

**RECORDS MANAGEMENT POLICY**  
**2025 - 2026**



APPROVED BY:

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DATE: 19/06/25

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## 1. POLICY BACKGROUND

Records management is the process of managing records from creation to disposal thus leading to future retrieval. Archives are defined as those records of an organization that have long term value and are kept for permanent preservation. Archives management the process of maintenance, acquisition, care, arrangement, description, preservation as well as retrieval

## 2. POLICY PURPOSE

The purpose of this policy is to ensure proper management of municipal records which leads to business continuity as mandated by National Archives and Records Service of South Africa Act No.43 of 1996 (as amended).

A governmental body keeps records to support its operations, as well as to fulfil legal and other obligations. The policy should not only be in line with the Act, but should also link with the Municipality's overall mandate and mission objectives.

## 3. DEFINITIONS

**Registry** is one of the components of the general office services in the municipal office. The registry office is responsible for classification of records, receipt and flow of documentation and control, custody, care and disposal of records.

**Records management** is the process of ensuring the proper creation, receipt, maintenance, use and disposal of records to achieve efficient, transparent accountable governance.

**Appraisal** means the process of determining the value thus the final disposal of records and the decision regarding the preservation requirements of each record or series of records.

**Retention schedule** is to prompt disposal of records whose retention period has lapsed.

**Disposal** means that without prior written authorisation from the National Archivist or Provincial Archivist, no public records shall be destroyed or erased. The records manager manages the disposal schedule

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

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

**D5-** Destroy after five years

**D7-** Destroy 7 years after closure.

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

## 4. APPLICATION AND SCOPE

In order to meet records management objectives and user's needs, having regard to the availability of resources, a record audit needs to include the following:

- 4.1 A full understanding of the municipality, its activities, its mission, objectives, components and operations
- 4.2 Level of staff awareness of records management
- 4.3 What records are held and the activities to which they relate
- 4.4 An inventory of record containers ( cabinets, strong-rooms, shelves)
- 4.5 Records documentation (file lists, indexes, retention schedule)
- 4.6 Where copies of records exist
- 4.7 Date range of the records
- 4.8 Frequent access of records
- 4.9 Tracking system of the records
- 4.10 Current records management system and competence levels of records management staff
- 4.11 Record keeping costs
- 4.12 Identification of records of archival value

## **5. LEGISLATIVE FRAMEWORK**

The Constitution, of the Republic of 108 of 1996  
National Archives of South Africa Act 43 of 1996 (NARSA)  
Promotion of Access to Information Act 2 of 2000 (PAIA)  
Provincial Archives Act 7 of 2003  
Promotion of Administrative Justice 3 of 2000  
The Electronic Communication and Transactions Act No. 25 of 2002  
The Protection of Personal Information Act 4 of 2013

## **6. MAIN TOPICS WITH THEIR SUB-TOPICS (WHERE APPLICABLE)**

### **6.1 GENERAL POLICY PROVISIONS**

Municipal manager, all senior managers, councillors, municipal staff and external stakeholders.

#### **Promotion of access to information**

This is to enhance promotion of access to information, be it personal or institutional by both internal and external stakeholders:

- Develop two separate registers to access municipal information by internal and external stakeholders.
- Turnaround time to respond on requested access to information by internal and external stakeholders should be within 30 days.

- Payment of record copied for external stakeholders should be determined by municipal tariffs.

### **Protection of Personal Information**

- To strike balance between right to privacy and access to information
- It regulates how personal information is processed
- The applicant must be informed that his/her personal information is being collected
- The applicant must consent to the processing of his/her personal information
- The record of personal information may not be kept for longer than necessary

## **6.2 PROCEDURES FOR IMPLEMENTING POLICY**

### **6.2.1 ROLES AND RESPONSIBILITIES**

#### **Senior managers**

- Including the Accounting Officer, Senior Managers are responsible for the implementation of this policy in their respective departments
- They shall lead by example and shall themselves maintain good record keeping and records management practices
- Shall ensure that their staff are made aware of their record keeping and records management responsibilities and obligations
- Shall ensure that management of records including e-mail is a key responsibility in the performance agreements of all staff in their departments

