

NATIONAL ARCHIVES AND RECORDS SERVICE OF SOUTH AFRICA

APPRAISAL POLICY GUIDELINES

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LIST OF TERMINOLOGY

Archival value:	Those values, administrative, fiscal, legal evidential and/or informational, which justify the indefinite or permanent retention of records.
Disposal:	The action of either destroying/deleting a record or transferring it into archival custody.
Disposal authority:	A written authority specifying which records should be transferred into archival custody or specifying which records should be destroyed/deleted or otherwise disposed of.
Disposal authority number:	A unique number identifying each disposal authority issued to a specific office.
Disposal instruction:	The specific instruction regarding disposal allocated to each record e.g. D for delete/destroy and A for transferring into archival custody.
Electronic Document Management System:	A system that provides the ability to capture, describe and categorize, store and retrieve, share and reuse electronic documents regardless of specific format.
Electronic Records Management System:	A system that 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 categorizing and locating records; maintaining the relationships between records and files, and between file series and the file plan; identifying records that are due for disposal; associating the contextual and structural data within a document; constructing and managing audit trails, document version control.
File:	<ol style="list-style-type: none"> 1) An organised arrangement of records on the same subject accumulated in chronological order within the same cover/ folder/container. 2) The physical action of allocating file reference numbers to records and placing them inside the cover/folder/ container.

Filing system:	A logical and systematic structure into which records are arranged and stored according to subject and subject groups to facilitate efficient retrieval and disposal of records. The filing system is used for both current paper-based and current electronic correspondence systems. It usually contains the reference number, title, description and disposal authority of files held in an office.
File reference:	A unique identifier for a file. This can be a numerical, alphanumerical or alphabetical identifier. It is used to link a record to its specific subject file and subject grouping.
Other records:	Records that do not form part of a correspondence file, or a case file e.g. registers, maps, plans, electronic records, audio-visual records, etc.
Records:	<ol style="list-style-type: none">1) An electronic document to which metadata has been attached and which were checked into the electronic repository;2) Evidence of a transaction, preserved for the evidential information it contains;3) Recorded information regardless of form or medium.
Recordkeeping:	Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.
Recordkeeping system:	<p>A collection of systems, which capture, maintain and provide access to records and their context over time Recordkeeping systems consist of the following:</p> <ul style="list-style-type: none">- Filing system: See Filing system.- Schedule for other records: See Schedule for other records.
Retention period:	<ol style="list-style-type: none">1) The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted. As far as non-archival records are concerned the head of the office decides on the retention periods in accordance with the administrative use of the

records and the legal obligations the records need to fulfill. In the case of archival records the National Archives and Records Service of South Africa Act, 1996 determines that such records must normally be kept for twenty years after the end of the year in which they were created, before they are transferred into archival custody. In an electronic document management system, the length of time a record is kept online before it is moved to near-line or off-line storage.

Schedule for other records: A control mechanism for records other than correspondence files (other records), which contains a description and the disposal instructions and retention periods of all other records. It consists of the following parts:

- Schedule of paper-based records other than correspondence files;
- Schedule of microfilm projects;
- Schedule of electronic records systems, which contains a description of all electronic information systems other than the electronic correspondence system.
- Schedule of audio-visual records.

Scheduled: Records that have been issued with a written disposal authority and are due for disposal on a specific date.

Unscheduled: Records that have not yet been issued with a written disposal authority and that can thus not be disposed of.

Vital/essential

- 1) Records that protect the enduring records: civil, legal, financial, property and other rights of the citizens of a country;
- 2) Records that are needed to continue operational responsibilities under disaster conditions;
- 3) Records that protect the legal and financial rights of the Government.

PART I : INTRODUCTION

Developing Policy: The appraisal programme of the National Archives in historical context

Appraisal is the activity whereby archivists identify records with archival value and select them for preservation. Until the 1950s public records in South Africa were appraised on an ad hoc basis by the Archives Commission. From the 1950s the State Archives Service effectively inherited the public records appraisal function from the Commission and steadily developed capacity and expertise in this crucial area of archival endeavour. From the outset the Service's appraisal policy was moulded by the writings of T.R. Schellenberg and remained so until a major review took place in the early 1990s.

Schellenberg argued that the appraisal of public records is the task of archivists, and that archival value is a composite of what he called informational and evidential values. Informational values are determined by records' usefulness to researchers in all kinds of disciplines - a record containing information of potential value to a researcher has informational value. Evidential values, on the other hand, are identified without reference to potential research use. Records with these values are preserved because they provide an accurate and appropriate documentary reflection - evidence - of the structure, functions and functioning of the body which created them. Schellenbergian appraisal, then, seeks to identify for permanent preservation records high in either informational or evidential values. His approach possesses fundamental flaws. It offers us two measures of archival value without attempting to draw them within a single frame of reference. Areas of overlap, points of disjuncture and the two measures' relative importance are not explored. And with regard to informational values, it does not address the conceptual and practical problems posed by the notion of "usefulness to researchers". These problems are examined below.

The Schellenbergian paradigm gained acceptance in many parts of the English-speaking world. South Africa followed suit. However, as in other countries, the State Archives Service tended to blur the distinction between informational and evidential values. At the appraisal coal-face, appraisers ignored the distinction, with all considerations being subsumed by one dominant all-embracing question, "Does this record possess actual or anticipated usefulness to researchers?" This was a poor criterion for determining archival value:

- The shifting winds of research trends do not provide a reliable measure. In the past, for example, the State Archives Service's shaping of appraisal into a tool for academic researchers, particularly historians, resulted in the experience of "ordinary people" and especially the experience of the under classes, being poorly reflected in the records chosen for preservation.

- Attempting to anticipate research trends is an exercise in futility. - Archivists can never be properly equipped to meet the requirements of every discipline.
- If the requirements of every research discipline are taken into account, the great majority of records have potential research value. Clearly an approach built on this definition of archival value is unworkable. And if the target is narrowed to encompass only "important" research, how does one begin to define such a concept? What the State Archives Service did was to identify "important" research with academic, particularly historical, research.

What was the quality of the archival record preserved in terms of State Archives Service appraisal policy? This is an extraordinarily difficult question to answer. However, our sense is that in general terms the Service's documentary reflection of governance in South Africa was reasonably good, but that in three key areas this reflection was defective. Firstly, as has been pointed out, documentation of the experience of the under classes was poor. In the last years of apartheid a greater sensitivity to the need to document the interaction between the state and citizens, and the adoption of sampling in the appraisal of case files, had begun to go a long way toward addressing the problem. Secondly, the policy resulted in too much being preserved. Not only was the Service faced by recurring space crises, but the level of control it exercised over the holdings and its capacity to make them available effectively were seriously eroded. Obviously the continuing explosion of paper-based and other records was the underlying factor. But this problem was compounded by the appraisal policy:

- The Service's unfocused endeavour to identify all records possessing potential research value resulted in a high proportion of appraised records being preserved.
- The inadequacy of the Service's contextual analyses and its reactive approach resulted in: (i) frequent failure to identify the richest, most focused record, and (ii) high levels of duplication.

The third key area of concern related to electronic records. Unlike in the paper environment, timely appraisal and disposition arrangements are essential in the electronic environment if the loss of permanently valuable records is to be avoided. Paper records no longer of functional use are moved to strongrooms, empty offices, basements and attics. Electronic records no longer of functional use are deleted or stored in formats which render them unintelligible when new technologies are introduced. Clearly proactive identification and archival analysis of electronic applications in client offices is essential. But the Service's reactive approach to appraisal, and the inadequacy of its contextual analyses, condemned the Service to touching only the tip of the electronic record iceberg. This does not mean, as in a paper environment, that the iceberg will descend on us eventually in a chaos of myriad pieces. It means that the iceberg will never reach us.

By the late 1980s it had become obvious that the State Archives Service's appraisal programme required a major overhaul. However, it took the post-1990 winds of change, the emergence of a transformation discourse in archives, and new leadership to effect it. From 1992, with apartheid barriers beginning to crumble and international isolation ending, the State Archives Service leadership began engaging colleagues within and outside the country in discussion around appraisal. By 1994 there was agreement that a new approach was required which would: (i) draw on cutting edge practice in the international arena; (ii) mesh with new technological realities; and (iii) be appropriate to new societal realities in South Africa. An investigation was launched which reviewed thoroughly existing policy, engaged broader transformation processes in South Africa, studied appraisal programmes in other countries, and secured training for Service staff in the macro-appraisal programme of the Canadian National Archives. This process developed a symbiotic relationship with the parallel consultative process which had been put in place to draft new national archival legislation for South Africa. At the end of 1996 the National Archives of South Africa Act became law, the State Archives Service was replaced by the National Archives, and the National Archives launched a transformed appraisal programme. The policy guidelines for this programme are contained in this document, the Appraisal Policy Guidelines of the National Archives of South Africa.

PART II

THEORETICAL FRAMEWORK FOR THE APPRAISAL OF PUBLIC RECORDS

2.1 Archival value is a composite of several elements:

- Archives/records help to preserve our national memory and historical identity, and are therefore an integral part of our national heritage. This cultural value is especially important in the wake of apartheid, which severely restricted access to information and suppressed both people and their memories.
- Archives/records meet the requirements of public bodies for permanent recorded evidence of their transactions, i.e. archives/ records secure corporate memory. This is especially important in a democracy, where accountability is crucial.
- Archives/records protect enduring civic, legal, property and other rights. Examples are birth, marriage and death certificates, immigration records, records of land transactions, etc. These essential records are always of vital importance, but particularly in the post-apartheid era of restitution.

2.2 Identifying essential records is reasonably straight-forward and, clearly, all essential records must be preserved. The real appraisal challenge lies in identifying other public records which are worthy of permanent preservation for corporate and national memory. At the heart of this challenge is the question of appraisal criteria, i.e. what criteria do we apply in identifying records with archival value? Some theorists argue that these criteria should be rooted in the actual or anticipated usefulness of records to researchers. Others see the long-term accountability requirements of public bodies as the foundation. In contrast, our appraisal policy is firmly rooted in the core archival principle of provenance - records have meaning within the contextual circumstances of their creation and contemporary use. Records are the products of processes involving complex interactions between creators of records (structures, agencies, people), socio-historical trends and patterns (functions, activities, programmes), and clients/customers/citizens. All these elements constitute the dynamic contextual milieu in which records are created. The purpose of appraisal is to secure an appropriate documentary reflection of this milieu. Records which provide the best - the richest, most focused - evidence of this milieu have archival value.

