RB9.1.2/31-05-2019   TABLING OF THE 2019/2020 ANNUAL BUDGET

RESOLVED:

1. Council approves the annual budget tables as prescribed by the Budgeting and Reporting Regulations, as set out in APPENDIX B.

2. Council approves the annual budget supporting tables as prescribed by the Budgeting and Reporting Regulations, as set out in APPENDIX C.

3. Council approves the Quality Certificate signed by the Accounting Officer, as set out in APPENDIX D.

4. Council approves the revised budget related policies, as set out in APENDIX E.
    - Absenteeism and Desertion Policy
    - Accounting Policy to the AFS
    - Asset Management Policy
    - Borrowing Policy
    - Budget Policy
    - Cash Management Policy
    - Cederberg Risk Management Policy Annex A - rating scales Amended

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- Circular No 01-2018 – Disciplinary Procedure Collective Agreement
- Code of Ethics Policy
- Consumer Service Charter - Cederberg LM
- Customer Care Improvement Policy
- Customer Care, Credit Control and Debt Collection Policy
- Development Contributions Policy
- Drought Communication Strategy
- E3-Sexual Harassment policy
- Education Training and Development Policy
- Employment Equity Plan - Cederberg Municipality 2018-2023
- Employment Equity Policy
- Enterprise Risk Management Policy
- Enterprise Risk Management Strategy
- EPWP Policy
- Finance Management Internship Policy
- Fleet Management Policy
- Fraud and Corruption Prevention Policy
- Fraud and Corruption Prevention Strategy
- Free Basic Energy Policy Guidelines
- Funding and Reserves Policy
- Grants-In-Aid Policy
- HIV AND AIDS Workplace Policy
- ICT Data Backup and Recovery Policy
- ICT Disaster Recovery Policy
- ICT Municipal Corporate Governance of ICT - Cederberg

- ICT Operating System Security Controls Policy
- ICT Security Controls Policy
- ICT User Access Management Policy
- IGR Policy
- Indigent Support Policy
- Insurance Management Policy
- Investment Policy
- Job Evaluation Policy
- Kollektiewe ooreenkoms rakende Dissiplinere Prosedure
- Long-Term Financial Plan Policy
- Out of Pocket Expenses Policy
- Overtime & Standby Policy
- Performance Management Framework Policy
- Petty Cash Policy
- PPE Procedure 1
- Property Rates By-Law Cederberg
- Property Rates Policy
- Records Management
- Recruitment & Selection Policy
- Relocation Policy
- Revenue Enhancement Policy
- Risk and Ethics Management Committee Terms of Reference
- Risk assessment Methodology
- Risk Management Committee Charter
- Risk Management Policy
- Risk Management Register

- Risk Management Risk Appetite Framework

- Risk Management Strategy

- Selection of Housing Beneficiaries Policy

- Sexual Harassment Policy

- Smoking Policy

- Social Media Policy

- Special Rating Areas Policy

- Study Aid Policy

- Study Bursary Policy

- Substance Abuse Policy

- Supply Chain Management Policy - Cederberg Municipality – Amended May 2019

- Tariff Policy

- Travel and Subsistence Allowances Policy

- Virement Policy - MSCOA compliant

- Watermeter Vervangingsbeleid

- Whistle Blowing Policy

- Write-Off Policy

5. Council approves the property rates and charges on properties, tariffs, tariff structures and service charges for water, electricity, refuse, sewerage and other municipal services, as set out in APPENDIX F.

6. Council take note of the Budget Circulars, Dora, Provincial Gazette and approves the Service level standards frameworks, Procurement Plans and Budget Locking Certificate, as set out in APPENDIX G, H, I & J.