#### **Records manager**

- To ensure that records management policy is in place (implemented and maintained)
- Staff awareness regarding the policy
- Users of information have a collective responsibility to sound records management and the full cooperation of users is necessary to file documents into the filing system and to protect records against loss and damage, without this there will be no records to manage
- The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the municipality to maintain records
- Training of staff to ensure that the municipality's record keeping and record management comply with the records management principles as stated in the National Archives and Records Service Act
- May issue circulars and instructions regarding the record keeping of the municipality

- Ensure that all correspondence received by the municipality are classified according to the approved file plan and that written disposal authority is obtained

#### **Information technology manager**

- Is responsible for the day to day maintenance of electronic systems that stores records
- 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
- Shall ensure that appropriate systems technical manuals and systems procedure manuals are designed for each electronic system that manages and stores records
- Shall ensure that all electronic systems capture appropriate data and audit- trail data for all electronic records to ensure that authentic and reliable records are created
- 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
- Shall ensure that audit trail data, all data, operating systems and application software are backed up on daily, weekly and monthly basis to enable the recovery of authentic, reliable accessible records should disaster occur
- Shall ensure that systems that manage and store records are virus free

#### **Records and information officer/chief information officer**

- Is responsible for approval of requests for information in terms of Promotion of Access to Information Act
- Shall inform Records Manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal
- Physical security of all records
- Keeping the Records Manager updated about legal and statutory environment that may have an impact on the record keeping

#### **Registry staff**

- Receive post, parcels and remittances/transferrable items
- Write the correct reference number on all incoming correspondence and other documents
- Filing

- Circulate and search for files
- Control outgoing post
- Control movement of files
- Control the closure and termination of files and records other than correspondence files
- Prepare and open file covers
- Check the use of daily files
- Keep important registers such as remittance and destruction registers
- The Registry staff is responsible for the physical management of the records in their care

### **Municipal staff**

Every staff member shall create records of transactions while conducting business. Every staff member shall manage records effectively and efficiently by:

- allocating correct reference numbers and subjects to paper-based and electronic records according to the file plan
- Sending paper-based records to the Registry for filing
- Ensures that every records created should be aligned to the municipality file plan
- Ensure that records are destroyed only in accordance with the written disposal authority issued by National Archives and or Provincial Archivist.

### **6.3 UNDERSTANDING THE RECORDS GENERATED BY THE MUNICIPALITY**

To meet records management objectives and user's needs, having regard to the availability of resources, a record audit needs to include the following:

- A full understanding of the municipality, 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, strong-rooms, shelves)
- Records documentation (file list, indexes)
- Where copies of records exist
- Date range of the records
- Frequent access of records
- Tracking system of the records
- Current records management system and competence levels of records management staff

- Record keeping costs
- Identification of records of archival value

#### **6.4 RECORD KEEPING CLASSIFICATION SYSTEM AND RELATED STORAGE AREAS**

- Filing system which is a plan by which documentation is arranged and stored to ensure efficient retrieval and disposal. The filing system is used for both paper-based (manual) and electronic correspondence systems and only the approved file plan shall be used for the classification of records and as for approved file plan for the municipality, records are classified numerically.
- Each staff member shall allocate file reference numbers to all correspondence according to the approved subjects in 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 file plan if they have not been approved by the records manager.

#### **6.5 RECORD CONTROL MECHANISM**

- Master copy of the file plan
- Register of files opened
- Application for employment register
- Register of disposal authorities, contains copies of all disposal authorities issued by National Archives
- Destruction register, which contains information of yearly disposal of ephemeral records
- A register to capture all correspondence received
- A register to capture all documents and correspondence received by registered and certified post
- Correspondence Collection Register
- A register to capture all correspondence dispatched by registered or certified mail
- Hand Delivery Register
- A register to record the use of stamps and franking machine
- Pending Cards
- A register to record the movement of files
- A destruction register
- Disposal authorities register
- Facsimile register

- Photocopy register
- Memorandum register

## 6.6 Electronic Document Management System

Electronic records system

This is the collective noun for all components of an electronic information system, namely: electronic media as well as all connected items such as source documents, output information, software applications, programmes and meta data (background and technical information in respect of the information stored electronically) and in hard copy. All these components are defined as records by the Act. They must therefore be dealt with in accordance with the Act's provisions.

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.

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.

A system that provides the ability to capture, describe and categorise, store and retrieve, share and reuse electronic documents regardless of specific format. Electronic records: Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than the correspondence system. Electronic Records Management System: A system that supports the medium to long term information needs of an office. It provides functionality over and above that of an electronic document management system to preserve the security, authenticity and integrity of records to enable the permanent preservation of records.