- 2.3 Archival value, then, in the first instance is located not in records but in the processes which underlie their creation. First the archivist must identify the key elements of the contextual milieu (appraisal of processes) and then seek to document them (appraisal of records). In appraising processes before records, the archivist not only targets the records with archival potential - he/she also identifies processes, or aspects of processes, which are poorly documented by the records and which need to be supplemented by collecting activities (private papers, publications, oral history, etc.)
- 2.4 Appraisal of processes operates at four levels:
- The broader societal and governmental processes which shape the operations of the government office being appraised. Here the archivist attempts to determine the importance of the office in its broadest context.
 - The governmental body's functions and structures. The analysis at this level attempts to assess the relative importance of internal branches and divisions. Branches/divisions with archival potential are targeted.
 - Targeted branches/divisions are analysed in terms of their functions and structures. At this level the archivist attempts to identify the records systems with archival potential.
 - Records systems. The goal here is to identify systems with the richest archival potential.
- 2.5 Having illuminated the entire context of the records to be appraised, the archivist turns to the records themselves. The appraisal hypothesis formulated during the preliminary analysis is tested (and modified if necessary) and the records are subjected to the tests of age, uniqueness, authenticity, completeness, extent, fragility, manipulability, and all the other relevant tests elaborated on elsewhere in the policy guidelines.
- 2.6 Obviously it is inadequate to look for the richest, most focused evidence of a given contextual milieu without clarity on the parameters applicable to quantity/volume. How rich is rich? It has been estimated that in the past we have preserved approximately 15% of all public records. This has resulted in our repositories filling up rapidly and our management being caught in the web of a persistent space crisis. With resources shrinking constantly we simply cannot sustain this level of acquisition. Consequently a new target of 5% has been set, i.e. our appraisal programme aims

to secure the preservation of the richest 5% (archivally) of public records. This remains a strategic goal. The results of individual appraisals will vary considerably, e.g. we might preserve 90% of a cabinet minister's records, nothing from a small branch office involved in only routine administration, the whole of a specialised research database, and a 5% random sample from a series of paper-based case files. But in every appraisal the archivist must use the 5% goal as a signpost. Significant deviations must be justified.

PART III

METHODOLOGY FOR THE APPRAISAL OF PUBLIC RECORDS

3.1 Background

The appraisal methodology which is best-suited to our theoretical framework (see part II) can be described as research-based, government wide, strategically planned and top-down. Such an approach is appropriate to modern public records environments. At the end of the twentieth century we are confronted by overwhelming volumes of records, an explosion of information bearing media; new technologies which challenge our definitions of "the record" and pose daunting challenges for archival preservation; functions and records systems which transcend institutional boundaries, even national boundaries; and institutions of great organisational complexity. A research-based, government wide, strategically planned, top-down approach in these circumstances is not merely an attractive option. It is a necessity. This is most obvious in the electronic records environment. Unlike in the paper environment, timely appraisal and disposal arrangements are essential if the loss of archival electronic records is to be avoided. Paper records no longer of functional value are moved to strongrooms, empty offices and basements. Electronic records no longer of functional value are deleted or stored in formats which render them unintelligible when new technologies are introduced. Consequently archivists have no choice but to be involved in the design of electronic records systems to ensure that procedures are put in place to secure the preservation of an archival record. They must, in other words, do the appraisal before records are created. They must appraise processes.

The methodology has been termed macro-appraisal. Fully-fledged macro-appraisal, as it is practised for example in Canada and the Netherlands, demands certain skills, resources and other buildingblocks which we do not as yet have in place. Our approach, outlined below, is a partial application of macro-appraisal.

The object of our appraisal methodology is to identify for acquisition the richest 5% (archival- ly) of public records (see par. 2.6). We do this by issuing general disposal authorities and by dealing with disposal authority applications submitted by government offices. General disposal authorities are those issued on "common" or "standard" public records, i.e. a category or categories of record used by more than one government office,

e.g. financial records, contract files, staff personal files, etc. (see part V). Disposal authority applications, on the other hand, are received from a single government office, and when the authorities are issued they apply strictly to the offices which applied for them. Such authorities fall into two categories:

- Standing authorities. These apply to approved records systems (filing systems, records control schedules, microfilm projects and computer utilisations) in current use. Where appropriate, categories of current records which are not part of approved records systems can receive a standing authority, e.g. a particular office might be given standing authority to dispose of several categories of sound recordings in current use.
- Limited authorities. These apply to records systems or categories of record which are terminated. Such an authority covers a defined accumulation of actual records and cannot be used again after these records have been disposed of in accordance with the authority.

The appraisal methodology to be followed with all authorities - general, standing and limited - is explained in paragraph 3.2 below. For more specific instructions concerning the three types, see paragraphs 3.4.1-3.4.3 respectively below.

3.2 Steps to the methodology

There are three steps to the methodology:

3.2.1 Contextual analysis

- 3.2.1.1 Explain how the government office concerned is positioned in government - is it a sub-office of a government department? is it a departmental head office? how does it relate to other offices within the department? how does the department relate to other departments?
- 3.2.1.2 Describe and assess the functions of the office - what are its functions? to what degree do these functions overlap with those of other offices? to what extent does the office enjoy functional autonomy? at what level are the functions executed (e.g. policy formulation)? assess the functions' significance in the overall context of governance.
- 3.2.1.3 Explain the internal structure of the office, relating it to the office's functions.

3.2.1.4 Describe and assess the importance of all the office's records systems - what systems are in use? how do they relate to one another and to the office's structure and functions? where do/does the records/records system(s) to be appraised fit into this picture?

3.2.2 Appraisal hypothesis

Drawing on the research conducted during the contextual analysis, the archivist must form a hypothesis concerning the overall importance/ value of the records/records system(s) to be appraised and concerning which of the records in particular have archival potential.

3.2.3 Records appraisal

3.2.3.1 In the contextual analysis, the archivist has identified the contextual milieu in which the records were/are being/will be created (see par. 2.2). The appraisal hypothesis connects the records to this milieu - how do they reflect this milieu? what is their overall importance as a documentary reflection of this milieu? which of the records in particular promise to provide the richest, most focused evidence of this milieu? Finally, in the records appraisal the archivist tests his/her hypothesis by detailed analysis of the records themselves. PLEASE NOTE - in all such hypothesis-testing, records are to be spot-checked; there is no suggestion that all or even most records are (or could be) read by the archivist (see part IV for guidelines on taking down appraisal notes). The archivist should use his/her discretion in deciding how dense the spot-checking should be - with approved systems it should be extremely limited; it should be extensive with unapproved systems; and, of course, with systems appraised before implementation (e.g. electronic records systems) there would be no spot-checking. In most cases the archivist will rely mainly on analysis of records classification systems and records descriptions.

3.2.3.2 In the detailed analysis, the archivist subjects the records to the tests of age, uniqueness, authenticity, completeness, extent, fragility, manipulability, and all the other relevant tests elaborated on elsewhere in the APPRAISAL POLICY GUIDELINES.

3.2.3.3 The archivist should pay particular attention to the following:

- The need to be especially alert to the possible presence of essential records (see par. 2.1 and 2.2).
- The special demands presented by case files (see par. 3.5.4).

- The appropriate use of precedents from existing authorities (see part VI).

3.3

Applying the three steps

The three steps outlined above should not be seen as a rigid sequence of processes. While logically the archivist moves from context to text, from general to particular, in practice the boundaries between the steps are blurred:

- In the main, the archivist will rely on published texts and interviews with officials in researching the contextual analysis. However, it is imperative that he/she also utilise the office's records for this purpose - for instance core policy files and records documenting strategic planning, organisational development, restructuring and transformation. Such records provide vital evidence of the office's contextual milieu. Moreover, an assessment of records systems (see par. 3.2.1.4 above) is impossible without examination of certain records within the systems. So, elements of records appraisal (step 3) should inform the contextual analysis.
- The archivist should not wait until completion of the contextual analysis before beginning to formulate an appraisal hypothesis. Throughout the analysis he/she should be conscious of the fact that it will provide the building blocks for the hypothesis and should be working on hypothesis formulation. In practice, then step 2 becomes a bringing together and refinement of raw material prepared during step 1.
- As is explained in par. 3.2.3.1 above, the records appraisal is essentially a testing of the appraisal hypothesis. In most instances step 3 will require a revisiting of step 2. But it might also require a revisiting of step 1 - for instance, records examined for spot-check purposes might provide new information on an office's functions, or might even necessitate revision of conclusions drawn in step 1 concerning the scope and nature of a particular function.

- 3.4 General guidelines regarding the different types of disposal authorities
- 3.4.1 General disposal authorities
- 3.4.1.1 Clearly in the case of general disposal authorities the contextual analysis (see par. 3.2.1 above) should be adapted to the multi-office nature of all such authorities.
- 3.4.1.2 See also part IV.
- 3.4.2 Standing disposal authorities
- 3.4.2.1 Where a full contextual analysis has already been done on an office in a previous authority, it is not necessary to duplicate the analysis. A cross-reference to it should be supplied, and its content assumed for the purpose of the appraisal.
- 3.4.2.2 In the case of revisions and additions, a contextual analysis is unnecessary unless significant changes/developments have taken place.
- 3.4.2.3 The issuing of an authority should be used as a platform for the initiating of submissions covering other records systems of the office concerned. The contextual analysis will have revealed the full range of systems being used by the office. Those not covered by authorities should be targeted for appraisal in liaison with the office concerned, taking into account the resources and priorities of the records management component.
- 3.4.3 Limited disposal authorities
- 3.4.3.1 Paragraphs 3.4.2.1 and 3.4.2.3 above apply here as well.
- 3.4.3.2 Clearly the contextual analysis presents acute problems for the archivist here. Take the example of terminated files dated 1945-1960 of an office which no longer exists. Common sense must prevail in cases like this. The object should be the fullest picture attainable within the practical constraints.
- 3.5 Guidelines regarding specific categories of records
- 3.5.1 Electronic records
- 3.5.1.1 Background
- 3.5.1.1.1 The mainframe computer came into use in South African state departments in the early 1970s and was utilized mainly for specific support functions, e.g. processing of salary data. The

National Archives and Records Service recognized that certain information might exist only in electronic form and that some data might have archival value. The principle was established that electronic records of governmental bodies constituted public records and were subject to the same archival control as records in other media.

- 3.5.1.1.2 Circular No. 1 of 1974 was issued to all offices falling under the Archives Act, 1962 drawing their attention to the fact that records in electronic form as well as source documents and print-outs should be dealt with in terms of the Archives Act. Offices were required to apply for disposal authority by compiling a list for each specific utilization of the computer detailing all the information bearing categories involved, e.g. source documents, punch cards, magnetic tapes and print-outs.
- 3.5.1.1.3 Directive D7 was later issued setting out instructions for the compilation of a list or schedule of computer records, which was to form an integral part of a broader records control schedule for records other than correspondence files. Such a schedule serves as a medium to manage electronic records and regulate their retention in terms of disposal instructions. This requirement is also set out in section 3 of the Archives Instructions.
- 3.5.1.1.4 The advancement of computer technology since the 1970s has seen the introduction of a wide range of computer facilities, including the personal computer, relational databases, electronic mail and imaging. See par. 3.5.1.2 and especially par. 3.5.1.2.7 below for guidelines in other cases.
- 3.5.1.2. Guidelines
- 3.5.1.2.1 Electronic systems become obsolescent within a short space of time. Archival involvement can therefore not be delayed until systems are terminated. Ideally archival appraisal should take place during the design phase of electronic systems. Appropriate procedures for timely provision of archival copies can then be built into systems. Moreover, archival involvement at an early stage can ensure that the contextual information required to give validity to the records is included, especially in correspondence systems (e.g. addressee, sender, reference number, subject, date).
- 3.5.1.2.2 In identifying archival value in electronic records systems, the same theoretical and methodological framework is applied as for all other media. (See part II and par. 3.1-3.4.) However, given the unique medium, the following factors should also be considered by appraisers.
- 3.5.1.2.2.1 Electronic media offer huge storage capacity and the facility to manipulate data for secondary purposes using powerful retrieval processing tools. The potential

therefore exists that records documenting a particular function in electronic format may be accepted for preservation, despite similar records in paper format being rejected. E.g. the electronic version of the personal staff file may be preserved, while similar paper-based files are rejected because of their physical volume and lack of manipulability of the information they contain for secondary analysis.

