



# BREEDE VALLEY

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## RECORDS MANAGEMENT POLICY FOR BREEDE VALLEY MUNICIPALITY

Version 2 of February 2019

## **FOREWORD BY THE MUNICIPAL MANAGER**

Sound records management is fundamental for 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.

*With acknowledgement to:*

National Archives and Records Service of  
South Africa October 2007  
Records Management Policy  
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Records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. The Municipality's role in terms of the Provincial Archives and Records Service of the Western Cape of South Africa Act 2005 (Act No. 3 of 2005), is to promote efficient administration by means of sound records management.

Provided a well-structured file plan is maintained and the records are physically protected, the evidence paper-based contain remains accessible and readable over time. The increasing use of electronic systems by municipalities to conduct their business has significantly changed the way that records are created and kept. Electronic recordkeeping poses particular challenges to municipalities which need to ensure that reliable records are maintained over time as evidence of official business for the purposes of accountability, operational continuity, disaster recovery and institutional and social memory

In the lead-up to the formulation of this policy document, recommendations from the working group were submitted to Council in the form of the following Executive Summary which was supported and accepted:

## **THE EXECUTIVE SUMMARY**

1. All records must be stored in the Record Management System.
  - 1.1 Any new form / type of record is to be referred to Registry Office prior to being implemented.
2. All record storage space (electronic, manual and physical) is part of the Record Management System.
3. All outgoing records, where authority has not been delegated, must be approved, endorsed / signed by the relevant authorised official.
  - 3.1 All outgoing records must contain the indemnity clause.
4. All records, received and produced, are to be captured.
5. All records are to be processed by the Registry Office.
  - 5.1 The Billing system, CAD and related systems, or, any other specialised systems, are special cases in the Record Management system. The records of these systems are stored by the relative Directorate / Department that owns the data.
6. No private: -  
printing, photo-copying, scanning; incoming or outgoing e-mail, ordinary mail or faxes; digital photos, videos / DVDs, any form of sound files; documents, spread-sheets, databases; or new record form / type referred to in 1.1 above; are allowed.
7. All Office Bearers/ Staff, Councillors and Staff-members must sign an agreement that all records (printing, photo-copying, scanning, email, faxes, etc.), workstations / laptops / servers may be read / accessed by authorised Staff as delegated by the Municipal Manager.
8. Contravention of this policy may result in disciplinary action being taken in terms of the Municipal Systems Act 32 of 2000.
9. Data per Directorate must be accumulated so that reports in respect of the usage of printers, photo-copiers, scanners, e-mail, faxes, ordinary mail, telephones and any new form or type of record may be generated by the Records Management System.

## **THE BENEFITS**

- Accurate information will be available as all records relating to any subject will be captured.
- Service delivery will be improved at all levels.

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## 1. PURPOSE

Western Cape Archives and Records Service requires Breede Valley 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 Provincial Archives and Records Service of the Western Cape Act 2005 (Act No. 3 of 2005).

Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of Breede Valley Municipality must therefore be managed as an asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. Breede Valley Municipality considers its records to be an asset to:

- enable Breede Valley Municipality to find the right information easily and comprehensively;
- enable Breede Valley Municipality to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of Breede Valley 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 Breede Valley Municipality and the rights of employees, clients and present and future stakeholders;
- support and document the Breede Valley 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.

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. GUIDING MODEL

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

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

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

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

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

### **3. POLICY STATEMENT**

All records created and received by Breede Valley Municipality shall be managed in accordance with the records management principles of Western Cape Archives and Records Service.

The following broad principles apply to the record keeping and records management practices of Breede Valley Municipality:

- The Breede Valley Municipality follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
- The records management procedures of Breede Valley Municipality comply with legal requirements, including those for the provision of evidence.
- The Breede Valley Municipality follows sound procedures for the security, privacy and confidentiality of its records.
- Electronic records in the Breede Valley Municipality are managed according to the principles promoted by Western Cape Archives and Records Service.
- The Breede Valley Municipality must implement performance measures for all records management functions so that compliance with these measures can be reviewed.