Its primary management functions are:

- to manage a corporate file plan according to which records are filed
- maintaining the relationships between records and files, and between file series and the file plan
- identifying records that are due for disposal and managing the disposal process
- associating the contextual and structural data within a document
- constructing and managing audit trails
- managing record version control
- managing the integrity and reliability of records once they have been declared as such

- managing records in all formats in an integrated manner.

## **7. STORAGE AREAS**

### **7.1 The central registry**

- This is where all paper-based correspondence system records that are not HR related are housed
- All the records are under management of the records manager who is mandated to ensure that they are managed properly
- The registry is a secure storage area and only registry staff are allowed in the records storage area
- Staff members that need access to files in the registry shall place request for files at the counter
- The registry shall be locked at all times when it is not in operation

### **7.2 The human resources registry**

- All human resources related records are housed in the HR registry
- All general HR subject files as well as HR personal files are under the management of records manager
- Paper based personal files for each staff member, and hence they are confidential in nature, they are housed in a secure storage area in HR
- The personal files are managed as part of the list of Series of Separate Personal files that is maintained and managed by records manager
- The files exist only in a paper-based format and the physical tracking of the case files are managed with the file tracking system
- Electronic correspondence records are stored in an electronic repository that is maintained by IT section

### **7.3 Municipal archives**

The term archives can refer to more than one thing:

- Firstly, it can be used to describe the actual materials or records of historical value or information value that are preserved for possible future use.
- Archives are records that were created or received by a person, family or organisation, public or private in conduct of their affairs and preserved because of their enduring value.
- Archives are records which are no-longer used for day to day administration which are preserved for reference and research use.

- Archives can also refer to the building in which records are stored and made available to users.
- Visual records like paper-based documents, books, maps, paintings, slides, microforms, auditory records like gramophone records, tapes, cassettes, CD'S, Electronic records such as electronic documents, email and excel spreadsheet are the examples of records that can be found in archives.

## **7.4 ARCHIVES VERSUS RECORDS MANAGEMENT**

- Both archives and records management are concerned with lifespan of records from creation, management and disposal
- Records management is concerned with the maintenance of current records of an organisation while archives are concerned with non-current records of an organisation preserved because of their enduring value.

### **7.4.1 What is involved in archives management?**

- Acquiring and receiving archives from municipal departments
- Arranging and describing archives
- Providing easy retrieval and access to archives
- Preserving archives

### **7.4.2 Procedure for receiving archives**

- All transfers of records to the archival department must be recorded. Receiving archives is called accessioning.
- Place the archives in a secure temporary storage area
- Check the records against the accompanying documentation to ensure that the paperwork really does refer to these materials and that all items have been included.
- There should be documentation giving sufficient information to identify the materials and obtain a signature form the representative of the body sending the materials.
- Check the archives for signs of insect infestation or mould to determine if they need treatment before they come into contact with other unaffected accessions.
- Make entry of the new accessions in the accessions register.
- Conduct preliminary listing of the archives to provide minimal control prior to arrangement and description
- Store the archives adequately

### **7.4.3 The following are the steps to be followed when transferring records to municipal archives:**

#### **Packing of files in archival boxes**

- Boxes which do not comply with these requirements will not be accepted by an archives repository and
- Unboxed files will not be accepted

#### **General**

- Files transferred to an archives repository/records centre are packed in archival boxes particulars of which are as follows:  
Size: 368 mm X 267 mm X 95 mm (outside measurements)

#### **Packing**

- The box is placed in front of the packer so that the lid opens to the right or removal of the top lid
- Files are packed in the box in numerical order from right to left e.g. - Left 1/4, 1/3, 1/2, 1/1 right

N.B. (i) Files must not be packed tightly.

(ii) After the files have been packed there should be play of about 1 cm the box.

(iii) If for some or other reason a file is kept back, space should be left for it.

#### **Inscriptions**

8 cm from the top: front file number and volume number (in pencil).

13 cm from the top: back file number and volume number (in pencil).

#### **Lateral method**

The box is placed on its side with the lid facing the packer and opening to the right.