- 3.5.1.2.2.2 The use of electronic records is dependent upon hardware and software. It is not viable to preserve all relevant hardware and software in an archival environment, particularly as it rapidly becomes obsolescent. It is however necessary to ensure that the functionality of an electronic records system appraised as having archival value can be recreated in the archival environment. As part of the appraisal process, the archivist must determine the most appropriate means of preserving functionality. In some cases data may be acquired in software independent form, together with full documentation specifying inter alia record layout, codes, etc. In other cases, e.g. relational databases, it may be necessary to acquire the software as well.
- 3.5.1.2.2.3 In cases in which the preservation of functionality is not feasible or desirable because of e.g. software dependence or the client office being better placed to provide user services, preservation in the client office rather than an archival repository should be considered.
- 3.5.1.2.3 In the case of electronic correspondence systems, the following guidelines apply. All correspondence should be conducted using a functional subject classification system approved by the National Archives and Records Service. Disposal authority should be obtained on the classification system and be applied by the client office. The National Archives and Records Service must decide on the appropriate medium or format in which records should be preserved for archival purposes.
- 3.5.1.2.4 Image data created by means of electronic scanning cannot be preserved archivally because of the lack of industry standards for optical storage media, their dependence on specialized hardware and the high risk of errors making data unreadable. Offices may utilize electronic scanning at their own discretion, but arrangements must be made to supply the National Archives with copies of the records appraised as having archival value in an archival medium. E.g. in the case of correspondence, the conventional subject files including both incoming and outgoing correspondence must be maintained in chronological form.

- 3.5.1.2.5 In the case of databases which are continually updated and amended, the possibility of acquiring "snapshots" at specific intervals may be considered.
- 3.5.1.2.6 In all cases where electronic records are recommended for preservation, care should be taken to ensure that the appropriate metadata¹ is identified, documented, and transferred for archival custody together with the electronic records.
- 3.5.1.2.7 The prototype schedule in Directive D7 is not necessarily suitable for all systems. Thus the precise manner of scheduling should be negotiated with the client office. In some cases, an explanation of the purposes of the system and the technology used may be adequate.
- 3.5.1.2.8 There may be cases in which electronic records which have been appraised as having archival value would best be preserved in the office of origin, rather than being transferred into archival custody. Reasons might include the high cost of transfer or technical considerations; the continuing or long-term operational need that the office of origin has for the records; the ability of the office of origin to provide better reference services than the archives repository; or the existence of statutory provisions which prevent transfer to archival custody. Where a records management component believes that leaving the electronic records concerned in the permanent custody of the office of origin is appropriate, it should liaise with the Committee for the Management of Electronic Records (COMMER) for advice and guidance in drafting an agreement. The following are examples of categories of electronic records which may be more appropriately preserved in the office of origin.
- 3.5.1.2.8.1 Cumulative, longitudinal systems and records where by definition no data deletion, erasure or replacement occurs.
- 3.5.1.2.8.2 Bibliographic or cataloguing systems or records, where the first point of access would never be an archives repository because the latter would only hold an incomplete version of the system.

1. Data describing data and data systems; that is, the structure of databases, their characteristics, location and usage (Compare: "meta information" = information about information).

3.5.1.2.8.3 Data where the creating institution has as its own operational requirement the provision of extensive and elaborate reference service, and has the willingness to provide such services in a manner that an archives repository cannot match.

3.5.1.2.8.4 Cases where it is not technically feasible or cost effective to acquire a version of the record for archival custody,

3.5.1.2.8.5 Data where institutions for whatever reasons (security, sensitivity) refuse to transfer the record to archival custody, at least until the expiry of a lengthy retention period. This situation should not be supported unless one of the other circumstances noted above is also present.

3.5.2 Micrographic projects

3.5.2.1 Background

Usually when an office wants to microfilm records they also want to destroy the original records. Section 13(2)(b)(ii) of the National Archives and Records Service of South Africa Act, 1996 stipulates that the National Archivist should determine the conditions subject to which records may be microfilmed. The Act also stipulates in section 13(2)(a) that no destruction or alienation of records microfilmed or the microfilms themselves may be undertaken without the written permission of the National Archivist.

This implies that:

- a) approval must be obtained to microfilm public records; and
- b) a disposal authority must be obtained for the original records as well as the microcopies thereof.

Whenever an office applies for the approval of a microfilm project it is dealt with as set out in the following guidelines:

3.5.2.2 Guidelines

3.5.2.2.1 Appraising the original records and the microcopies thereof

Applications for disposal authority are registered and completed as set out in part VII. The appraisal of original records and the microcopies thereof does not in nature differ from appraising any other paper based records even though the existence of multiple copies does seem to complicate matters.

By employing the appraisal methodology as set out in par. 3.1-3.4 above, the appraiser can come to one of the following decisions:

a) Preserve both the original records and the microcopies

If the information contained in the original records is so important that its destruction can be catastrophic and a microcopy was made to prevent it from being lost, both the original and the microcopy should qualify for permanent preservation.

The appraiser would then recommend as follows:

Original records: A

Microcopies:

Master copy: A

Security copy: A

Working copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

If the records are of such a nature that it is best to leave them at the office of origin the disposal instruction for the originals, the master copy and security copy would be AP (e.g. survey records; deeds; birth, marriage and death registers).

The conditions that the National Archivist will determine are contained in annexure 1.

b) Destroy the original records and preserve the microcopies

Some records are of a format which causes difficulty in handling (e.g. large maps and plans) and/or are so voluminous that they necessitate large and expensive storage facilities. They are then microfilmed to make them available in a more convenient format and/or to alleviate accommodation problems.

Given the fact that the archives repository also experiences acute space shortages and is not properly

equipped to handle these kinds of originals, it might be best to preserve the microcopies instead.

The appraiser would then recommend as follows:

Original records: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Microcopies:

Master copy: A

Security copy: A

Working copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

If the records are of such a nature that the office of origin might need them functionally for a very long time, both the master copy and the security copy would receive an AP disposal instruction.

The conditions that the National Archivist will determine are set out in annexure 1.

c) Preserve the originals and destroy the microcopies

If the original records are of such an archival nature that the preservation of a micro copy thereof would not be sufficient evidence of the process of governance, the original records should be preserved.

The appraiser would then recommend as follows:

Original records: A

Microcopies:

Master copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices

financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Security copy: To be disposed of by the client office. Retention periods should 20 be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Working copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

The conditions that the National Archivist will determine are set out in annexure 2.

If an office microfilmed archival records for the purposes mentioned in par. b), but did not comply to the SABS code and the archival quality of the microcopy is doubted, it is best that the original be preserved.

d) Destroy both the originals and the microcopies

When non-archival records are microfilmed (e.g. motor vehicle registration documentation), the appraiser will recommend as follows:

Original records: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Microcopies:

Master copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Security copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

Working copy: To be disposed of by the client office. Retention periods should be determined by the client office, taking into account the offices financial accountability, functional needs and any other legislative requirements that these records must satisfy.

The conditions that the National Archivist will determine are set out in annexure 2.

3.5.2.2.2 Approving the micrographic project

The application for approval of the micrographic project should be submitted in the format indicated in annexure 8 of the Archives Instructions.(If the office did not submit an application in that format, they should be requested to do so.)

3.5.2.2.2.1 Drafting the report

The appraiser uses the information in the application form to draft a report in which the merits of the project are discussed and the specific conditions which should apply to the specific project are recommended.

The following guidelines should be used when drafting the report:

Introduction

All important information regarding the application is given i.e. details concerning the application, details of liaison with the office applying for approval, etc.

Description of project

Discuss the specifics regarding the type of microfilm and the number of copies produced. Give details regarding the operation of the project i.e. who undertakes the photography/ processing? who keeps the master copies and why?

Identification and disposal position of all elements

Describe the nature and medium of the original records. Give details regarding the disposal decision that was taken. Describe the nature of the disposal decision reached regarding each copy of the microcopy.

Project Areas

Preparation

Give details regarding special preparations needed i.e. restoration of originals, etc.

Processing

Give details regarding the company doing the photography/processing and/or special preparations.

Control

Give details regarding the following:

Who checks the film for completeness?

Who does the quality control?

Who ensures long term quality for archival purposes?

Who monitor the storage facilities?

Places of custody

Give details regarding where the different copies of the microcopy are kept and why they are kept there.

Commentary

Discuss the reasons why the records are being microfilmed.

Conditions

Set the conditions (contained in annexure 1 or 2) applicable to each case.

3.5.2.2.2.2 Finalizing the report

The report must be carefully proofread before being submitted.

The report consists of the following sections and should be put together in this sequence:

- a) Approval sheet (see annexure 4)
- b) The introduction
- c) Description of project
- d) Identification and disposal position of all elements
- e) Project Areas
 - Preparation
 - Processing
 - Control
 - Places of custody
- f) Commentary
- g) Conditions
- h) Application form
- i) Applications covering letter
- j) Any other correspondence.

Everything is kept together in the approval cover.

3.5.3 Cartographic records

(NB: All items pre-dating 1910 must be preserved.)

3.5.3.1 Background

3.5.3.1.1 Nature of the disposal instructions

3.5.3.1.1.1 This disposal instruction applies to both standing and limited disposal authorities. Different categories of disposal instruction apply to the two types:

a) With regard to standing disposal authorities:

AP : Preserve permanently in the client office until functional value has lapsed. Thereafter transfer to an archives repository.

APL : Preserve permanently in the client office until functional value has lapsed. Thereafter submit a list of items to the National Archives and Records Service for selection. Letters of authority must inform client offices that the nature of the list will be determined by the National Archives and Records Service only after functional value has lapsed. (See also par. 3.5.3.1.1.3 below.)

DP : Preserve in the client office until functional value has lapsed. When determining retention periods the office's financial accountability, functional needs and any other legislative requirements that these records must satisfy should be taken into account.

b) With regard to limited disposal authorities:

A : Preserve.

AS : Make a choice (select) from available A-material.

