchase of motor-car
4/5/5	Pension fund
4/5/5/1	Application for membership
4/5/6	<u>Insurance</u>
4/5/6/1	Medical benefit society
4/5/6/2	Accident insurance
4/6	Termination of service
4/6/1	Testimonials and service certificates
4/7	<u>Staff control</u>
4/7/1	Office hours
4/7/2	Leave and relief arrangements
4/7/3	Complaints against staff
4/7/4	Clothing
4/7/4/1	Uniforms
	(For purchasing see sub-series 6/1/2/3.)
4/8	<u>Staff evaluation and grading</u>
	(For posts evaluation and grading see 4/1.)
4/8/1	Merit assessment
4/8/2	Determination of seniority
4/9	Staff returns and statistics
	(See par. 7 of the general instructions.)
4/9/1	Accidents at work
4/10	<u>Labour relations</u>
4/10/1	Negotiations with trade unions and staff associations
4/11	<u>Productivity</u>
4/11/P	Policy

## 5. FINANCE

(For staff finance see 4/5 sub-series)

NUMBER	DESCRIPTION	DISPOSAL
5/1	<u>Estimates</u>	
5/1/P	Policy	
5/1/1	Annual estimates: Compilation of (Open a file cover for each year, e.g. 5/1/1-2010/11; 5/1/1-2011/12.)	
5/1/2	Excess	
5/1/3	Financial statements	
5/2	<u>Evaluations</u>	
5/2/P	Policy	
5/2/R	Routine enquiries	
5/2/1	Appointment of appraiser	
5/2/2	<u>Valuation roll</u>	
5/2/2/1	Arable land and farm portions	
5/2/3	<u>Valuation Appeal Board</u>	
5/2/3/1	Appointment of members	
5/2/3/2	Appeals and reviews	
5/2/4	Valuation certificates	
5/2/5	Objections against valuations	
5/3	<u>Taxes</u>	
5/3/1	<u>Land and property tax</u> (For collection see 5/13/5.)	
5/3/1/P	Policy	
5/3/1/R	Routine enquiries	
5/3/1/1	Determination of	
5/3/1/2	Tax certificates (E.g. when property is transferred.)	
5/3/1/3	Remission	
5/4	<u>Loans</u> (For staff loans see 4/5/4 and for loans to the public see 5/16/1/3.)	
5/4/P	Policy	
5/4/1	Borrowing powers	
5/4/1/1	Applications and approvals	
5/4/2	<u>External loans</u>	
5/4/2/1	Short-term loans	
5/4/2/2	Long-term loans (Open a file for each loan and number consecutively.)	
5/4/3	<u>Internal loans</u>	
5/4/3/1	Endowment fund	
5/4/3/2	Capital development fund	
5/5	<u>Rates</u>	
5/5/P	Policy	
5/5/R	Routine enquiries	
5/5/1	<u>Determination</u>	
5/5/1/1	Water	
5/5/1/2	Electricity	

5/5/1/3	Bus
5/5/1/4	Swimming bath
5/5/1/5	Market
5/6	<u>Subsidies received</u>
5/6/P	Policy
5/6/1	<u>Individual subsidies</u>
5/6/1/1	Dental clinics
5/6/1/2	Roads
5/6/1/3	Library
5/6/1/4	Wages
5/7	<u>Deposits</u>
5/7/P	Policy
5/7/1	Water and electricity
5/8	<u>Funds and levies</u>
5/8/1	Capital development fund
5/8/2	Reserve fund
5/9	<u>Investment</u>
5/9/P	Policy
5/9/1	Long-term
5/9/2	Short-term
5/10	<u>Claims</u>
5/10/1	Salaries
5/10/2	Accidents
5/10/3	Compensation
5/11	<u>Settlement of accounts</u>
5/11/1	Telephone
5/11/2	Rail
5/12	<u>Grants and pension fund: councillors</u>
5/12/1	<u>Payment of grants</u> (For staff see 4/5/2.)
5/12/1/1	Executive Mayor
5/12/1/2	Speaker
5/12/1/3	Mayoral Committee members
5/12/2	Pension fund matters
5/13	<u>Collection of money</u>
5/13/1	Water and electricity
5/13/2	Ambulance
5/13/3	Fire brigade
5/13/4	Traffic fines
5/13/5	Taxes
5/14	<u>Insurance</u>
5/14/1	Appointment of brokers
5/14/2	<u>Cases</u>
5/14/2/1	All risk
5/14/2/2	Fire
5/14/2/3	Third party
5/14/2/4	Money
5/15	<u>Accounting responsibility</u>
5/15/1/1	Provincial
5/15/1/2	Internal
5/15/1/2/1	Monthly reports
5/15/1/2/2	Enquiries
5/15/1/2/2/1	Market
5/15/1/2/2/2	Abattoir
5/15/1/2/2/3	Parks



5/15/1/2/2/4	Transport
5/16	<u>Financial assistance</u>
5/16/1	<u>By council to the public</u>
5/16/1/P	Policy
5/16/1/1	Donations
5/16/1/2	Bursaries
5/16/1/3	<u>Loans</u>
5/16/1/3/1	Sewerage
5/16/1/3/2	Purchase of electrical appliances
5/16/2	Through mayor's funds
5/17	<u>Losses</u>
5/17/1	Bad debts
5/17/2	Loss of municipal property
5/18	Banking account
5/18/1	Signing authority
5/19	<u>Reports and returns</u>
	See par. 7 of the general instructions.)
5/19/1	To S.A. Reserve Bank
5/19/2	To Statistics SA

## 6. DOMESTIC SUPPLIES AND SERVICES

- (1. For tenders, quotations and contracts see main series 8.  
 2. Domestic supplies and services related to buildings, structures and grounds designed specifically for the benefit of the community are dealt with under the main series for essential and community services.)

NUMBER	DESCRIPTION	DISPOSAL
6/1	<u>Domestic supplies</u>	
6/1/P	Policy	
6/1/1	Stocktaking	
6/1/2	<u>Acquisition and maintenance</u>	
6/1/2/1	<u>Furniture and office equipment</u>	
6/1/2/1/1	Section Municipal Manager	
6/1/2/1/2	Section Support Services	
6/1/2/1/3	Section Financial Services	
6/1/2/2	Stationery (Including the printing of forms.)	
6/1/2/3	Uniforms	
6/1/3	Disposal of surplus and worn-out supplies	
6/2	<u>Domestic services</u>	
6/2/P	Policy	
6/2/1	<u>Transport</u>	
6/2/1/1	Applications and approvals	
6/2/1/2	Accident reports	
6/2/2	<u>Communication</u> (Excluding transport.)	
6/2/2/1	Postal service	
6/2/2/2	Telephone service	
6/2/2/3	Telefax	
6/2/2/4	Intercom	
6/2/2/5	E-mail	
6/2/3	Translation service	
6/2/4	Security services	

## 7. BUILDINGS AND GROUNDS

(All council buildings, structures and grounds designed specifically for the benefit of the community are dealt with under the main series for essential and community services.)

NUMBER	DESCRIPTION	DISPOSAL
7/1	<u>Buildings</u>	
7/1/1	<u>Acquisition</u>	
7/1/1/1	Purchase	
7/1/1/2	Erection	
7/1/1/3	Hire	
7/1/1/4	Expropriation	
7/1/2	Allocation	
7/1/3	Maintenance	
7/1/3/1	Specialist maintenance	
7/1/4	<u>Alienation</u>	
7/1/4/1	Letting (E.g. excess office accommodation.)	
7/1/4/2	Sale	
7/2	<u>Grounds</u>	
7/2/1	<u>Acquisition</u>	
7/2/1/1	Purchase	
7/2/1/2	Expropriation	
7/2/1/3	Hire	
7/2/2	Maintenance	
7/2/3	<u>Alienation</u>	
7/2/3/1	Letting	
7/2/3/2	Sale	
7/2/4	Embellishment	



## 8. TENDERS, QUOTATIONS AND CONTRACTS

(Agreements should not be placed on files in this main series. They should be placed on the appropriate subject files elsewhere in the file plan.)

NUMBER	DESCRIPTION	DISPOSAL
8/1	<u>Main files</u>	
8/1/P	Policy	
8/1/1	Opening of tenders	
8/1/2	Approval by Premier	
8/2	Specific tenders and quotations	
8/3	<u>Specific contracts</u> (Open a file for each contract and number consecutively.)	

## 9. REPORTS AND RETURNS

(This main series should only be used for annual, quarterly, monthly and other reports and returns which cannot be placed under another main series. See also par. 7 of the general instructions.)

<b>NUMBER</b>	<b>DESCRIPTION</b>	<b>DISPOSAL</b>
9/P	Policy	
9/1	<u>Reports</u>	
9/1/1	Annual Report of the Council	
9/1/2	<u>Annual reports of the sections</u>	
9/1/2/1	Municipal Manager	
9/1/2/2	Support Services	
9/1/2/3	Financial Services	
9/2	<u>Returns</u>	
9/2/1	<u>Monthly</u>	
9/2/1/1	Municipal Manager	
9/2/1/2	Support Services	
9/2/1/3	Financial Services	

## 10. PUBLICITY AND INFORMATION

NUMBER	DESCRIPTION	DISPOSAL
10/1	<u>Own publicity and information</u>	
10/1/P	Policy	
10/1/1	Press and radio reports	
10/1/2	Brochures and newsletters	
10/1/3	<u>Enquiries</u> (Only enquiries concerning subjects not pertaining to any other main series are to be dealt with hereunder.)	
10/1/3/1	History of the town	
10/1/3/2	Sights	
10/1/4	Participation in shows and exhibitions	
10/1/5	<u>Emblems of the council</u>	
10/1/5/P	Policy	
10/1/5/1	Adoption, alteration and interpretation	
10/1/5/2	<u>Enquiries and permission to use</u>	
10/1/5/2/1	Town coat of arms	
10/1/5/2/2	Flag	
10/1/5/2/3	Chain of office	
10/2	<u>Publicity by other bodies: control</u> (Only control over publicity which cannot be placed under any other main series.)	
10/2/P	Policy	
10/2/1	Advertising media	
10/2/1/1	Boards and posters	
10/3	<u>Information: other bodies</u> (1. Only information of direct concern to this office. 2. Information regarding the functions of the office must be dealt with on the files concerning those functions.)	
10/3/1	Central government	
10/3/2	Provincial governments	
10/3/3	Other local authorities	



## 11. FESTIVALS AND SOCIAL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
11/1	<u>Main files</u>	
11/1/P	Policy	
11/1/1	Speeches (Copies of all speeches should be filed here.)	
11/1/2	Protocol and list of addresses	
11/1/3	Order paper of municipalities	
11/2	<u>Festivals</u> (1. Correspondence re exhibits is placed on 10/1/4 and speeches on 11/1/1. 2. Open a file for each festival and number consecutively.)	
11/3	<u>Social matters</u>	
11/3/1	<u>Own receptions and functions</u>	
11/3/1/1	Mayoral reception	
11/3/1/2	Reception for the aged	
11/3/2	<u>Other receptions and functions</u>	
11/3/2/1	Invitations	
11/3/3	Letters of thanks, congratulation and condolence	
11/3/4	Awards to the public	

## 12. COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS

- (1. For own council and committee meetings, see main series 3.  
2. For meetings of heads, see main series 2.)

NUMBER	DESCRIPTION	DISPOSAL
12/P	Policy	
12/1	Routine correspondence (1. Routine enquiries, arrangements, membership matters, notices, etc. 2. Notices concerning policy should be dealt with under 12/2. 3. Open a file for each body or gathering if necessary and number consecutively.)	
12/2	<u>Minutes, reports and policy decisions</u>	
12/2/1	<u>National and provincial</u> (Where national or provincial organisations have regional or local offices, the latter's documentation should be provided for under 12/2/2 or 12/2/3.)	
12/2/1/1	Institute of Municipal Finance Officers	
12/2/1/2	Institute of Municipal Administration of South Africa	
12/2/2	<u>Regional</u>	
12/2/2/1	Midlands Co-ordinating Committee	
12/2/2/2	Regional Development Association	
12/2/3	<u>Local</u>	
12/2/3/1	Ratepayers' Association	
12/2/3/2	Metropolitan Transport Committee	

### 13. LEGAL MATTERS

(This main series does not deal with the provision of legislation, but concerns matters which result from the contravention thereof. For acts, ordinances, regulations and by-laws, see main series 1.)

NUMBER	DESCRIPTION	DISPOSAL
13/P	Policy	
13/1	Legal opinions and court decisions	
13/2	Appointment of attorneys	
13/3	<u>Claims</u>	
13/3/1	By the council	
13/3/1/1	Damage to property	
13/3/2	Against the council	
13/3/2/1	Negligence	
13/3/2/2	Traffic accidents	
13/4	<u>Prosecutions</u>	
13/4/1	Serving of lawsuit documents (Where applicable to a specific case, file on relevant case file hereunder.)	
13/4/2	<u>Contraventions: cases</u>	
13/4/2/1	Keeping of bees	
13/4/2/2	Riots	



## 14. LICENCES AND PERMITS

NUMBER	DESCRIPTION	DISPOSAL
14/P	Policy	
14/1	<u>Licences</u>	
14/1/1	<u>Application and issues</u>	
14/1/1/1	<u>Trading licences</u>	
14/1/1/1/1	Hawkers	
14/1/1/1/2	Entertainment	
14/1/1/1/3	Dairies	
14/1/1/2	<u>Vehicle licences</u>	
14/1/1/2/1	Public vehicles	
14/1/1/2/2	Municipal vehicles	
14/1/1/3	Driver's licences	
14/1/1/4	<u>Occupational licences</u>	
14/1/1/4/1	Plumbers	
14/1/1/4/2	Electricians	
14/2	Permits	

## 15. TOWN PLANNING AND CONTROL

NUMBER	DESCRIPTION	DISPOSAL
15/1	<u>Main files</u>	
15/1/P	Policy	
15/1/1	Municipal boundaries	
15/1/2	Appointment of consulting town planners and engineers	
15/1/3	Register of permitted practices	
15/1/4	Sinking of boreholes	
15/1/5	<u>Reservation of sites</u>	
15/1/5/1	Industry	
15/1/5/2	Educational	
15/1/5/3	Sport and recreation	
15/1/5/4	Churches institutions	
15/1/6	Geological survey	
15/1/7	Guide, guideline, structure and development plans	
15/2	<u>Town planning schemes</u> (Open a file for each scheme and number consecutively.)	
15/3	<u>Establishment of townships</u> (Open a file for each township and number consecutively.)	
15/4	<u>Control of townships</u> (Aspects concerning individual erven e.g. amendments of individual conditions of title, subdivision of a specific erf, rezoning on a specific erf etc., should be dealt with on the erf files. See list of series of separate case files.)	
15/4/1	<u>(Name of township)</u>	
15/4/1/1	Amendment of conditions of establishment	
15/4/1/2	Subdivisions and consolidations	
15/4/1/3	Servitudes	
15/4/1/4	Control of construction of buildings	
15/4/1/4/1	Building line restrictions and encroachments	
15/4/1/5	Permitted practices	
15/4/1/6	Existing practices	
15/4/1/7	Rezoning	
15/4/1/8	Sectional titles	
15/4/2	<u>(Name of next township)</u> (Provide the same subdivisions as under 15/4/1.)	

## 16. ESSENTIAL SERVICES

NUMBER	DESCRIPTION	DISPOSAL
16/1	<u>Water</u> (Correspondence which pertains to a specific area is placed on the relevant case file under 16/1/2. Correspondence which cannot be linked to a specific area, is placed on the relevant subject file which has been provided under the heading: main files.)	
16/1/1	<u>Main files</u>	
16/1/1/P	Policy	
16/1/1/R	Routine enquiries	
16/1/1/1	<u>Acquisition of sources</u>	
16/1/1/1/1	Dams	
16/1/1/1/2	Rivers	
16/1/1/1/3	Springs	
16/1/1/2	Purchases (Financial aspects of a routine nature, e.g. accounts, should be dealt with on the appropriate files under main series 5.)	
16/1/1/3	Provision and maintenance of reservoirs and purification plants (Including pumping stations.)	
16/1/1/4	<u>Main pipe lines</u>	
16/1/1/4/1	Installation	
16/1/1/4/2	Servitudes	
16/1/1/4/3	Connection	
16/1/1/5	<u>Meters</u>	
16/1/1/5/1	Installation	
16/1/1/5/2	Testing	
16/1/1/6	Water restrictions	
16/1/1/7	Statistics	
16/1/2	<u>Municipal areas</u> (Open a file for each area and number consecutively.)	
16/2	<u>Electricity</u>	
16/2/P	Policy	
16/2/R	Routine enquiries	
16/2/1	Generation	
16/2/2	Purchase (1. E.g. from Escom. 2. Financial aspects of a routine nature, e.g. accounts, should be dealt with on the appropriate files under main series 5.)	
16/2/3	Servitudes	
16/2/4	Erection and maintenance of sub-stations	



16/2/5	Provision and maintenance of street lights
16/2/6	<u>Meters</u>
16/2/6/1	Installation
16/2/6/2	Testing
16/2/7	Statistics
16/2/8	Distribution (Open a file for each area and number consecutively.)
16/3	<u>Roads and streets</u>
16/3/P	Policy
16/3/R	Routine enquiries
16/3/1	Road construction programme
16/3/2	Proclamation
16/3/3	<u>Planning and commentary</u> i.r.o. main roads
16/3/3/1	National roads
16/3/3/2	Provincial roads
16/3/4	<u>Closing</u>
16/3/4/1	Temporary closing
16/3/5	<u>Construction and maintenance</u>
16/3/5/1	Surfaces (Open a file for each road or street and number consecutively.)
16/3/5/2	Stormwater drainage (Open a file for each area and number consecutively.)
16/3/5/3	Sidewalks
16/3/5/4	Bridges and subways (Open a file for each bridge or subway and number consecutively.)
16/3/6	Allocation of street-names
16/4	<u>Sewerage</u>
16/4/P	Policy
16/4/R	Routine enquiries
16/4/1	<u>Establishment and management</u>
16/4/1/1	<u>Sewerage farms</u> (Open a file for each farm and number consecutively.)
16/4/1/2	<u>Sewerage pumping-stations</u> (Open a file for each pumping-station and number consecutively.)
16/4/1/3	<u>Network</u> (Open a file for each area and number consecutively.)
16/5	<u>Sanitation</u>
16/5/P	Policy
16/5/R	Routine enquiries
16/5/1	<u>Rubbish removal service</u>
16/5/1/1	Street rubbish bins
16/5/1/2	Home rubbish bins
16/5/1/3	Garden garbage
16/5/2	<u>Sanitation service</u>
16/5/2/1	Bucket service
16/5/2/2	Vacuum tank service

16/5/2/3	Public toilets
16/5/3	Recovery of waste
16/6	<u>Cemetery and crematorium</u>
16/6/P	Policy
16/6/R	Routine enquiries
16/6/1	Establishment
16/6/2	<u>Maintenance</u>
16/6/2/1	Cemetery
16/6/2/2	Crematorium
16/6/3	Exhumation and reburials
16/6/4	Erection of tombstones
16/6/5	Pauper burials

## 17. COMMUNITY SERVICES

NUMBER	DESCRIPTION	DISPOSAL
17/1	<u>Health</u> (All inspections are to be dealt with under 17/1/4.)	
17/1/P	Policy	
17/1/R	Routine enquiries	
17/1/1	Provision of clinic services (For patient files see list of series of separate case files)	
17/1/2	<u>Diseases and plagues</u>	
17/1/2/1	Notice of occurrence	
17/1/2/2	Measures for prevention	
17/1/2/3	<u>Measures for combatting</u>	
17/1/2/3/1	Epidemics	
17/1/3	<u>Inspections</u>	
17/1/3/1	Premises and food	
17/1/3/2	Air and water pollution	
17/2	<u>Education</u>	
17/2/P	Policy	
17/2/R	Routine enquiries	
17/3	<u>Traffic control</u> (For bus transport see 17/8.)	
17/3/P	Policy	
17/3/R	Routine enquiries	
17/3/1	<u>Road use</u>	
17/3/1/1	Promotion of road safety	
17/3/1/2	<u>Vehicle control</u>	
17/3/1/2/1	Roadworthiness testing	
17/3/1/2/2	Disposal of abandoned vehicles	
17/3/1/3	Traffic volume surveys	
17/3/1/4	Provision of road signs	
17/3/1/5	<u>Applications for permission</u>	
17/3/1/5/1	Processions	
17/3/1/5/1/1	Political	
17/3/1/5/2	Rallies	
17/3/1/5/3	Abnormal loads	
17/3/1/5/4	Loudspeakers and posters	
17/3/1/6	Use of speed traps	
17/3/1/7	Offences: condonation (For prosecutions, see 13/4.)	
17/3/2	<u>Parking allocation</u>	
17/3/2/1	Public parking	
17/3/2/2	Taxis	
17/3/2/3	Loading zones	
17/4	<u>Library Services</u>	
17/4/P	Policy	
17/4/R	Routine enquiries	
17/4/1	<u>Buildings</u>	