**As above, except that the name of the governmental body appears 18 cm from the top.**

**The inscriptions must be neat, on the vertical or lateral side of the box and, except where indicated above, must be 2 cm high and in pencil.**

**Attached herein are the file plan, retention schedule and forms used to transfer and access records in municipal archives:**

**MBHASHE LOCAL MUNICIPALITY  
ARCHIVES ACCESSION FORM**



**ADMINISTRATIVE FORM**

Date of receipt (day/month/year): \_\_\_\_\_

Accession number/reference number: \_\_\_\_\_

Donor/Department: \_\_\_\_\_ Phone number: \_\_\_\_\_

Fax number: \_\_\_\_\_ Email address: \_\_\_\_\_

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

**DESCRIPTIVE INFORMATION**

Creator: \_\_\_\_\_ Inclusive date: \_\_\_\_\_

Form/Extent:

Textual: \_\_\_\_\_

Photographs: \_\_\_\_\_ images

Drawings/Prints: \_\_\_\_\_ items

Video Recordings/films: \_\_\_\_\_ items

Cartographic: \_\_\_\_\_ items

Electronic: \_\_\_\_\_ items

Other (describe): \_\_\_\_\_ items

Administrative history/biographical notes: \_\_\_\_\_

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Custodian  
history: \_\_\_\_\_

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

Physical condition/conversation notes:

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

Method of Acquisition (**circle one**):

Donation/gift

Transfer

Accepted for transfer by: \_\_\_\_\_

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

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

**MBHASHE LOCAL MUNICIPALITY**

**ARCHIVES ACCESS APPLICATION FORM**



Name of applicant: \_\_\_\_\_

Name of the department: \_\_\_\_\_

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

Nature of research:

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

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

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

***For office use only***

Recommendation or comments by the Records Manager (Officer):

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

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

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

Approved by: \_\_\_\_\_

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

## APPRAISAL, RETENTION AND DISPOSAL OF MUNICIPAL RECORDS

### 1. APPRAISAL

Appraisal means the process of determining the value of the records and thus determining the final disposal of records and the decision regarding the preservation requirements of each record or series of the records. Some records are more important than the others. Appraisal is the method used to determine what to keep and what to discard. According to national norms and standards, only 5% of records are deemed to have permanent value.

Appraisal is inextricably linked to retention of records. It can be done both, at creation or at the end of the active life of a record. Against this background, appraisal involves the process of evaluating business activities and determining how long records need to be kept to meet business needs, the requirements of organization accountability and community expectations.

The value of a record is categorized into two, namely, **primary value and secondary value**. All records have primary value, that is, it contains the information for which it was created. As a rule, the primary value of records ceases when the record moves from an active to a semi-active or inactive stage. Most records have one or more secondary values, that is, the potential uses of information for purposes other than the purpose for which the record was created. Records with secondary value provide information of importance to researchers, statisticians or historians and therefore have information value.

### 2. RETENTION

- a) For the purpose of the records management policy, retention refers to a process of deciding, which records to keep permanently and which records to be destroyed after they no longer serve a useful purpose.
- b) The power to decide on the retention period resides with the department or organization.
- c) The organization has to develop a records retention schedule and it should be approved by the Accounting Officer and it should also form part of records management policy.

### 3. RECORDS RETENTION SCHEDULE

The purpose of records retention schedule is to prompt disposal of records whose retention period lapsed. Storage of records which must be temporarily retained after they are no longer needed. Preservation of records with long-term archival value. The retention program is not only to identify records that should be kept permanently and to dispose but also to protect organization's vital records. The retention periods can also be written on the filing system (file plan) next to the subject they refer to.

#### 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 (body of origin itself determines retention period).

**D5-** Destroy after five years

**D7-** Destroy 7 years after closure.

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

**A. MISCELLANEOUS RECORDS**

Broad Record Type	Disposal Instruction	Description	Retention period	Empowering provisions
Miscellaneous Records	D	Records pertaining occupational injuries	15 years	Disposal Authority
	A20	Legal records and claims against the municipality	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	AP	Municipal policies	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Municipal Bylaws	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Transfer of powers and functions by: National Government to municipalities By Provincial Government to municipalities By District Municipalities to Local Municipalities	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	D	IDP	Dispose after 7 years	Political Office Bearers Terms of Office
	A20	Delegation of Authority by: Premier MEC Local Government Heads of Department Executive Mayor Municipal Council Municipal Manager Senior Managers/Directors	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	AP	Municipal File Plan	Permanent Preservation in the office of origin	National Archives and Records Services Directive