Proposed: Cllr. R Pretorius
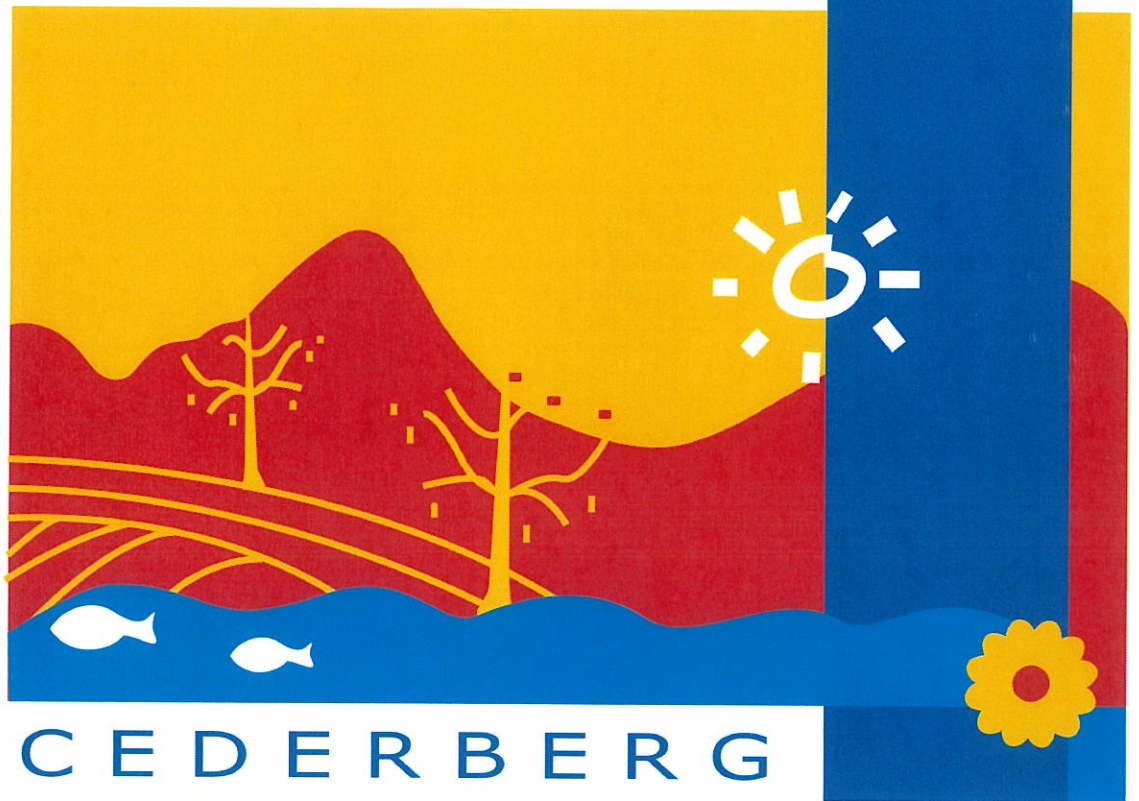
Seconded: Cllr. J Meyer

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VOORSITTER / CHAIRPERSON

31-05-2019
DATUM / DATE

2018

RECORDS MANAGEMENT POLICY OF CEDERBERG MUNICIPALITY

CEDERBERG

Cederberg Municipality

Henry Slimmert

Head of Administration

8/20/2018

Document Version Control

DATE	AUTHOR	VERSION NUMBER	REVISION DETAILS
20 August 2018 Review	Head: Records Management	1.0	Draft

Approval

DESIGNATION	NAME	SIGNATURE	DATE
Head of Administration	Henry Slimmert		
Director Finance & Administrative Services	Elrico Alfred		
Head of Council	William Farmer (Speaker)		

FOREWORD

South Africa is an information society, that is, a society which recognizes the creation, distribution, use, integration and manipulation of information as a significant economic, political, and cultural activity. The important role played by information as an important factor in the process of government administration and management has also been recognized by other governments world- wide including the Cederberg Municipality. This recognition is because information feeds many kinds of activities that contribute to service delivery, such as, decision-making, planning, problem-solving, innovation, good governance and accountability. This information is kept in records. In the information society and in the digital working environment recordkeeping and archiving are demanding and exciting: records are in various formats and records managers have to work in challenging multi-dimensional environments.

Records are created or received during the conduct of business and contain information about and evidence of organizational activities. Public records is key to accountability and good governance because they reflect the government's functions, activities and procedures and the administrative processes that generate them, as well as the facts, acts, and transactions affiliated to them. In a nutshell, records enable Cederberg Municipality to function. The important role of records in Cederberg Municipality therefore cannot be under-estimated. Records prove what you did, why you did it and the results. To be useful however, records must be managed effectively.