### **4. RELATIONSHIP WITH OTHER POLICIES**

The Breede Valley Municipality's Records Management Policy is supported by and supports other policies (e.g. ICT Policy, Supply Chain Policy) that cover the unique nature of the broad spectrum of records generated by Breede Valley Municipality. The policy will be managed by the Records Manager in consultation with other role-players (e.g. the Manager: ICT; the Manager: Supply Chain Unit).

Where policies which relate / may relate to Records Management do not exist, they should be formulated, approved and implemented.

### **5. SCOPE AND INTENDED AUDIENCE**

This policy impacts upon Breede Valley 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.

The policy therefore applies to all Office-bearers / Staff, Councillors, Staff- members of the Breede Valley Municipality and covers all records regardless of format, medium or age.

## 6. REGULATORY FRAMEWORK

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

- Electronic Communications and Transactions Act, 2002 (Act No 25 of 2002)
- National Archives and Records Service of South Africa Act, 1996 (Act No 43 of 1996 as amended)
- Public Finance Management Act, 1999 (Act No 1 of 1999)
- Promotion of Access to Information Act, 2000 (Act No 2 of 2000)
- Promotion of Administrative Justice Act, 2000 (Act No 3 of 2000)
- Protection of Personal Information Act, 2013 (Act No 4 of 2013)
- Provincial Archives and Records Service of the Western Cape Act (Act No 3 of 2005)
- South African Constitution, 1996 (Act No 108 of 1996)

## 7. ROLES AND RESPONSIBILITIES

### 7.1 Head of Breede Valley Municipality

The Municipal Manager is ultimately accountable for the record keeping and records management practices of Breede Valley Municipality.

The Municipal Manager is committed to enhancing accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.

The Municipal Manager supports the implementation of this policy and requires each Office-bearer / Staff, Councillor, Staff-member to support the values underlying in this policy.

The Municipal Manager shall designate an employee within the Records and Archives Section to be the Records Manager of the Breede Valley Municipality and shall mandate the Records Manager to perform such duties as are necessary to enhance the record keeping and records management practices of Breede Valley Municipality to enable compliance with legislative and regulatory requirements.

### 7.2 Section 56 Managers (Directors) and Senior Managers

Directors and Senior Managers are responsible for the implementation of this policy in their respective Directorates / Departments.

Directors and Senior Managers shall lead by example and shall themselves maintain good record keeping and records management practices.

Directors and Senior Managers shall ensure that all staff is made aware of their record keeping and records management responsibilities and obligations.

Directors and Senior Managers shall ensure that the management of all records is a key responsibility in the performance agreements of all the staff in their units.

### 7.3 Records Manager

The Records Manager is responsible for:

- the implementation of this policy;
- staff awareness regarding this policy;



- the management of all records according to the records management principles of Western Cape Archives and Records Service.
- 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

The specific duties of the Records Manager are contained in the Records Manager's job description.

The Records Manager is mandated to make such training and other interventions as are necessary available to ensure that the Breede Valley Municipality's record keeping and records management practices comply with the records management principles of Western Cape Archives and Records Service.

The Records Manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of Breede Valley Municipality.

The Records Manager shall ensure that all records created and received by Breede Valley Municipality are classified according to the approved file plan and that a written disposal authority is obtained for them from the Western Cape Archives and Records Service.

The Chief: Records and Archives is the designated Records Manager for the whole Breede Valley Municipality.

Records Manager shall conduct regular records inspections in their respective governmental bodies to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.

WCARS shall conduct periodic records management audits in governmental bodies to monitor compliance to the Act and this policy.

#### **7.4 Chief Information Officer**

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

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.

#### **7.5 Manager: ICT**

The Manager: ICT is responsible for the day-to-day maintenance of electronic systems that stores records.

The Manager: ICT 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.

The Manager: ICT shall ensure that appropriate *systems procedures manuals* are designed for each electronic system that manages and stores records.

The Manager: ICT 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.

The Manager: ICT shall ensure that electronic records in all electronic systems remain accessible by migrating them to new hardware and software platforms when there is a danger of technology obsolescence including media and format obsolescence.

The Manager: ICT 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.

The Manager: ICT shall ensure that back-ups are stored in a secure off-site environment.

The Manager: ICT shall ensure that systems that manage and store records are virus free.

Comprehensive details regarding specific responsibilities of the Manager: ICT are contained in this policy and the ICT Policy.