Broad Record Type	Disposal Instruction	Description	Retention period	Empowering provisions
	AP	Retention control schedule	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Procedures Manuals	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Council minutes	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	A20	Concurrence	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	D	Minutes of Management meetings	D1	Disposal Authority

## B. HUMAN RESOURCE MANAGEMENT RECORDS

Broad Record Type	Disposal Instruction	Description	Retention Period	Empowering Provisions
Human Resource Records	D1	Unsuccessful application forms	12 months after the post has been successfully filled	Disposal Authority
	A20	Personal files	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	D	Skills Audit Questionnaires	D5	Disposal authority
	D	Contracts of Internship	D3	Disposal authority
	D	Performance agreements	D6	Disposal authority
	AP	Collective Agreements	Permanent Preservation in the office of origin	National Archives and Records Services Directive

## C. FINANCE RECORDS

Broad Records Type	Disposal Instruction	Description	Retention Period	Empowering Provisions
	A20	Cash Receipt books	Transfer	
	D	Petty cash register	D6	Disposal Authority
	D	Payment vouchers	D7	Disposal Authority

	D	Remittance registers	D7	Disposal Authority
	D	Registered slip registers	D7	Disposal Authority
	D	Accounting records (Annual Financial Statements)	D10	Disposal Authority
	D	Journals	D10	Disposal Authority
	D	Official postage stamp registers	D5	Disposal Authority
	AP	Payroll files	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	D	Departmental transfers (Virements)	D6	Disposal Authority
	D	Trip authority	D2	Disposal Authority
	AP	Valuation rolls and Deeds	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Asset Register	Permanent Preservation in the office of origin	National Archives and Records Services Directive

#### D. SUPPLY CHAIN MANAGEMENT RECORDS

Broad Record Type	Disposal Symbol	Description	Retention Period	Empowering Provisions
SCM Records	D	Unsuccessful Tenders	D5	Disposal Authority
	D	Successful RFQS awarded	D7	Disposal Authority
	AP	Successful tenders (Contract/SLA)	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	D	Unsuccessful RFQS	D5	Disposal Authority

#### E. INFRASTRUCTURE RECORDS

Broad Record Type	Disposal Symbol	Description	Retention Period	Empowering Provisions
Infrastructure Records	AP	INEP Memorandum of Agreements	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	Maintenance Plans	Permanent Preservation in the office of origin	National Archives and Records Services Directive

	AP	MIG and Close-up Projects Report	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	AP	As build reports	Permanent Preservation in the office of origin	National Archives and Records Services Directive

## F. COMMUNITY SERVICES RECORDS

Broad Record Type	Disposal Symbol	Description	Retention Period	Empowering Provisions
EPWP	D	Annual EPWP employment contracts	D3	Disposal Authority
	D	EPWP Reports	D5	Disposal Authority
Free-Basic Services	D	Application forms for electricity	D5	Disposal Authority
	D	Verification forms, free-basic services	D5	Disposal Authority
	AP	Indigent registers	Permanent Preservation in the office of origin	Disposal Authority
Traffic Records		Driver's License Register	D7	Disposal Authority
		Roadworthy Certificate	D7	Disposal Authority
		Motor Vehicle Clearance Voucher Receipt Book	D7	Disposal Authority
		Motor Vehicle Registration Register	D7	Disposal Authority
		Certificate of Fitness Register	D7	Disposal Authority
		Motor Dealer Returns	D7	Disposal Authority
		Registration Certificates	D7	Disposal Authority
		Duplicate Registration Certificate	D7	Disposal Authority
		Motor Vehicle Licenses	D7	Disposal Authority
		Duplicate Motor Vehicle Licenses	D7	Disposal Authority
		Motor Dealer License Register	D7	Disposal Authority
		Additional Motor Dealer License Register	D7	Disposal Authority
		Taxi Licenses	D2	Disposal Authority
		Application And Notice In Respect Of	D2	Disposal Authority

