



## HARRY GWALA DEVELOPMENT AGENCY (PTY) LTD

[REG. No: 2011/001221/07]

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### POLICY: RECORDS MANAGEMENT POLICY

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<b>Administrative Responsibility:</b>	Chief Executive Officer
<b>Implementing Department / Departmental Unit</b>	Corporate Services Department

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## RECORDS MANAGEMENT POLICY

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### POLICY DOCUMENT CONTROL

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APPROVED BY	
EFFECTIVE DATE	
REVISION DATE	
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	HGDM Council Not Applicable

### Summary of Amendments:

Version	Author	Date	Revised Date
V1	Corporate Services Manager	02 February 2024	11 April 2024



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## **PREAMBLE**

The Sound records management is fundamental to good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Records management also provides a basis for accountability and protecting the rights of individuals.

To support continuing service delivery and provide the necessary accountability, government bodies should create and maintain authentic, reliable and usable records. Government bodies should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations.

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. Sound records management implies that records are managed in terms of an organizational records management program governed by an organizational records management policy.

As a public institution, HGDA is required to manage its information resource in terms of the broad policy guidelines contained in the national Archive and Records Services of South Africa Act (No. 43 of 1996) and its regulations.

## **1. PURPOSE**

- 1.1. To ensure HGDA continues to create and maintain authentic, reliable and usable records.
- 1.2. To ensure that the integrity of the records is protected for as long as they are. required as evidence of organizational operations.
- 1.3. To regulate the management of paper-based and electronic records in integrated manner.

## **2. LEGAL FRAMEWORK**

The policy was developed and guided by the following:

- 2.1. The 1996 Constitution.
- 2.2. National Archives and Records Service of South Africa Act (Act No. 43 of 1996 as amended).
- 2.3. National Archives and Records Service of South Africa Regulations
- 2.4. Public Finance Management Act (Act No 1 of 1999).
- 2.5. Promotion of Access to information Act (Act No. 2 of 2000).
- 2.6. Promotion of Administrative Justice Act (Act No. 3 of 2000).
- 2.7. Electronic Communications and Transactions Act (Act no 25 of 2002).



### 3. INTEPRETATION OF THE POLICY

- 3.1. Except to the extent to which the context may otherwise require, this Policy shall be construed in accordance with the following provisions of this sub-paragraph:
- 3.1.1. Any word or expression importing any gender shall include the other gender.
- 3.1.2. Words importing the singular also include the plural, and *vice versa*, where the context requires.
- 3.1.3. The following words shall have the meanings hereby assigned to them –
- 3.2. For the purposes of this policy, a representative shall mean:
- 3.2.1. Non-Executive Board of Directors
- 3.2.2. Chief Executive Officer
- 3.2.3. Chief Financial Officer
- 3.2.4. All incumbents of the Agency irrespective of position, title, or grade
- 3.2.5. Officials seconded to Harry Gwala Development Agency (Pty) Ltd by way of Memorandum of Agreement concluded with the Harry Gwala District Municipality (HGDM).
- 3.3. Any dispute on interpretation of this policy shall be declared in writing by any party concerned to the CEO.
- 3.4. The Chief Executive Officer shall give a final interpretation of this policy in the case of a written dispute.
- 3.5. If the party concerned is not satisfied with the interpretation, a dispute may be pursued with the South African Local Government Bargaining Council.

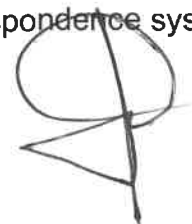
**“Accounting Officer”** The person appointed as Chief Executive Officer in terms of section 82 of the Municipal Structures Act, 1998 (Act 117 of 1998) and as defined in the Municipal Finance Management Act, 2003 (Act 56 of 2003), including any person acting in that position or to whom authority is delegated.

**“Archival value”** means those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records

**“Custody”** means the control of records based upon their physical possession.

**“Disposal”** means the action of either destroying or deleting a record or transferring it into archival custody.

**“Electronic records”** means information that is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record system other than the correspondence system.



“**File**” shall mean an organized arrangement of records on the same subject, accumulated in chronological order within the same cover/folder/container; the physical action of allocating file reference number to records and placing them side the cover/folder/container.

“**Filing system**” means the collective noun for a stage systems) in which records are stored in a systemic manner according to a file plan.

“**Governmental body**” means any Legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government and, until provincial archival legislation take effect, also all provincial administrations and local authorities.

“**Non –archival record**” shall mean record with a short-lived interesting or usefulness.

“**Policy**” shall mean this Records Management Policy.

“**Public record**” means record created or received by a government body in pursuance of its activities, regardless of form or medium.

“**Record**” means recorded information regardless of form or medium; evidence of a transaction, preserved for the evidential information it contains.

“**Retention period**” means the Length of time records should be retained in offices before they are either transferred into archival custody or disposed of; 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.

#### **4. ROLES AND RESPONSIBILITIES**

4.1. Section 13(5) of the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) requires the CEO of a Municipal Entity to designate a staff member to be the HR Administrator/Records Management of the body. In terms of the National Archives and Records Services of South Africa Regulations.


(1458, 2002-11-20) (12),

4.2. the official designated as the HR Administrator shall:

4.2.1. Be in possession of a diploma and or appropriate higher education qualification, and / or have appropriate professional experience.