## **7.6 Security Manager**

The Security Manager is responsible for the physical security of all records.

Details regarding the specific responsibilities of the Security Manager are contained in the information security policy.

## **7.7 Manager: Legal Services**

The Manager: Legal Services 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 Breede Valley Municipality.

## **7.8 Registry Staff**

The Registry Staff are responsible for the physical management of the records in their care.

## **7.9 Office-bearers / Staff, Councillors, Staff-members**

Every Office-bearer / Staff, Councillor, Staff-member, shall create records of transactions while conducting official business.

Every Office-bearer / Staff, Councillor, 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.

Records management responsibilities shall be written into the performance agreements of all Councillors, Office-bearers / Staff, Staff-members, to ensure that Office-bearers / Staff, Councillors, Staff-members are evaluated on their records management responsibilities.

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

The Breede Valley Municipality has the following systems that organise and store records:

### **8.1 Correspondence systems**

#### **8.1.1 File plan**

The Records Management System for Breede Valley Municipality (Reference X10/3/4/2/14B of 2000-11-23) approved and implemented by the National Archivist on 5 December 2000 shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.

Each Office-bearer / Staff, Councillor, Staff-member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.

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 system are contained in the Records Management Schedule A of the approved File Plan (X10/3/4/2/14B of 2000-11-23).

#### **8.1.2 Storage areas**

##### **8.1.2.1 Paper-based correspondence files kept in the custody of The Central Registry**

All paper-based correspondence system records and all Human Resources related records are housed in the Central Registry. Breede Valley Municipality maintains a set of paper-based case files for each staff-member. These files are confidential in nature and are housed in a secure storage area in the Central Registry.

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

The Central Registry is a secure storage area and only Registry Staff are allowed in the records storage area.

Office-bearers/ Staff, Councillors and Staff-members that need access to files in the Central Registry shall place a request for the files at the counter or telephonically to the Records Manager/ Registry Staff.

The Registry shall be locked when Registry is not in operation.

##### **8.1.2.2 Electronic correspondence records stored in an electronic repository that is maintained by the ICT Department.**

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

## **8.2 Records other than correspondence systems**

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

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.

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.

### **8.2.2 Storage areas**

#### **8.2.2.1 Paper-based**

The Breede Valley 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:

- Encroachment Agreements
- Lease Agreements
- Miscellaneous Agreements
- Title Deeds
- Council Minutes
- Old Tender documents

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

#### **8.2.2.2 Micrographic records**

The Breede Valley Municipality does not have micrographic records.

#### **8.2.2.3 Audio records**

The Breede Valley Municipality has the following audio records that are stored in the network file server:

- Sound files of Committees of Council
- Mayoral Committee
- Council meetings

These records are under the control of the Municipal Manager, the Directors and authorised Senior Managers / Administrative officials.

#### **8.2.2.4 Electronic systems other than the correspondence systems**

Breede Valley Municipality has a number of electronic records systems in operation which are not part of the correspondence system and that generate and store public records:

- SAMRAS
- On Key
- CapMan
- Ignite4U
- Lexis Nexis
- WinDeed
- any other future electronic record systems that may be introduced.

The Manager: ICT is responsible for the day-to-day maintenance of these systems.

The records maintained in these systems are managed by the Manager: ICT as authorised by the Municipal Manager and Directors who are mandated to ensure that they are managed properly.

Additional guidance regarding the management of these systems is contained in the ICT Policy.

## **9. DISPOSAL OF RECORDS**

No public records (including electronic records) shall be destroyed, erased or otherwise disposed of without prior written authorisation of Western Cape Archives and Records Service.

The Western Cape Archives and Records Service issues Standing Disposal Authorities for the disposal of records classified against the file plan. The Records Manager manages the disposal schedule.

The Western Cape Archives and Records Service issues Standing Disposal Authorities on the schedule of records other than correspondence systems. The Records Manager manages the disposal schedule.

Retention periods indicated on the file plan and schedule were determined by taking Breede Valley Municipality's legal obligations and functional needs into account. Should an Office-bearer / Staff, Councillor, Staff-member disagree with the allocated retention periods, the Records Manager should be contacted to discuss a more appropriate retention period.

Disposal in terms of these disposal authorities will be executed at least annually.