	Registration As Authorized Officer		
	Application And Notice In Respect Of Registration Of Driver's License Testing Centre	D2	Disposal Authority
	Certificate Of Registration	D5	Disposal Authority
	Application For Learner's License	D2	Disposal Authority
	Learner's License	D2	Disposal Authority
	Medical Certificate	D2	Disposal Authority
	Application For Driver's License	D5	Disposal Authority
	Authorisation To Issue Driver's License	Permanent Preservation in the office of origin	Disposal Authority
	Receipt In Respect Of Identity Document	D3	Disposal Authority
	Declaration In Respect Of Lost Documents	D2	Disposal Authority
	Driver's License Not Incorporated In Identity Document	Permanent Preservation in the office of origin	Disposal Authority
	Application For An Instructor's Certificate	D2	Disposal Authority
	Medical Certificate For An Instructor	D2	Disposal Authority
	Instructors Certificate	D7	Disposal Authority
	Application For Roadworthy Certificate	D2	Disposal Authority
	Application For Certificate Of Fitness	D2	Disposal Authority
	Certificate Of Fitness And Certificate Of Fitness Disk	D2	Disposal Authority
	Application For Public Driving Permit	D2	Disposal Authority
	Medical Certificate W.R.T. Public Driving Permit	D2	Disposal Authority
	Public Driving Permit	D2	Disposal Authority
	Notice To Discontinue Use Of Vehicle	D2	Disposal Authority
	Notice In Respect Of Operator Identification	D2	Disposal Authority

	Temporary Operator Card	D2	Disposal Authority
	Operator Card	D2	Disposal Authority
	Notice To Collect Operator Card	D2	Disposal Authority
	Notice In Respect Of Registration Of Operator	D2	Disposal Authority
	Notice/ Receipt In Respect Document	D2	Disposal Authority
	Application And Notice In Respect Of Traffic Register Number	D2	Disposal Authority
	Traffic Register Number Certificate	D5	Disposal Authority
	Section 341 Of The Criminal Procedure Act (No. 51 Of 1977), Notice <b>(Handwritten)</b>	D2	Disposal Authority
	Section 341 Of The Criminal Procedure Act (No. 51 Of 1977), Notice <b>(computerized)</b>	D2	Disposal Authority
	Section 54 Of The Criminal Procedure Act (No. 51 Of 1977), Summons <b>(computerized, one count)</b>	D2	Disposal Authority
	Section 54 Of The Criminal Procedure Act (No. 51 Of 1977), Summons <b>(Computerized, More Than One Count, Accused Appears For A Legal Person)</b>	D2	Disposal Authority
	Charge Sheet <b>(Handwritten Where None Of The Other Forms Are Used)</b>	D2	Disposal Authority
	Application And Notice In Respect Of Registration And Licensing Of A Motor Vehicle	D5	Disposal Authority
	General Certificate In Respect Of Registration And Licensing Of A Motor Vehicle	D5	Disposal Authority

	Clearance Certificate For Motor Vehicle	D	Disposal Authority
	Application For Refund Of License Fees In Respect Of Motor Vehicle Stolen Or Permanently Unfit for Use As A Motor Vehicle	D5	Disposal Authority
	Temporary/Special Permit To Use Motor Vehicle	D3	Disposal Authority
	Application For Registration of Motor Vehicle	D5	Disposal Authority
	Registration Certificate And Renewal Of Motor Vehicle License	D5	Disposal Authority
	Application For Motor Vehicle License And Clearance Certificates	D4	Disposal Authority
	Application For Motor Transport License And Clearance Certificates	D4	Disposal Authority
	Motor Dealer's License And Clearance Certificates Issued	D4	Disposal Authority
	Motor Transport License And Clearance Certificates Issued	D4	Disposal Authority
	Free Registration Certificate	D4	Disposal Authority
	Clearance Certificate For Motor Vehicle, Motorcycle, Motor Quadricycle	DAU	Disposal Authority
	Notice Of Transfer Of Ownership	D5	Disposal Authority
	Advice Of Change Of Address	D1	Disposal Authority
	Advice Of Change Of Particulars Of Motor Vehicle	D5	Disposal Authority
	Registration And Return Of Motor Vehicles Acquired And Disposed Of	D3	Disposal Authority
D	Payment Requisition Book	D10	Disposal Authority

	D	Rehabilitation Plans	D2	Disposal Authority
	D	Climate Change Strategy	D2	Disposal Authority
Environmental records	D	Rehabilitation Plans	D2	Disposal Authority
	D	Climate Change Strategy	D2	Disposal Authority