D : May be disposed of by the client office when the functional value has lapsed. When determining retention periods the office's financial accountability, functional needs and any other legislative requirements that these records must satisfy should be taken into account.

3.5.3.1.1.2

The APL and AS disposal instructions

- a) Inflexible guidelines for appraisal procedures concerning material covered by the APL and AS disposal instructions are undesirable. A lack of clarity in description by client offices, with a consequent diversity of terms for the same material, as well as the factors discussed below, must be taken into account. These disposal instructions simply indicate that the material described in this guidelines does possess potential archival value. The appraiser must judge each individual case on its own merits, taking into account the following factors:
- The volume of the material concerned;
 - Has the material been duplicated on another medium by the client office? If so, are there compelling reasons for the National Archives and Records Service to preserve duplicates?;
 - Are duplicates of the same material also in the custody of another client office, e.g. PWD building plans which are duplicated in local authorities for security reasons;
 - What medium/media is/are involved? If microform, it must be established whether or not SABS Code 0141/88 is being applied, if a retrieval system is available, and what hardware the National Archives and Records Service would need to secure retrieval? (See also par. 3.5.3.1.2.1).
- b) The APL and AS disposal instructions indicate that the appraiser must in all cases decide on an appropriate and possibly unique approach. One of the following will be the result: the preservation of a complete series; the destruction of a complete series; the selection of a part or parts of a series for preservation; or the drawing of a sample from a series for preservation.

3.5.3.1.1.3

The nature of the list associated with the APL disposal instruction is not specified. Each case should be judged on its own merits. Depending on the type of cartographic material concerned, either an item-for-item list or a list of category descriptions can be requested. In all cases it must be determined whether registers/indexes/ other finding aids exist which can be submitted as a list. The following information must be included in an item-for-item list: item number, scale, description, date, and any other

information which the appraiser regards as necessary to enable him/her to appraise the material effectively.

3.5.3.1.2 Nature of the information bearing media

3.5.3.1.2.1 If duplicate series are available on both microform and paper, the microform will be preferred for preservation if SABS Code 0141/88 is observed. If the microform is not created and stored in accordance with the Code, the paper record must be preferred. The latter includes copies on plastic film or other substitutes for paper, but not photographic reproductions.

3.5.3.1.2.2 Where client offices are considering, or have already implemented, electronic (i.e. computer) cartographic systems, disposal of the paper and/ or electronic media must be assessed in terms of current National Archives policy on electronic media.

3.5.3.2 Guidelines

- a) Maps, plans and engineers' drawings which show the layout and development of rural and urban areas: APL/AS.
- b) Layout, contour and statistical plans/maps, and engineers' drawings of urban land use and development, and essential and community services (including house numbers and condition of buildings plans; publicity and street maps sold to the public): APL/AS.
- c) Detailed plans and engineers' drawings of urban land use, development and essential and community services (including individual connections): DP/D.
- d) National Monuments (declared or preliminarily declared, i.e. under consideration): AP/A (all categories of plans).
- e) Places of worship (churches, synagogues, mosques, temples, etc.): AP/A (all categories of plans).
- f) Line function buildings and structures:
 - Recurring types of buildings and structures, e.g. houses, other places of residence, magistrates' courts, police stations, post offices, housing schemes, garages, sub-stations, bridges, reservoirs, fire stations, hospitals, business centres or complexes, civic centres, bus terminals, entertainment centres e.g. State Theatre, etc.: APL/AS.

- Detailed plans, e.g. plans of window sills, door handles, etc., as well as subordinate building works as defined in the National Building Regulations and Building Standards Act, 1977 (Act 103 of 1977): DP/D (those of prestige buildings like e.g. the Union Building, Oldand New Reserve Bank, etc.: AP/A (see also par. i)).
- g) Support function buildings i.e. administrative offices, stores, etc.: DP/D (unless the appraiser has a good reason for motivating preservation).
- h) Dual use offices: If a building serves a dual purpose, e.g. an office block incorporating a civic or entertainment centre, or a hospital, it must be assessed in terms of its status as a line function building.
- i) Site, structural and floor plans, views and cross-sections of buildings and structures: APL/AS (preserve those of plans which qualify for preservation in terms of par. d-h).
- j) Foundation plans: APL/AS (preserve only where basements or specific unique features occur).
- k) Roof plans: APL/AS (preserve only where gables, lofts, etc. occur).
- l) Prestige buildings: detailed plans: AP/A (see also par. f).
- m) Sites of big complexes like airports and military bases: site plans, views and construction plans: AP/A.
- n) Composite plans: Composite plans (i.e. those made up of more than one element) containing A and D elements must be assessed on the basis of their A elements.
- o) Furnishing and decorations:
 - drawings and plans of specially designed furnishing and decorations:
Views: AP/A.
Finer detail: DP/D.
 - Routine (recurring) office furnishing and decoration: DP/D.

p) Detailed and structural plans of construction work:

- Detailed plans of e.g. the thickness of steel in constructions, casings and altimeters in reservoirs, etc.: DP/D.
- Structural and construction plans of bridges and other large constructions: APL/AS.

q) Aerial photographs and flight plans: APL/AS.

3.5.3.3 Finding aids

The finding aids of cartographic material which has received an A20 disposal instruction automatically also receive an A20 disposal instruction. They must be transferred together with the material.

3.5.4 Case Files

(This guideline does not apply to series of case files of a very ephemeral nature, which frequently occur in the support series.)

3.5.4.1 Investigation

3.5.4.1.1 When a series of case files is investigated and it appears that the nature, contents and extent of the files do not unquestionably warrant their preservation, but the preservation of synoptical information about the cases is necessary for archival purposes, the annual reports of the office concerned (or other reports/sources) must be examined for such summarised information.

3.5.4.1.2 Values that case files may have other than the primary reason for which they were created, should be considered. Pensioners' files may contain socio-economic details concerning a population group; business licence files may provide a picture of the economic development of an area. Not so much the value of the individual file but the information obtainable from the whole must be assessed, especially when the series covers a long period. The possibility of sampling should also always be considered.

3.5.4.1.3 If the series of case files covers several years, a selection of annual reports (or other reports/ sources) should be requested to establish to what extent they summarise the information about the period and to what extent the form and extent of reporting changed through the years. The annual reports (other

reports/sources) should be requested together with the example files selected for investigation.

3.5.4.2 Appraisal report

3.5.4.2.1 In discussing and justifying the recommendations for the case files, as discussed above, mention must always be made of what the examination of the annual reports (or other reports/sources) revealed. By the nature of things this will always form part of the justification for the recommendation. See also par. 3.6.2.1.

3.5.5 Support functions at state departments

A key element of macro-appraisal is the identification of processes which shape the operations of all governmental bodies and which overlap with those of other offices. Such processes are documented in the support function series of the record systems of almost every state department.

Support functions are those which sustain the infrastructure of a department and enable it to perform the line functions which they are by law compelled to. Examples of support functions are: financial control, accommodation, stores, staff management, purchase of equipment, etc.

However, in the overall structure of government there are offices which are by law empowered to perform support functions as line functions. Examples of such offices are: Department of Finance, Department of State Expenditure, Office of the Auditor-General, Office of the Public Service Commission, Department of Public Service and Administration and the Department of Public Works. It is in the records of these offices that the core documentation of support-related processes are to be found.

These offices determine the policy and minor implementation regarding inter alia financial control, staff matters, accommodation and stores, while the other state departments only do the routine execution of the functions.

Due to the routine nature of the documentary residue of these functions in the records systems of other governmental bodies, support function records generated by these bodies are thus only preserved in exceptional circumstances.

3.5.6 Records of non-governmental bodies received by local authorities

3.5.6.1 The agendas, minutes reports, etc. received by a local authority from a national or provincial non-governmental body are to be preserved only as set out below.

3.5.6.2 The cities at which the documentation is to be preserved, are:

<u>NORTHERN PROVINCE</u>	<u>MPUMALANGA</u>	<u>GAUTENG</u>	<u>NORTH WEST</u>
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Pietersburg	Nelspruit	Pretoria	Potchefstroom
Warmbad	Witbank	Johannesburg	Klerksdorp

<u>FREE STATE</u>	<u>KWAZULU-NATAL</u>	<u>NORTHERN CAPE</u>	<u>WESTERN CAPE</u>
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Bloemfontein	Durban	Kimberley	Cape Town
Kroonstad	Pietermaritzburg	Upington	Bellville

EASTERN CAPE

Port Elizabeth
Bisho
Umtata
Aliwal-North

3.5.6.3 Where a local authority has separate filing systems and records control schedules, such documents dealing with municipal affairs in general are to be preserved with the Town Clerk, while others are preserved at the department concerned, e.g. Municipal Staff, Municipal Health, etc.

3.5.6.4 Agendas, minutes, reports, etc. of regional non-governmental organisations are dealt with as follows:

3.5.6.4.1 Local authorities are to be requested to submit a complete return of all the files opened according to 12/2/2 of PAA5 (or the equivalent thereof in their system) together with their filing system when applying for disposal authority.

3.5.6.4.2 The records management component must complete an index card with the following details for each regional organization for which an A20 disposal instruction has been issued:

a) name of regional organization;

- b) name of local authority;
- c) authority number;
- d) date on which the authority was issued.

3.5.6.4.3 The index cards are to be kept together as a source of reference.

3.5.6.4.4 When disposal authority is issued on subsequent systems, the regional organizations concerned should be checked against the source of reference. In the case of regional organizations for which no entry exists, an A20 disposal instruction is allocated in that system and the appropriate index card is completed. When an A20 disposal instruction already occurs for a regional organization, the authority number serves as reason why the records are not recommended for preservation.

3.5.6.4.5 The following deviation applies in KwaZulu-Natal:

3.5.6.4.5.1 In Natal it is the policy that minutes, reports and policy decisions of regional organizations as indicated in 12/2/2 in PAA5, be preserved at the local authority which is the seat of the Joint Services Council (JSC).

3.5.6.4.5.2 The system of joint services councils also applies to KwaZulu. The JSC seat for KwaZulu is Ulundi. This means that the minutes, reports and policy decisions of regional organizations in the Zululand region will be preserved in the archives of the Ulundi local authority and not distributed and duplicated among the approximately forty local authorities in the Zululand region listed in Ordinance No. 49, 1991.

3.6 Drafting the appraisal report

3.6.1 Background

3.6.1.1 Next to the investigation of the documents themselves, the drafting of the report is the most demanding task. The professional standards an official achieves and maintains in writing reports will determine whether he or she will stand or fall as an appraiser. The aim should be to write a report in which the recommendations are convincingly and conclusively justified without becoming long-winded, e.g. a file-by-file description, or without going to the other extreme, viz. dangerous generalisations suppressing essential details. By the nature of things a uniform scheme or formula for drawing up reports cannot be prescribed. The official conducting the investigation, who has come to know the records and their nature at first-hand, will be the person best

qualified to devise a scheme (categorisation) by which the contents of the records are discussed and the recommendations justified.

