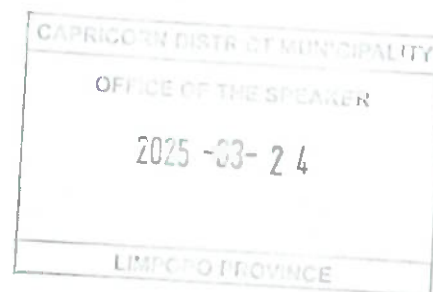




## CAPRICORN DISTRICT MUNICIPALITY

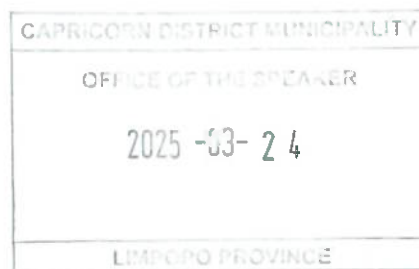
# RECORDS MANAGEMENT DISPOSAL POLICY

VERSION 2



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## 1. INTRODUCTION

1.1. While performing its various functions and activities, the municipality gathers information from individuals and external stakeholders, generating a broad spectrum of data and information, which is subsequently documented. These records may be maintained in multiple formats.

1.2. Documents can be retained in various formats, including:

- Physical records (hard copies)
- Electronic records (digital files)

1.3. Purpose of Document Retention

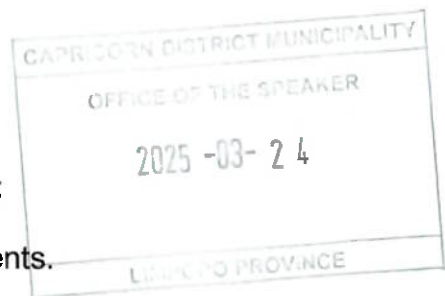
The municipality retains specific documents to:

- Fulfil statutory and regulatory requirements.
- Provide evidence of events and agreements in dispute resolution
- Support operational needs.

1.4. Preserve documents of historical, cultural, or archival value

The untimely destruction of documents could cause the Municipality:

- Irreparable loss of heritage: Historical documents provide valuable insights into the past, and their destruction would erase part of the municipality's cultural identity.
- Legal and financial consequences: Destruction of documents can lead to disputes, lawsuits, and financial losses due to the loss of critical records and evidence.
- Inability to track progress: Historical documents allow municipalities to learn from past decisions and track progress.
- Loss of institutional memory: Documents contain knowledge and experience gained over time, and their destruction would disrupt continuity.



- Damage to reputation: Carelessness with historical documents can harm the municipality's reputation and public trust.
- Non-compliance with regulations: Destruction of documents may violate laws and regulations governing record-keeping and archival preservation.
- Failure to comply with the Promotion of Access to Information Act No. 2 of 2000 (PAIA) and other related Acts.

1.5. Conversely, the permanent retention of all documents is undesirable and appropriate disposal is to be encouraged for the following reasons:

- Shortage of new storage space
- Disposal of existing documents can free up space for more productive activities.
- Indefinite retention of record may be unlawful.
- Reduction of fire risk (in the case of paper records)
- There is evince that as at creates conducive working environment.



1.6. Modern day records management philosophy emphasises the importance of organisations having in place systems for the timely and secure disposal of documents/record that are no longer required for administrative, legal, and financial purposes.

## 2. DEFINITIONS

2.1 "Appraisal" means the archival function of determining the eventual disposal of records.

2.2 "Archives repository" means a building in which records with archival value are preserved.

2.3 "A20 records" means records with archival value which should be transferred to an archive's repository 20 years after their creation.

2.4 "D records" means records without archival value which may be destroyed.

2.5 "Disposal authority" means a written authority specifying records to be transferred into the custody of the Provincial Archives or specifying records to be otherwise disposed of.

2.6 "General disposal authority" means the authority granted for the disposal of records that are common in all governmental offices (e.g. unsuccessful applications for positions)

2.7 "Limited disposal authority" means the authority granted for the disposal of terminated records.