17/4/1/1	Acquisition
17/4/1/2	Maintenance
17/4/2	<u>Books and periodicals</u>
17/4/2/1	Purchase
17/4/2/2	Donation
17/4/2/3	Losses
17/4/2/4	Inter-library loans
17/4/3	Reports and returns (See par. 7 of the general instructions.)
17/5	<u>Housing</u>
17/5/P	Policy
17/5/R	Routine enquiries
17/5/1	<u>Schemes</u>
17/5/1/1	National housing scheme
17/5/1/2	<u>Municipal housing scheme</u>
17/5/1/2/1	Applications
17/5/1/2/2	Waiting-lists
17/5/2	Rent board investigations
17/6	<u>Civic centre, parks, gardens and open spaces</u>
17/6/P	Policy
17/6/R	Routine enquiries
17/6/1	Applications
17/6/2	Provision
17/6/3	<u>Maintenance</u>
17/6/3/1	Parks
17/6/3/2	Caravan parks
17/6/3/3	Playgrounds
17/6/3/4	Camping grounds
17/6/3/5	Islands and circles
17/6/3/6	Nurseries
17/6/3/7	Civic centre
17/6/4	Planting and felling of trees
17/7	<u>Sport and recreation</u>
17/7/P	Policy
17/7/R	Routine enquiries
17/7/1	<u>Swimming baths</u>
17/7/1/1	Application for use
17/7/1/2	Hours
17/7/2	Provision of sports facilities
17/7/3	Maintenance of sports facilities (Open a file for each sport and number consecutively.)
17/8	<u>Bus transport</u> (For traffic control see 17/3.)
17/8/P	Policy
17/8/R	Routine enquiries
17/8/1	Establishment of services
17/8/2	Arrangement of services
17/8/3	Determination of routes and halts
17/8/4	Provision of shelters
17/8/5	Drafting and amending of time-tables
17/8/6	Hiring out of buses

17/8/7	Bus tours arranged by council
17/8/8	Disposal of lost goods
17/9	<u>Market</u>
17/9/P	Policy
17/9/R	Routine enquiries
17/9/1	Appointment of market agents
17/9/2	Hiring out of tables and stalls
17/9/3	<u>Sales</u>
17/9/3/1	Arrangement of auctions
17/9/3/2	Fixing of prices
17/10	<u>Provision and management of fire brigade and ambulance services</u>
17/10/1	<u>Fire brigade services</u>
17/10/1/P	Policy
17/10/1/R	Routine enquiries
17/10/1/1	<u>Buildings</u>
17/10/1/1/1	Acquisition
17/10/1/1/2	Maintenance
17/10/2	Ambulance services
17/11	<u>Abattoir</u>
17/11/P	Policy
17/11/R	Routine enquiries
17/12	<u>Pound</u>
17/12/P	Policy
17/12/R	Routine enquiries
17/12/1	Impounding of animals
17/13	<u>Welfare</u>
17/13/P	Policy
17/13/R	Routine enquiries
17/13/1	<u>Welfare organisations</u>
17/13/1/1	Registration
17/13/1/2	Street collections
17/13/1/2/1	Applications
17/13/2	Supply of food, clothing and fuel
17/14	<u>Religion and churches</u>
17/14/P	Policy
17/14/R	Routine enquiries
17/15	<u>Museums and memorials</u>
17/15/P	Policy
17/15/R	Routine enquiries
17/15/1	Provision
17/15/2	<u>Maintenance</u>
17/15/2/1	Professional
17/15/2/2	Routine
17/15/3	Declaration as monument
17/16	Civil defence

## C. LIST OF SERIES OF SEPARATE CASE FILES

NUMBER	DESCRIPTION	DISPOSAL
Personal files		
SP, surname and initials	Personal confidential file (This file contains personal matters of a confidential nature.)	
SL, surname and initials	Leave file (This file contain routine matters i.r.o. subject.)	
-----		
Erf number	Erf files (Copies of all matters i.r.o. the history of an individual erf should be filed here.)	
-----		
Clinic code, surname and initials	Clinical patient files (Medical reports, social reports, and related documentation i.r.o. a specific patient should be file	



## 6.6 DEVELOPING A RECORDS CONTROL SCHEDULE (SCHEDULE FOR RECORDS OTHER THAN CORRESPONDENCE SYSTEM)

### 6.6.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- Does your municipality generate records other than correspondence files?
- If yes, are these other records documented and accounted for on a records inventory?
- Does your municipality have a record control schedule to classify other records?
- If not, what are the current methods of classifying these records within your municipality?



### 6.6.2 WHAT IS A RECORDS CONTROL SCHEDULE?

A Records Control Schedule (also known as a Schedule for Records other than Correspondence Files or a Schedule of Other Records) is a records classification system designed to manage records other than correspondence files or "other records". Records other than correspondence files are materials such as registers, index cards, photographs, computer printouts, and minutes etc. which are not placed on correspondence files largely because of practical considerations such as size or nature.

A records control schedule consists of the following four parts/schedules:

- Part A – A Schedule of all paper-based records other than correspondence systems except electronic records systems, micrographic projects and films, videos and sound recordings
- Part B – A Schedule of Electronic records systems other than correspondence systems
- Part C – A Schedule of Micrographic records
- Part D – A Schedule of Audio-visual records

### 6.6.3 WHY DEVELOP A RECORDS CONTROL SCHEDULE?

According to the National Archives, records other than correspondence files (other records in short) are subject to the same requirements with regard to control, care and disposal as correspondence files. Unlike correspondence files that are kept in a registry and can be retrieved through an approved file plan, other records are not necessarily kept in a registry and the Records Manager is also not necessarily aware of the existence of certain items. In order to control these items in a meaningful way it is necessary that these items are also classified according to a specific plan. This will facilitate the easy retrieval of information and the issuing of disposal authority to ensure that ephemeral documents can be disposed of regularly. It is for this reason that a records control schedule should be developed to help the municipality in gaining control of its other records.

### 6.6.4 WHO SHOULD DEVELOP A RECORDS CONTROL SCHEDULE?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a records control schedule is therefore the responsibility of the records manager. The General Instructions of a records control schedule further states that "Control of the schedule is assigned to the records manager and that no alterations and/or additions to the schedule may be made without the approval of this official. However, in developing a records schedule, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality.

## 6.6.5 A STEP-BY-STEP GUIDE IN DEVELOPING A RECORDS CONTROL SCHEDULE

Below is a recommended flowchart to be deployed when developing a Records Control Schedule:

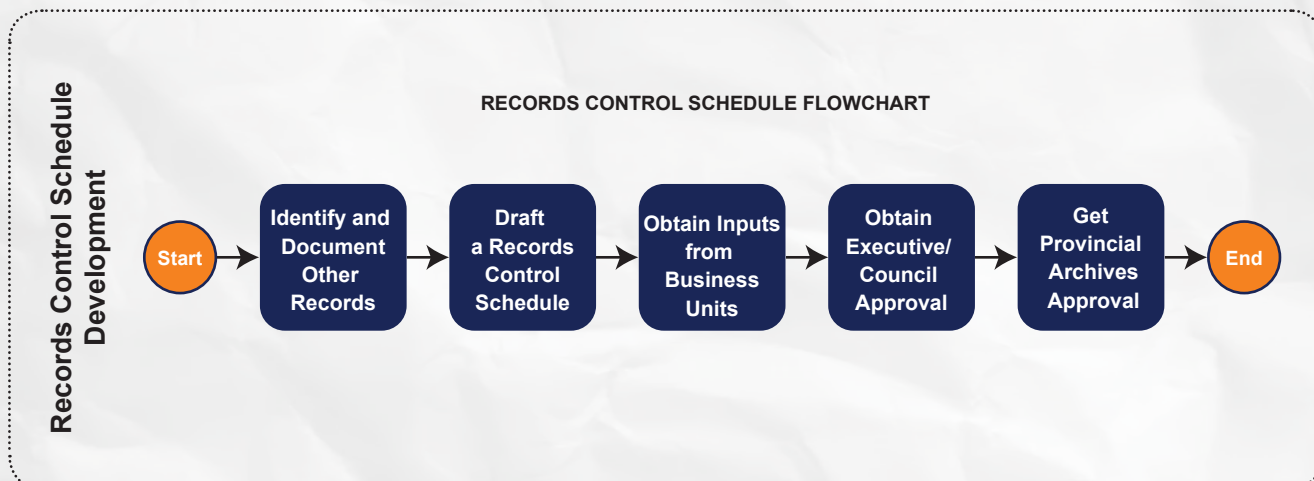


Figure 9: Records Control Schedule Flowchart

Below, 5 steps in the development of a Records Control Schedule are outlined:

Step	Responsibility	Output/s
1. Identify and document all "Other Records" in all business units	Records Manager	Inventory of Other Records
2. Draft a Records Control Schedule	Records Manager	1 <sup>st</sup> draft of the Records Control Schedule
3. Distribute the Records Control Schedule for Inputs	Records Manager	Revised draft of the Records Control Schedule
4. Get an Executive/Council Sign-Off	Records Manager	Sign-off
5. Submit the Records Control Schedule to the Provincial Archives for Approval	Records Manager	Approved Records Control Schedule

Table 12: Five steps in the development of a records control Schedule

**Step 1: Identify and document all Other Records across business units:** In order to develop a comprehensive records control schedule, it is essential to identify all other records generated by business units across the municipality. Once identified, these other records will have to be documented on an inventory designed for this purpose.

**Step 2: Draft the records control schedule:** Once identification of other records is completed, the drafting of the records control schedule may commence. One schedule may be compiled in which the records other than correspondence systems of all the business units appear. The draft should cover all other records as per the three parts provided for in this classification system, namely:

- Part A: Paper-based other records
- Part B: Electronic records systems other than correspondence systems
- Part C: Micrographic records
- Part D: Audio-visual records

**Step 3: Distribute the Draft Records Control Schedule:** Once the draft records control schedule has been completed, it should be distributed to all business units for inputs. It is recommended that a 3-cycle consultative process be undertaken as follows:

#### Development of the 1<sup>st</sup> Draft

Develop the 1<sup>st</sup> draft of the records control schedule

Circulate the 1<sup>st</sup> draft of the records control schedule for inputs

#### Development of the 2<sup>nd</sup> Draft

Develop the 2<sup>nd</sup> draft of the records control schedule upon receipt of the inputs

Circulate the 2<sup>nd</sup> draft of the records control schedule for further inputs

#### Development of the 3<sup>rd</sup> and Final Draft

Develop the 3<sup>rd</sup> and final draft of the records control schedule upon receipt of the inputs

Workshop the 3<sup>rd</sup> and final draft of the records control schedule and obtain sign-offs from all business units

**Step 4: Get an executive/council sign-off to submit the records control schedule to the Provincial Archives:** Once the business units are comfortable with the final draft of the records control schedule, it is essential to obtain the final sign-off from the executive/council for the purpose of submitting the records control schedule to the provincial archives for approval.

**Step 5: Submit the records control schedule to the Provincial Archives for approval:** When a records control schedule has been completed to the satisfaction of the interested parties and has been compiled in its final draft form, the necessary approval for its implementation will have to be obtained. This is done by sending two copies of it to the Provincial Archivist, applying for approval of the records control schedule and for its implementation. In provinces that do not have their own archival legislation, the draft records control schedule should be submitted to the National Archives. As soon as approval has been obtained from the Provincial Archivist the date of implementation can finally be determined and the necessary arrangements made.



## 6.6.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

Note: For the intended purpose of this toolkit, the content of this National Archives prototype has been customised for municipalities.

Schedule for paper-based records other than correspondence systems

MUNICIPALITY OF \_\_\_\_\_

### GENERAL INSTRUCTIONS

1. Control of the schedule
2. Alterations, additions and reporting
3. Master copy of the schedule
4. Destruction register
5. Destruction
6. Identification
7. Explanation of disposal symbols

### CONTENTS

A) Agendas and minutes -----	Page
B) Reports -----	Page
C) Financial items -----	Page
D) Registers -----	Page
E) Publications published by the council -----	Page
F) Cartographic material -----	Page
G) Photographs -----	Page
Z) Miscellaneous -----	Page

INDEX (An alphabetical index may be added if the schedule is voluminous and items are not easily traceable from the existing synopsis.)

## General instructions

### 1. Control of schedule

Control of the schedule is assigned to the..... (official concerned). No alterations and/or additions to the schedule may be made without the approval of this official.

### 2. Alterations, additions and reporting

All alterations and additions should be submitted regularly to the Provincial Archivist for noting, approval and granting of disposal authority.

### 3. Master copy

The master copy of the schedule is filed in a separate cover and is identified as such on the outside cover. This copy is kept by the above-mentioned official who must ensure that it is kept up to date and that the instructions in par. 2 are carried out.

### 4. Destruction register

Once standing disposal authority has been granted on the items in the schedule, a destruction register should be implemented. This register is divided into years, e.g. 2018, 2019, 2020, etc. When an item is closed, its reference should be entered under the year in which it will be destroyed. An item which is closed in 2019 and for which the disposal instruction is D3 will therefore be entered under the year 2022, thus making it easily apparent which items are to be destroyed in any particular year. The use of a loose-leaf binder is recommended, as it is not possible to determine the number of pages needed per year beforehand.

### 5. Destruction

Items should be disposed of regularly - at least once a year - whereupon the prescribed destruction certificate should be submitted to the Provincial Archivist.

### 6. Identification

All items should be identified on the outside cover by means of the number and name as they appear in the schedule as well as the appropriate disposal instruction. The number and disposal instruction should be written in a rectangular block.

### 7. Explanation of disposal symbols

A20 - Transfer to archives repository 20 years after the end of the year in which the records were created.

D - Destroy (municipality of origin itself determines retention period).

D7 - Destroy 7 years after closure.

AP - Can remain in the custody of the municipality indefinitely. When disposal does take place, e.g. when the body closes or assets are disposed of, it must be transferred to archives repository.

DAU - Destroy immediately after auditing is completed.

DAU3 - Destroy 3 years after auditing is completed.

DAU7 - Destroy 7 years after auditing is completed.

## LIST OF MAIN SECTIONS

PART NO.	MAIN SERIES DESCRIPTION	PAGE NO.
	Schedule of Paper-based Other Records	
	Schedule of Electronic Systems	
	Schedule of Micrographic Projects and Records	
	Schedule of Audio-Visual Material	



**PART A: SCHEDULE OF PAPER-BASED OTHER RECORDS**

CATEGORY	DESCRIPTION	LOCATION/BUSINESS UNIT	DISPOSAL
<b>A. Agendas and Minutes</b>			
	1. Council Meetings		
	1.1. Agendas	Municipal Manager	-
	1.2. Minutes	Municipal Manager	-
	2. Management Meetings		
	2.1. Agendas	Municipal Manager	-
	2.2. Minutes	Municipal Manager	-
<b>B. Reports</b>			
	1. Annual report of the Municipality	Municipal Manager	-
	2. Mayor's report	Municipal Manager	-
<b>C. Financial Items</b>			
	1. Valuation rolls	Accounts	-
	2. Petty cash register	Accounts	-
	3. Main ledger	Accounts	-
	4. Main journal	Accounts	-
	5. Budget	Accounts	-
	6. Financial statements	Accounts	-
	7. Receipt books	Accounts	-
<b>D. Registers (excluding financial registers)</b>			
	1. Destruction register	Central Registry	
	2. Register of files opened	Central Registry	
	3. Remittance register	Central Registry	
	4. Register of bids received	Supply Chain Management	
<b>E. Publications by the Municipality (excluding financial registers)</b>			
	1. Newsletters	Communications	-
	2. Posters	Communications	-
	3. Regulations	Communications	-
	4. Advertising brochures	Communications	-
<b>F. Cartographic Material</b>			
	1. Maps	Technical Services	
	2. Building Plans	Technical Services	
<b>G. Photographs</b>			
	1. Photographs of		
	1.1. Members of the Council	Communications	-
	1.2. Municipality's buildings	Communications	-
	1.3. Local historical buildings	Communications	-
<b>Z. Miscellaneous</b>			
	1. Deeds of transfer, servitudes and bonds	Property Management	-
	2. Agreements	Legal Services	-
	3. Leases	Property Management	-

## **PART B: SCHEDULE OF ELECTRONIC SYSTEMS OTHER THAN CORRESPONDENCE SYSTEMS**

In order to manage electronic records systems other than the correspondence system efficiently and determine retention periods, a municipality must compile a comprehensive inventory/catalogue of all electronic records systems containing a brief description of the purpose of each system. Below is an example of a template that can be used for this purpose:

<b>SYSTEM NO.</b>	<b>SYSTEM NAME</b>	<b>BUSINESS UNIT SUPPORTED BY THE SYSTEM</b>	<b>PURPOSE OF THE SYSTEM</b>	<b>SYSTEM MANAGER</b>	<b>DISPOSAL</b>
	Municipality's Payroll System (Name)	HR/Finance	Personnel and salary administration system	IT	-
	Name of the next system/application (Name)	-	-	-	-

## **PART C: SCHEDULE OF MICROGRAPHIC PROJECTS AND RECORDS**

All micrographic records and projects should be incorporated into the schedule for records other than correspondence systems as Part C. This should be done so as to ensure that they are properly administered and retention periods are timeously determined. A microfilm project may consist of one or more application. An application is defined as the micrographic copying of a specific group of records. Separate descriptions must be compiled for each application. Below is an example of a template that can be used for this purpose:

<b>CATEGORY/DESCRIPTION</b>	<b>LOCATION</b>	<b>DATE RANGE</b>	<b>DISPOSAL</b>
<b>A. Microfilms</b>			
A.1. Microfilms of ERF records	Central Registry	1950-1999	-
A.2. Next microfilm project	-	-	-
<b>B. Microfiche</b>			
B.1. Microfiche of Municipal Publications	Central Registry	1966-1998	-
B.2. Next microfiche project	-	-	-

## PART D: SCHEDULE OF AUDIO-VISUAL MATERIAL

Even though films, videos, sound recordings and related records are subject to legal deposit in terms of the Legal Deposit Act, 1997, they are still subject to the same requirements regarding their sound management as all the other groups of records. Audio-visual records should be described in a schedule for audio-visual records. This should be done so as to ensure that they are properly administered and retention periods are timeously determined. Below is an example of a template that can be used for this purpose:

CATEGORY/DESCRIPTION	LOCATION	DATE RANGE	DISPOSAL
<b>A. Tape Recording</b>			
A.1. Tape Recordings of Council Meeting	Secretariat	22 May 2019	-
A.2. Tape Recordings of next project (Name)	-	-	-
<b>B. Video Tapes</b>			
B.1. Video Tapes of the Opening of a Municipal Building	Communications	01 Feb 2018	-
B.2. Video Tapes of the next project (Name)	-	-	-
<b>C. DVDs</b>			
C.1. DVDs of a IDP session	Communications	04 Mar 2018	-
C.2. DVDs of the next project (Name)	-	-	-
<b>D. CDs</b>			
D.1. CDs of the Mayor Speech	Communications	04 Mar 2018	-
D.2. CDs of the next project (Name)	-	-	-



## 6.7 DEPLOYING AN ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRMS)

### 6.7.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- Have you implemented an Electronic Documents and Records Management System (EDRMS) within your municipality?
- If yes, has the system been rolled-out across the whole municipality?
- If not, what measures have you put in place to ensure availability of electronically generated records?



### 6.7.2 WHAT IS AN EDRMS?

Electronic records means “information which is generated electronically and stored by means of computer technology”<sup>9</sup>. Electronic records can be created in a range of different formats. Broadly, electronic record format types include the following.