3.6.1.2 An official will set himself high standards, apply self-criticism, view his report critically and even rewrite it to improve it. At the outset the composition of an appraisal report may be difficult, but as the official begins to grasp the methodology - which he or she should master as soon as possible - drafting becomes easier and the work should flow faster.

3.6.2 Guidelines

Set out below are a number of guidelines to be followed in drafting reports.

3.6.2.1 The introduction to the report

In the introduction all important background information to the appraisal is given - details concerning the application, problems experienced with the submission, details of liaison with the office applying for authority, relevant information concerning the research done, etc.

3.6.2.2 Contextual analysis

This section of the report provides the broad context for the records analysis. See paragraphs 3.2.1, 3.4.1.1, 3.4.2.1, 3.4.2.2, 3.4.3.1 and 3.4.3.2.

3.6.2.3 Appraisal summary

Here the archivist provides an overall assessment of the records' importance/value, summarises the main features/recommendations of the records analysis, and addresses relevant general aspects, eg. the use of precedents, the approximate proportion of the records recommended for preservation (see par. 2.6 and paragraphs 3.2.2 and 3.2.3.1).

3.6.2.4 Records analysis

3.6.2.4.1 Motivating preservation

In the past we motivated items for preservation (A20) and items for destruction (D). Every item on a schedule was marked with one or other disposal instruction. While this practice facilitated

systematic disposal, it possessed several drawbacks:

- (i) In macro-appraisal the objective is to identify the richest, most focused evidence of process for archival preservation. The thrust of the motivation is focused on what should be preserved. This, of course, should embrace analysis of what will not be preserved, but, at a conceptual level, does not include motivation for destruction.
- (ii) The practice is both unnecessary and time-consuming.
- (iii) Strategically, it is unwise. External readers of appraisals will receive the wrong message. Rather than seeing us searching out the best archival record we can afford to preserve, they will see us authorising wholesale destruction of public records.
- (iv) In terms of the new Act, we authorise disposal other than transfer to an archives repository. In other words, our authorities should distinguish between material for transfer and material which can be otherwise disposed of (kept permanently in a client office's "archives", donated to some other institution, erased, converted, destroyed, etc.).

In the light of the analysis above, the following guidelines should be followed:

- (i) Appraisal motivations, while embracing all the records being appraised, should concentrate on what is being recommended for preservation. Motivating for destruction must be avoided.
- (ii) The use of D disposal instructions in issuing authorities should cease. In other words, we will simply indicate the items we want for archival preservation with an A (in most cases A20, although the standard variations remain permissible). The client office must be informed in the letter of authority that the rest of the items can be disposed of as they wish, taking into account financial accountability, functional needs, constraints imposed by impending Open Democracy legislation, the requirements of other relevant legislation, etc. They must also be advised on the need to allocate specific disposal instructions to these items.

3.6.2.4.2 General observations

In discussing the contents of records care should be exercised to obtain the right choice of words, meaningful complete sentences, spelling, punctuation, correct abbreviations, and in Afrikaans the separation and agglutination (joining together) of words, the correct/consistent use of capitals. Avoid clichés and generalisations. For instance, it should be noted that the contents of files are discussed, not the files themselves. One would not, for instance, write about a particular file, say 17/2/1 Permits: "The files deals with the issue of permits". It would be correct to write: "On the file individual applications for the routine issue of permits are dealt with. They consist of applications, assessment forms, copies of permits issued and isolated associated correspondence such as reminders, requests for additional information, affidavits, etc." To this must be added the evaluation of the group of permit files. The first decision to be taken is whether the matter itself is of importance, e.g. permits for whites to enter black areas. If the answer is yes, the next question is: Is it necessary to keep the cases themselves, or will statistics be sufficient? If the former, this must be justified; if the latter, the place where the statistics are available must be precisely indicated, e.g. another series of files, annual reports or publications of Statistics SA, and an opinion should be expressed as to the comprehensiveness of the statistics. (See par. 3.5.4.) In evaluating and justifying, one should avoid assuming that the reader shares the appraiser's knowledge. The discussion should be argued as fully as necessary. It is, for example, meaningless to justify as follows: "File B12/6 contains a memorandum with appendices on the electrification of trolley-buses and is recommended for preservation". The following two justifications are more acceptable: (a) "File B12/6 contains a memorandum with appendices in which the office sets out and recommends a comprehensive trolleybus electrification system as a counter to the energy crisis. It is addressed to the Administrator and is recommended for preservation". Or: (b) "File B12/6 contains a memorandum with appendices about trolley-bus electrification forwarded to the office for information and did not lead to any action. It is recommended for destruction".

3.6.2.4.3 Terminated correspondence files

The first problem to confront the reporter is that he/she has to discuss an extensive list of files purposefully. An easy and safe way out seems to be a file-by-file discussion. Such a report is unacceptable, for it usually results in a long, necessarily repetitive, report, lacking a general approach. A few examples to illustrate this situation:

- 3.6.2.4.3.1 Scattered amongst a list of some 2000 files are files on which newspaper-cuttings of particular matters are collected. On investigation, those files will be retained in any case. Now, it will be much better to refer to the appearance of the files under one heading and give a simple evaluation, e.g. that they conveniently collect together public reaction to matters dealt with by the body. One single recommendation is then made, to wit: preserve the files throughout, rather than to have to repeat it every time such a file is encountered;
- 3.6.2.4.3.2 scattered throughout the list are files containing minutes, those of the body itself, of its sub-offices and of other bodies, to some of which action follows and to others not. It is better to identify the four types under one heading and then give one single evaluation and disposal proposal;
- 3.6.2.4.3.3 scattered throughout the list are files bearing on three activities the body performed during similar repetitive events, e.g. a strike: in one series are the files reflecting the notification of the strike - one file per strike; in a subsequent series the files representing the reports and minutes of investigation after each strike, and in a further series short reports representing the time, place, parties, reasons and final conclusion. Rather than treat the strike files in the series in which they appear, say for the sake of argument series 7, 15 and 22, strikes are collected together as a separate subject, the activities of the body and the resulting documentary residue described, each evaluated against the others, and a disposal proposal arrived at. If each strike was to be discussed file-by-file, it would give rise to a long, unwieldy disquisition. The mass of detail would be sufficiently confusing to handicap the appraiser in finally formulating a definite point of view as to what the approach to strikes was. This recommended method has the advantage that the appraiser can conclude his final evaluation by recommending for destruction, say, strikes about salaries but recommending for preservation those about workers' representation on committees. Thus he justifies his standpoint once only, instead of repeatedly;
- 3.6.2.4.3.4 It is established that in a list of 2000 files there are 81 small series. Rather than discuss the 81 small series separately you establish that the body performed three main activities only:
- assistance to needy farmers;
 - settlement of intending farmers;
 - technical advice about farming.

Now all 81 sub-series are divided according to this. A decision is then taken in regard to which activities deserve preservation and which destruction with a single evaluation uncluttered by excessive detail of the individual cases.

The only solution is to classify as explained in the examples 3.6.2.4.3.1 - 3.6.2.4.3.4 above. In this respect the list may supply a key, provided a system of any significance was applied in numbering the files. If the list does not present a solution, an artificial classification will have to be resorted to in order to bring like files together. In classifying, the aspect of evaluation and justification must be borne in mind, since classification, evaluation and justification are not actions or steps necessarily independent of one another, but influence one another mutually. So, for instance, the classification of files into support and line functions is undertaken because it holds the advantage that, since documents about support functions occur in all offices and precedents exist already, evaluation and justification is easier and more succinct. If the extent of the support function files is great, classification will have to be taken further. Thus, for example, the more important support functions, viz. legislation and organisation, will have to be evaluated and justified more penetratingly, while less space need be devoted to the less important support functions, viz. finances, supplies and staff, and they may possibly be discussed together.

If the filing system does not provide a framework for discussing the line functions, categories will have to be created from the subjects/functions/ cases/forms, etc., presented by the headings/ contents of the files. For classification of the line functions further reference can be made to the examples quoted in pars. 3.6.2.4.3.1- 3.6.2.4.3.4 above.

3.6.2.5 Approved filing systems

3.6.2.5.1 Since the approved filing system itself offers meaningful categories (main series and sub-series), it can be utilised as a basis for presenting a report. This does not mean the main series have to be discussed slavishly series by series. If justification exists, more than one main series can be discussed together - as, for example, in the case of the less important support functions main series. By contrast, a sub-series can require an exhaustive and penetrating discussion if this is needed for the evaluation and justification. Thus, for instance, it may be necessary to give a background to the status and functions of a committee; mention duplication/ publication of information; or justify deviating from a particular appraisal principle/precedent, etc.

3.6.2.6 Records other than correspondence files

3.6.2.6.1 Requirements for drafting reports on correspondence files apply to those on other categories of records as well.

3.6.3 Finalizing reports

3.6.3.1 A report must be carefully proof-read and elegantly rounded off before being submitted. The report consists of the following sections and should be put together in this sequence:

- a) An approval sheet
- b) The introduction
- c) Contextual analysis
- d) Appraisal summary
- e) Records analysis
- f) Records system or list of records
- g) Any other documents
- h) The applicant's covering letter submitting the list.

3.6.3.2 Where necessary, these documents should be stapled together. If the list or documents mentioned above, are too bulky, they can be kept separately from the rest. Everything is kept together in the authority cover.

PART IV

TESTING THE APPRAISAL HYPOTHESIS : DIRECTIONS FOR TAKING DOWN APPRAISAL NOTES WHEN EXAMINING CORRESPONDENCE FILES

- 4.1 In the records analysis phase of a macro-appraisal the archivist tests the appraisal hypothesis by doing spot-checks on the records themselves. These spot-checks are recorded in appraisal notes.
- 4.2 In formulating appraisal notes the following aspects should be borne in mind:
- 4.2.1 Since a file usually contains many documents, a time-consuming document-by-document summary should be avoided.
- 4.2.2 The method to follow is to draw up a summary of a group of documents referring to one matter or to one aspect of a matter.
- 4.3 The summary of a group of documents should contain all the necessary information, so that the reasons for the disposal can be based on it. It should therefore be unnecessary to refer back to the file concerned for further information. The following information is of primary importance: form of the documents; subject; activity; creator and movement of the documents. (Memorise FORSMAC.) Cf. the following example:
- | | |
|-----------------------|---|
| Form of the document: | "Original reports" |
| Subject | : "Comments on Soil Erosion Act" |
| Movement | : "From Regional office to Head office" |
| Activity | : "Submission of comments" |
| Creator | : "Regional offices" |
- 4.4 Should a file contain more than one group of documents, all the various groups are to be summarised.
- 4.5 While taking down appraisal notes, attention should also be paid to the cases mentioned in par. 3.2.3.3.
- 4.6 N.B. The appraisal notes are to be kept permanently - the Head of the Records Management Component shall decide how and where.

- 4.7 Appraisal notes are not only used in hypothesis testing, but are a handy tool to be used while doing inspections on approved filing systems maintenance. Notes thus created, however, need not be kept permanently. When the inspection report is finalised they may be destroyed (General Disposal Authority No. AT 2).