2.8 "Municipality" means Capricorn District Municipality

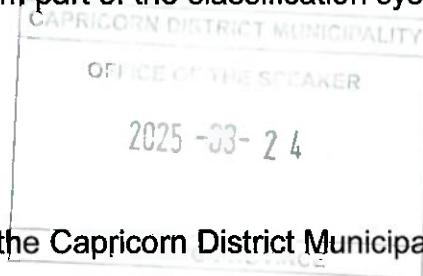
2.9 "Provincial Archives and Records Services" means the Limpopo Provincial Archives and Records Services.

2.10 "Records" means recorded information regardless of form or media.

2.11 "Retention period" means the length of time, that records should be retained in offices before they are transferred to a records centre, or if in a records centre before they are transferred to archives or otherwise disposed of;

2.12 "Standing disposal authority" means the authority granted for the disposal of current records.

2.13 "Terminated records" means records that form part of the classification system no longer in use.



## 2. SCOPE AND INTENDED AUDIENCE

3.1. This policy affects various individuals within the Capricorn District Municipality, including:

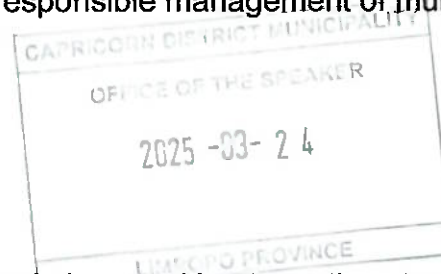
- **Record Creators:** Those who create records, whether electronic or physical, will need to adhere to the policy to ensure proper documentation and preservation.
- **Record Accessors:** Anyone with access to records must comply with the policy to maintain confidentiality and integrity.

- **Record Custodians:** Individuals responsible for storing, maintaining, or disposing of records will have to follow established procedures.
- **Managers and IT officials:** Those overseeing staff involved in record management or designing IT infrastructure will need to ensure systems align with the policy.

3.2 This policy is aimed at ensuring that the Capricorn District Municipality handles its records in a uniform and standardized way, particularly when it comes to disposing of them. The policy has two main objectives:

- **Standardizing Disposal Procedures:** Ensuring uniformity in executing disposal authority issued by the Provincial Archives, which means that everyone follows the same rules when getting rid of records.
- **Guiding Record Disposal:** Providing guidance on procedures to follow when disposing of records, making sure that important documents are handled correctly and in line with regulations.

3.3 Regardless of position, role, or tenure, every staff member is expected to adhere to this policy to ensure consistent and responsible management of municipal records.

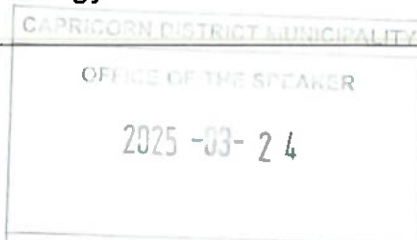


## 5. LEGAL MANDATE

The Policy complies with the following Acts, regulations and best practice standards:

a.	Constitution of the Republic of South Africa, 1996 (Act No.108 of 1996)
b.	The Protection of Information Act, 1984 (Act No 84, 1984)
c.	The National Archives and Records Service Act, 1996 (No. 43 of 1996 as amended)
d.	The Promotion of Access to Information Act, 2000 (No. 2 of 2000)
e.	The Electronic Communication and Transactions Act, 2002 (No. 25 of 2002)

f.	The Municipal Finance Management Act, 2003 (Act No. 56 of 2003)
g.	The Minimum Information Security Standard (MISS)
h.	E-Government Framework and National e-strategy



## 6. ACCOUNTABILITY

6.1. Records management is a team effort that requires everyone's participation. Here's how different roles contribute to effective records management:

- Provincial Archivist: Oversees records management across the province, ensuring municipalities comply with the Northern Province Archives Act No5 of 2001.
- Municipal Manager: Promotes sound records management within the municipality, reviews record disposal applications, and ensures compliance with the Northern Province Archives Act.
- Records Management Unit: Provides guidance on record disposal, applies for disposal authority, and conducts audits to identify unnecessary records.
- Senior Managers: Implement records management procedures in their departments.
- Employees: Familiarize themselves with recordkeeping requirements, ensure records aren't destroyed without authorization, and maintain accurate records.