- Data sets: groups of related electronic records organized and treated as a unit.
- Text-based documents: for example a spreadsheet from Microsoft Excel, a PowerPoint presentation, a Word document.
- Multi-dimensional documents: records that can be represented in more than one way on the screen and on the printed page.
- Multi-media documents: documents that composed of a number of different elements such as graphical, moving image, sound and text documents.

An Electronic Documents and Records management System (EDRMS) is a system “used by organisations to manage documents and records throughout the document life-cycle, from creation to destruction”<sup>10</sup>. An EDRMS is therefore a system specifically designed to manage the maintenance and disposition of records. The system is used to maintain the content, context, structure and links between records to enable their accessibility and support their value as evidence. The system is an integration of a “document” management module and a “records” management module. Thus, it “considers a document or file to be a work-in-progress (within the document module) until it has undergone review, approval, lock-down, and publication, where it will wait to be used (within a records management module).

The version of the form that is saved containing user content will become a formal record within the organization. It is for this reason that the National Archives and Records Service requires municipalities to manage records contained in unstructured systems with an “Integrated Document and Records Management System”(IDRMS) “that consists amongst others of electronic document management functionality that supports the immediate operational requirements of an office by helping municipalities to exploit their information resources more effectively, and electronic records management functionality that supports the medium to long-term information requirements of an office by capturing electronic records and managing them according to records management principles”<sup>11</sup>. For the purpose of this toolkit, an EDRMS and an IDRMS refers to the same thing: a software designed to manage documents and records from creation until disposal.

9 NARS’s Managing electronic records in governmental bodies: policy, principles and requirements (2006) p9

10 Wikipedia [https://en.wikipedia.org/wiki/Electronic\\_document\\_and\\_records\\_management\\_system](https://en.wikipedia.org/wiki/Electronic_document_and_records_management_system) accessed 01 September 2019

11 NARS’s Managing electronic records in governmental bodies: policy, principles and requirements (2006) p32

### 6.7.3 WHY EMBRACE TECHNOLOGY IN MANAGING RECORDS?

Information Technology is the foundation of doing business in the 21st century, in the same manner that filing cabinets were in the 20th century. Some benefits of technology are mentioned below:

- Technology is used to deliver information and services to citizens.
- Information Technology is a tool for productivity
- Information Technology can be used to achieve strategic advantage, competitive edge and create new services
- Information Technology can assist an organization to cope with government regulations (PAIA, PAJA, PFMA etc.)

Because communications and transactions in municipalities have become more electronic, an increasing number of records are now born digital. This necessitate that municipalities should implement compatible systems to capture, maintain, use and eventually disposed these records. The following are just some of the benefits of managing records using electronic systems:

- **Widespread access:** When managed electronically, records can be shared widely and they can be accessed and used by several people at the same time, even if they are in different places.
- **Flexibility:** When managed electronically, records can be stored remotely or on compact disks (CDs) or tapes, allowing people to share records and use their information resources more dynamically.
- **Efficiency and effectiveness:** managing records electronically improves information handling and allows for the speedy retrieval of records and information through electronic search facilities.
- **Economic benefits:** by managing records electronically municipalities will save a lot of money that is usually required for storage space, human resources, and consumables in a paper-based environment.
- **Auditing capabilities for regulatory compliance:** with well-designed electronic documents and records management systems municipalities will be able to regulate and oversee actions and decisions.

### 6.7.4 WHO SHOULD LEAD THE IMPLEMENTATION OF AN EDRMS?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a vital records protection plan is therefore the responsibility of the records manager. However, in developing a vital records protection plan, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. The records manager will also seek guidance and assistance from all business units with regard to identification of vital records. The records manager will also seek assistance to information security specialists with regard to suitable records protection measures to be implemented.



## 6.7.5 A STEP-BY-STEP GUIDE IN THE IMPLEMENTATION OF AN EDRMS

Below is a recommended flowchart to be deployed when implementing an EDRMS:

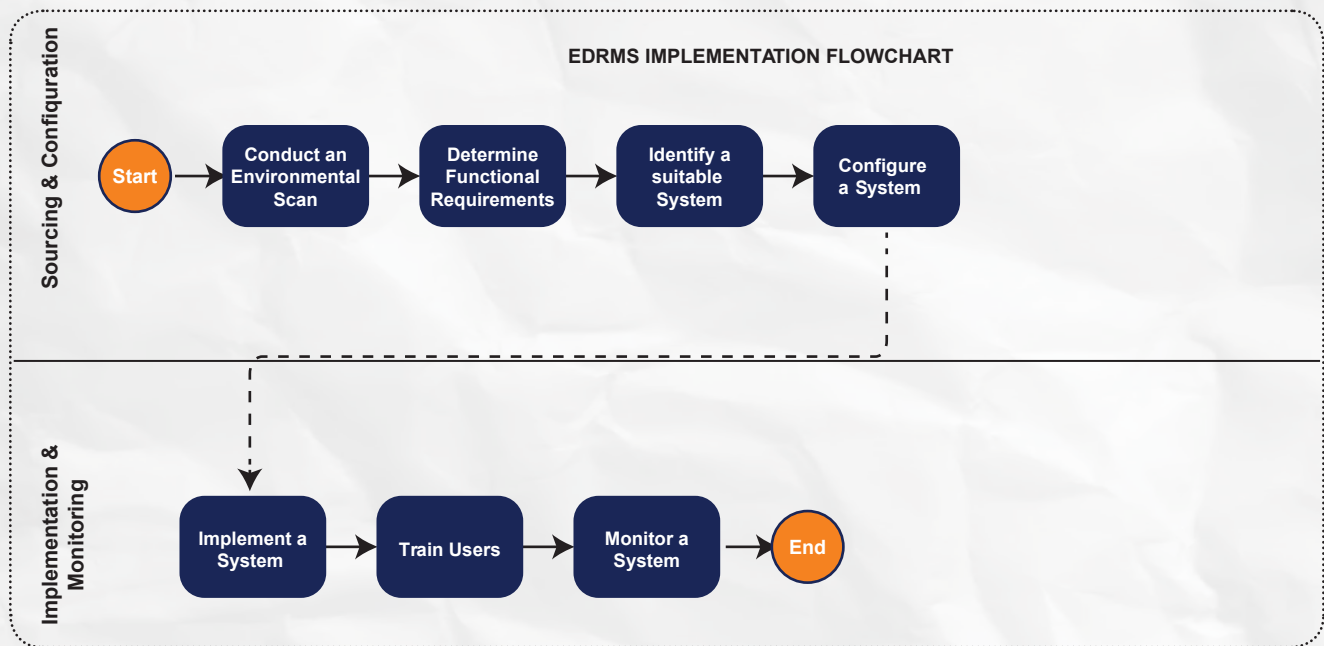


Figure 10: EDRMS Flowchart

Below are 7 steps in the implementation of an EDRMS:

Step	Responsibility	Output/s
1. Conduct an environmental scan	Records Manager	Business case
2. Determine the business and functional requirements	Records Manager	EDRMS Business & Functional Requirements
3. Identify a suitable system	Records Manager	RFP/RFI/RFQ
4. Configure the system	Records Manager	System Configuration Document
5. Implement the system	Records Manager	Implementation Status Reports
6. Train users	Records Manager	Training manual
7. Monitor the use of the system	Records Manager	Monitoring Report

Table 13: Seven steps for the implementation of an EDRMS

**Step 1: Conduct an environmental scan:** Before implementing an EDRMS, it is important to assess the municipality's state of readiness. Does the municipality have the requisite infrastructure and skills to roll-out such a system? If not, how does the municipality plan to mitigate that shortcoming?

**Step 2: Determine the business and functional requirements:** It is also important to determine beforehand what is it that the municipality hopes to achieve with an EDRMS. Which areas of the municipality will benefit from rolling out an EDRMS? What functionality should the desired solution have to be able to achieve the intended goals?

**Step 3: Identify a suitable system:** Once the business and functional requirements have been clarified and determined, the next step is to source for a system. In the current technological environment where technology is so dynamic, there are various options (other than procuring a proprietary software) that can be explored to source for a system (e.g. customisation of an existing system, open source, cloud computing etc.).



**Step 4: Configure the system:** Once a system has been sourced, it will have to be configured so that it becomes a correct fit for the municipality.

**Step 5: Implement the system:** Once configured, the real work start with the implementation of the system. The system may be rolled out gradually across work-stations until it is fully implemented.

**Step 6: Train users:** relevant users will have to be trained to utilise and navigate through the system.

**Step 7: Monitor the use of the system:** It is imperative that there be continuous monitoring of the system and utilisation thereof to assess if it helps the municipality to achieve its intended goals.

## 6.7.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) SUMMARY OF THE RECORDS MANAGEMENT FUNCTIONALITY FOR INTEGRATED DOCUMENT AND RECORDS MANAGEMENT SYSTEM (IDRMS)

Note: For the intended purpose of this toolkit, the content of this National Archives publication has been customised for municipalities.

This Guideline contains only the records management functionality required of an Integrated Document and Records Management System. Municipalities should take note that the technical requirements as well as the integration with messaging and calendaring applications, imaging and scanning applications, document management applications, workflow applications, search and retrieval applications, digital asset management applications, web content management applications and security applications are critical to the success of the system. Municipalities that wish to invite tenders for Integrated Document and Records Management Systems could use the National Archives and Records Service's draft Functional Specification for Integrated Document and Records Management Solutions as part of the specification for the request for a tender. When using the draft functional specification, Municipalities should ensure that the records management requirements of the National Archives and Records Service are integrated with their own business requirements. The draft functional specification contains generic requirements and should not be considered sufficient to replace the need for a proper investigation into the unique business requirements of an office.

The National Archives and Records Service requires that Integrated Document and Records Management Systems should contain the following minimum records management functionality:

#### **Storage of electronic records**

In the paper-based environment records are stored in a dedicated, secure environment. The same should apply to electronic records. It is not very practical to store records on a LAN file server. Access to the documents on the file server is dependent on the security features of the host LAN. The protection it gives to the documents is only as good as the users' application of the security system. Furthermore, if the electronic records are stored on the LAN file server, they will have to compete for space with the system files etc. Electronic documents should at the very least have the same level of secure filing space as the paper-based records. A sound reliable repository requires a dedicated, stable, long-term storage space. Where should one then store electronic records? The records can either be stored in network-attached storage devices such as CD/DVD-ROM towers/ jukeboxes, etc. or in separate storage area networks. Whichever method is chosen, the following should be kept in mind when constructing a storage system:

- Prevent data loss;
- Offer adequate capacity that can easily be increased as storage needs grow;
- Provide fast access to data without interruptions;
- Be prepared for equipment failures;
- Use cost-effective technologies.

To ensure that records remain accessible it is imperative that the records management application provides backwards access to at least one of its superseded repositories and databases.

#### **File plan management**

Without a proper file plan in place, a Municipalities will not be able to obtain a disposal authority from the Provincial Archivist. This will prevent the timeous disposal of records, which will in the long run have a negative impact on the system's performance. Without a disposal authority in place all electronic records created will also have to be migrated across changes in technology to enable them to be readable over a long period of time, which does not make sense from a financial perspective. Proper file plan management requires that there should be strict control over making additions to the file



plan or deleting folders from the file plan structure. If folders are added randomly without proper consideration, folders can be added for existing subjects. This can cause confusion when documents are filed. Deleting folders is a disposal action, which should only be allocated to the records manager/systems administrator. The records management software chosen should not allow for end users to have this function. Revising the file plan is a function that should only be allocated to the records manager/systems administrator.

An integral functionality of a file plan is that it allows for files to be closed and new volumes/parts to be opened. The records management software should also provide the capability to implement cut-off instructions for records folders. The cutting off of a folder will allow for the calculation of the retention periods according to the disposal authority issued on the file plan. The software should ensure that only the most recently created volume/part within a folder is open at any one time. However, the records in the other closed parts should remain viewable and retrievable.

### **Document filing**

In a paper-based filing system documents are filed in a file cover which is used to keep records of the same subject together in chronological order. The same concept applies to electronic records. They need to be filed in chronological order in subject folders to enable them to be retrieved in context.

The full co-operation of the users is necessary to consistently and regularly file documents into the file plan in the repository. Without this, there will be no records to manage. In most Municipalities staff tends not to file records, even in paper-based form. Filing documents should be extremely fast, simple and non-intrusive, to enable them to buy into the concept. Records management software that provides for embedded filing might be the best choice. Embedded filing happens for example when the user clicks the send button when sending e-mail and the user is automatically invited to file the message to the file plan in the repository. Preferably, the records management software that is chosen should provide the same embedded facility for all documents that are created electronically. If users are prompted as part of the normal procedure to file to the file plan in the repository when they save a document they might not even notice that they are managing records!

### **Document classification**

This refers to the process of selecting the appropriate subject from the file plan and assigning the subject identifier to a specific document. This way all documents are associated with a subject in the file plan that reflects the business operations/functions of the office. Classifying documents according to subjects should preferably be an end user task. If the end users send documents to the repository without classifying them first, the systems administrator/records manager will have to review all documents sent to the repository and classify them in order to create proper records. Without being assigned subjects, documents that are supposed to be linked together and read in context will not be able to be retrieved as a single unit.

Powerful retrieval tools exist whereby records can be retrieved by using key word searches. However, practical experience has shown that:

- if the correct key word is not used, records are not retrieved;
- the results of the key word retrieval are so enormous that it takes up a lot of time to page through everything to find the documents that belong together.

It is sensible to link documents that should be read together to the same folder. This provides an alternative search method, with more relevant results.



The following should also be considered:

- Classification of documents is required in order for disposal instructions and retention periods to be allocated;
- Classification according to subjects in the file plan links paper-based records to electronic equivalents. It is very important that the paper-based records and the electronic records be classified against the same file plan. This will ensure that records on a given subject in all media are managed against the same retention rules and that all records on a given subject are retrieved comprehensively.

### **Document search/retrieval**

Document search is critical for users of an electronic system as it provides direct access to documents that are required as opposed to users paging through hundreds of irrelevant documents to find that they are interested in. When users realise that retrieval is easier and more reliable when they classify the paper-based and electronic records against the same file plan, they will be more inclined to file electronic records to the classification system in the repository.

Because users have high expectations of electronic retrieval systems, most records management software has the capability to do full text searches and some also have advanced search aids such as thesaurus assist, relevance ranking, concept searching, Boolean operators, metadata searching, etc.

The records management software chosen should preferably also allow for the paper holdings of the body and records in other formats to be recorded. This will enable the users to find records in all formats on a specific subject.

### **Metadata management**

Preservation of metadata with the specific electronic document gives context to the document. Without the necessary context attached the electronic document will not be a record. It is no use to have the content without knowing where it comes from, who the creator was, when it was created or where it is located. The records management software chosen must prompt users to preserve the metadata with the documents they create. It must also support automated capturing of as many metadata elements as possible, to minimise the amount of data entry performed by the users. The National Archives and Records Service determined a set of minimum mandatory metadata, the capture of which is necessary for the long term preservation of archival electronic records.

### **Retention and disposal**

A fundamental aspect of records management is the use of retention schedules to manage the disposal of records from operational systems. Disposal schedules define how long the records have to be kept by the system, and how they may be disposed of. The disposal instructions and retention periods are applied to each subject file within the file plan. This means that all documents within that subject file carry the same disposal instruction and retention period. It also means that the disposal instruction and retention period apply to records in all formats relating to a subject.

To ensure that the right records are destroyed at the right time the records management software that is chosen should not allow for automatic software-driven destruction to take place. It should rather allow for built in triggers to prompt the records manager that a disposal action should take place. Triggers can be based on an event, such as the closing of a file, the last action date or any other action that the user specifies. The rationale behind this is that it can happen that a retention period is too short, or that it is necessary for some reason to change the disposal instruction of a file. Human intervention should be mandatory before any destruction takes place. This will enable retention periods to be reviewed and the correctness of the destruction to be confirmed.

It will also serve to ensure that there are proper disposal authorities in place, and that proper audit trails are in place before the physical destruction of records. It will also enable the reversal or alteration of the disposal instructions of records if necessary. The system should alert the administrator if an electronic file that is due for destruction is referred to in a link from another file and must pause the destruction process to allow the administrator to review the retention periods of all related files, and require a confirmation by the administrator to proceed with or cancel the process.

Municipalities may need to move records from their system to other locations or systems to enable the permanent preservation of the documents for legal, administrative or research reasons or to use outside services for the medium term or long term management of the records. Sometimes they will also need to export the records, i.e. copying the records to another location or system while still retaining the original records, or to destroy the records. The system must be able to execute the transfer, export or destruction in a controlled manner. In all cases, the metadata and audit trails must be transferred, exported or destroyed at the same time as the records they relate to.

The system must provide a well-managed process to transfer records to another system or to a third party. It must be able to transfer or export a file such that the content and structure of its electronic records remain intact, all components of the record are exported as an integral unit, all links between the record and its metadata are retained, and all links between electronic records, volumes and files are retained. It must also include a copy of all the audit trail data associated with the records, volumes and files being transferred. The system must report any failure during a transfer, export or deletion. The report must identify any records destined for transfer which have generated processing errors, and any files or records which are not successfully transferred, exported or deleted. Where hybrid files are to be transferred, exported or destroyed, the system should require the administrator to confirm that the paper part of the same files has been transferred, exported or destroyed before transferring, exporting or destroying the electronic part. The system should also enable the total destruction of series and individual files that are stored on re-writable media, by completely obliterating them so that they cannot be restored by use of specialist data recovery facilities.

## **Version Control**

Municipalities should decide as a matter of policy at which stage documents should be filed as records in the repository. If draft documents are saved as new records in the records repository each time they are edited, it will become very cumbersome to identify and retrieve the final version (the record copy) of a document. Keeping unnecessary documents in the repository will also increase migration costs and will slow down the system.

The appropriate way to do version control is to keep draft versions of documents on the user's desktops or in the document management system and only to file final versions into the records repository. Editing of final versions should not be allowed. However where it is appropriate to retain various versions of a record as it passes through draft to finalisation, creating new and related versions of a record should be possible by making and editing copies of the final version and saving them as new records.

## **Archiving**

Storage management is designed to ensure that data is moved through a defined hierarchy of storage devices and servers so that less frequently used objects are moved to lower cost storage to achieve a lower cost performance ratio. In storage management archiving is defined as the action of writing all the data/objects that are used infrequently to the least expensive, slowest storage medium where they are kept permanently in a storage repository for inactive data. The purpose of archiving is therefore to keep inactive records on the cheapest storage medium.



Records management enables Municipalities to create, maintain, use, store and dispose of their records efficiently and cost effectively. It helps Municipalities to conduct their business, deliver services and meet regulatory and accountability requirements. It also helps to control the amount of information created, received and stored. Furthermore it helps to maintain records economically and promotes operational efficiency by improving access to critical information by removing unneeded records from current systems. Storage management and records management complement each other in achieving cost effective public administration.

Records management terminology defines and interprets the terms archive/archiving differently. The National Archives and Records Service Act defines archives as records in the custody of an archives repository. The purpose of having archives in an archive repository is to take into custody non-current records that were identified in a records appraisal as being part of the social and historical memory of government which should be kept as the national archival heritage. The goal of an archives repository in this case is to keep records of archival value for centuries to come and to make and keep them accessible for research purposes.

Electronic records can be archived in two ways:

- When records are archived with an electronic document management system the documents are moved from central magnetic disk storage to offline or less expensive storage media. The electronic document management system supports the ability to search document profiles as if they were online, and the documents can be retrieved from offline storage to online use.
- With an electronic records management system the records are physically removed from the repository entirely and they are transferred to an archives repository or to off-site storage and the governmental body gives up custodianship of the records.

The records management software chosen must include both possibilities and should preserve the format, profiles, and supporting contextual information (the metadata) of each document when it is archived.

### **Long term format**

The electronic records management system must provide the functionality to store records in non-proprietary formats, or to convert records to such formats upon checking them into the electronic repository, because non-proprietary formats are better suited for migration than proprietary ones. The adoption of internationally recognised data interchange and document format standards will simplify the migration process. Data interchange is the ability to store files on the media using one type of computer and then to access the content of the storage media by using any other type of computer, while non-proprietary format implies that records created in a specific format should be able to be read by other software packages in the same way as the creators and users originally saw them.

It is not guaranteed that any of the formats that exist at present would be able to be read in a few years' time. However, the international community seems to be settling for PDF/A62 and XML as the long-term formats. It may therefore be necessary to convert the data written in proprietary formats to standard hardware and software independent formats (e.g. PDF/A, TIFF, XML) to enable migration strategies to be put in place.