The focus of records management is on the creation, evaluation, storage, access, retrieval, dissemination, use and disposition of records in any form or media. Records management is therefore not media specific or limited by time and space. Hence the Cederberg Municipality Archives has adopted the Records continuum model which intergrates records management with business processes and society; upholds the continuous use of records; and addresses management of both paper and electronic

records. The advent of technology however, has led some to assume that records management technologies and electronic records are to some degree, different and

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supersede paper records. The reason being that traditionally, the use of information technologies was not considered to be part of records management, but in essence, they are, in so far as the technologies are used for creating, maintaining, using or disposing recorded information. Records managers therefore must stay abreast of current and emerging technologies; evaluate their potential impact on records management and participate in their selection and use.

While the professional role of records managers is instrumental in every aspect of managing records, their role is that of providing guidance, training and oversight to records management practices in their respective offices. Records management is the responsibility of every public official involved in one or more aspects of records management. This policy seeks therefore, to provide a high-level direction for managing records to all employees of Cederberg Municipality in terms of the Provincial Archives and Records Service of the Western Cape Act, 2005 (Act 3 of 2005).

Despite the crucial role played by records and records management, there is a consensus amongst researchers that many organizations including government departments pay little attention to the management of records .This policy will hopefully draw attention to the importance of records and enhance sound records management practices in the Cederberg Municipality.

Director: Elrico Alfred
Finance and Administrative Services
Date:

Contents

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Abbreviations

1. Purpose

The purpose of the policy is to provide direction to Cederberg Municipality management of records for good governance, accountability as well as corporate and social memory.

2. Scope

This policy is applicable to management of records regardless of form or media, created or received in all governmental bodies, that is, any legislative, executive, judicial or administrative organ of state (including a statutory body) at provincial regional and local level in the Western Cape Province.

3. Guiding model

This policy upholds the Records Continuum model as it has been realized that records can be used continuously if they are considered to be of value at the time they are created. Archival principles are applied throughout the life of a record. In the electronic environment, technical issues involved in keeping electronic records arise at the moment of their creation. In addition, the model highlights the importance of records and archives management for both managerial and cultural responsibilities. Adoption of this records management model is aimed at integrating and institutionalizing records and archives management with business processes in the Cederberg Municipality.

According to the records management continuum model, there are four stages of records management, namely,

- creation or receipt;
- classification;
- establishment of retention/disposal schedules and their subsequent implementation;
- maintenance and use (in the creating office, inactive storage or archives).

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 organization's business systems and processes; and the continuing use of records regardless of media or form for transactional, evidentiary, and memory purposes.

4. Policy statements

4.1 Creation or receipt of records

4.1.1 Records creation and receipt is the responsibility of all staff, hence records management in Cederberg Municipality shall be integrated with the activities that promote the core mission and vision of the organization instead of being considered as an add-on section.

4.1.2 Records are created internally or received from external sources and bear evidence of internal and external activities of an organization. This evidential quality of records distinguishes them from any other type of information resource which may be produced and retained solely for reference purposes.

4.1.3 Records creation can occur in many ways using a variety of devices, such as personal computers, laptops and hand-held devices.

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4.1.4 Records are important resources for planning, decision-making, accountability, good governance, research and to support service delivery. Creators of records must bear this in mind when records are created.

4.1.5 Records created in Cederberg Municipality must be usable, accurate, authentic, have integrity, and be reliable and since their evidentiary value may be at risk of not being accepted. In order for a record to be authentic, reliable; have evidential weight and legal admissibility,

   i.   the record must bear all of the following:

- the logo and address of the creating organisation;
- record creation date;
- file reference number (from file plan approved by WCARS);
- author/s of the record;
- addressee;
- signature of the author or delegate. In the case of electronic records, Sections 13(4) and 28(2) of the Electronic Communications and Transaction Act, 2002 (Act 25, 2002)apply;
- indication of attachments and or links to other records; and
- subject matter

   ii.   The record must be whole and unaltered or reformatted. If for example, someone alters the minutes of a meeting after they have been approved, the minutes can no longer be considered an accurate record of the meeting. Complete and accurate records lead to efficiency and effectiveness; ensure straightforward audits and reduced legal risks.

iii. Processes associated with individual records such as version control must be documented to reduce the risk of working from or updating the wrong version of a document or sending out the wrong version.