All disposal actions should be authorised by the Records Manager prior to their execution to ensure that archival records are not destroyed inadvertently.

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.

Paper-based archival records shall be safely kept in the archiving rooms in the basement until they are due for transfer to the Western Cape Archives and Records Service. Transfer procedures shall be as prescribed by Western Cape Archives and Records Service.

## **10. STORAGE AND CUSTODY**

All records shall be kept in storage areas that are appropriate for the type of medium. The Western Cape Archives and Records Services' guidelines shall be applied.

## **11. ACCESS AND SECURITY**

Records shall at all times be protected against unauthorised access and tampering to protect their authenticity and reliability as evidence of the business of Breede Valley Municipality.

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

No Office-bearer / Staff, Councillor, Staff-member shall remove records that are not available in the public domain from the premises of Breede Valley Municipality without the explicit permission of the Records Manager in consultation with the Security Manager.

No Office-bearer / Staff, Councillor, 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 will be contained in the Promotion of Access to Information Manual which is to be maintained by the Chief Information Officer.

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

No Office-bearer / Staff, Councillor, Staff-member shall disclose personal information of any Office-bearer / Staff, Councillor, Staff-member or client of Breede Valley Municipality to any member of the public without consulting the Chief Information Officer first.

An audit trail shall be logged of all alterations to/ editing of electronic records and their metadata.

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

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

Access to server rooms and storage areas for electronic records media shall be managed by ICT Staff in terms of the ICT Policy.

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

The records of Breede Valley Municipality shall at all times contain reliable evidence of business operations. The following shall apply:

### **12.1 Paper-based records**

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

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

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

Staff, Councillor, Staff-member involved shall be subject to disciplinary action.

### **12.2 Electronic records**

The Breede Valley Municipality shall use systems which ensure that its electronic records are:

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

The Records Management Policy contains information regarding the metadata and audit trail information that should be captured to ensure that records are authentic.

## **13. TRAINING**

All records management staff, including Records Managers, registry heads, work study officials, trainers and registry staff must attend the Western Cape Archives and Records Service's records Management Course and Registry Clerks Course as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act. Records

management staff shall in turn train other officials within governmental bodies.

The Records Manager shall ensure that all Office-bearers I Staff, Councillors and Staff-members are aware of the records management policy and shall conduct or arrange such training as is necessary for Office-bearers I Staff, Councillors and Staff-members to equip them for their records management duties.

Records Management is a shared responsibility between users, Records Managers and managers. All creators of records should be equipped with the necessary skills to capture and manage reliable and authentic records. 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. The Municipal Manager 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 organization. Records Managers, trainers, work study officials and Registry heads should attend the Western Cape Archives and Records Service Records Management Course as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act.

The Records Manager is responsible to implement and manage a suitable training programme for managers, employees, contractors and records management staff. 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 of the records management programme.

The Records Manager is responsible for ensuring that the Registry Head is trained and has attended the Western Cape and Records Service 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 Provincial Archives and Records Service of the Western Cape Act, 2005. The Records Manager is responsible to ensure that all staff members are made aware of their joint responsibility in maintain sound records management practices. He/she should conduct awareness campaigns in this regard.

#### **14. INSPECTIONS**

Routines should be established for regular quality checks on the record- keeping system. These should cover maintenance of the quality of both existing and newly captured records and the efficiency of the current records management process.

The Records Manager should carry out audits on the records management system as a whole of the Breede Valley Municipality record-keeping. practices shall be evaluated and tested annually by means of a Records Audit.

The Records Manager should inspect satellite offices through regular visits by attending to registry tasks.

#### **15. MONITOR AND REVIEW**

The Records Manager shall review the record keeping and records management practices of Breede Valley Municipality on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of Breede Valley Municipality.

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 Breede Valley Municipality.

The Records Management Programme should be regularly monitored to ensure that it is effective and that it meets the requirements of the Provincial Archives and Records Service of the Western Cape Act, 2005.

The Municipal Manager should ensure that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented.

## 16. AUTHORISATION

This policy was approved by:

Elaine Shirley Kariem  
Chief: Records and Archives

  
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Pieter Raymond Esau  
Director: Strategic Support Services

  
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David McThomas  
Municipal Manager

  
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