Effective records management is crucial for organizations, as it helps protect company interests, earns employee respect, and builds trust <sup>1</sup>. Employees should understand what qualifies as a record, how to dispose of records, and the importance of vital records.

**Some key records management practices include:**

- **Creating a File Structure:** Organizing records in a way that makes them easily accessible.
- **Records Scheduling:** Determining how long records should be retained and when they can be disposed of.
- **Secure Storage:** Protecting physical and electronic records from unauthorized access or destruction.

By following these guidelines and working together, organizations can maintain accurate, complete, and accessible records.

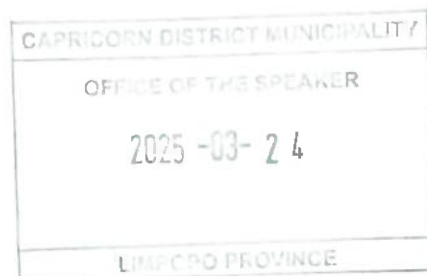
## 7. THE RETENTION/DISPOSAL PROCEDURES

7.1. To ensure consistent and informed decisions regarding document retention or disposal, follow these steps:

Step 1: Consider Key Disposal/Retention Criteria

Use the checklist in Appendix 1 to evaluate documents against the following factors:

- Legal requirements
- Business needs
- Historical significance
- Audit requirements
- Fiscal requirements
- Operational requirements
- Research value
- Other relevant considerations



Step 2: Consult Retention Schedules

Refer to Appendix 2 for guidance on minimum retention periods for specific document classes, as outlined in the General Disposal Procedure.

### Retention Schedule Categories

- **Permanent:** Retain indefinitely
- **Long-term:** Retain for a specified period (e.g., 10+ years)



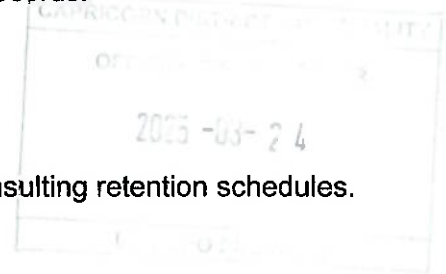
- **Medium-term:** Retain for a moderate period (e.g., 5-10 years)
- **Short-term:** Retain for a brief period (e.g., 1-5 years)
- **Transitory:** Retain for a very brief period (e.g., less than 1 year) Where a retention period has expired in relation to records a review should always be carried out before a final decision is made to dispose of these records.

### Decision-Making Guidelines

Dispose of documents only after considering all criteria and consulting retention schedules.

Ensure documentation of disposal decisions.

Obtain authorization from the Municipal Manager or Records Management Unit for disposal.



7.1 According to the Northern Provincial Archive Act, Section 13(2), government bodies must obtain a written disposal authority from the Provincial Archivist before taking any action on public records. This includes transferring records to an archive's repository, destroying, erasing, dumping, or disposing of them in any way

7.2. The Provincial Archives issues three types of disposal authorities to help manage records effectively.

- **Standing Disposal Authority:** This is granted to current records that are still part of the active classification system. For instance, if a municipality uses the staff File plan and General File plan, which have been in use since July 1, 2009, they'll receive a Standing Disposal Authority when applying for disposal permission.
- **Limited Disposal Authority:** This applies to terminated records, which are no longer part of the active classification system. If a municipality needs to dispose of records created before November 1, 2004, they'll get a Limited Disposal Authority.
- **General Disposal Authority:** This allows for the disposal of specific current records that are similar across all offices, such as personal files or financial records. Unlike the other two, offices are typically informed about General

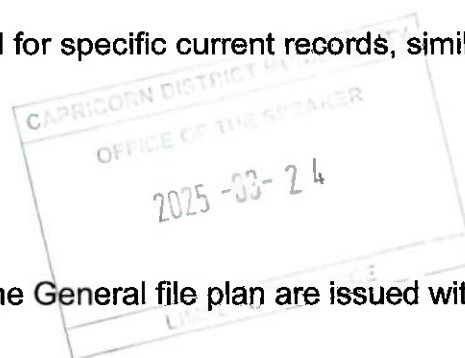
Disposal Authority through circulars from the Provincial Archives, rather than applying for it.