PART V

GENERAL DISPOSAL AUTHORITIES

- 5.1 Background
- 5.1.1 General disposal authorities are those issued on "common" or "standard" public records, i.e., a category or categories of records used by more than one governmental body, e.g. financial records, contract files, personal staff files, etc.
- 5.1.2 The issuing of general disposal authorities is founded in the fact that archival value in the first instance is not located in records but in the processes which underlie their creation.
- 5.1.3 A key element of the macro appraisal process is the identification of processes which shape the operations of all governmental bodies and which create records which are common to all governmental bodies. This done, a decision is made as to where the richest most focused evidence of this process(es) is/are located and a general disposal authority is issued to dispose of the common records at all other levels.
- 5.1.4 Governmental bodies are informed of the existence of general disposal authorities to enable them to regularly dispose of records covered by such authorities. When applications for disposal authorities are received on records which are fully covered by general disposal authorities that were notified, the applications are not registered as applications for disposal authority. The offices are only informed of the existence of the general disposal authorities.
- 5.1.5 A list of general disposal authorities issued to date is attached as annexure 5.
- 5.1.6 Annexure 6 contains general disposal authorities that are being used as internal precedents to issue standing disposal authorities to offices that apply.
- 5.1.7 See Part VIII par. 8.5.

PART VI

UTILISATION OF EXISTING AUTHORITIES

- 6.1 The finalization of applications for disposal authority can be speeded up in many cases by utilising authorities already issued bearing on similar records. This also ensures consistency.
- 6.2 In all cases the finding aids to existing authorities should be consulted before commencing finalization of an application in order to determine whether an existing authority has already been issued on similar records. If so, the existing authority is to be utilised in the authority as a precedent, quoting its number.
- 6.3 Whenever an authority is used as a precedent, it should be fully described and its relevance explained. Older authorities in particular should be subjected to critical analysis before being considered for use as precedents.

PART VII

PROCEDURES REGARDING THE REGISTRATION, COMPLETION AND INDEXING OF DISPOSAL AUTHORITIES AND MICROGRAPHIC PROJECTS

- 7.1 Procedures regarding disposal applications
- 7.1.1 All applications for disposal authority are registered in an applications register. This has a dual purpose in that it enables the retrieval of information regarding the application(s) and it also serves as a control mechanism to monitor the completion of such applications.
- 7.1.2 The following details are indicated in the applications register (see annexure 9 for an example).
- application number (applications receive consecutive numbers);
 - exact details regarding the office where the record originated;¹
 - the types of records and the periods they cover;
 - reference number and date of the covering letter under which the application was received;
 - the outline of the authority number that will be allocated when the application is completed;
 - details regarding the official to whom the application is referred for attention.
- 7.1.3 The application is then placed in a folder. A Z20 cover (obtainable from registry) is used for this purpose. The following details are indicated on the cover (see annexure 10 for an example).
- name of the office and sub-office;
 - type of records and period they cover;

-
1. If records that were transferred from one office to another were not terminated but built upon by the offices taking over the functions the office that last built upon such records is considered the office of origin.

- application number;
 - outline of the disposal authority number.
- 7.1.4 A route sheet (annexure 11) is attached to the front of the cover. The application is then handed over to the investigating official, who applies the appraisal methodology elaborated upon elsewhere in these guidelines as well as the specific guidelines given by his/her supervisor.
- 7.1.5 When the investigation is completed, the documents are placed in the cover in the following order from bottom to top:
- application
 - any other correspondence conducted during the investigation
 - schedules
 - report and submission.
- 7.1.6 The application is then passed on to the supervisor who examines it. From the supervisor the application is then passed on to the next person on the route sheet until it reaches the National Archivist for approval.
- 7.1.7 After being approved by the National Archivist the application is then passed back to the investigating official for completion.
- 7.1.8 At this stage an authority number, is allocated. Authority numbers are allocated by using the guidelines set out in Part VIII. After allocating an authority number the application is signed off in the applications register by completing the disposal authority number column and adding the date upon which the number was allocated.
- 7.1.9 The investigating official then writes the letter of authority.
- 7.1.9.1 Before the letter of authority is sent off to the supervisor, it should be carefully checked by the official concerned. Care should be taken that the name of the official who conducted the investigation appears opposite "enquiries", that the file reference and the authority number are correct and that the disposal instructions are correctly entered on the outgoing list. Depending on circumstances, the file copy should either be filed or pended with an indication of the pending date. A "pend" case should also be diarised for follow-up by the official concerned.

- 7.1.9.2 Annexures accompanying the outgoing letter should, where possible, be firmly stapled to the outgoing letter of authority. If that is not possible, they should be so attached to the letter of authority that they cannot become detached.
- 7.1.9.3 The packet to be sent to registry should contain clear instructions as to which documents are to be sent off, to whom they are to be sent, which documents are to be filed, and on what file.
- 7.1.9.4 The official then ensures that the information in the folder is still in the correct order and that a copy of the letter of authority is filed on top before the cover is sent to the supervisor.
- 7.1.10 When the supervisor has confirmed the correctness of the letter and annexures it is sent to the Head: Records Management to sign.
- 7.1.11 The authority is then passed on to the official responsible for the indexing of the authorities. Indexes of all authorities issued are kept to enable the retrieval of information regarding disposal authorities issued in the past.
- 7.1.12 The following details are indicated in the authority register (see annexure 12 for an example):
- The authority number.
 - The name of the office of origin.
 - The name of the office submitting the application.
 - Reference number and date of the letter of application (application number between brackets).
 - The reference number and the date of the letter of authority.
 - The type of records, to be described as follows:

<u>Limited authorities</u>	Standing authorities
Terminated correspondence files	Approved filing system
-	Amendments and additions to approved filing system
Terminated other records	Records control schedule
-	Amendments and additions to records control schedule
Terminated case files	Separate case files
-	Schedule of electronic records
-	Micrographic projects

7.1.13 After being indexed the authority is then filed in numerical sequence in the correct box in the authorities room.

7.2 Procedures regarding micrographic projects

7.2.1 When an office applies for approval of a micrographic project it is registered in the micrographic projects register. Applications from state departments receive a MFS number and applications from local authorities and provincial administrations a MFP number. The following details are indicated in the register (see example in annexure 13).

- a) MFP/MFS number
- b) Name of office
- c) Description of records
- d) Date of registration
- e) Disposal application number
- f) Disposal authority number and date allocated.

- 7.2.2 The application is then placed in a folder. A Z20 cover is also used for this purpose. The following details are indicated on the cover (see annexure 14 for an example).
- the graphic project approval number
 - the name of the office
 - the type of records and the period they cover
 - the disposal authority number.
- 7.2.3 A route sheet (annexure 11) is attached to the front of the cover. The application is then handed over to the investigating official along with the application for disposal authority. The official applies the appraisal methodology elaborated upon elsewhere in the guidelines as well as the specific guidelines given by his/her supervisor.
- 7.2.4 When the investigation is completed, the documents are placed in the cover in the following order from top to bottom:
- report and submission
 - application form
 - covering letter for application
 - any other correspondence conducted during the investigation.
- 7.2.5 The application is then passed to the supervisor along with the disposal application. From the supervisor both applications are then passed on to the next person on the route sheet until it reaches the National Archivist for approval.
- 7.2.6 After being approved both applications are then passed back to the investigating official for completion.
- 7.2.7 To complete the disposal authority the official then follows the guidelines in par. 7.1.9-7.1.12.
- 7.2.8 To complete the approval of the micrographic project the official signs it off in the micrographic projects register by entering the disposal authority number and the date it was allocated in the relevant column.
- 7.2.9 The official then writes the letter of approval in which the same conditions as set out in the report are set. As in the case with

disposal authority letters, letters of approval are also carefully proofread, the file copy and daily file copy clearly marked and the pending date indicated.

- 7.2.10 After being signed by the Head: Records Management the approval is passed to the official responsible for the indexing and filing of authorities/approvals.
- 7.2.11 As the micrographic projects register also serves as an index, the approval is not indexed in a separate register. It is only filed numerically in the correct box in the authorities room.

PART VIII

PROCEDURE FOR ALLOCATING AUTHORITY NUMBERS

- 8.1 Authority numbers are allocated to all disposal authorities issued by the National Archivist to facilitate the retrieval of information regarding disposal authorities.
- 8.2 Until macro-appraisal is fully implemented, two different systems¹ of allocating authority numbers are in use:
- 8.3 Where appraisal was done on a piecemeal basis the following system is used:
- 8.3.1 When allocating authority numbers a distinction is drawn between authority numbers of state and provincial departments and of local authorities, and they are allocated in different ways, as explained below.
- 8.3.2 National Governmental Bodies
- 8.3.2.1 Ministries/Deputy Ministries

The authority number comprises the following components:

- (i) The number of the creating office (not the office applying). See Annexure B in the approved filing system, followed by a dash.
- (ii) S (Standing) or L (Limited).
- (iii) The number allocated in sequence and starting from 1, followed by NA indicating National Archivist, e.g.:

B1-S1 NA i.e. first standing disposal authority for the Ministry of Agriculture and Land Affairs.

[B = Annexure B in the filing system

1 = Ministry of Agriculture and Land Affairs

S = Standing disposal authority

1 = First authority

NA = National Archivist]

8.3.2.2 National State Departments

The authority number comprises the following components:

- (i) The number of the creating office (not the office applying). See Annexure C in the approved filing system, followed by a dash.
- (ii) S (Standing) or L (Limited).
- (iii) The number allocated in sequence and starting from 1, followed by NA indicating National Archivist, e.g.:

C4-L2 NA i.e. second limited disposal authority for the Department of Correctional Services.

[C = Annexure C in the filing system

4 = Department of Correctional Services

L = Limited disposal authority

2 = Second authority

NA = National Archivist]

8.3.2.3 Other Governmental Bodies at National Level

The authority number comprises the following components:

- (i) The number of the creating office (not of the office applying). See Annexure D in the approved filing system followed by a dash.
- (ii) S (Standing) or L (Limited).
- (iii) The number allocated in sequence and starting from 1, followed NA indicating National Archivist, e.g.:

D4 2-S1 NA i.e. first standing disposal authority for Educational Committees.

[D	=	Annexure D in the filing system
4	=	Committees
2	=	Educational
S	=	Standing disposal authority
1	=	First authority
NA	=	National Archivist]

8.3.3 Provincial Governmental Bodies

The authority number comprises the following components:

- (i) The number of the creating office (not the applying office). See Annexure E in the approved filing system, followed by a dash.
- (ii) S (Standing) or L (Limited).
- (iii) The number allocated in sequence and starting from 1 followed by NA indicating National Archivist, e.g.:

E1-S1 NA	i.e. first standing disposal authority for a provincial governmental body in Gauteng.
----------	---

[E	=	Annexure E in the filing system
1	=	Gauteng Provincial Governmental Body
S	=	Standing disposal authority
1	=	First authority
NA	=	National Archivist]

8.3.4 Local Authorities

8.3.4.1 The authority number comprises the following components:

- (i) LA (Local Authority).
- (ii) S (Standing) or L (Limited).