An option at this stage is to ensure that records are self-sufficient by adding encoding metadata to the record. This is done by adding simple textual encoding that describes the data to indicate its extent, syntactic meaning, semantic meaning, and relationship to other data in the record, and a reference to the specification of the standard format that was used. This will enable future users to extract information from the records even if they do not have the specific format the records were created in, because they will be able to obtain the specifications of the formats that were used.



## Security

### *Access control*

Municipalities need to control access to their records, as they contain personal and operational information that should be protected against unauthorised access. The electronic records management software must be able to control or limit access to records, files and metadata on user level as well as group level, in the document management system as well as in the records repository. The National Archives and Records Service is currently investigating whether PDF/A is an acceptable long term format. PDF/A was recently published as an international standard. ISO 19005-1 Document management Applications - Electronic document file format for long-term preservation-Part 1: Use of PDF 1.4 (PDF/A-1) is currently under consideration for adoption as a South African national standard.

### *Security classifications*

In some environments e.g. the security establishment, there is a need to limit access by using a scheme of security categories and security clearances. These clearances take precedence over any access rights that might be granted using normal access control features. This is achieved by allocating to subjects, files and/or records one or more "security classification". Users can then be allocated one or more security clearance(s) that prevent access to all subjects/files/records at higher security classifications. The system must allow security classifications to be assigned to records, and should support the review of security classifications.

### **Backup and disaster recovery**

For disaster recovery purposes the system must be provided with comprehensive controls to provide regular backup of the records and metadata; and to be able to recover rapidly any records if lost because of system failure, accident, security breach etc. Regular automated backup and recovery can either be provided by the records management system or by integration with the utilities of an Electronic Document Management system (EDMS), or a Database Management System operating with the records management system. Backup and recovery functions should be divided between the records administrators and IT staff.

### **Authenticity**

Information contained in records is a means of ensuring accountability and it may need to be produced as evidence in courts of law. To protect the authenticity, reliability, integrity, accuracy, adequacy and completeness of records, and to ensure their legal admissibility, the records must be protected against alterations by users and system administrators. The electronic records management software must be able to prevent changes to the content of records and must provide the functionality to record all events that affect the records to make it possible to track deliberate or accidental alterations of records. It is imperative that the system logs an audit trail of all actions that were taken against a record including the date of the action and the identification of the person who has taken the action. It should log changes to the records and to the metadata. The system should also be capable of preserving the audit logs as records in the electronic repository and must prevent them from being changed.

### **Audit trail**

An audit trail is a record of actions taken on records within the electronic repository. Records must be able to be deleted from the system. The electronic records management software must provide the functionality to record all events that affect the records to make it possible to track authorised and unauthorised deletion of records. The National Archivist is the only authority who can authorise the legal destruction of records in terms of a disposal authority. It must not be possible to destroy or delete records or their metadata information outside of the normal disposal function. It must also not be

possible to hide records by deleting their metadata. All disposal actions should be logged to ensure that illegal destruction of records could be traced. Proper records management also requires that files and their metadata should be transferred from one storage medium or location to another, as their activity decreases and/or their use changes. This transfer can be to either near-line, offline or into archival custody. It must at all times be possible to trace the precise location of records by recording references to the new location of the records. The destruction and transfer audit log should be kept as part of the records of a fully documented disposal process and should be unalterable.

The records management software must keep an audit trail of:

- all the actions that are taken upon an electronic record, electronic file or file plan;
- the user initiating and/or carrying out the action;
- the date and time of the event.

The system must also provide an audit trail of all changes made to:

- groups of electronic files;
- individual electronic files;
- electronic volumes;
- electronic records;
- electronic documents
- metadata associated with any of the above, and
- of all changes made to administrative parameters, e.g. changes to access restrictions, etc.

### **Digital certificates and digital signatures**

Municipalities should ensure that electronic records management applications are able to integrate with digital signature and digital certificate technology should it be necessary to use this method to ensure that a record cannot be tampered with to protect its integrity and reliability as evidence of a transaction.

### **Rendition**

The electronic records management application should be able to render records to different formats. The purpose of rendition is to provide electronic documents in formats that are software and hardware independent so that they can be read by any computer system accessing the information. Rendition is a functionality to display documents in a different format than that they were created in. E.g. a Word document (.doc) displayed as a PDF (.pdf) document or HTML (.html) document, etc. This provides a format that everyone can display and eliminates the need for all users to have the original application installed on their desktops. Records stored in their native format can be rendered to another read only format when accessed. This functionality is especially useful to protect the original format from being altered.

### **Website management**

A website is a record which contains information regarding the structure and functions of an office, the legislation it administers, its current policies and guidelines and advice on how to apply the legislation and policies as well as information on products and services. An office can be held accountable for the information published on its site. For evidential, legal and accountability reasons it is imperative to keep a record of what was available on the site and how it was presented at a given time.

Ideally a website and its content should be managed via an electronic records management application. All documents published to the website should be checked into the electronic repository before being published to the site. The website should link to the repository and extract its information from the repository. This should prevent multiple copies of the same documents existing in various places. A record of a website should be created by extracting a precise copy (that keeps the look and feel of the website and maintains the links in the website without duplicating documents that



already exist in the repository) of the site to the repository. Websites should be version controlled and an audit trail should be kept of all changes to the site to guarantee its authenticity and the legal admissibility of the site. The electronic records management application should be able to manage websites as records.

### **Managing records in non-electronic formats**

Although Municipalities strive to create less paper or even “paper-less” environments they always end up with some paper-based records being created. The records management application should include paper management functionality to allow for integrated records management. It should track files and containers, update their current locations and report on free space within storage facilities. The following features are examples of paper management functionality:

- Bar coding of files and boxes;
- Label printing
- Movement tracking;
- Online file requesting
- Charge-out/in file management;
- Location Auditing
- Destruction and transfer

The application should log all actions taken on paper-based records and should enable the audit log to be kept as an unalterable record. The application should also be able to manage records in other non-electronic formats such as microfilm, sound cassettes, videocassettes, maps, plans, photographs, etc. in the same manner. The application should log disposal and transfer actions taken on non-electronic records and should enable the audit log to be kept as an unalterable record.

### **Quality assurance**

Because of the inherent volatility of electronic records and the larger role played by end users, the records manager should play an expanded role regarding the quality assurance of records to ensure their validity as evidence of the business transactions of the body and their legal admissibility. The records manager must be able to monitor the percentage of documents that are being filed. He/she should be able to determine if there are staff who do not file electronic records and why not. He/she should also be able to determine the rate of accuracy in filing. This would enable him/her to determine if there is staff that needs assistance/training in filing techniques. The records manager must also be able to determine if disposal instructions and retention periods are being applied thoroughly.

### **Managing e-mail records**

Users must file e-mail messages to the file plan in the repository. Electronic records management software can either automatically capture all e-mail messages, in which case even personal e-mail messages will be captured, or the software can prompt the user to file the message when he clicks on send, close or save. The records management software chosen must automatically capture the transfer metadata (information on the sender and the recipient(s) and the date and time the message was sent and/or received). This data provides essential context for the message. This is equivalent to correspondence on paper, where the record includes information identifying the sender and recipient and the date of the letter, not just the message. The software should also preserve any attachments containing information necessary for decision-making or to understand the intent or the context of a message. The records management software must, however, provide the capability to edit the subject or title, author or originator, addressee(s) and other addressees(s) metadata fields prior to filing the e-mail.



## 6.8 DEVELOPING AND IMPLEMENTING A SYSTEMATIC DISPOSAL PROGRAMME

### 6.8.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- When last did your municipality conduct an authorised destruction of records?
- When last did your municipality transfer archival records to the Provincial Archives?
- Do you know which records within your municipality are due for destruction or transfer to the Provincial Archives Repository this Financial Year?
- Do you know for how long to retain the different categories of records generated within the municipality?



### 6.8.2 WHAT IS RECORDS DISPOSAL?

For disposal purposes, records are categorised into two types, namely, records with archival value (also referred to as A20 records) and records without archival value (also referred to as D records or ephemeral records). Records disposal refers to the process of destroying/deleting records without archival value and transferring to an archives repository all records with archival value.

### 6.8.3 WHY DISPOSE RECORDS?

It is important for municipalities to systematically dispose records for the following reasons, amongst others:

- a. To create space for active records.
- b. To facilitate easy retrieval of information (less records volumes means easy access to information).
- c. To save on costs associated with keeping records that are no longer required for administrative purposes.
- d. In terms of records containing information of a personal nature, to comply with the provisions of the Protection of Personal Information Act which states that "records of personal information must not be retained any longer than is necessary for achieving the purpose for which the information was collected or subsequently processed".
- e. With regard to archival records being transferred to the Provincial Archives, the objective is to preserve the country's archival heritage.

Before the period that has come to be known as the "information age" there was relatively less pressure for organisations to dispose records. But things have changed now. In recent years, the production of information has increased to the extent that we are now seen to be in the midst of an information explosion. Records management practitioners in municipalities are overwhelmed by the high volumes of records that have to be managed. The first step in gaining control of records is to systematically dispose records. A systematic, authorised disposal of records is essential to the success of any municipality's records management programme. Thus, records without archival value have to be systematically destroyed whereas those with archival value should equally be systematically transferred to relevant archives repositories.

## 6.8.4 WHO IS RESPONSIBLE FOR RECORDS DISPOSAL?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The disposal of records in a municipality is therefore the responsibility of the records manager. In fact Section 1.1.3 of the Registry Procedure Manual list the "disposal of records" as one of the non-delegable duties of the records manager. However, in managing the records disposal process, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. All business units within the municipality seeking to dispose records should therefore request permission and expert advice from the records manager.

## 6.8.5 A STEP-BY-STEP GUIDE IN DISPOSING RECORDS

Below is a recommended flowchart to be deployed when disposing records:

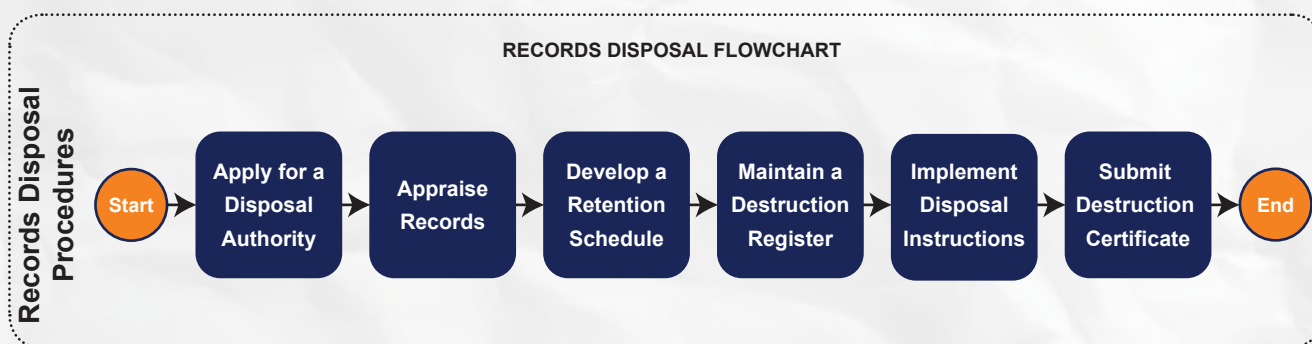


Figure 11: Records Disposal Flowchart

The procedure for disposing records in municipalities consist of six steps as follows:

Step	Responsibility	Output/s
1. Apply for a Disposal Authority	Records Manager	Application Letter Disposal Authority
2. Appraise your records	Records Manager	Retention instructions
3. Develop a Records Retention (Disposal) Schedule	Records Manager	Records Retention (Disposal) Schedule
4. Maintain a Destruction Register	Records Manager	Destruction register
5. Implement the Disposal Instructions	Records Manager	Records Transfer list Destruction certificate
6. Submit a Destruction Certificate to the Provincial Archives	Records Manager	Submission letter

Table 14: Six steps for the disposal of records

### STEP 1: APPLY FOR A DISPOSAL AUTHORITY

In terms of Section 13(2)(a) of the National Archives and Records Services Act (Act no.43 of 1996 as amended) "no public record under the control of a governmental body shall be transferred to an archives repository, destroyed, erased, or otherwise disposed of without the written authorisation of the National Archivist". All the provincial archives Act carry the same provisions. It follows therefore that records in the custody of a governmental body may not be destroyed or transferred to an archives repository without the authorisation of the relevant archival authority/institution.

Therefore, the first step in the records disposal process is for the municipality to apply for a disposal authority from the relevant provincial archives service. Disposal authority will have to be requested for every file in the file plan. It is recommended that once the file plan has been in use for about two years, is functioning satisfactorily and has had most of the problems ironed out, an application should be submitted to the Provincial Archivist for the issuing of a disposal authority.



There are three types of disposal authority issued by the National/Provincial Archives, namely:

- a. **Standing Disposal Authority:** This disposal authority is granted in instances whereby an application is made to dispose current records (i.e. records that form part of the classification system still in use). The standing disposal authority is issued by the relevant archives service on application.
- b. **Limited Disposal Authority:** This disposal authority is granted in instances whereby an application is made to dispose terminated records (i.e. records that form part of the classification system no longer in use). The limited disposal authority is also issued by the relevant archives service on application.
- c. **General Disposal Authority:** This disposal authority is granted in instances whereby an application is made to dispose of specific current records. It is granted to records that are similar in all offices, e.g. personal files, financial records etc. The general disposal authority is not applied for, but offices are often informed by means of circulars issued by the National Archives. For a list of records covered by a General Disposal Authority visit the National Archives Website at: [www.national.archives.gov.za](http://www.national.archives.gov.za).

In a case where a disposal authority has been obtained, the following symbols are used to show the disposal instruction for files.

- a. **A20:** for valuable records which must be transferred to the Provincial Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the record came into existence;
- b. **D:** for records of an ephemeral nature which can be destroyed after the number of years indicated alongside the "D". This date is calculated from the date of the youngest item on the file.

Once the disposal authority has been obtained, the instructions should be entered on every file cover.

## STEP 2: APPRAISE YOUR RECORDS

Once a disposal authority is obtained from the Provincial Archives, it is important to determine the retention periods for D records (A20 records are retained for 20 years before being transferred to the provincial archives repository). Determining retention periods will require conducting research and tabulating the retention requirements from all applicable statutes and regulations. Records retention requirements can be direct, explicit requirements to keep a given record for a specified period of time or indirect, in the form of legal limitation periods. It is also important to investigate the operational needs for each record or record series. The creators and users of records should play a role in identifying how long records are needed to inform administrative processes and operational activities, possibly in excess of legally mandated requirements.

Industry-recognised standards in records management recommend that categories be based on the business activities that give rise to their creation or receipt. Those same activities will help identify applicable legal, operational and archival requirements. Retention requirements for each category should be long enough to meet all identified requirements, but not so long as to introduce privacy non-compliance, undue storage costs or other risks.



### STEP 3: DEVELOP A RECORDS RETENTION (DISPOSAL) SCHEDULE

Because of the vital role that records retention scheduling plays in an effective records management program, it is one of the most talked about topics in records management. Regrettably, it can also be one of the most misunderstood concepts. Ad hoc decision-making and vague assumptions about retention can threaten a municipality's compliance with legal and business requirements. To avoid this, municipalities need to develop and implement a sound records retention schedule. A records retention schedule (also called a disposal schedules/list disposition schedule/list) identifies all the records series created or maintained by a municipalities, notes the appraisal decisions that have been taken, specifies the periods for which the series are to be retained and their place of custody, and authorises their disposal at the appropriate time (either destruction or transfer to the archival institution).

The purpose of the Records Retention Schedule is therefore to:

- Serve as an easy reference guide to what documents should be retained;
- Summarise prescribed periods of retention for specific documents.

There is no prescribed template for a records retention schedule (see Section 3.7.7 below for a model records retention schedule). It is however advisable that it should be arranged alphabetically by the title of the record series. It should also be a simple, user-friendly outline indicating the following elements:

- User's instructions
- Core elements: Records group, Retention Instruction, Location (where necessary)
- Application form
- Contact Details of system custodians

Below is an example of a brief template that may be used for the development of a records retention schedule.

Records Series	Location	Retention Instruction
Personnel records	HR registry	D5
Unsuccessful applications for positions and related documents	Central registry	D3

### STEP 4: MAINTAIN A DESTRUCTION REGISTER

A register (loose leaf), divided up according to years, should be kept and as soon as a file, or a part thereof, is closed, the number of the file and the volume number should be entered under the year in which it should be destroyed. Thus, a system is built whereby outdated files are discarded regularly, at least once a year. There is a tendency to remain on the safe side by deciding on lengthy retention periods when the period of retention is chosen for the first time. As a result, it is essential to review the period in the light of experience every now and then, and to shorten it where possible. The prescribed system of disposing of files can be applied to files which accrue rapidly, or to cases where a file is finally closed. There are, however, also those files which become disused and usually remain among the current files. In order to clear these files as well, all current files should be reviewed periodically.

## STEP 5: IMPLEMENT THE DISPOSAL INSTRUCTIONS

Implementing the disposal instructions means implementing a decongestion plan. A decongestion plan makes it possible to relieve congestion in the premises where documents have accumulated, thereby saving documents that may be very useful for administrative purposes. What it also means is breaking out of the vicious circle of anarchic accumulations of documents, heightening the awareness of records management practitioners. Eliminating backlog provides an opportunity for government employees to become acquainted with the elementary tasks of records management. The decongestion process and refurbishment plan will also assist in relieving pressures on the offices and registries that were congested with records. Implementing the disposal instructions is the actual destruction of non-archival records and the transfer of archival records to the relevant archives repository.

The procedures for records disposal are as follows:

### ***The procedure for destruction of D records is as follows:***

Records should be reviewed regularly against retention schedules to identify their eligibility for destruction. The review should include input from stakeholders who can identify possible legal or operational reasons to retain records in excess of their scheduled retention periods. Those stakeholders should sign-off on actual records destruction, which should be performed in a secure manner and be certified as having been performed in accordance with a municipality's retention policies.

In order to facilitate the destruction of files, the Registry (Records Management Unit) should maintain a Destruction Register. The Destruction Register is split into years. As soon as a file or part of a file is closed, the number of the file is written under the year in which it must be destroyed. At the end of every year, the registry should consult the Destruction Register for files which are due for destruction during that year and make arrangements for their destruction. It is recommended that affected records be destroyed by using a cross-cutting shredder that will ensure that records are not reconstructed. No files may be destroyed without the written authority of the Provincial Archivist. All authorities received from the Provincial Archivist, and details of the records to which they refer, must be recorded in the Disposal Authorities Register by the Registry.

### ***The procedure for transfer of A20 records to archives repository is as follows:***

Records which are marked for permanent preservation (A20 archives) must, in accordance with the applicable Provincial Archives Act be transferred to the Provincial Archives Repository if a period of 20 years has elapsed since the year in which the file was terminated.

The Records Manager must liaise with the head of the repository to make transfer arrangements. When transferring to the archives repository/records centre the following procedure is followed:

- a. The Records Manager informs the head of the provincial repository beforehand of the nature of the records he/she intends to transfer by submitting a list of the records. The linear metres shelf space of the records must be provided.
- b. The head of the provincial repository will then indicate if he/she can receive them;
- c. The records to be transferred are accompanied by a transfer list (see Section 3.7.7 below for a template of a transfer list) in duplicate.



## STEP 6: SUBMIT A DESTRUCTION CERTIFICATE TO THE PROVINCIAL ARCHIVES

Once records have been destroyed, a destruction certificate must be submitted to the Provincial Archives (see Section 3.7.7 below for the format for the Destruction Certificate). Records must be listed in alphabetical or numerical order on the above-mentioned list. With regard to case files, it is sufficient to mention the subject under which the files are opened, e.g. 1/1 - 1/2019 Cases: Application for permits. The certificate must be signed by the Records Manager after he has ascertained that the records in question have actually been destroyed. The copies of these lists of destroyed records are preserved by the Records Manager and should serve as proof in connection with any enquiries concerning the records at all times.

In order to keep the Disposal Authorities up to date, the Records Manager should approach the provincial archivist regularly to approve disposal instructions regarding the new additions to the file plan. All authorities that have been issued must be examined periodically by the Records Manager and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the provincial archivist. All correspondence concerning the disposal and destruction of records must be directed to the provincial archivist.