iv. An electronic records management system used to create; provide access to and manage records (including hardware, software and network infrastructure must;

    a. be reliable, that is, be capable of continuous operation. Documentation to prove reliability must be kept and provided when needed;

    b. have security measures in place to protect records from unauthorized access, alteration or disposal;

    c. be capable of implementing all records management processes according to the Records Management Continuum Model;

    d. be capable of retaining the authenticity, reliability and integrity of records should there be a system change; migration or discontinuation.

    e. be approved by WCARS as stipulated in the Provincial Archives and Records Service of the Western Cape Act, 2005.

v. ECM/MyContent is the approved electronic records management system for Cederberg Municipality departments. While Collaborator Content Management system is approved for use by local governmental bodies

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4.1.6 A record is created as evidence of decisions, actions and transactions. Records must therefore be created at the time of the transaction or incident to which they relate, or soon afterwards, such as documenting the minutes of a meeting from recordings made during the meeting. Reliability therefore will be apparent if there is evidence that the records were created and captured as part of a legitimate business process. The operational context or business process within which a record has been generated or managed should also be visible.

4.2   Records classification

Records classification is an important method of procedural control over records creation (thus contributing to the reliability of records), as well as a critical means for the identification of records in context over time and space (thus contributing to establishing and maintaining the records authenticity). Records classification facilitates efficient management and retrieval of records and lays a foundation for other records management processes such as scheduling, disposition and transfer.

4.2.1 Records classification shall be performed when the record is created since the individual creating the record is in the best position to provide its proper classification. Records Managers however are responsible for the overall maintenance and management of the records classification scheme.

4.2.2 Records managers shall compile records classification schemes which must be approved by the Cederberg Municipality Archives and Records Service before embarking on records management processes.

4.2.3 Amendments and additions can be done to records classification schemes when the need arises in consultation and approval by the WCARS.

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4.2.4 WCARS has adopted the Uniform File Plan as a transversal records classification scheme for use by Cederberg Municipality government departments. The benefit of the Uniform File Plan is mainly to standardize records management in the Cederberg Municipality government departments and provide easier access to governmental records. The Uniform File Plan shall be the only records classification scheme used in the ECM/MyContent.

4.2.5 Other Cederberg Municipality other than Cederberg Municipality government departments shall use records classification schemes approved by WCARS.

4.2.6 Records classification schemes must be used to assign file reference numbers to records created and received.

4.2.6 Records Control Schedules shall be developed for records other than correspondence.

4.3   Retention/disposal

4.3.1   Due to the evidentiary nature of records, it is important that they are retained Records shall be kept for as long as they are needed to satisfy operational; legal; regulatory; research or historical requirements.

4.3.2   All records irrespective of medium in which they are stored shall have a retention period.

4.3.3   Scanned records are meant for reference purposes and easier access and are not meant to be retained permanently. Retention periods assigned to their original paper-counter-parts shall be applicable. This also applies to print-outs of born-digital records. If this is not done, physical and electronic storage, system performance, access and retrieval times can be compromised.

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4.3.4 The records managers of Cederberg Municipality shall develop a records inventory to provide an indication of the number, format and type of records within that body and where they are stored; series description and recommended retention. The records inventory shall also be used to develop and update records retention schedules and analyse the value of records.

4.3.5 Appraisal of records shall take place when records series are determined. Where possible, the archival value of the record shall be determined during the appraisal process to ensure that the identified archival records are maintained properly until they are transferred to the WCARS.

4.3.6 Records retention schedules shall be developed by records managers to record retention periods. The Head of the government body shall nominate a team with decision-making powers and business professional knowledge to develop retention periods for the body. The retention schedules shall be reviewed regularly to effect changes which affect management of records, for example when new directorates or sections are created. The retention schedule can also be used to note the security classification of records.

4.3.7 Destruction of records poses a risk to any organisation and therefore must be approached with caution. Officials must not destroy any record without approval of the Head of the governmental body. The records manager must with the authorization of the Head of the government body, obtain written destruction approval from WCARS on behalf of the governmental body.

4.3.8 The file plan of the governmental body must be two years and older before application for disposal can be approved by WCARS

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4.3.9 Transfer of records to the archive; another governmental body; another office; electronic records management system, or to commercial off-site storage (including off-site data centres and cloud storage) shall take place in consultation with WCARS.

4.3.10 Commercial offsite storage areas are not recommended for storage of governmental bodies' paper records since records management processes ensure that there is a proper flow of records to prevent blockage. However, if a need arises for off-site storage to be used, this shall be done in consultation with WCARS.