- (iii) First letter of the name of the creating local authority (not of the authority applying for disposal authority).
- (iv) The number, allocated in sequence and starting from 1, followed by the identifying suffix for the region issuing it e.g.:

LA-SK1 NA i.e. 1st standing authority issued to local authorities which names begin with K.

[LA = Local Authority

S = Standing disposal authority

K = First letter of the name of the local authority

1 = 1st authority for the letter K

NA = National Archivist]

8.4 Disposal agreements

Ideally a fully fledged macro-appraisal of the records of a specific office should result in a disposal agreement which covers all the records in existence at the time of the conclusion of the agreement. If this is the case, the disposal agreement receive an authority number, which consists of the following elements:

- a) the correspondence file reference number
- b) the letters DA indicating a disposal agreement
- c) the year in which the agreement was concluded

(e.g. 7/2/3/1/4 (DA 1999) would indicate that a disposal agreement was concluded with the Office of the Auditor-General in 1999.)

When an existing disposal agreement needs to be expanded, the expansion will form an addendum to the original agreement e.g.:

7/2/3/1/4 DA 1999

Addendum DA 2001

indicates that the disposal agreement for the Office of the Auditor-General was expanded in 2001.

8.5 General Disposal Authorities² are usually issued on categories of records used by more than one governmental body e.g. personal staff files, financial records etc.

8.5.1 National and Provincial State Departments and Statutory Bodies.

The authority number comprises of the following:

- (i) The letter G.
- (ii) First letter of the name of the category of records.
- (iii) The number, allocated in sequence and starting from 1, e.g.:

GL1

[G = General Authority

L = Leave forms

1 = The first general authority]

8.5.2 Local authorities

The authority number comprises the following components:

- (i) LA - Indicating Local Authority.
- (ii) G - Indicating a general disposal authority.
- (iii) First letter of the name of the category of records.
- (iv) The number, allocated in sequence and starting from 1, e.g.:

LA-GL1

[LA = Local Authority

G = General Authority

2. For all exposition of numbering systems prior to 2001.06.30 see Annexure 15.

L = Leave forms

1 = 1st general authority]

PART IX

PROCEDURES REGARDING LIAISON WITH OTHER COMPONENTS DURING APPRAISAL

9.1 Liaison with provincial archives services regarding the appraisal of records of regional offices

Records generated by regional offices of national government departments are evaluated in the context of records generation at all organizational levels. In addition, it should be kept in mind that the archival records generated at regional level might go into the custody of provincial archives services. In such cases it is imperative that these services be consulted during the appraisal process.

9.2 Liaison with the archives repository

9.2.1 The records management component should liaise with the archives repository when:

- researching a contextual analysis for a macro-appraisal project;
- requesting client offices outside Pretoria to transfer records for examination;
- recommending records for transfer in a disposal authority;
- appraising records already in the custody of an archives repository.

9.2.2 The repository should liaise with the records management component:

- prior to approving a transfer to establish if a disposal authority exists;
- prior to sorting records to establish if a filing system/records control schedule exist(s);
- when researchers request access to disposal authorities.

9.2.3 The specific guidelines for liaison regarding macro-appraisal, transfers and access to disposal authorities are set out below.

9.2.3.1 Liaising while researching a contextual analysis

9.2.3.1.1 To establish if records of a client office were transferred in the past the Principal Archivist: Transfers can be contacted. He/she will need the following background information to retrieve the correct information:

name of the governmental body/sub-office/section;

any other names under which the body/office/ section was/were previously known.

9.2.3.1.2 General reference works, books, magazines, journals, pamphlets etc. in the library can be requested from the Principal Archivist: Collections or the librarian.

The content of the library is computerised. Information thereon can be retrieved using the MANA-database. There is, however, also a subject card index which is available in the reading room.

9.2.3.1.3 Official publications (i.e. annual reports, White papers, Reports of Commissions/Committees) can be requested from the Principal Archivist: Collections or from the archivist responsible for the official publications.

The registers are kept by this archivist. He/she will indicate which information he/she will need to retrieve a publication.

9.2.3.1.4 The Butterworths, containing all Acts currently in operation, are available in the reading room. If it is necessary to borrow a volume, a card with the particulars of the borrower must be placed where a volume is removed. The reading room official should be informed that a volume has been removed. (For Acts that were repealed contact the Legal Library of the Department of Justice, tel. 315 1137, room 5.32.)

9.2.3.1.5 Records from archives groups that need to be consulted should be requested through the reading room. The source code, volume number(s) and reference number(s) is/are needed to retrieve the record(s). This information can be obtained from the inventories or, if not available, the transfer lists. (See relevant main series in the filing system.) The records may be taken to the officials' office for consultation and must be returned to the reading room upon completion.

9.2.3.1.6 Records from the archives of the National Archives (i.e. previous filing systems) should be requested through the supply section. The records will be delivered to an officials' office for consultation and must be returned to the supply section upon completion.

- 9.2.3.2 Liaising when requesting transfer of records for examination
- 9.2.3.2.1 When it is necessary to examine records and it cannot be arranged that the client office is visited for such an examination (i.e. if the office is located outside Pretoria) the client office can be requested to temporarily transfer the records to the archives repository.
- 9.2.3.2.2 The records management component may, however, not arrange the transfer.
- 9.2.3.2.3 All the information regarding the transfer (i.e. name of office and extent of records, etc.) should be given to the Principal Archivist: Transfers. He/she will then indicate if space is available for such a transfer (and if not, when space will be available to allow the appraiser to adjust his/her programme). He/she will make all the arrangements for the transfer and will inform the appraiser when the records arrived. He/she will also be responsible to supply the records to the appraiser for examination.
- 9.2.3.3 Liaising when records are recommended for transfer in a disposal authority
- 9.2.3.3.1 When records are recommended for transfer (i.e. A20-records) attention should be drawn in the letter of authority that transfers must be arranged with the repository beforehand.
- 9.2.3.3.2 A copy of the disposal authority letter is endorsed for the attention of the head of the repository who will use it to follow up the transfer.
- 9.2.3.4 Liaison during an "internal appraisal" of records already in the custody of the repository
- 9.2.3.4.1 The normal procedure regarding "internal appraisals" is that the head of the repository should request the records management component to appraise records that were transferred before being appraised. Sometimes, however, it does happen that records are transferred to the repository while the appraisal is still underway.
- 9.2.3.4.2 Whatever the case may be, records that need to be examined should be requested through the reading room. See par. 2.3.1.5.
- 9.2.4 The specific guidelines to be followed when the repository needs liaise with records management is as follows:

- 9.2.4.1 Liaison to establish if disposal authorities or filing systems/records control schedules exist
- 9.2.4.1.1 Any member of the records management staff may be approached regarding the supply the information. It will, however, speed things up if staff members on the third floor are approached for information regarding state departments and statutory bodies and staff members on the fourth floor for information regarding provincial departments and local authorities.
- 9.2.4.2 Liaison when researchers request access to disposal authorities
- 9.2.4.2.1 The same guidelines as in par. 9.2.4.1.1 apply.
- 9.2.4.2.2 Researchers will be requested to work under direct supervision of the records management staff as they are best able to answer queries that may arise from consulting disposal authorities.

ANNEXURE 1

CONDITIONS APPLICABLE WHEN MICROCOPIES ARE ARCHIVAL IN NATURE

- (a) The master copy will be A/AP
- (b) SABS Code 0141/88 must be complied with in respect of:
 - (i) Material and apparatus
 - (ii) Photography
 - (iii) Processing and testing
 - (iv) Equipment of the storage rooms
 - (v) Preservation of film master copies
- (c) A contract will have to be concluded with the SABS for testing and inspections, and reports are to be submitted to the National Archives.
- (d) Master and security copies are to be stored in non-combustible containers.
- (e) Approval of the project does not imply that the microcopies will enjoy legal validity. The onus is on the office to take, in addition to those in the authority, such preliminary or subsequent steps as shall ensure legal validity to the satisfaction of a court of law.
- (f) Any deviations from the conditions laid down will result in the disposal authority being withdrawn.
- (g) A certificate to the effect that the above-mentioned conditions have been accepted, as well as notification of the date of the commencement of the project, must be furnished to the National Archives and Records Service.

ANNEXURE 2

CONDITIONS APPLICABLE WHEN MICROCOPIES ARE NOT ARCHIVAL

- a) The National Archivist will not accept the micro- copies for permanent preservation (quote disposal authority number).
- b) The SABC code 0141/88 need not be complied with. However, in order to ensure the long term quality of the microcopies for functional use, the office is advised to adhere to the code in respect of the materials used, the processing and the storage of the microcopies.
- c) Approval of the project does not imply that the microcopies will enjoy legal validity. The onus is on the office to take, in addition to those in the authority, such preliminary or subsequent steps as shall ensure legal validity to the satisfaction of a court of law.
- d) Any deviations from or additions to this project must be brought to the attention of the National Archivist.

ANNEXURE 3

APPROVAL PAGE : DISPOSAL REPORTS

Instructions to complete the form

1. Fill the sheet in by hand.
2. State = current/closed/terminated.
3. Type = Other records/correspondence files/Other (define more precisely).
4. Appraisal phase = 1st/Final.
5. Authority type = Standing/Limited (N.B. A standing authority always receives a final phase appraisal).
6. B & C: signatures and date.
7. C & D: delete whichever is not applicable.

APPROVAL SHEET

DISPOSAL APPLICATION	Application No. : _____
	Authority No. : _____

A. IDENTIFICATION:

Office :	
Records : State and type	
Period :	Extent :
Phase : First/Final*	Authority : Standing/Limited/General

B. DISPOSAL : AUTHORITY AS SET OUT IN REPORT

Appraiser	Head of Records Management Component	Head of Provincial Component
/ /	/ /	/ /

C. RECOMMENDATION

DD/RIS	
/ /	YES
	NO

D. DECISION

Disapproved	
Approved As proposed	
Amendments/Conditions _____	

NATIONAL ARCHIVIST

DATE:

* Delete if not applicable.

ANNEXURE 4

APPROVAL PAGE : MICROGRAPHIC PROJECTS

Instructions to complete the form1. Heading

Should more than one utilisation be in question, each is treated in a separate column, from No. 1 to No. 6. If there are more than six, another form should be used for each additional six. In the heading only those utilisations appearing in the first and last columns of that form should be mentioned.

2. Identification

The intention here is that this will serve both as a useful summary and as a control mechanism.