## 6.8.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) A MODEL RECORDS RETENTION SCHEDULE

**The purpose of the Records Retention Schedule is to:** Serve as an easy reference guide to what documents should be retained;

- Summarize prescribed periods of retention for specific documents;

#### The Retention Periods

The retention periods reflect minimum length of time required to satisfy legal, fiscal and administrative requirements. Included retention periods are based on administrative, legal, and fiscal/financial values of records.

#### Destruction of records

**As a general guideline, the following documents should be destroyed:**

- All paperwork not needed from a commercial or legal perspective.
- Duplicates of reports, minutes and other papers when the master copy is held by the originator and the need for duplicates has passed.
- Shredding is considered the best method of disposing of unwanted documents, especially confidential documents. Salvage disposal does not necessarily ensure confidentiality of the documents while burning may pose environmental and safety problems.

#### Minimum Periods of Retention

- Column 2 is a list of record types
- Column 3 lists the minimum period of retention for the original record

Item No	Records series	Records retention
<b>Transitory records</b>		
	Copies of documents (drafts, re minders, acknowledgements of receipt	6 months
<b>Financial records</b>		
	General ledgers and cash books or similar records	15
	Main transaction summary records including general journals and transaction summaries	10
	Internal audit reports	10
	System appraisals	10
	Primary evidential records, invoices, receipts etc.	5
	Subsidiary ledgers	5
	Supplementary accounting records - till slips, bank statements, time sheets	5
	Other financial source documents, deposit books, post registers	5
	Information relating to one financial year (from audit)	1

Item No	Records series	Records retention
<b>Human Capital records</b>		
	Unsuccessful applications for positions	1
	Bursary records	7
	Development records	7
	Disciplinary hearing records	3
	Equity records	7
	External studies	3
	Grading records	3
	Grievance records	3
	Job description records	3
	Learnership records	7
	Performance appraisal records	3
	Retrenchment records	7
	Sector Education Training Authority records	7
	Site Committee consultations	5
	Trainee records	5
	Training records	3
	Written warning records	3
<b>Procurement</b>		
	Unsuccessful applications for tenders	3
	Original Contract Documents	P
	Contract Payment File	5
	Procurement Related Policies	P
	Acquisition Council Minutes & Agenda	P

### Disposal Considerations

- Please note that no destruction should take place without the assurance that the affected records are no longer required, that no work is outstanding and that no litigation or investigation or request which would involve the records in question in terms of the Promotion of Access to Information Act or Promotion of Administrative Justice Act is pending.
- Records should be destroyed in such a manner that the confidentiality of information contained therein is protected. All copies of records that are authorized for destruction, including security copies, preservation copies and backup copies should be destroyed. (Electronic records can only be considered to have been destroyed / deleted successfully when the information on all storage media has been overwritten.).
- Once records have been destroyed, a destruction certificate (attached as annexure A hereto) should be compiled. A copy of the certificate should be submitted to the National Archives.
- Retention instructions for other categories of records will be issued once a thorough assessment has been made and after consultations with relevant business units.

**(B) TEMPLATE: DESTRUCTION CERTIFICATE**

I hereby certify that the records listed below which occupied \_\_\_\_\_ linear metres of shelving/ storage space were destroyed on the \_\_\_\_\_ (date) in terms of disposal authority/authorities number(s) \_\_\_\_\_.

Name of office	
Name of Records Manager	
Telephone	
Fax	
Cell	
E-mail	
Signature	
Date	

Number	Description	Period

Where a series of case files is destroyed, e.g. personal staff files, files for institutions, or item files, the listing of individual files is not required, unless the body wishes to compile such a list for its own purposes: In such a case, only the first and last file numbers and the periods are indicated in the first and third columns, and a comprehensive description of the whole group is recorded in the second column.

**(C) TEMPLATE: RECORDS TRANSFER LIST**

I certify herewith that the undermentioned records were transferred on the \_\_\_\_\_ (date) to the provincial archives at \_\_\_\_\_ (physical address of the repository to which records were transferred).

Name of office	
Street address	
Extend of records in linear metres	
Name of Records Manager	
Disposal authority number	
Official dealing with transfer	
Telephone	
Fax	
Cell	
E-mail	
Signature	
Date	



Item, Box or Package No.	File, Register or Form No.	Description	Period in years	Proposed Disposal

If you do not yet have an authority number, you must place your disposal recommendations in the disposal column. This list will then be used to issue disposal authority.

When a file consists of more than one volume, each individual volume must be listed.

Where records which have already been designated for permanent preservation by the Provincial Archivist are transferred, the last column can be deleted.

## 6.9 DEVELOPING AND IMPLEMENTING A DISASTER PREVENTION AND RECOVERY PLANNING

### 6.9.1 QUESTIONS TO REFLECT ON:

The following questions are worth reflecting on before tackling this section of the toolkit:

- Does your municipality have a Counter Disaster Plan for records management?
- Are officials within the municipality familiar with this Counter Disaster Plan?



### 6.9.2 WHAT IS COUNTER DISASTER MANAGEMENT?

There are a number of definitions for 'disasters'. However, a disaster can be defined as "any event that creates an inability on an organisation's part to provide critical business functions for some predetermined period of time. Perhaps the most realistic interpretation of 'disasters' is to view them as dependent, not on the scale of damage, but on the effect that the incidents create. For example, a water leak affecting one shelf of a municipality's records may only be a small-scale emergency, but can be considered a disaster if the material affected is of significant value and will result in financial loss or legal action. Whether damage is considered a disaster will also depend on who values that material. For example, if there were no copies kept of the material on the shelf, it is vital to the production of a product and cannot be salvaged, it is disastrous for an organization but perhaps not for the general community.

The following concepts are often used inter-changeably in discussions around Counter Disaster Planning:

- Disaster preparedness
- Disaster recovery plan
- Business continuity

But experts agree that there is a difference in meaning. In their purest forms, these concepts may be defined as follows:

- **Disasters Preparedness Planning:** focuses on putting in place measures to minimise damage to records or recordkeeping system should a disaster occur.
- **Disaster Recovery Planning:** focuses on recovering the recordkeeping environment. The plan's main purpose is to recover from damage to the infrastructure.
- **Business Continuity Planning or Contingency Plan** is targeted at keeping the business running during a disaster.

Disaster can be categorised as per the following main categories:

- **Natural events or hazards:** earthquakes, cyclones, bushfires, floods, lightning strikes, windstorms
- **Structural or building failure:** malfunctioning sprinklers, heating or air conditioning systems, leaks in roofs, poor wiring, sewer/storm-water/ drainage failure, energy failure
- **Industrial accidents:** nuclear or chemical spills, fire, explosions, gas leaks, falling object damage
- **Technological disasters:** viruses, computer equipment failures
- **Criminal behaviour:** theft, arson, espionage, vandalism, riots/ demonstrations, bombing, terrorism, war
- **Accidental loss through human error**

Counter Disaster Management refers to strategies designed for the prevention, preparedness and response to disasters, and the recovery of operations following disasters. In the field of records management, counter disaster management strategies yield many benefits for records and recordkeeping systems. They can reduce the likelihood of disaster or minimise their impact. They will ensure that a municipality can react quickly to disasters, thereby increasing the chances of controlling the impact of disasters and promptly restoring resources and operations. Such actions can promote continued profitability or revenue flow and minimise costly disruptions to business services. In addition, counter disaster management planning can be a significant catalyst to improving a records management program.

### **6.9.3 WHY DEVELOP A COUNTER DISASTER PLAN FOR RECORDS?**

One of the major threats to the safety and preservation of official records is the risk of disaster. Records and recordkeeping systems are always potentially at risk of disaster. Due to the importance of records, their loss in a disaster can be crippling for any organisation. The development of a Counter Disaster Plan can provide many benefits for a municipality's records and recordkeeping systems. Municipalities should therefore develop Counter Disaster Plans to ensure that they minimise or prevent damage to records in the event of a disaster.

#### **Remember the fire that destroyed part of Munitoria (City of Tshwane)?**

On the 3rd March 1997, a massive fire completely destroyed the West Wing of the Munitoria, municipal headquarters of the then City Council, severely affecting the municipality's operations and service delivery to its residents. The building was eventually imploded on the 7th July 2013.

A disaster can be a big, and expensive interruption to the operations of any municipality. Apart from impeding activities and operations, a disaster may cause severe financial loss, embarrassment and a loss of credibility and good will. Disasters also have the potential to impact negatively on staff, clients, suppliers, taxpayers, the government and the public. Difficulties in accessing information translate into delays in service delivery, disgruntled clients, and financial losses. Reliance on records, both paper and electronic, and the risks involved, means that municipalities have to take additional steps to ensure that recordkeeping systems are always available. To this end, all municipalities, should develop and implement a "Counter Disaster Management Plan" aimed at ensuring that there is minimal or no interruption to services in the event of a disaster.

### **6.9.4 WHO SHOULD DEVELOP A COUNTER DISASTER PLAN?**

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a counter disaster plan is therefore the responsibility of the records manager. However, in developing a counter disaster plan, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. The records manager may also seek guidance and assistance from expert areas responsible for disaster planning.

### **6.9.5 BASIC DISASTER REQUIREMENTS FOR RECORDS STORAGE AREAS**

An effective counter disaster management planning should start with storage facilities meeting all the basic requirements:

- Store records in appropriate, purpose built storage facilities. Select a storage space least vulnerable to fire, flood, and harsh weather patterns.
- Avoid piling records
- There should be no chemical/water/fire/pollution danger to the records nearby.
- Shelves/cabinets in use should be suitable for recordkeeping. Shelves/cabinets should be constructed of non-flammable material.



- Shelves/cabinets should be lifted above the floor to minimise chances of water damage in case of flood (at least 6 inches off the ground).
- There should be no water pipes or basins in the records storage area.
- There should not be any loose unprotected cables in the records storage area. Inspect wiring regularly.
- Walls should be constructed of non-flammable material.
- The records storage area should be equipped with sufficient burglar proofing system.
- The records storage area should be designed in such a way that it is protected against unauthorised entry (e.g. with a counter or glass window).
- There should be no signs of water leakages on the records storage's roof. Inspect roofs and drains regularly.
- Establish security routines, including an annual building inspection and seasonal maintenance.
- Install and regularly test fire alarms, smoke detectors, fire extinguishers, and a sprinkler system. Fire extinguishers in use should be suitable for use on records (e.g. CO2).
- Install water detectors and alarms. Map their locations.
- Locate water pipes and water shut-off valves. Map their locations.
- Install alarms to prevent intrusion, deliberate, or random violence.

## 6.96 A STEP-BY-STEP GUIDE IN THE DEVELOPMENT OF A COUNTER DISASTER PLAN FOR RECORDS

Below is a recommended flowchart to be deployed when developing and responding to a disaster:

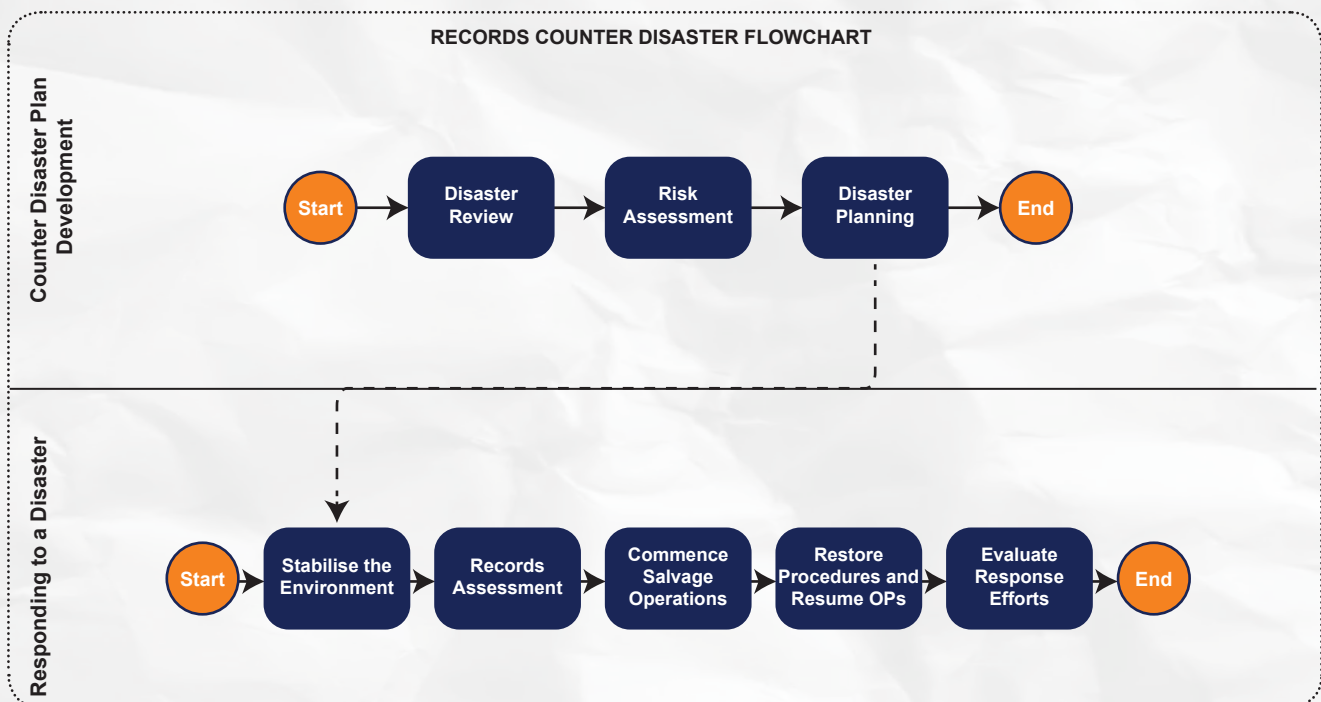


Figure 12: Records Counter Disaster Plan Flowchart

There are three steps in the development of a Counter Disaster Plan for records as follows:

Step	Responsibility	Output/s
1. Disaster review	Records Manager	Review report
2. Risk assessment	Records Manager	Risk assessment report
3. Disaster planning	Records Manager	Counter disaster plan

Table 15: Three steps in the development of a Counter Disaster Plan for records

**Step 1: Disaster Review:** During this stage you identify disasters that may pose a risk to records or recordkeeping systems before they strike. The following are the broad categories of potential records disasters:

- Natural events or hazards
- Structural or building failure
- Industrial accidents
- Technological disasters
- Criminal behaviour
- Accidental loss through human error

This review will also include an assessment of disasters experienced by organisations serving similar functions and those located within a close proximity. For example, an organisation situated close to a chemical plant will need to prepare for possible disasters that could occur at that site as any disaster may have a huge impact on its own records. Activities may include:

- Brainstorming/speaking with members of staff,
- Consulting with emergency services personnel to obtain a history of previous disasters within the area.
- Conducting a 'walk-through' and documenting any possible hazards or disasters on the premises. See Section 3.8.9 below for a template of a Disaster Review Form.

**Step 2: Risk Assessment:** During this phase you analyse risks in terms of probability and effect. This involves looking at the risks identified and estimating the likelihood of their occurrence in the context of existing control measures. The consequences of particular risks also need to be considered. The aim of this assessment is to separate the minor acceptable risks from the major risks and to provide data to assist in the assessment and treatment of risks.

Once the risks have been analysed, a risk assessment which involves assessing the acceptability of the risk and priorities for treatment must be conducted. Low probability and low effect risks might be assessed and accepted, monitored and periodically reviewed. Higher risks should be prioritised and treated. See Section 3.8.9 below for a template of a Risk Assessment Form.

**Step 3: Disaster Planning:** This is possibly the main stage in Disaster Planning. The stage involves the development of a Records Counter Disaster Plan. Tips in writing the detailed procedures include:

- write the plan with the assumption it may be implemented by personnel unfamiliar with the operations of the municipality
- use direct language
- use short paragraphs
- present one idea at a time
- use active voice verbs
- use the imperative style where a sentence starts with a verb
- use a standard format
- avoid jargon
- use position titles (rather than personal names) to reduce maintenance and revision requirements

The plan should cover the following aspects:

- **Disaster Preparedness Plan:** This plan documents all the measures and strategies that will help to avoid or minimise damage to records in case of a disaster. The plan determines what the municipality has to do to prepare for the most likely disasters.
- **Business Continuity Plan:** This plan will outline strategies to ensure that the municipality is able to continue with its operations in the event of a disaster affecting its records
- **Disaster Response and Recovery Plan:** This plan will outline measures to be implemented to restore business operations, treatment and recovery of records and recordkeeping system. It considers what initial action the municipality should take when a disaster occurs, who should be called and in what order, and what further action is required.



- **Vital records Protection Plan:** This program includes the policies, plans and procedures developed and implemented and the resources needed to identify, use, and protect vital records. It provides a municipality with the information it needs to conduct its business under other than normal operating conditions and to resume normal business afterward. The program enables a municipality to identify and protect the most important records dealing with the legal and financial rights both of the municipality and of persons directly affected by the municipality's actions.

### 6.9.7 A STEP-BY-STEP GUIDE IN RESPONDING TO A DISASTER

The following are the five main steps in responding to a disaster:

Step	Responsibility	Output/s
1. Stabilising the environment	Response team	-
2. Records assessment	Response team	Assessment report
3. Commencing salvage operations	Response team	-
4. Restore procedures and resume operations	Response team	-
5. Evaluate disaster response and recovery	Response team	Evaluation report

Table 16: Five steps in responding to a disaster

#### Step 1: stabilizing the environment to ensure that records do not suffer further damage.

- Organise for emergency repairs of structural damage and leaks
- Initial clearing of entrances and aisles
- The temperature and humidity can be reduced and air circulation increased by opening windows and doors and using fans and air conditioning if there is electricity (if not, portable generators may be required).
- These actions can help to prevent mould growth (that is likely to begin within 48 hours) and exhaust any soot.
- Treatment areas also need to be established. If the disaster is confined to part of a building, other parts of the same building may be used, providing the temperature and humidity is suitable. If the disaster involves the whole building, then damaged material needs to be removed and relocated to another treatment site. There are a number of possible preventative strategies. Each preventative measure should be evaluated to ensure that it is viable and cost effective for the municipality. municipalities may choose to use a range of strategies depending upon the types of records formats that they need to protect.

#### Step 2: Records assessment

When security and contingency operations have been established and the environment stabilised, the damage that records have sustained can be examined. Then teams need to assess: the quantity and nature of damage, which media has been affected, if vital records are damaged, if damage affects records storage containers and what equipment, specialists and techniques are required. Take into account those records directly affected (for example, by water) and also those that might be indirectly threatened (for example, by exposure to the elements through structural failure). Teams need to document the assessment by taking photographs or making a videotape or digital recording for insurance and planning purposes. (See Section 3.8.9 below for a template of a Damaged Records Assessment Form).



### **Step 3: Commencing salvage operations**

The size and scope of the recovery effort will depend on the size and scope of the disaster. For small-scale disasters, you need just one team to assess the damage, choose a treatment area, prepare the disaster bin and equipment and set up tables for evaluation, interleaving and treatment of particular formats, then retrieve the material and treat it. If the disaster is on a larger scale, you need several teams as follows: salvage team, evaluation team, packing team, air drying team and other staff.

### **Step 4: Restore procedures and resume operations**

Dry and treated records need to be returned to clean facilities with appropriate temperature and humidity levels. This may be to an alternative operating site if the building is structurally damaged or destroyed. If the building is undamaged, there may be the need to clean internal areas to remove water, filth or other residues, and restore or replace furniture and furnishings prior to returning records to the original facility. Some disaster recovery vendors can assist in the cleaning of internal areas. In addition, containers and protective encasements like file covers, cartridges and diskettes may need to be replaced or cleaned. Computer equipment will either need to be cleaned or replaced and electronic imaging media may need to be duplicated or reformatted.

### **Step 5: Evaluate disaster response and recovery activities**

Once an municipality has recovered from a disaster, teams should conduct a debriefing session with the staff and volunteers involved, to compare the counter disaster plan to what actually happened. This is vital in ensuring that confusing procedures or mistakes are eliminated and that the counter disaster plan will operate better in the future. The discussion results should be documented in a report that is included within the post disaster analysis activities.

Conduct some residual tasks. For example, they should:

- Inventory response and recovery supplies and replace used supplies
- Evaluate performance of suppliers and recovery services and replace vendors that performed poorly and
- Monitor affected areas and records for signs of continuing problems.