- .3. The policy guidelines were also developed to ensure uniformity and consistency in the disposal of records within the Municipality.

### **7.3. Disposal of correspondence files**

Disposing of correspondence files requires careful consideration and adherence to regulations. Here's how it works:

- Authorization: Correspondence records are destroyed in accordance with the disposal authority issued by the National/Provincial Archive and Records Services, with approval from the Municipal Manager <sup>1 2</sup>.
- Disposal Authorities:
  - Standing Disposal Authority: Issued for records managed under the current classification system (General file plan).
  - Limited Disposal Authority: Issued for records dating back to before November 1, 2004.
  - General Disposal Authority: Issued for specific current records, similar across all offices.



Once a disposal authority is obtained:

- Updated File Plans: New versions of the General file plan are issued with a completed Disposal column.
- Disposal Column: Indicates whether a file is A20 (archival) or D (non-archival).

#### **Records with Archival Value (A20):**

- Transferred to a relevant Archives Repository 20 years after creation.
- Requires Municipal Manager's approval and prior arrangements with the repository.

#### **Non-Archival Records:**

- Retention periods allocated by the Records Management Unit (e.g., D3 means destruction 3 years after closure).

- Destruction requires authorization from the Municipal Manager.

## 7.4. DISPOSAL

That's a comprehensive list of methods for disposing of records, both physical and digital. Here's a breakdown and additional considerations for each method:

### Physical Disposal Methods

- Confidential Waste Collection: Partnering with designated refuse collection services ensures secure disposal, especially for sensitive documents.
- Shredding: On-site shredding provides immediate destruction but consider certifying the shredding process to ensure compliance.
- Burning: Incineration is effective but requires proper facilities and adherence to environmental regulations.

### Digital Disposal Methods

Deletion: Ensure permanent deletion using methods like:

- Overwriting data multiple times
- Using secure delete software.
- Physically destroying storage devices

### Transfer and Archiving

#### **Additional considerations:**

**Compliance:** Ensure disposal methods comply with relevant regulations (e.g., GDPR, POPIA).

**Security:** Protect sensitive information during disposal.

**Environmental Impact:** Choose eco-friendly disposal methods when possible.



**Certification:** Consider obtaining certification for disposal processes (e.g., ISO 27001).

**Documentation:** Maintain records of disposal activities for auditing and compliance purposes.

However, whichever method is used, all efforts should be made to ensure a complete destruction of the records.

Disposals should be documented by keeping a record of approval for records to be disposed of the records/ documents disposed of. The date and method of disposal and the officer who initiated disposal.

## **8. TRANSFERRING RECORDS TO AN ARCHIVES REPOSITORY**

No Department within the Municipality may transfer records to an archive's repository without a written approval of the Municipal Manager.

## **9. MAINTAINING A DESTRUCTION REGISTER**

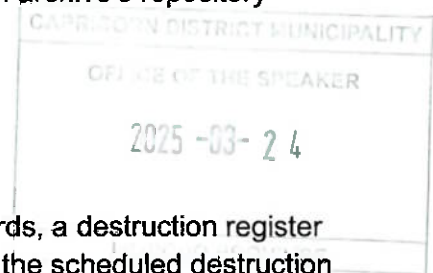
10.1 Once disposal instruction is issued for all non-archival records, a destruction register should be developed in which files will be recorded according to the scheduled destruction year.

10.2 The register should be updated to record all destroyed records.

## **10. CONSIDERATIONS**

The following should be taken into consideration before any record/records can be disposed of:

- i. Destruction of records should take place once there is assurance that records are no longer required, that no work is outstanding and that no litigation or investigation or request which would involve the records in question in term of Promotion of Access to Information Act or the Promotion of Administrative Justice Act is pending.
- ii. Records, whether covered by the General Disposal Authority or not, can only be destroyed once authorization is granted by Municipal Manager.
- iii. The inception date for this policy will be upon approval by Council.
- iv. This policy will remain in force unless withdrawn or amended by the Council.