#### G. DEVELOPMENTAL PLANNING RECORDS

Broad Record Type	Disposal Symbol	Description	Retention Period	Empowering Provisions
Housing Subsidy forms and Ownership forms	D	Application forms	D10	Disposal Authority
	AP	Title deeds	Permanent Preservation in the office of origin	National Archives and Records Services Directive
Town Planning Records	A20	Transfers of ownership	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	A20	Rezoning	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	A20	Deeds of sales	20 years and be transferred to the archives repository	National Archives and Records Services Directive
	AP	Lease agreements	Permanent Preservation in the office of origin	National Archives and Records Services Directive
	A20	Building plans	20 years and be transferred to the archives repository	National Archives and Records Services Directive
Local Economic Development records	AP	Business plans	Permanent Preservation in the office of origin	National Archives and Records Services Directive

#### H. MUNICIPAL MANAGERS OFFICE

Broad Record Type	Disposal Symbol	Description	Retention Period	Empowering Provisions
Audit records	D	Internal Audit Report	D6	Disposal authority
	AP	Forensic Report	To be kept permanently within the office of origin	National Archives and Records Services Directive

	AP	AG Report	To be kept permanently within the office of origin	National Archives and Records Services Directive
	D	Internal Audit Plan	D5	Disposal authority
	D	Internal Audit Files	D5	Disposal authority
	D	Internal Auditing Charter	D3	Disposal authority
	D	Audit Committee Charter	D3	Disposal authority
	D	Performance Management Strategy	D5	Disposal authority
Special Programs	D	Special Programs Unit	D5	Disposal authority
Public Participation	D	Public Participation Strategy	D5	Disposal authority
Legal records	D	Risk management framework	D5	Disposal authority
	D	Fraud Prevention Strategy	D5	Disposal authority
Communications records	D	Communication Strategy	D5	Disposal authority
	D	Communication Plan	D5	Disposal authority

## 1. DISPOSAL OF RECORDS

- Without prior written authorisation from the National Archivist or Provincial Archivist, no public records shall be destroyed or erased. The records manager manages the disposal schedule
- Retention periods indicated on the file plan and schedule were determined by taking municipality's legal obligations and functional needs into account
- 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 on requests or Promotion of Administrative Justice actions may not be destroyed until such time that the manager indicated that the destruction hold can be lifted
- Paper-based archival records shall be safely kept in strong-room until they are due to transfer to the National Archives Repository, transfer procedures shall be as prescribed by National Archives in the records management policy manual
- Specific guidelines regarding the procedure to dispose electronic should be stipulated in the electronic management policy
- All records with disposal authority should be disposed by the department concerned under the supervision of the Registry officials overseeing that they are accurately disposed.
- Different methods of disposal should include incineration, pulping, pulverizing, shredding or macerating.
- All records disposed should have destruction certificate filled as follows:

### **1.1 DESTRUCTION CERTIFICATE**

Destruction certificate is being issued after disposal of ephemeral records by an appointed service provider and later submitted to Provincial Archives.

## **2. ACCESS AND SECURITY**

- Records at all times be protected against unauthorised access and tampering
- Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager
- No staff member shall remove records that are not available in the public domain from the premises of the municipality without the explicit permission of the records manager in consultation with the information security manager
- No staff member shall provide information and records that are not in the public domain to the public without consulting Records and Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information which is maintained by Records and Information Officer
- Personal information shall be managed in terms of the Promotion of Access to Information Act
- No staff member shall disclose personal information of any member of staff or client to any member of the public without consulting the Records and Information Officer
- An audit trail shall be logged of all attempts to edit/alter electronic records

- Records storage areas shall at all times be protected against unauthorised access, that means they shall be locked when not in use and access to Registry and storage areas shall be managed with key card access or otherwise keys should **ONLY** be kept by Registry officials.

### 3. TRAINING

- 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
- 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
- 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

### 4. PROTECTION OF RECORDS

#### PROTECTING RECORDS AGAINST VARIOUS PERILS

- **General**

Records are constantly subject to perils that may either damage or destroy the physical record. Ideally, records should be stored in premises specifically built and equipped for effective record storage. This way records could be completely protected thus ensuring durability.

It is essential that all records be effectively stored and protected. The heads of all governmental bodies must ensure that adequate steps are taken to ensure that the records in their custody are protected against the dangers discussed below.

- **Fire**

This can be one of the most destructive dangers to records and all possible precautions should be taken to protect the records.

- **Position of record storage areas**

The records should not be stored in areas near or alongside areas where flammable materials, like paint, petrol, etc. are stored as this could easily result in a fire breaking out.