## 6.9.8 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) TEMPLATE: DISASTER REVIEW FORM

Item No	Type of Disaster	Period	Damage	Cause	Duration
<b>NATURAL DISASTERS</b>					
	Earthquakes				
	Cyclones				
	Bushfires				
	Floods				
	Lightning strikes				
	Windstorms				
<b>STRUCTURAL OR BUILDING FAILURE</b>					
	Malfunctioning sprinklers				
	Heating or air conditioning systems				
	Leaks in roofs				
	Poor wiring				
	Sewer/storm-water/ drainage failure				
	Energy failure				
<b>INDUSTRIAL ACCIDENTS</b>					
	Nuclear or chemical spills				
	Fire				
	Explosions				
	Gas leaks				
	Falling object damage				
<b>TECHNOLOGICAL DISASTERS</b>					
	Viruses				
	Computer equipment failures				
<b>CRIMINAL BEHAVIOUR</b>					
	Theft				
	Arson				
	Espionage				
	Vandalism				
	Riots/ Demonstrations				
	Bombing				
	Terrorism				
	War				
<b>HUMAN ERROR</b>					
	Accidental loss				

**(B) TEMPLATE: RISK ASSESSMENT FORM**

Item No	Type of Disaster	Probability High-Low (5-1)	Impact High-Low (5-1)	Total	Category 1-3=Low 4-7=Medium 8-10=High	Preventive action
<b>NATURAL DISASTERS</b>						
	Earthquakes					
	Cyclones					
	Bushfires					
	Floods					
	Lightning strikes					
	Windstorms					
<b>STRUCTURAL OR BUILDING FAILURE</b>						
	Malfunctioning sprinklers					
	Heating or air conditioning systems					
	Leaks in roofs					
	Poor wiring					
	Sewer/storm-water/drainage failure					
	Energy failure					
<b>INDUSTRIAL ACCIDENTS</b>						
	Nuclear or chemical spills					
	Fire					
	Explosions					
	Gas leaks					
	Falling object damage					
<b>TECHNOLOGICAL DISASTERS</b>						
	Viruses					
	Computer equipment failures					
<b>CRIMINAL BEHAVIOUR</b>						
	Theft					
	Arson					
	Espionage					
	Vandalism					
	Riots/ Demonstrations					
	Bombing					
	Terrorism					
	War					
<b>HUMAN ERROR</b>						
	Accidental loss					





## 6.10 DEVELOPING AND IMPLEMENTING A VITAL RECORDS PROGRAMME

### 6.10.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- Does your municipality have an inventory of all vital records generated therein?
- Are there measures in place within the municipality to protect vital records in a case of a disaster?



### 6.10.2 WHAT IS A VITAL RECORD PLAN?

There are 4 categories of records in terms of significance:

- **Non-essential records:** records that are listed in disposal authorities for routine destruction.
- **Useful records:** records that, if lost, will cause some inconvenience but could be readily replaced.
- **Important records:** records that are not irreplaceable but could be reproduced only at considerable expense, time and labour.
- **Vital records:** records that are irreplaceable and mission-critical.

Vital records are records that contain information that is essential to the survival of an organisation. It is usually said that vital records are those records without which an organisation cannot operate or function. Experts estimate that vital records usually constitute a small percentage of records created by an organisation, normally 5%, however the range can vary from 3% to 10%. Depending on the business of the organisation, vital records might include:

- Contracts/agreements that prove ownership of property, equipment, vehicles, products
- Records about the operation of the organisation, such as current or un-audited accounting and tax records, current personnel and payroll records
- Current client files
- Standard operating procedures
- Control documentation (registers, indexes, metadata repositories) for the organization's records and recordkeeping systems
- Data critical to the reconstitution of the organisation's electronic records and
- Permanent value records in the organisation's custody.

A Vital Records Plan includes the policies, plans and procedures developed and implemented and the resources needed to identify, use, and protect vital records. The aim of the program is to provide a municipality with the information it needs to conduct its business under other than normal operating conditions and to resume normal business afterward. The program enables a municipality to identify and protect the most important records dealing with the legal and financial rights both of the municipality and of persons directly affected by the municipality's actions.

### 6.10.3 WHY DEVELOP A VITAL RECORDS PROTECTION PLAN?

If a vital record is lost, damaged, destroyed or otherwise unavailable, the loss is a disaster, affecting critical operations. Vital records should be the main priorities for recovery and salvage efforts when a disaster occurs. Each municipality should therefore establish a vital records protection plan within its counter disaster plan to ensure that all vital records are protected against damage or destruction.

## 6.10.4 WHO SHOULD DEVELOP A VITAL RECORDS PROTECTION PLAN?

Each municipality's records manager has overall control of the municipality's records management functions and activities. The development of a vital records protection plan is therefore the responsibility of the records manager. However, in developing a vital records protection plan, the records manager will also rely on the assistance of his/her team of records management practitioners within the municipality. The records manager will also seek guidance and assistance from all business units with regard to identification of vital records. The records manager will also seek assistance to information security specialists with regard to suitable records protection measures to be implemented.

## 6.10.5 A STEP-BY-STEP GUIDE IN THE PROTECTION OF VITAL RECORDS IN MUNICIPALITIES

Below is a recommended flowchart to be deployed in protecting vital records:

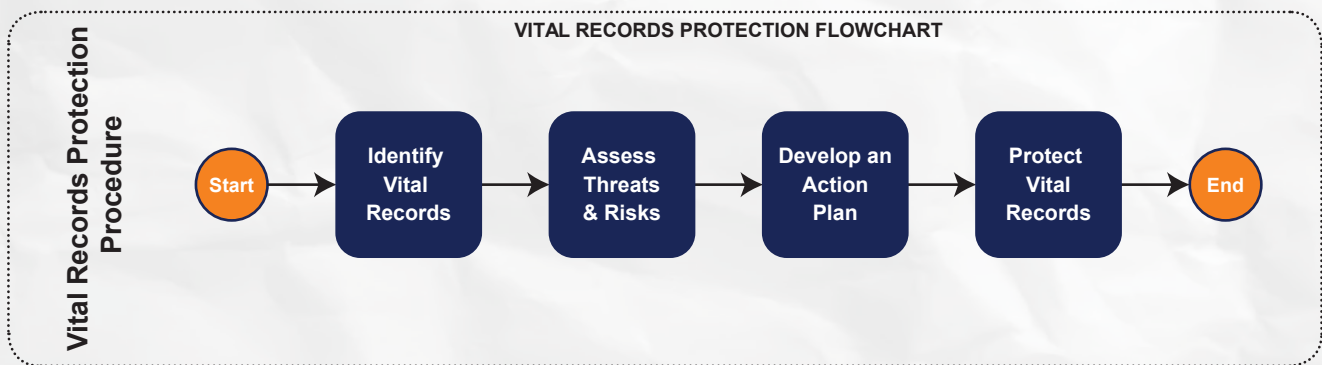


Figure 13: Vital Records Protection Flowchart

There are 4 steps in the protection of vital records:

Step	Responsibility	Output/s
1. Identify Vital Records	Records Manager	Inventory of vital records
2. Assess the threats and risks	Records Manager	Risk Assessment report
3. Develop an action plan	Records Manager	Action Plan
4. Protect Vital Records	Records Manager	Report

Table 17: Four steps in the protection of vital records

**Step 1: Identifying vital records:** the first phase in protecting vital records is to identify what is 'vital' to the municipality. Tools such as a Records Inventory and/or a Register of Files Opened can play a very important role in vital records identification given that they provide a list of records that exists within a municipality. It is also important to consult each business unit and discuss the vitality of records therein. It is important to remember, however, that most program managers think that most of their records are vital. It is also important to apply good risk management principles when determining what records should be classified as vital by the municipality. Once identified, vital records need to be listed in an inventory of Vital Records. Such an inventory should include the following:

- Title of the file or records series
- A file reference number
- Location
- A justification as to why it is considered vital
- The record format



**Step 2: Assess the threats and risks:** Once vital records have been identified, it is important to assess potential threats of loss on a location-by-location basis. The range of possible threats of loss include fire, flood, tornado, hurricane, earthquake, sabotage, terrorism, and infestation by vermin or rodents. Once the threats have been identified, an assessment should be conducted of the potential risks in terms of the level and scope in order to determine the level of protection or response that may be required.

**Step 3: Develop an action plan:** Once potential risks have been assessed, an action plan for protecting those records deemed to be vital should be developed. The plan addresses protection methods, specific measures for storing, accessing, loss, prevention and reduction techniques, and procedures for the resumption of business. The plan further includes an implementation and monitoring plan, as well as a disaster recovery plan specifically for vital records.

**Step 4: Protection of vital records:** Once an action plan is in place, vital records then need to be protected through the inclusion of strategies within the counter disaster plan. Protecting vital records should cover both measures to prevent or minimise the impact of a disaster event, and recovery and restoration measures if a disaster does occur. Below is an outline of preventive and recovery measures recommended to municipalities:

#### **Preventative measures:**

There are a number of possible preventative strategies. Each preventative measure should be evaluated to ensure that it is viable and cost effective for a municipality. Municipalities may choose to use a range of strategies depending upon the types of records formats that they need to protect.

#### **Preventive measures for paper records are as follows:**

- Duplication and dispersal: with regard to paper records this means creating duplicate copies of records and storing these in secondary locations. If a municipality is duplicating records, it may be economical to duplicate the original medium to the same medium (e.g. paper to paper), but considerations like the stability of the media and the cost of reproduction need to be taken into account. The secondary storage location and conditions should afford adequate protection, and housings should be appropriate for the media.
- The housing of vital records on-site in fire resistant housings or file rooms (vaults) with appropriate suppression systems and security.
- Off-site Storage: Municipalities may decide to store back-ups or copies off-site where facilities have appropriate suppression systems and security as well as specifically designed filing cabinets and vaults
- Transfer: A municipality that has official records of permanent retention in its custody and possession may choose to transfer these vital records to the relevant Provincial Archives Repository.

#### **Preventive measures for electronic records are as follows:**

- Duplication and dispersal: The most effective approach for electronic media, is to duplicate and store duplicates in secure off-site storage. The production of backup copies of essential files should be a routine operating procedure. There should be full backup, not just backups of files that have been modified. Backup schedules should be established and rigidly enforced and audited and responsibilities should be assigned to appropriate employees.
- Specifically designed filing cabinets and vaults can be used to provide on-site protection for magnetic tapes and disks. For example, vital electronic records can be protected against theft and fire by storing them in fire resistant safes or vaults with combination locks.
- Use fault-tolerant computer systems with critical applications requiring online transaction processing. They ensure 100% availability.

- Use of high availability computer systems which have the same objectives as fault-tolerant computer systems but do not ensure 100% availability, instead they promise help organizations to recover quickly from crash.
- Mirroring: uses a backup server that duplicates all processes and transactions of the primary server. If the primary server fails, the backup server can immediately take its place without any interruption in services.
- Clustering: links two computers together so that the second computer can serve as a backup for the primary computer.
- The use of disaster recovery services: Other companies do not build their own back-up facilities. Instead they contract disaster recovery firms to provide hot sites housing spare computers at locations around the country where subscribing companies can run their critical applications in an emergency.

## 6.10.6 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) TEMPLATE: VITAL RECORDS PROTECTION PLAN

Source: An Official Pennsylvania Government Website: <https://www.phmc.pa.gov/Archives/Records-Management/Pages/Disaster-Planning-Essential-Records.aspx>

Note: For the intended purpose of this toolkit, the content of this Template has been customised for municipalities.

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### **INTRODUCTION**

This Vital Records Protection Plan for the [municipality's name] has been developed to help fulfil some of the requirements of the National/Provincial Archives.

The protection and preservation of vital records is essential to the maintenance of public and private institutions. The most important step a municipality can take to protect its vital records is to develop a Vital Records Protection Plan, the goals of which are to prevent the loss of information critical to the continuing operation of the municipality, to recover damaged information, and to resume operations quickly and efficiently.

A [municipality's name] Vital **Records Disaster Management Team** has been established to help prepare, implement and update this plan. The team consists of the following members:

### **INSTITUTIONAL STAFF MEMBERS:**

**Team Coordinator:** Overall responsibility for disaster recovery operations.

**Assistant Coordinators:** Provide assistance in identifying vital records, assessing damage, and selecting recovery methods.

**Records Manager:** Assists with recovery operations and records scheduling.

**Other Team Members:**

### **AUXILIARY MEMBERS:**

**Facilities Manager/Security:** Has overall responsibility for security and safety of physical structure.

**IT Manager:** Serves as advisor to overall systems backup for institution's computer systems.

**CFO:** Approves emergency expenditures relating to disaster.

**SCM Manager:** Provides support for emergency recovery operations by expediting purchases of supplies and equipment.

**Legal Services Manager:** Provides advice on legal issues associated with disaster response.

**Communications Manager:** Prepares press releases and works with media to issue accurate and timely information in a disaster situation.

This plan is intended to deal with disasters involving the municipality's vital records only. The Vital Records Protection Plan should be used in conjunction with the [municipality's name] Disaster Response and Recovery Plan for Records. The recovery of records, salvage methods, vendors, and supplies are addressed in the Disaster Plan. Both of these plans should be used in conjunction with the municipality's Emergency Operations Plan.

The municipality staff members of the Vital Records Disaster Management Team will meet on an annual basis to review procedures relating to disaster preparedness and disaster response. Auxiliary members will be consulted periodically on specific issues as they arise. [Insert names of appropriate staff] will also review their Vital Records Inventory Forms on an annual basis to ensure that all information is accurate and will submit updated forms to the team for incorporation in the plan. Only those records listed on the official inventory forms maintained by [insert names of appropriate staff] will be considered vital if a disaster occurs. Other staff members will be kept informed of any changes or updates, and the team will periodically conduct training exercises.

**IDENTIFYING AND PROTECTING VITAL RECORDS**

Vital records are any records, regardless of archival value, that are essential to the functions of a municipality during and after an emergency. They also include those records essential to the protection of the rights and interests of that municipality and of the individuals for whose rights and interests it has responsibility. The loss of vital records during a disaster could result in the disruption of essential services, exposure to unplanned expenses of financial settlements or loss of revenue, increased vulnerability to litigation, and loss of productivity due to gaps in information.

Vital records fall into two general categories:

1. **Emergency Operating Records** – These are records which are needed immediately by fire and safety personnel during an actual emergency and records which are needed by the municipality's management and staff members assigned to disaster recovery efforts.
2. **Rights and Interest Records** – These are records which are needed by the municipality's staff to continue mandated operations and services during and after the actual emergency and in order to preserve the legal and financial rights and interests of the municipality and the individuals directly affected by its activities.

Each business unit is responsible for identifying its vital records by completing Vital Records Inventory Forms. For copies of the forms, see Appendix A of this plan. These forms indicate not only the current location of vital records but also the location of any security copies.

Each business unit is also responsible for choosing a method of protecting its vital records to ensure that, in the case of an emergency, its vital records will survive.

Two common methods of protecting vital records are:

1. **Duplication and Dispersal** – This technique involves the distribution of duplicate copies created in paper, microfilm, or electronic format to locations other than the municipality's primary office space. Such dispersal may be either routine or planned. During the regular course of business, duplicates of vital records are often routinely distributed to other buildings. So long as these duplicates are designated as the vital records security copy and maintained in the proper conditions for the same length of time as the primary copy, the information they contain would be protected. In cases where copies of vital records are not routinely dispersed, each office must plan to have copies of vital records distributed to alternative sites specifically for protection purposes. Such copies should be sent to designated buildings and kept for the full retention period.

Using the dispersal method of protection requires constant monitoring by each office to ensure that the vital records security copy is updated on a periodic basis (called cycling). It is also essential that this copy be dispersed to a location that would not be affected by an area-wide disaster that could destroy both the copy and the primary records, but yet be sufficiently close that the security copy is readily accessible if needed.

2. **On-Site Storage** – If off-site dispersal is not an option, each office can also protect its vital records by storing them in fire-resistant vaults, safes, or file cabinets. Such equipment is rated according to the maximum number of hours of exposure to fire and maximum temperature at which they will protect records. Magnetic tape, microfilm, diskettes, CD-ROM's, and photographic records require special equipment ratings because of their susceptibility to high humidity levels.



The major disadvantage to on-site storage of vital records is the potential for total or near destruction or contamination of the municipality's primary office area in the event of a disaster.

Electronic records pose special problems in regard to vital records protection because of the need to consider both hardware and software as well as systems documentation. For off-site storage of backup tapes and disks, the [insert names of appropriate offices and/or vendors] should be contacted. At a minimum, each office should save its vital electronic records to the institution's [Local Area Network servers on a periodic basis if routine backups are made] and/or make backup copies of vital electronic records on DVD's, thumb drives, or CD-ROM's, and store them at an alternative off-site storage location.



**DISASTER PREPAREDNESS**

The Vital Records Disaster Management Team has prepared a series of lists and instructions which are included in this plan. The Emergency Resources Information Sheet and the Emergency Contact Information Sheet should be posted in all areas where vital records are maintained.

**EMERGENCY RESOURCES INFORMATION SHEET**

**Police:** [insert name and phone numbers]

**Fire Department:** [insert name and phone numbers]

**Local Emergency Management Agency:** [insert name and phone numbers]

**Provincial Archives:** [insert name and phone numbers]

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**EMERGENCY CONTACT INFORMATION SHEET**

Vital Records Disaster Management Team Contacts:

Team Coordinator [insert name, address and phone numbers]

Assistant Coordinator [insert name, address and phone numbers]

Assistant Coordinator [insert name, address and phone numbers]

Assistant Coordinator [insert name, address and phone numbers]

Maintenance and Security [insert name, address and phone numbers]

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## VITAL RECORDS DISASTER INSTRUCTIONS

The following instructions are to be followed in case of an emergency affecting vital records. (Sample)

### FIRE

#### Action

1. Sound the alarm.
2. Evacuate the building.
3. Contact Emergency Personnel.
4. Contact appropriate members of the Vital Records Disaster Management Team.

### WATER

#### Action

1. Assess the situation and take appropriate action.  
If water is coming from above: cover or remove all vital records from the area.  
If water is coming from below: elevate or remove all vital records from the area.
2. Contact emergency personnel.
3. Contact appropriate members of the Vital Records Disaster Management Team.

## GUIDELINES FOR PROTECTING VITAL RECORDS

1. Store records away from any possible sources of water damage.
2. Do not leave records exposed on desks or tables overnight. Store them in file cabinets or in boxes on shelving. Boxed records should be stored at least five inches off the floor.
3. Do not store records near furnaces, radiators, or heaters.
4. Do not store records near hazardous materials.
5. Monitor equipment such as photocopy machines, typewriters, computers, coffee makers, and microwave ovens on a daily basis as part of prevention.
6. Monitor affected areas during building renovation or repairs for potential hazards to records such as accidental water discharges, fires, and breaches of security.
7. Make sure there are no potentially hazardous substances present in building materials or fixtures that would result in contamination in the event of a fire. If there are, identify them on the Survey Information Worksheet (Appendix B).
8. Have all electrical outlets, fixtures, equipment, and appliances checked regularly by an electrician.
9. Ensure the fire marshal is familiar with all construction materials in the building and their ratings.
10. Have all central heating, air conditioning, and ventilation systems evaluated regularly by a qualified person. Such systems could spread fire through a building if not constructed with appropriate safeguards.
11. Make certain there is adequate air circulation throughout the facility. All ducts and vents should be cleaned regularly. Dust and other combustible materials could ignite when close to motors or other moving parts.
12. Make sure all wastepaper baskets are made from a non-combustible material. They also should be emptied regularly. Obtain separate receptacles for flammable materials. Inform maintenance employees that the contents of these receptacles are not to be mixed with those of other waste receptacles.
13. Ensure that the facility is inspected regularly by the appropriate fire department officials.
14. Check all fire extinguishers, smoke/heat detectors, sprinkler systems and fire alarms regularly for operability.
15. Make certain the facility possesses a current fire safety manual and all staff members are familiar with it.
16. Check all service pipes regularly and have pressure alarms installed that indicate trouble.