4.2.2. Possess a thorough knowledge of the body’s organizational structure, functions and records system.

4.3. The Chief Executive Officer of HGDA shall designate an official in accordance with the specified criteria to be the HR Administrator.

A handwritten signature or set of initials, possibly 'R' or 'D', written in black ink.

- 4.4. The HR Administrator shall be responsible for promoting the effective, efficient and accountable management of HGDA's records and ensuring its compliance with the provisions of the Act and all other relevant legislation. In order to fulfill the above function, the HR Administrator must, among other duties, execute the following specific duties:
- 4.4.1. Ensure that HGDA has a Records Management Policy, Records Management Guideline and records management systems that have been approved by HGDA and the National Archives and Records Services.
  - 4.4.2. Liaise with the National Archives and Records Services of South Africa on behalf of HGDA.
  - 4.4.3. Work in conjunction with the (ICT Administrator) to ensure that electronic records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.
  - 4.4.4. Ensure that all staff members are made aware of their joint responsibility to maintain sound records management practices.
- 4.5. The Managers have ultimate responsibility for ensuring that all records in their control are properly managed and used to support HGDA operations, as well as fulfilling legal and other obligations.

## 5. MANAGEMENT OF RECORDS

### Identification

- 5.1.1. All records created or received during the execution of HGDA functions (including electronic records, e.g. e-mail) are public records and must therefore be managed in accordance with this policy as well as with the electronic communications policy, the electronic document management policy and the information security policy.
- 5.1.2. HGDA records shall be classified and stored in way that ensures easy retrieval, thereby facilitating transparency and accountability.

### Record classification system

- 5.1.3. Only a classification system that has been approved by the National Archivist shall be used for paper-based records. The classification system is outlined in the *Guideline for Records Management*. No revision and additions shall be made to the classification system without the Records Management Committee's approval. The HR Administrator must be contacted when difficulties are experienced with the allocation of reference numbers.



## Disposal of records


- 5.1.4. HGDA has a disposal programme which enables it to dispose of its records regularly, either by transferring records of archival value to an archives repository or by disposing of non-archival records when they are no longer required for administrative, legal or functional purposes.
- 5.1.5. No public records may be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist, to be obtained by the HR Administrator. All paper-based records of archival value must be kept for a period of five (5) years before they are transferred to an archive repository, unless agreement on a shorter retention period is reached with the National Archivist. Retention periods for non-archival records shall be determined by the Records Management Committee and shall be in the *Guidelines for Records Management*. Decisions on exceptional cases not covered in the Guidelines shall be made by the Committee. Due consideration shall be given to transparency, accountability, the requirements of democracy, any other legal obligations and the departments/organization's functional needs when determining the retention periods.

## Custody and Security

- 5.1.6. The Corporate Services Manager shall be responsible for the storage, physical care and safety of the records of their departments in accordance with the Guidelines. They shall ensure that records are stored in neat and properly organized storerooms and that access to these is controlled. Extra precautionary measures should be taken to secure private, confidential and vital records, the loss of which would render the organization partially or totally unable to carry out its normal functions.
- 5.1.7. The HR Administrator shall keep a list of names of the Records Management Committee members. The Managers shall inform the HR Administrator timeously should there be changes to their representation in this committee. Only the Managers can make decisions to send records of their departments to an off-site storage location. This storage location must be approved by HGDA.

## Version Control

- 5.1.8. All HGDA officials/delegates shall ensure version control of documents. This shall be achieved by clearly indicating version numbers on document and by ensuring that the latest version of a document is in use. In respect of correspondence and reports, Managers or their delegates shall be responsible to ensure that copies of the approved and signed version are archived, both in hardcopy (paper-based) and electronically (scanned). Managers or their delegates shall also ensure that documentation towards validating performance information against the target contained in the Annual Performance Plan is archived and readily accessible for





both internal and external audit purposes. In order to monitor compliance with this clause, the Secretariat will shall conduct periodic audits.

### **Inspection by the National Archive and Record Service**

5.1.9. The National Archives and Records Service, subject to the exemption provision contained in section 13(2) of the National Archives and Records Service Act of 1996 as amended, is entitled to full and free access, at all times, to all public records in HGDA's custody.

5.1.10. This Policy must be read in conjunction with any of the entity's approved related policies, practices and standard operating procedures addressing specific issues essential for a full understanding of this Policy and which are not dealt with adequately herein.

## **6. RELATIONSHIP TO OTHER POLICIES AND DOCUMENTS**

6.1. Other policies that are closely related to the Records Management Policy are:

- 6.1.1. The electronic communications policy
- 6.1.2. The electronic document management policy
- 6.1.3. The information security policy

## **7. MONITORING AND REVIEW**

7.1. The Corporate Services Manager shall monitor the implementation of this policy and recommends any necessary amendments to the Management. This policy shall be reviewed at least every three years, and adapted appropriately to ensure that it continues to meet the business and service delivery requirements of HGDA. The Human Resource Management is the custodian of this policy.

## **8. COMMENCEMENT**

8.1. This Policy will come into effect on the date of adoption by the Board of Directors of the Harry Gwala Development Agency (Pty) Ltd.

**APPROVED BY:**

<b>NAME</b>	<b>SIGNATURE</b>	<b>DESIGNATION</b>	<b>DATE</b>
MS ACR Whyte		Chief Executive Officer	25 April 2024