- **Construction of storage areas**

As far as possible, the walls, floors and roof should be constructed of non-flammable materials, like brick and cement. The doors should be sturdy, made from steel and lock

properly. The windows should be equipped with burglar proofing. Both the windows and should be constructed in such a manner that no unauthorised persons may gain access to the records to cause a fire. Electrical installations should be installed in such a way as to prevent electrical faults from causing a fire.

- **Shelving and cabinets**

These should be constructed from non-flammable materials to provide additional protection to the records.

- **Fire sources**

Like matches, smoking and inflammable materials should be prohibited in the record storage areas. Oiled rags and wax used during cleaning can also lead to spontaneous combustion.

- **Fire extinguishers**

These should be easily available and in good working order. Water, dry powder or foam based extinguishers should not be used as these will in any event damage the records. Preferably carbon dioxide (CO<sub>2</sub>) extinguishers should be used as the gas will not destroy or damage the records. Fire-fighting apparatus should be inspected annually. If a fire should break out, it should be extinguished as soon as possible. Staff should be adequately trained and aware of the dangers of CO<sub>2</sub> to humans.

- **Water**

Water on documents results in the records becoming illegible. Every precaution should be taken to avoid records being damaged by this peril.

No water pipes should be in or near the registry or other record storage areas as these may leak, burst or flood the area.

Every possible precaution should be taken to prevent rainwater from entering the record area. Leaking roofs and water pipes should be repaired timeously to prevent records from being damaged.

When records are damaged by water, efforts to dry them should be made quickly. The recommended procedure is to separate the documents carefully, place the documents between sheets of blotting paper and with a fan or hairdryer direct warm air over the documents. Records should never be opened or placed in direct sunlight to dry.

- **Pests**

Pests, plagues, fish moths, cockroaches, termites, rodents, like rats and mice, etc, sometimes damage records. Records that are stored in cellars, attics and outbuildings are particularly vulnerable to these hazards. Damage can be prevented by not storing records in these areas.

Registry and other record storage areas should be regularly examined by the Registry Head and Records Manager to check that none of these pests are found amongst the records. Regular fumigation of records storage premises should occur by utilizing pesticides that won't damage the records. The safety of personnel and the records must be considered.

- **Extremes of temperature and humidity**

This peril is one that is gradual and least observed. In extremely damp and humid, paper-based records become mildewed. While in extremely dry climatic conditions, paper records become brittle and break easily. The best way of protecting records against these conditions is to select premises that are not exposed to extremes of temperature and humidity.

At sea level, premises beneath ground level should be avoided as these areas are inclined to remain damp. In addition, sharp changes in temperatures should also be avoided in record storage areas. In urban and industrial areas, care must be taken the effects of smog conditions, as the chemical constituents in the air are harmful to paper-based records.

However, care should also be taken to ensure that storage areas receive sufficient clean fresh air to avoid records being infected with mildew. Another important way of protecting records from being affected by extreme climatical conditions is to ensure that good quality stationery is used which increases the records' durability.

- **Light**

When records are exposed to light, their durability is severely affected. Paper-based records bleach and the writing fades. This is particularly the case of records exposed to direct sunlight. However, even exposure to indirect sunlight and artificial light damages records over time. Thus, no direct sunlight should be allowed to shine on the records. In the storage areas of those records consulted less frequently all light sources should be limited. The electrical lights should be switched off when nobody is working in the storage areas. Similarly, the lights between the shelves in registry should be off when files are not being sought or repacked.

- **Dust**

The record storage areas should be cleaned and dusted regularly. Records should be kept in boxes and in cabinets in order to protect the records against dust.

- **Handling**

Constant handling results in records becoming damaged. Documents should be stored securely in file covers to provide protection from handling.

The file covers that a body considers using should be determined by the amount of physical wear and tear to which they will be subjected. The staff using the records should be encouraged to handle the records carefully in order to protect the records from being unnecessarily damaged.

- **Unauthorised removal**

To prevent records from becoming damaged, removed or destroyed, the Records Manager must ensure that measures are in place to prevent unauthorised persons from having access to registry and record storage areas during and after office hours. The control of keys to these areas should be assigned to a specific person who should ensure that access to these areas only occurs under supervision. Precautions should also be taken to burglar-proof all windows that are accessible from the street. A counter should be erected to separate the registry work area from the entrance so as to prevent the entry of unauthorised

persons. Staff from other division/sections should not have free access to the records and that includes personal files.

**5. IMPLEMENTATION**

2025/2026 financial year

**6. REVIEWAL**

Annually