17. Monitor all areas where there are pipes and windows that may be subject to condensation.
18. Check all drains regularly for obstructions or other hazards.
19. Install floor alarms in all areas that are susceptible to water leakage. These alarms should be connected to a central alarm system.
20. Monitor all sprinkler systems and check periodically for operability.
21. Install all shelving units at least two inches away from inside walls and twelve inches away from outside walls to avoid damage from condensation, burst pipes within walls, etc. All bottom shelves should be at least five inches off the floor.
22. Inspect the facility's roof regularly for leaks.
23. Require all terminated employees to turn in all relevant identification and keys to the building. Terminated employees may pose security risks.
24. Make certain that the exterior of the building is well-lit at night.
25. Incorporate procedures that will be followed in the event of theft and vandalism.
26. Remember that during building renovation or repair, there is greater risk of accidental damage that could affect vital records. Remove important materials before construction starts if at all possible. Do not allow cigarettes or unattended hot tools in the work area. Do not allow roofers to leave an incomplete job overnight unless they have laid and secured a waterproof tarp to protect any records in the area from water damage.

The Vital Records Disaster Management Team will assign members and/or staff to conduct periodic surveys of municipality's facilities utilising the following checklists:

#### **Hazards/Housekeeping Checklist**

1. Make certain there are no hazardous materials stored in close proximity to vital records.
2. Make certain all exits, aisles, corridors and stairwells are unobstructed.
3. Make certain all firefighting equipment is completely unobstructed.
4. Make certain all file cabinets are routinely kept closed when not in immediate use.
5. Make certain no records are left on desks or tables overnight. Vital records should be protected in file cabinets or in boxes on shelving when not in use.
6. Make certain no records are stored directly on the floor. If vital records are stored on the floor, they should be placed in boxes on pallets or shelving at least five inches off the floor.
7. Make certain large quantities of combustibles or empty boxes are not stored in close proximity to areas with vital records.
8. Make certain staff is not eating and drinking in offices or other areas containing vital records. Eating and drinking should be restricted to designated areas within the building.

#### **Fire Prevention Checklist**

1. Make certain all flammable materials are stored in well-marked containers in a safe, cool place away from sunlight.
2. Make certain all chemical and solvent containers are properly labelled and kept closed even when in use to minimise the escape of flammable and toxic vapours into the air.
3. Make certain all electrical appliances (e.g. coffee makers, copy machines and microwave ovens) are operated at a safe distance from flammable materials and turned off when not in use.
4. Make certain all fire doors are kept closed.



## Water Prevention Checklist

1. Make certain no vital records are stored in basement areas. When flooding occurs, the water will seek the lowest level.
2. Make certain no vital records are stored in or below areas through which service pipes pass.
3. Make certain no vital records are stored in any areas susceptible to water damage. Records stored in suspect areas should be moved, or if that is not possible, should be covered with plastic sheeting.

## Basic Security Checklist

1. Make certain staff-only areas are clearly marked.
2. Make certain identification badges are issued and visitors are escorted in non-public access areas.
3. Make certain outside windows, doors, loading dock areas, and other entry points are secure.
4. Make certain all access control systems, intrusion detection systems, and automated monitoring systems and alarms are working properly.

If problems are discovered during the course of the surveys, they should be noted on the worksheet found in Appendix B and the [insert names and titles of appropriate staff] should be notified. If necessary, they and the Vital Records Disaster Management Team shall issue additional instructions and guidelines to other institutional staff members.

## DISASTER RESPONSE

**Instructions for Disaster Response**

The following guidelines are intended to assist the records management team in efficiently responding to an actual emergency.

1. In the event of a vital records related disaster, notify emergency personnel, if appropriate, and the Vital Records Disaster Management Team Coordinator.
2. Notify the Assistant Coordinators if the Coordinator cannot be reached.
3. For a minor emergency, the Coordinator or an Assistant Coordinator should:
  - a. Assess the danger to the vital records.
  - b. Make sure that records are removed if in danger.
  - c. Evaluate any damage to the records.
  - d. Write report.
4. For a major emergency, the Coordinator or an Assistant Coordinator should:
  - a. Notify the other Vital Records Disaster Management Team members.
  - b. Select the location of the Recovery Command Center from the list below and meet the disaster team members there.

**Available Locations for Recovery Command Center:**

Location	Room #	Phone #
1. <u>[Specify Location]</u>		
2. <u>[Specify Location]</u>		
3. <u>[Specify Location]</u>		
4. <u>[Specify Location]</u>		

For a major emergency, the appropriate team members should:

- a. Determine extent of damage to the institution's vital records.
- b. Prepare recommendations for disaster and recovery response based on extent of damage, type of media affected, location of records, availability of security copies, and recovery technologies available.
- c. Assist in the organisation and supervision of recovery efforts relating to vital records. Locate and secure any available backup copies of vital records .
- d. Write report.

## Appendix A

### VITAL RECORDS INVENTORY FORMS

See sample on following page

#### VITAL RECORDS INVENTORY FORM

Agency: \_\_\_\_\_ Authorising Signature: \_\_\_\_\_

Division: \_\_\_\_\_ Date of Signature: \_\_\_\_\_

Sub-Division: \_\_\_\_\_

Records Title	Location--Building, Floor, Room	Retention	Container	Format	Security Copy	Location--Building, Floor, Room	Format



## Appendix B

### SURVEY INFORMATION WORKSHEET

Surveys Conducted, Potential Hazards

Date

1. \_\_\_\_\_

Decision \_\_\_\_\_

2. \_\_\_\_\_

Decision \_\_\_\_\_

3. \_\_\_\_\_

Decision \_\_\_\_\_

4. \_\_\_\_\_

Decision \_\_\_\_\_

5. \_\_\_\_\_

Decision \_\_\_\_\_

Team Member Conducting Survey \_\_\_\_\_



## 7. REQUIREMENTS FOR SETTING UP REGISTRY/ RECORDS MANAGEMENT FACILITIES

### 7.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- Does your municipality have a registry system?
- Does the registry performs all functions as stipulated in the Registry Procedure Manual?
- Does your municipality make use of private off-site records storage service provider?
- Does the Service Provider's facilities meet the National Archives Minimum Requirements for Off-site Records Storage Facilities?



### 7.2 WHAT IS A REGISTRY?

A registry is a physical place or office where records are managed within a municipality. This is a facility where paper records are filed and accessed. In addition to managing records, a registry serves a distribution point for all sorts of items (mainly documents) across the municipality. As a result, a registry also renders mail management functions for the municipality. A Registry is therefore an office established for the purpose of controlling the formal channels of communication and enables a municipality to perform its functions. It is often referred to as “the heartbeat” of an organisation in the sense that almost all documented information flows through it. According to the National Archives, “a registry is the link between the organisation it serves, the various sections/components of the organisation and the outside world”<sup>12</sup>.

### 7.3 WHY SET-UP A REGISTRY?

A registry that is well organised ensures that records are correctly classified, filed, stored and disposed of when no longer needed. A municipality's registry should be centrally situated in order to facilitate and expedite the distribution and flow of files. It should occupy an area that is initially too large with the view to avoid it becoming too cramped later. The registry lay-out should be closely associated with the idea of assuring the most effective workflow.

The National Archives' publication *Directive G5: Prototype Registry Procedure Manual* contains detailed information regarding the functions of a registry. In a summarised format, the registry is responsible for the following tasks:

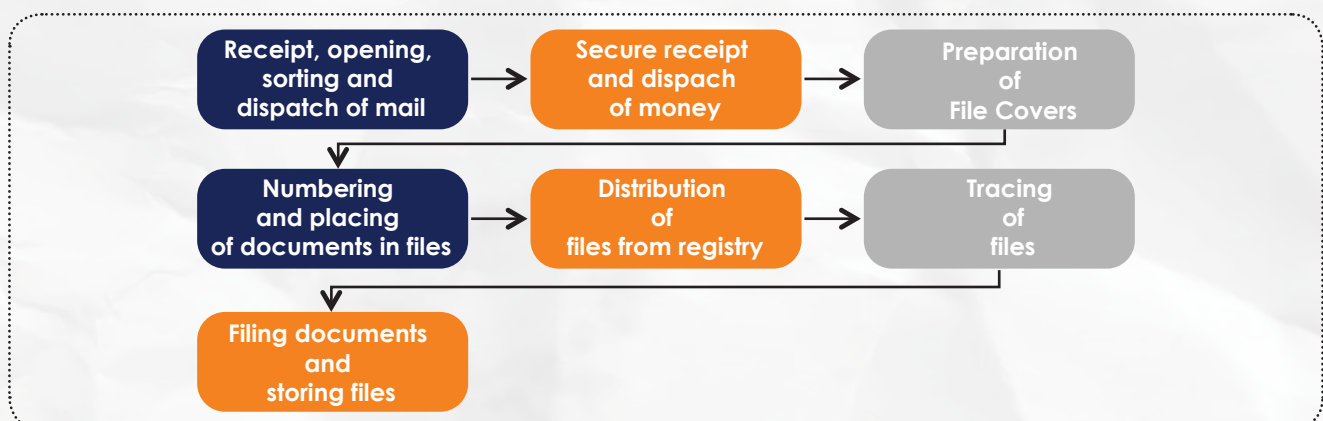


Figure 14: Main Functions of a Registry



- **Receipt, opening, sorting and dispatch of mail:** The mailbag should be collected on a daily basis and a person who has been authorised in writing to do so should open the mail at least once a day. The registry should preferably be closed when the mail is sorted to allow for the task to be done as speedily and as accurately as possible.
- **Secure receipt and dispatch of money and other face value items:** Money and other face value items received through the mail should be managed according to the prescriptions contained in the Treasury Regulations.
- **Preparation of file covers:** A neatly prepared file cover is eye-catching and provides an incentive to the users to keep it in good condition. The file number and length of inscriptions should be borne in mind when planning the front cover of the file. The area for inscriptions may be blocked off ensuring a neat appearance that is legible. Meanwhile, the space for the file number should be ascertained by considering how the file will be placed in the cabinet. The wear and tear to which the files are subjected should be considered when determining the quality of the file covers. Inscriptions and numbers on file covers should be neat and legible. Fine line pens or stencils may be used. Descriptions and numbers can also be typed on the cover by means of a word processor with a good font. Alternatively, the inscriptions may be embossed on plastic strips that are then pasted to the covers. Black Indian ink is very effective as it is lasting and does not smudge when water is spilt on it. The subject description should be short and concise. It should correspond with the description in the filing system. Each component of the file number should be indicated by the corresponding description in the file plan.
- **Numbering and placing of documents in files:** The numbering of items and submissions on a file has the advantage that one can refer to a specific page. Since each item is regarded as an entity, each item rather than each page should be numbered. Likewise, it is unnecessary to arrange documents in reverse order on the file. Returnable documents i.e. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned inside the file cover.
- **Distribution of files from registry:** Files are brought to a specific place in registry. They are distributed to the various officials and sections once they have been sorted into clearly marked pigeonholes. From here the messengers remove them. Sorting is carried out regularly by the registry personnel who note the files' conditions. They should arrange for the immediate opening of further volumes should existing files become too thick.
- **Tracing Files:** If a file is unavailable after the first search, or after a reasonable period of time, the document should be sent to the appropriate section for noting and instructions. If the matter cannot be attended to without the file, registry should be requested to continue looking for it. After repeated unsuccessful attempts to locate the file, the registry head should open a duplicate file and, in pencil, note this fact in the register of files opened. Only in exceptional cases should registry staff be instructed to search urgently for a file. Only in extreme circumstances should it be necessary to conduct special searches for files. Offices are systematically searched and the correspondence is placed on those files found with notes made on the control sheet. It should be mentioned to the official concerned, that new correspondence has been placed on the relevant files. If he/she is absent the files can be placed in the "IN" pigeonhole or tray on his desk. Files should be removed from an official's desk without his/her knowledge. If the official is absent, a note can be left indicating that the file was taken.
- **Filing documents and storing files:** Before a file is replaced, the registry staff should make sure that all correspondence has received attention and for the instructions to "file" or "pend". Files should always be neat and care should be taken to ensure that their covers are intact. Correspondence should be arranged neatly in the cover, the filing spike is undamaged, and all pins and paper clips should be removed. Repairs to files should be done before they are stored or sent to an official. When a file becomes 3 cm thick, it should be closed and a new volume opened. Incoming post is dealt with in registry. However, to assist the registry staff, the correspondence clerks should themselves place their submissions and copies of outgoing letters on the relevant files. However, smaller offices prefer the filing of all documentation to be done by the registry staff. Documents should be attached to spikes placed inside the back of the file cover. To keep the filing material firmly in place, a cardboard washer is placed over the spike on top of the last



item of correspondence. This washer is removed to place more items on the file and immediately replaced. Documents are filed chronologically according to date of receipt in registry, and the item with the latest date appears on the top. An Annexure, regardless of its date, forms part of the document with which it was sent. Generally, the date of receipt of incoming correspondence, and not the date of dispatch determines the order in which documents are filed. Only one copy of the outgoing correspondence should be placed on a file.

## 7.4 ACCOMMODATION AND LAYOUT OF A REGISTRY

The National Archives recommends that “a single spacious office area, centrally located, should be used to accommodate a registry”<sup>13</sup>. The National Archives further provide the following guidelines regarding the location of a registry:

“The office’s centrality should make the distribution and flow of records easier. As offices differ in size and complexity, it is impossible to suggest the ideal size for a registry office. Nevertheless, the office allocated should be able to accommodate the growth in documentation. A registry’s layout should be closely designed to ensure an efficient workflow. The registry work area should be separated from the entrance by a counter. The purpose of this is to prevent the entry of persons not working in registry and to protect the records. It also, particularly in staff registries, prevents officers from other divisions and sections having easy access to personal files. Only the registry staff should retrieve files for the correspondence clerks rather than the latter doing it themselves”<sup>14</sup>.

## 7.5 REGISTRY RESOURCES AND EQUIPMENT

It is recommended that the registry should have the following equipment<sup>15</sup>:

- (a) Supervisor’s table
- (b) Ample chairs
- (c) Tables to open post with movable wooden or wire pigeonholes for sorting.
- (d) Postal dispatch table(s)
- (e) Tables for attaching post and file sorting
- (f) File distribution rack with pigeonholes
- (g) Trolleys for carrying files
- (h) Steel cabinet, with doors, to hold limited supplies of stationery and file covers.
- (i) Cabinet with drawers for pending cards (only if necessary)
- (j) One or two file cabinets or shelves. File cabinets are preferable to open shelving because of the added protection they give the records against dust and fire. Furthermore, shelves or filing cabinets should enable files to be easily stored and retrieved when needed; provide sufficient physical protection; and take up minimal space<sup>51</sup>.
- (k) Cardboard containers are the most suitable method of storing files. These containers provided good protection against dust prevents files from becoming untidy and damaged and facilitates easy handling.
- (l) Post-dispatch cabinet
- (m) Handbag cabinet
- (n) File covers and other components of a file

13 NARS’ Records Management Policy Manual (2007) p204

14 Ibid, p204

15 NARS’ Records Management Policy Manual (2007) p204

## 7.6 MINIMUM REQUIREMENTS FOR A REGISTRY

A registry, like any other records storage facility, should meet the following minimum requirements:

ITEM NO	MINIMUM REQUIREMENT
	The records storage facility should be purpose-built for recordkeeping
	There should be no chemical/water/fire/pollution danger to the records nearby.
	Shelves/cabinets in use should be suitable for recordkeeping
	Shelves/cabinets should be lifted above the floor to minimise chances of water damage in case of flood.
	Air conditioning system in use should be climatically controlled.
	There should be no water pipes or basins in the records storage area.
	Fire extinguishers should be installed and be regularly tested.
	Fire extinguishers in use should be suitable for use on records (e.g. CO <sub>2</sub> ).
	The facility should be fumigated regularly.
	Records should not be exposed to too much direct sunlight or electrical lights.
	There should not be any loose unprotected cables in the records storage area.
	Shelves/cabinets should be constructed of non-flammable material.
	Walls should be constructed of non-flammable material.
	The records storage area should be equipped with sufficient burglar proofing system.
	The records storage area should be designed in such a way that it is protected against unauthorised entry (e.g. with a counter or glass window).
	There should be no signs of water leakages on the records storage's roof.
	Records should not be exposed to dust.
	No eating or smoking should take place in the records area.
	The aisles between the cabinets should allow easy access.
	The records storage area should not be used as an office space as well.
	The facility's storage space should be sufficient for the records group involved.
	The records storage area should be allocated a designated filing area for sensitive records (e.g. a safe or strong room).

Table 18: Minimum requirements for registries

## 7.7 A REGISTRY: TO CENTRALISE OR NOT TO CENTRALISE?

There are several decisions that need to be made when setting up a records management program. One of the hardest decisions, and sometimes the most controversial, is whether or not records should be "centralised" or "decentralised." In a centralised filing system records are placed in one main location in the municipality. Within this context, records are managed by a team of dedicated records management personnel on behalf of the various business units within the municipality. On the other hand, a decentralised filing system is one in which the files are located throughout the municipality, generally at individual work stations; and, usually controlled by the person who creates and/or receives them. Thus, each business unit has its own records close at hand. Registries are usually established on a centralised basis, but sometimes it is necessary to establish decentralised registries. Decentralised registries are usually established if it would cause unnecessary delays in accessing files if they are not kept near the individuals working with them, or if the access requirements of the files prevent them from being kept in a general registry e.g. human resources files.



There are several issues to consider when making a decision on the viable model for a municipality. This will depend on the type of a municipality, geographical and regulatory implications, resources available, and many other factors specific to any municipality. The bottom line is, it is important to understand the recordkeeping needs of an office and choose the system which best fits those needs. However, one of the best ways to approach this matter is to review the advantages and disadvantages of each system and choose the one, or combination, that has the most advantages for a municipality. The advantages and disadvantages of each model can be summed up as follows:

Centralised filing system	Decentralised filing system
<b>Advantages</b>	
There is uniformity in the classification, description and arrangement of files	Records located near staff creating and using them.
Records are managed by trained records personnel	Does not require "extra" space needed for centralised files.
	Does not require full-time staffing.
	Staff feels more comfortable knowing they are in control of their own filing and retrieving
<b>Disadvantages</b>	
Records are located away from the users which may delay operations	There is always confusion as to where information can be found, especially if staff member is absent.
There is a need for more space	Can result in "fragmented" documentation - information related to the same topic or subject filed in multiple places.
There is a need for more human resources to maintain the filing system	Individual staff members may not know how to properly maintain their files.
Users do not always have confidence in the registry system	Lack of uniformity or consistency

Table 19: Advantages and disadvantages of centralised and decentralised registries

A general observation has shown that a centralised approach to filing is suitable for small municipalities which do not generate high volumes of records. **For example, it would be appropriate to have one official in the municipality receiving and managing invoices.** The approach was popular during the period before the 1980s simply because organisations then were relatively small in terms of their operations and did not generate as much records. But since the 1990s, the period that is commonly known for information explosion, organisations (including municipalities) have become big and more complex in their operations and as such started generating high volumes of records.

In terms of this model, it is recommended that there should be centralised control of records management functions through a "records management unit" or "records manager" who is the centralised point of contact for records management in the office and who has responsibility for maintaining the office file plan and ensuring established procedures are followed. In other words, there should be a leader responsible for the municipal-wide records management program, policies, and resource allocation. In terms of physical management of records, there are infrastructure, operational, and practical cost considerations when deciding what route to take.

On the other hand, a decentralised approach to filing is suitable for big municipalities which generate high volumes of records. **For example, each business unit allocate one official to receive and manage invoices.** These records best serve their purpose when they are managed close to the business unit for easy retrieval and use. It is however, recommended that the Records Management Unit should influence the manner in which these records are managed. Such an influence should include but not limited to aspects such as arrangement, description, classification, storage, and disposal. **For example, the scanned or physical invoices must always be linked to the payment number generated in the**



**municipality's financial or accounting system. This can be done by combining the file plan reference number on the physical file cover or electronic folder together with the electronically generated payment number. In the absence of a file plan, all physical and scanned invoices or supporting documentation must be referenced using the payment number generated in the municipality's financial or accounting system. This will enable easy retrieval during auditing process.** After all, records management functions are the responsibility of records management practitioners.

A filing system should be developed by the registry to manage all general administrative records. Clear procedures should be outlined to explain the movement of these records from business units to the registry. Terminated records in this category should be transferred from business units into the custody of the main registry. On implementing the new File Plan, the Records Management Unit should develop procedures to facilitate the management of these records in the main registry. Officials should be encouraged to allocate file reference numbers to correspondence records and deposit same with the registry.