4.3.11 When approval has been granted to transfer records to the archive, arrangement for transfer of such records shall be made with the WCARS prior to the transfer of the records.

4.4 Maintenance and use

4.4.1 Records managers shall develop a records management policy and procedures to ensure the overall administration of records management processes of the governmental body. The policy and procedures shall be approved by the WCARS.

4.4.2 It is however every official's responsibility to ensure that records in their care are protected from perils and any harmful materials which can damage records.

4.4.3 Records shall not be kept in offices but in the registry for central access, until their disposal or transfer. Access and use shall be according to registry procedures of the governmental body.

4.4.4 Inactive records shall be stored in the prescribed storage areas approved by WCARS. These records shall be organised logically to facilitate easier retrieval when needed, and transferred to the archive or destroyed at the appropriate time.

4.4.5 Security measures shall be in place in and around the registry and records storage areas to prevent unauthorised access.

4.4.6 Security classified records shall be managed and used according to Chapter 4 of the Minimum Information Security Standards (MISS) and ISO/IEC 27002:2005. Records managers shall provide access to these documents to all staff.

4.4.7 Records manager shall conduct regular records inspections in their respective Cederberg Municipality to ensure safety and security of records in use by officials and ensure that proper records management practices are in place.

4.4.8 WCARS shall conduct periodic records management audits to monitor compliance to the Act and this policy by Cederberg Municipality.

4.4.9 Records managers and Information Technology Officers shall develop disaster management and disaster recovery plans and submit them to WCARS for approval before implementation.

4.5 Training

4.5.1 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 Cederberg Municipality.

4.5.2 Records managers and IT practitioners are encouraged to embark on continuing professional development so as to keep up with trends and rapid changes in records management, relevant legislation and technology.

4.5.3 Records management is the responsibility of everyone who creates records, therefore training is compulsory to all staff of governmental bodies. All staff shall be trained to use an electronic records management system and notified of updates and changes.

4.5.4 Records managers shall take advantage of information and communication technology to enhance staff training, such as e-learning, electronic records management guides and manuals.

5. Roles and responsibilities

5.1 The Head of the Cederberg Municipality Archives and Records Service is responsible for the proper management of public records. The Municipality shall appoint a records manager as stipulated in Section 9.5(a) of the *Provincial Archives and Records Service of Western Cape Act, 2005.*

5.2 The records manager shall be responsible for ensuring that the Municipality complies with the requirements of the Act.

5.3 The Cederberg Municipality with several components can appoint Assistant Records Managers for each component. These Records Managers however remain accountable to the Records Manager of the Cederberg Municipality.

5.4 The Records Manager in collaboration with the IT Department must ensure that records in the custody of the Cederberg Municipality are properly managed, accessed and secured.

5.5 Records management is an essential role of all employees, every employee therefore is responsible for creating and keeping such records as may be necessary to fully and accurately record the functions, transactions, operations, decisions, administration and management of the Cederberg Municipality.

6. Monitoring and review of policy

i. The Head of the Department shall periodically monitor implementation of this policy by the Cederberg Municipality

ii. The policy will be reviewed annually to accommodate new developments and changes.

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Definition of key terms

Act: Provincial Archives and Records Services of the Cederberg
                            Municipality Act, 2005(No.3 of 2005)

Classification: systematic arrangement of records in groups or
                            categories according to established criteria

Off-site

Storage: A remote storage facility or site equipped to provide protected
                            storage for magnetic/optical media, microfilm, and paper records.

Record: recorded information arising from transactions. It is created as a
                            by-product of social and organisational activity in the course of
                            transacting business of any kind, whether by governments,
                            businesses, community organisations or private individuals. It is
                            therefore defined by its contextuality and transactionality. The
                            documentation of transactions may be in any storage media and
                            is increasingly an electronic process, such as, emails, internet
                            content blogs, wikis, media sharing services, social networking
                            systems, collaborative tools or any information that is paper
                            based.

Records classification

scheme   a tool used to classify records based on the business activities that
                            generate records and also referred to as a file plan. Records
                            classification schemes are not based on organizational structure
                            but reflect and support the organization's business functions and
                            activities.

Records	
management:	The capturing and maintaining of accurate, complete, reliable and useable documentation of activities of an organization in order to meet legal, evidential, accountability and social/cultural requirements

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