## **11. ENFORCEMENT**

The Municipality is responsible for enforcing this policy and continuously ensuring monitoring and compliance.

## **12. CONSEQUENCES OF NON-COMPLIANCE**

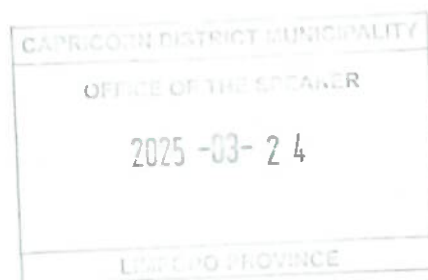
Non-compliance with this policy will lead to disciplinary actions taken against an official.

## **13. POLICY REVIEW**

This policy will be used to deal with all General Record Management issues and will be reviewed by the Council in accordance with CDM policy provisions.

## **14. APPROVAL**

This policy was approved by \_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_ 2025



## APPENDIX 1

### Records Retention Schedules

#### GENERAL DISPOSAL PROCEDURES

##### 1. DISPOSAL OF RECORDS COVERED BY THE GENERAL DISPOSAL AUTHORITY

1.1 General disposal authorities are issued by the NARS on common or standard public records i.e. a category or categories of records used by more than one governmental body (Applications for posts, personal files etc.)

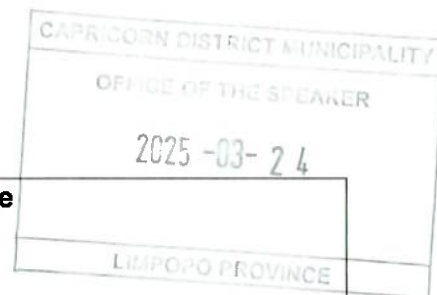
1.2 Some of the General Disposal Authorities issued by the National/Provincial Archives provides for retention periods whereas others make it is the prerogative of the governmental body to decide on the retention period.

1.2.1 For example, the General Disposal Authority No. AR2 for patient records states that same may be destroyed three years after termination of files" whereas the General Disposal Authority NO.AB2 for attendance register states that each governmental body should determine appropriate retention period for records that do not have enduring value..."

1.2.2 Within these broader policy guidelines provided by the NARS, the Municipality hereby determines the retention periods for all records covered by the General Disposal Authority.

1.2.3 The retention periods are as follows:

Nature of records	General Disposal Authority Number	Retention schedule
Unsuccessful applications for positions and related correspondence	AU1	D3 (Destroy 3 years after the position concerned is filled.
HR recruitment report	none	D3 Destroy 3 years after audit
Attendance Register	AB2	D3 (Destroy 3 years after the register is obsolete)



Unsuccessful tenders	AO2	D3 (Destroy 3 years after the relevant tender was awarded)
Personal Files	Circular 1/87	D20 (Destroy 20 years after conclusion of service)
Financial Records	AR2	Please consult chapter 17 of the treasury regulations for the current retention periods.
Tenders and Contracts	AK3	D5 (Destroy 5 years after audit for the relevant financial year)
Motor logbooks and records	AL1	D3 (Destroy 3 years after the vehicle is disposed of.
Postal Registers	AP4	D5 (Destroy 5 years after the register is obsolete)
Unsuccessful Bursary Applications	None issued	D1 (Destroy 1 year after the granting of the bursary for the relevant period.
Successful Bursary Applications	None issued	D2 (Destroy 3 years after the beneficiary has met all related obligations
EAP Case Files	None issued	See Personal Files
Cell phone files	None issued	D3 (Destroy 3 years after the cell phone is obsolete
Copies of documents (reminders, acknowledgement of receipt, enquiries	AK1	D2 (Destroy after 2 years)
List of registered documents	AG1	Destroy 5 after closure of the register
Unemployed graduate database application forms	None	D2 Destroy 2 years after end of financial year