However, even within a decentralised model, the following requirements should be met:

- The file plan and records management practices should remain uniform;
- The receipt and opening and dispatch of mail remain the function of the main registry, which will ensure that the correct file reference numbers are allocated to all mail before they leave the registry;
- Staff should be trained in the main registry to enable them to gain the necessary skills to manage records properly and to facilitate the interchange of staff when necessary.

## **7.8 USING THE SERVICES OF AN OFF-SITE RECORDS STORAGE COMPANY**

Sometimes a municipality may take a decision to engage the services of an off-site records storage company to keep their records. This may be due to lack of records storage space or just the desire to outsource the records storage function to an expert service provider. The National Archives has designed a comprehensive checklist against which the services and facilities of commercial off-site records storage facilities should be measured (see Section 2.5.9 below).

## 7.9 TEMPLATES/PROTOTYPES APPLICABLE TO THIS MODULE

### (A) CHECK-LIST FOR OFF-SITE STORAGE FACILITIES

Note: For the intended purpose of this toolkit, the content of this National Archives checklist has been customised for municipalities.

NAME OF PRIVATE STORAGE FACILITY: \_\_\_\_\_

DATE VISITED: \_\_\_\_\_

1. COMPANY PROFILE		
1.1 What is the company's mission?		
1.2 How does that mission compare with the goals and needs of your body?		
1.3 How long has the company been in the business of information management?		
1.4 Will the company provide references?	Yes	No
1.4.1 Will the company provide contact particulars of other municipalities that use the services of the company?		
1.4.2 Who are the other major clients? Provide contact particulars.		
1.5 Is the company an active member of PRISM International?	Yes	No
2. GENERAL SECURITY		
2.1 Does the company have 24-hour monitored security?	Yes	No
2.2 Does the company have authorised access to the facility?	Yes	No
2.3 Does the company have in-house security training and procedures?	Yes	No
2.4 Does the company have monitored vault entry?	Yes	No
2.5 Does the company have a secure loading and unloading area?	Yes	No
2.6 Does the company have authorisation procedures that meet the municipality's requirements?	Yes	No
2.7 Is the company using outsourced security service providers?	Yes	No
2.7.1 Will the company provide the name of the security service provider?	Yes	No
2.7.2 Is the security services provider registered with the Private Security Industry Regulatory Authority?	Yes	No
2.7.2.1 Can the company provide a registration certificate for the security company?	Yes	No
2.8 How frequently are the security rounds done?		
2.9 Does the company itself conduct a daily security check?	Yes	No
2.10 Are security systems inspected and tested regularly?	Yes	No
2.11 Are the facilities situated in high crime areas?	Yes	No
2.11.1 What additional security arrangements were made for these?	Yes	No
3. DISASTER PREVENTION/PLANNING		
3.1 Does the facility have adequate fire detection systems?	Yes	No
3.1.1 Are all parts of the building connected to the fire detection system?	Yes	No
3.1.2 Is the fire detection system connected to a central monitoring panel? And does the system-	Yes	No
3.1.2.1 Issue a local warning at the control panel, indicating where the fire has been detected?	Yes	No
3.1.2.2 operate a plant shut down sequence to ensure that electrical, gas, heating and air conditioning systems does not contribute to the spreading of the fire?	Yes	No
3.1.2.3 Automatically transmit a warning to the local fire brigade?	Yes	No

3.1.2.4 Transmit a general fire alarm throughout the entire building?	Yes	No
3.1.3 Is the building equipped with manual fire alarm points?	Yes	No
3.2 Does the facility have adequate automatic fire suppression systems?	Yes	No
3.2.1 Describe systems used		
3.2.2 Is the system regularly inspected and maintained?	Yes	No
3.2.3 Does the facility have portable fire extinguishers?	Yes	No
3.2.3.1 Are the portable fire extinguishers strategically placed?	Yes	No
3.2.3.2 Are the staff trained in the use of the portable fire extinguishers?	Yes	No
3.2.3.3 Are these portable fire extinguishers inspected and tested regularly?	Yes	No
3.4 Does the facility have a no-smoking policy?	Yes	No
3.5 Does the facility have a compliance certificate issued by the local Fire Brigade?	Yes	No
3.5.1 Can the company provide a copy of the certificate?	Yes	No
3.6 Is the alarm system activated by line tampering or disruption?	Yes	No
3.7 Does the facility have a regularly maintained and tested internal disaster plan?	Yes	No
<b>4. FACILITY</b>		
4.1 Is the facility in a desirable location?	Yes	No
4.1.1 Is the facility located in a non-flood prone area?	Yes	No
4.1.2 Is the facility at risk from earthquakes, tidal waves or landslides?	Yes	No
4.1.3 Is the facility at risk from fire or explosions in adjacent sites?	Yes	No
4.1.4 Is the facility near a place or a building that attracts rodents, insects and other pests?	Yes	No
4.1.5 Is the facility near a plant or installation that emits harmful gases, smoke, dust, etc.?	Yes	No
4.1.6 Is the facility in a polluted area?	Yes	No
4.1.7 Is the facility near a strategic installation which could be a target in an armed conflict?	Yes	No
4.2 Is the facility built according specific construction standards to ensure that it would be able to carry the weight of the paper?	Yes	No
4.3 What is the condition of the roof?	Good	Average
4.3.1 Does the warehouse have a ceiling against the roof?	Yes	No
4.4 Is there evidence of water leaks in the roof?	Yes	No
4.5 Does the facility have windows in the walls or the roof?	Yes	No
4.5.1 Are the windows blacked out? Or	Yes	No
4.5.2 Are the windows covered with UV filtering?	Yes	No
4.6 Is illumination controlled to minimize damage to records?	Yes	No
4.7 Is the building ventilated in such a way that free air flow prevents	Yes	No
4.7.1 Is the shelves lifted at least 150mm from the floor and the ceiling to ensure a free flow of air?	Yes	No
4.7.2 Is the air quality inside the building monitored for air pollution a oxidizing gasses and dust?	Yes	No
4.8 Is the facility climatically controlled?	Yes	No
4.8.1 Is the interior of the building insulated against external climatic changes?	Yes	No
4.8.1.1 Describe how it is insulated.		
4.9 Is the inside of the facility constructed of materials that are non-combustible and that does not attract, emit or retain dust?	Yes	No
4.9 Where are the following situated in relation to the storage facility?	Yes	No



4.9.1 electricity supply systems		
4.9.2 gas supply systems		
4.9.3 water supply systems		
4.9.4 temperature/humidity control systems		
4.9.5 air filtration plant		
4.9.6 ventilation plant		
4.10 Does the facility have back-up power systems?	Yes	No
4.11 Does the facility have proper insurance coverage in the event of a disaster?	Yes	No
4.12 Is the facility in a stand-alone building? Or	Yes	No
4.12.1 Is the facility located in a multi-tenant building?	Yes	No
4.12.2 Who are the other tenants and what are their businesses?	Yes	No
4.13 Are there other businesses near this facility that could be potentially hazardous?	Yes	No
4.14 Does the company engage in any other business at its facilities (moving and storage, public warehousing, etc.)?	Yes	No
4.15 Are there water pipes inside the building to evaluate if there is a danger that records could be flooded?	Yes	No
4.15.1 How regularly are they checked for leaks?	Yes	No
<b>5. COURIER VEHICLES</b>	Yes	No
5.1 Are the vehicles designed for safe records transport?	Yes	No
5.2 Are the vehicles climatically controlled?	Yes	No
5.3 Do the vehicles have appropriate security?	Yes	No
5.3.1 Describe the security.		
5.4 Are the vehicles secured while at a delivery/pick-up site?	Yes	No
5.5 Do the vehicles undergo preventative maintenance?	Yes	No
5.5.1 How regularly?		
5.6 Are the vehicles equipped with appropriate two-way communications (cellular phones, pagers, etc.)?	Yes	No
5.7 Are vehicles equipped with a global positioning system?	Yes	No
5.8 Are vehicles equipped with a fire extinguisher?	Yes	No
<b>6. POLICIES &amp; PROCEDURES</b>		
6.1 Does the company have a clear and acceptable business contract?	Yes	No
6.2 Are shipping and receiving lists signed and maintained for future reference?	Yes	No
6.3 Does the company have a comprehensive employee screening process?	Yes	No
6.4 Does the company have a substance abuse policy (initial and ongoing)?	Yes	No
6.5 Are the employees/drivers provided with uniforms and identification cards?	Yes	No
6.6 Are employees required to sign a confidentiality agreement?	Yes	No
6.7 Is there ongoing employee education regarding the protection of the records in the care of the company?	Yes	No
6.8 Are after-hours personnel trained to handle client emergencies/requests?	Yes	No
<b>7. STORAGE CAPABILITIES</b>		
7.1 Is the company equipped to store:		
7.1.1 Audio and video tapes?	Yes	No
7.1.2 Computer media?	Yes	No
7.2.3 Hardcopy records?	Yes	No
7.1.4 Micrographics?	Yes	No
7.1.5 X-Rays?	Yes	No
7.1.6 Maps?	Yes	No
7.1.6.1 How are maps stored?	Yes	No

7.1.7 List other formats stored	Yes	No
7.2 Does the facility have adequate space to meet current needs?	Yes	No
7.3 Does the facility have adequate space to meet future needs?	Yes	No
7.4 Does the facility have temperature and humidity controlled environment for:	Yes	No
7.4.1 Hardcopy records?	Yes	No
7.4.2 Electronic records	Yes	No
7.4.2.1 Is the vault constructed according to SA national standards?	Yes	No
7.4.2.2 Does the media vault have an auxiliary power backup?	Yes	No
7.4.3 Is the racking and shelving specifically designed for information management?	Yes	No
7.4.3.1 Are the shelves lifted above the floor?	Yes	No
7.5 What is the general condition of the boxes?	Yes	No
7.6 What type of containers/boxes do they use?	Yes	No
7.7 How are the files kept inside the containers?	Yes	No
7.8 Is the company aware that archival paper records should be stored in acid free containers?	Yes	No

## 8. PHYSICAL CARE

8.1 Are the facilities dust free?	Yes	No
8.1.1 How often are the buildings cleaned?	Yes	No
8.2 Is humidity a problem?	Yes	No
8.3 Are insects a problem?	Yes	No
8.3.1 How often do they fumigate the building?	Yes	No
8.3.2 Are they using an outside service provider to fumigate?	Yes	No
8.3.3 Are they supervising the service provider?	Yes	No
8.3.4 Will they provide the name of the company?	Yes	No
8.4 Are rodents a problem?	Yes	No
8.4.1 Are they taking preventative actions?	Yes	No
8.4.1.1 Describe what actions are taken.	Yes	No
8.5 Is too much sunlight/electric lighting a danger to the records?	Yes	No
8.5.1 Are they taking preventative actions?	Yes	No
8.5.1.1 Describe actions taken.	Yes	No

## 9. CUSTOMER SERVICES

9.1 Do they have 24-hour customer access?	Yes	No
9.2 Do they use barcode tracking?	Yes	No
9.3 Do they provide client procedures and/or training?	Yes	No
9.4 Do they provide client review rooms?	Yes	No
9.5 Are computer reports available?	Yes	No
9.6 Do they provide confidential destruction services for:	Yes	No
9.6.1 Hard copy?	Yes	No
9.6.2 Media?	Yes	No
9.7 Do they assist with:	Yes	No
9.7.1 Contingency planning?	Yes	No
9.7.2 Disaster recovery services?	Yes	No
9.8 Do they have a courier service that is:	Yes	No

9.8.1 Company staffed?	Yes	No
9.8.2 Outside vendor?	Yes	No
9.8.3 Emergency service only?	Yes	No
9.9 Do they handle Departmental billing?	Yes	No
9.10 Do they provide e-mail transmission of records?	Yes	No
9.11 Do they provide fax transmission of records?	Yes	No
9.12 Do they provide emergency pick-up and delivery services?	Yes	No
9.13 Do they provide facility management/ outsourcing services?	Yes	No
9.13.1 Describe what services are provided.	Yes	No
9.14 Do they provide index and inventory services?	Yes	No
9.15 Do they provide information management consulting?	Yes	No
9.15.1 Describe what services are provided.	Yes	No
9.16 Do they provide microfilming/ imaging services?	Yes	No
9.17 Do they provide a phone reference service?	Yes	No
9.18 Do they provide remote (online) access?	Yes	No
9.19 Do they provide retention schedule monitoring?	Yes	No
9.20 Are they aware of the National Archives and Records Service's requirement that public records destruction must be authorised with a written disposal authority?	Yes	No
9.21 Do they provide retrieval and refile services?	Yes	No
9.21.1 How efficient is the retrieval system of the records?	Yes	No
9.21.1.1 Are they willing to demonstrate their retrieval system?	Yes	No
9.21.1.2 Describe the retrieval system.	Yes	No
9.22 Are storage containers readily available?	Yes	No
9.23 Are computer media transfer cases available?	Yes	No
9.23.1 Are there different levels of security for these cases?	Yes	No
9.24 Is a statement of service and prices available?	Yes	No
9.25 Is client records/information management software available?	Yes	No





## 8. DEVELOPING AND CONDUCTING STAFF RECORDS MANAGEMENT TRAINING

### 8.1 QUESTIONS TO REFLECT ON:

The following questions should be reflected on before tackling this section of the toolkit:

- Does the municipality offer regular training/awareness on records management?
- Is this training/awareness extended to non-records personnel?
- Is this training/awareness extended to senior and top management?
- Does the municipality consider records management as a collective responsibility?
- Is records management identified as one of the key result areas in employees' job descriptions?



### 8.2 WHY CONDUCT TRAINING?

Systems, including the record keeping system, cannot run on their own without human intervention. The human element is pivotal in the implementation of a recordkeeping system. There are many instances where good records management strategies have failed because municipalities have failed to recognise and invest in this human element in the form of training. There are also instances where poor records management strategies succeed because the human element was emphasised as a success factor during the implementation phase. It is therefore advisable for municipalities to invest in training initiatives to ensure that officials are capacitated to implement and support the implementation of records management initiatives.

Such training sessions should be designed to assist all officials in the use and application of all records management tools (file plan, records management policy, records management/registry procedures etc.). Training sessions can also serve as a way of introducing the records management projects to all officials within the municipality. The objective of the sessions will be to sensitise officials about the importance of records management and their role therein.

### 8.3 WHOM SHOULD BE TRAINED?

Records management is a collective responsibility. According to the National Archives, "records management is a shared responsibility between users, records managers and managers"<sup>16</sup>. Therefore, it is important that "all creators of records should be equipped with the necessary skills to capture and manage reliable and authentic records"<sup>17</sup>. Contrary to training approaches that targets only records personnel, effective programmes for training should encompass all members of management, records and registry staff as well as all users creating and using records while performing their functions.

Municipalities should ensure that an ongoing programme of records management training is established. The training programme should ensure that the benefits of managing records are widely understood in the municipality.

16 NARS' Records Management Policy Manual (2007) p45

17 Ibid, p45

## 8.4 SPECIFIC RESPONSIBILITIES OF A RECORDS MANAGER REGARDING TRAINING

The National Archives places a records manager at the centre of records management training in any governmental body including municipalities. The records manager is responsible to implement and manage a suitable training programme for managers, employees, contractors and records management staff. Other responsibilities of the records manager regarding training are outlined as follows<sup>18</sup>:

- He/she should supervise the training of staff regarding records management matters and regularly evaluate the success of the training programme against the effectiveness of the records management programme.
- The records manager should ensure that records management consultants and suppliers of electronic records management and related products employed by the municipality, are familiar with the requirements of the National/Provincial Archives Acts.
- Every registry in a municipality should have a registry procedure manual to facilitate the training of registry staff. The National Archives and Records Service has compiled a prototype registry procedure manual that is available on the National Archives and Records Service's website <http://www.national.archives.gov.za>.
- The records manager is responsible for ensuring that the registry head is trained and has attended the National Archives and Records Service's Records Management Course.
- He/she should also ensure that the registry head and registry staff are aware of and adhere to the standards, procedures and methods of records management promulgated in the National Archives and Records Service of South Africa Act.
- The records manager is responsible to ensure that all staff members are made aware of their joint responsibility in maintaining sound records management practices. He/she should conduct awareness campaigns in this regard.
- The records manager should arrange with the Provincial Archives and Records Service's Records Management Division to conduct implementation workshops whenever new file plans are implemented to ensure that all members of staff know how to read and use the file plan.

## 8.5 TYPES OF TRAINING INTERVENTIONS RECOMMENDED

It is true that recordkeeping principles are the same universally, and that records management is a collective responsibility across all officials. However, it is also true that officials at different post levels within a municipality do not interact with records in the same manner. Some of officials create records, others approve them, others are responsible for distributing them, and others are responsible for day-to-day management of these records. With this understanding in mind, an approach in deploying awareness sessions should not be a "one-size-fits-all" approach. Training sessions should be customised to fit the different groups within the municipality. The following sessions are recommended:

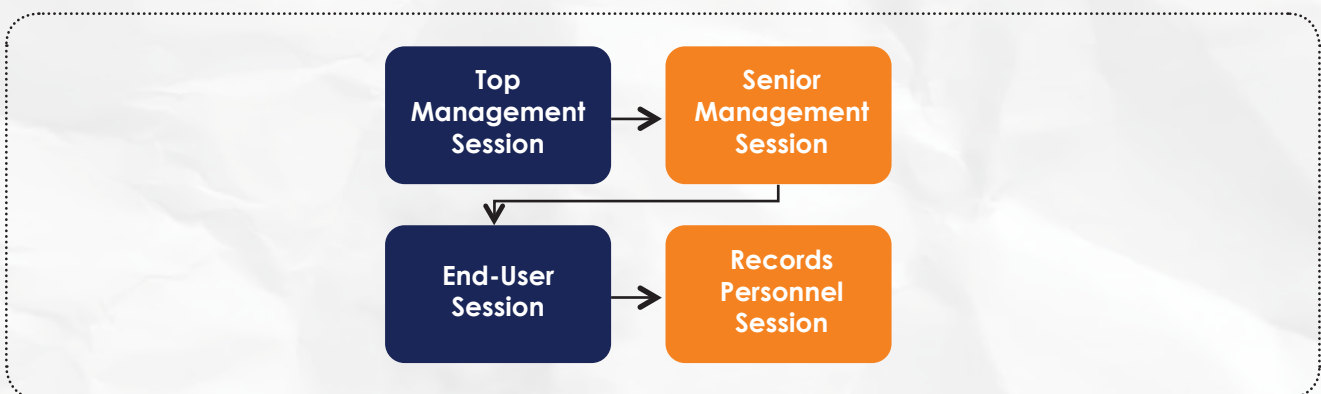


Figure 15: Types of records management training sessions



- **Top Management Session:** Top-level session aimed at ensuring that top managers within the municipality understand their statutory requirements with regard to records management. This session will also make them aware of the value of sound records management to realising strategic objectives. The session will emphasise the need for top management support records management initiatives in general within the municipality.
- **Senior management session:** The session for senior managers is also built along the same pillars as the top management intervention. But in addition it is aimed at ensuring that senior managers enforce compliance within their directorates. The session will therefore add an element of practice to empower managers in enforcing systems, policies, and procedures they understand.
- **End-user session:** Most records in municipalities are generated at the level of middle management and below (by administrators and middle managers). These officials should therefore be able to utilise the file plan in the classification, description, and arrangement of files. In addition to them being involved in the day-to-day operations of the organisation, they are also responsible for recordkeeping in most cases. This session is aimed at capacitating them to properly manage records. As a result, there is a practical focus to records management.
- **Records personnel session:** Records personnel are system owners. They are in the coal-face of records management. It is therefore important for them to understand both the theory and practice of records management. The registry procedure manual is an important to facilitate the training of registry staff in the municipality.

## 8.6 TRAINING FOR RECORDS MANAGERS AND HEADS OF REGISTRY

The National Archives recommends that “both the Records Manager and the Chief Registry Official must attend the Records Management Course presented by the National Archives to receive the correct training for their various tasks”<sup>19</sup>.

The other registry personnel should, however, be trained by the Chief Registry Official. In-service training under the Chief Registry Official occurs during the normal execution of duties and is conducted along the lines of the Registry Manual.





## REFERENCES

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3. <https://www.phmc.pa.gov/Archives/Records-management/Pages/Disaster-Planning-Essential-Records.aspx> accessed on the 10th August 2019
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