Mf disposal	=	A20/D/whichever is applicable
Paper disposal	=	A20/D/whichever is applicable
Archives type	=	Correspondence/Registers, etc.
Archives state	=	Terminated/Closed/Current/Other
Microform	=	Roll/Fiche/Card/Other

3. B & C: Signatures and dates to be filled in.

4. C & D : Cross out whichever is not applicable.

5. This submission form is to be filled in by hand. The report is to be typed, however.

6. Note that signatures are expected in respect of the B and C sections of the submission form.

MICROFILM PROJECT : SUBMISSION

Application No. _____ Project No. _____ Authority No. _____

Utilisations No. _____ --- No. _____

A. IDENTIFICATION:

Office :

UTILISATION	1	2	3	4	5	6
Mf disposal						
Paper disposal						
Records: Type						
Records: State						
Microform						
Conditions						

B. PROPOSAL : APPROVED OF PROJECT AS SET OUT IN REPORT

Appraiser / /	H/RM / /	Head: Provincial Component / /
------------------	-------------	-----------------------------------

C. RECOMMENDATION

DD/RIS / /

D. DECISION

Disapproved	
Approved As proposed	
Amendments/Conditions _____	

NATIONAL ARCHIVIST

DATE:

ANNEXURE 5

GENERAL DISPOSAL AUTHORITIES NOTIFIED

Nature of Records	Office	Gen. Auth.	Reference	Remarks
1. Copies of documents (drafts, reminders, acknowledgements of receipt)	State departments	AK 1	10/1/1/4	Notified per Circular 1/67
“	Provincial offices	AK 1		
“	Local auth/s	PAK 1	By virtue of AK 1	
2. Agendas of council meetings - copies	Do.	PAA 2	By virtue of PSP 11	
3. Attendance registers	State departments	AB 2	By virtue of SO 3	
4. Daily files	State departments	AD 1	AK 1	
“	Prov. offices	AD 1	AK 1	
“	Local auth/s.	PAD 1	PSR 4	
5. Lists of registered documents	State departments	AG 1	By virtue of SO 1	
6. Housing rental contracts	Local auth/s.	PAH 1	By virtue of PSK 15	

Nature of Records	Office	Gen. Auth.	Reference	Remarks
7. Clinical patient records Minutes: hospital boards Reports: hospital boards Procedure manuals All other "records other than correspondence files"	State departments Provincial offices	AK 2	By virtue of SK 17 and ST 28	
	Local Authorities	PAK 4		
8. Circulars: Tender Board Contracts to departments	State departments	AO 1	By virtue of SW 1	
9. DPSA Circulars: vacancies in civil service and covering circular minutes	State departments	AO 2	By virtue of SJ 36	
10. Circulars received	State departments	AO 3	SO 27	
Do.	Local auth/s.	PAO 3	AO 3	
11. Unsuccessful applications for positions and related correspondence	Local auth/s. State departments Provincial offices	PAO 1 AU 7	PSN 3 60-S1T	
12. Unsuccessful tenders				
Do.	State departments	AO 4	Various standing authorities	
Do.	Provincial offices	"		
Do.	Local auth/s.	PAO 1	PSB 6	
13. Successful tenders	Local auth/s.	-	PSB 8	

Nature of Records	Office	Remarks
14. Personal files Staff record cards	State departments	Circular 1/87 See directive D9
15. Casualty files: provincial employees	Provincial offices only	
16. Personal files service record cards	S.A. Transport Services prior to 1990-04-01	Circular 1/63 (AP 3)
17. Personal files	Local authorities	PAP 1 See directive D6
18. Financial and associated records	Local authorities	See annexure 7 for the wording
19. Financial records	State departments	Treasury Instructions Chapter M See annexure 8 for the wording
20. Motor vehicle and driver's records (under Road Traffic Act)	Local authorities	For records prior to June 1990 see annexure 7 for records after June 1990 see PAL 1
21. Tenders and contracts	State departments Provincial offices	Circular 2/85, AK 3
"	Local authorities*	Circular 1/93
22. Plans and drawings	Local authorities*	Circular 2/93
23. Cumulative report cards	Provincial offices	AK 4
24. Transitory records	All governmental bodies	AT 2 See directive D10

* and similar bodies which fulfil the same functions as local authorities.

Nature of Records	Office	Remarks
25. Electronic and related records	All governmental bodies	AE 4 See directive D11
26. Motor log books and records	State departments Provincial offices Local Authorities	AL 1 PAL 1
27. Civil and Social pensions case files	All governmental bodies	AC 1

ANNEXURE 6

GENERAL DISPOSAL AUTHORITIES NOT NOTIFIED

Nature of Records	Office	Gen. Auth.	Reference	Remarks
1. Approved filing system	Local auth/s.	PAA 5	-	Model for disposal on approved local authority filing systems. Departures must be justified.
2. Prototype records control schedule	Local auth/s.	PAL 1	-	Schedule (<u>not authority</u>) to be supplied to local authorities as example. PAL 1 is a precedent for appraisal of individual schedules.

ANNEXURE 7

FINANCIAL AND ASSOCIATED RECORDS
APPLICABLE TO LOCAL AUTHORITIES*7.1 CAPE PROVINCE

23-S7 and 23-S17

P.N. 398/1992

21 August 1992

LOCAL AUTHORITIES: DISPOSAL OF ARCHIVES

The following directive to Local Authorities in the Cape Province regarding the disposal of Financial and Associated Archives is hereby published for general information in accordance with authorities granted by the Director of Archives, in terms of section 3 of the Archives Act, 1962 (Act 6 of 1962).

Explanation of Symbols

- A30 Transfer to Cape Archives Depot, when documents are 30 years old.
 AP May be retained by the Local Authority for an indefinite period. At final disposal, for example when offices is closed or assets are surrendered, documents must be transferred to the Cape Archives Depot.
 DAU Destroy immediately after audit has been finalised. DAU3 Destroy 3 years after audit has been finalised.
 DAU7 Destroy 7 years after audit has been finalised.

General Administration	Disposal
Minutes, Councils and Committees	A30
Voters' Rolls	A30
Financial Administration	
1. Statements of Estimates	A30
2. Estimates Control Book	DAU7

* As published/notified.

3.	Financial Statements	A30
4.	Main Ledger	A30
5.	Main Cash Book	A30
6.	Main Journal	A30
7.	Ancillary Ledger, Cash Book, Journal	DAU7
8.	Suspense Account	DAU3
9.	Proof Balance Book	DAU3
10.	Receipt Books	DAU7
11.	Receipt Book Registers	DAU7
12.	Petty Cash Book	DAU3
13.	Invoice Book	DAU7
14.	Cheque Counterfoils/Cancelled cheques	DAU7
15.	Bank Deposit Book/Statements	DAU7
16.	Bank Statements	DAU7
17.	Bank Reconciliation Statements	DAU7
18.	Expenditure Vouchers	DAU7
19.	Remission Registers	DAU7
20.	Consumers Account Statements	DAU7
21.	Consumers Payment Statements	DAU7
22.	Debtors Register	DAU7
23.	Assets and Investments	
	23.1 Financial Assets/Inventory	AP
	23.2 Stocks/Shares/Securities Register	AP
	23.3 Deeds	AP
24.	Audit	
	24.1 Reports	DAU7
	24.2 Queries	DAU7
25.	Enquiry Covers: Accounting Matters	DAU3

Stores Administration

1.	Stores Registers	DAU7
2.	Stores Issues Vouchers	DAU7
3.	Stores Requisitions	DAU7

Rates and Licences

1.	Erf Rates Registers	DAU7
2.	Consumers Registers	DAU7
3.	Valuation Rolls	A30
4.	Auction Lists	DAU7
5.	Dog Tax Register	DAU
6.	Bicycle Licence Register	DAU
7.	Driver's Licence Register	DAU7
8.	Roadworthy Certificate Register	DAU7
9.	(CPA 26/3780916) Motor Vehicle Clearance Voucher Receipt Book	DAU7
10.	(CPA 300438) Temporary Special Permits	DAU3
11.	(CPA 21(9)) Completed Form	DAU7

- | | | |
|-----|--------------------------------|------|
| 12. | (CPA 28/730932) Batch Register | DAU7 |
| 13. | (CPA 41) Identity Card | DAU3 |

Services/Works/Control

- | | | |
|----|--|-----|
| 1. | Application Forms: Electricity/Water | DAU |
| 2. | Surveys: Refuse/Sanitation Points | DAU |
| 3. | Surveys: Animals on Commonage | DAU |
| 4. | Disconnection lists: Electricity/Water | DAU |
| 5. | Reconnection Instructions | DAU |
| 6. | Enquiries Covers: Services/Works | DAU |

Staff

- | | | |
|-----|---------------------------------|------|
| 1. | Attendance Register | DAU |
| 2. | Salary Register | DAU7 |
| 3. | Wages Register | DAU7 |
| 4. | Salary Records Card | DAU7 |
| 5. | Unclaimed Wages Register | DAU7 |
| 6. | Deductions Statements | DAU7 |
| 7. | Time Sheets | DAU3 |
| 8. | Paysheets/Wage Statements | DAU7 |
| 9. | Handing over Statements | DAU7 |
| 10. | Leave Register | DAU7 |
| 11. | Workmen's Compensation Register | DAU7 |
| 12. | Factories Act Register | DAU7 |

Authority Reference

State Archives Service: 23-S7 and 23-S17

B. Repeal of Notice

Provincial Notice 807 dated 20 October 1989 hereby repealed.

7.2 NATAL

24-S11

FINANCIAL AND ASSOCIATED ARCHIVES: LOCAL AUTHORITIES IN NATAL:
WITH RETENTION PERIODS AS AMENDED BY THE AUDITOR-GENERAL

(To be incorporated by local authorities in their List of Other Archives)

Explanation of Symbols

- A30 Transfer documents older than 30 years to Natal Archives Depot or Pietermaritzburg/Durban Archives Depot.
- AP May be retained by the Local Authority for an indefinite period. When office is closed or assets are surrendered, documents must be transferred to the Natal Archives Depot or Pietermaritzburg/Durban Archives Depot.
- DAU Destroy immediately after audit has been finalised.
- DAU3 Destroy 3 years after audit has been finalised.
- DAU7 Destroy 7 years after audit has been finalised.

General Administration

Disposal

Minutes: Councils and Committees
Voters' Rolls

A30
A30

Financial Administration

- | | | |
|-----|---------------------------------------|------|
| 1. | Statements of Estimates | A30 |
| 2. | Estimates Control Book | DAU7 |
| 3. | Financial Statements | A30 |
| 4. | Main Ledger | A30 |
| 5. | Main Cash Book | A30 |
| 6. | Main Journal | A30 |
| 7. | Ancillary Ledger, Cash Book, Journal | DAU7 |
| 8. | Suspense Account | DAU3 |
| 9. | Proof Balance Book | DAU3 |
| 10. | Receipt Books | DAU7 |
| 11. | Receipt Book Registers | DAU7 |
| 12. | Petty Cash Book | DAU3 |
| 13. | Invoice Book | DAU7 |
| 14. | Cheque Counterfoils/Cancelled cheques | DAU7 |
| 15. | Bank Deposit Book/Statements | DAU7 |
| 16. | Bank Statements | DAU7 |
| 17. | Bank Reconciliation Statements | DAU7 |

18.	Expenditure Vouchers	DAU7
19.	Remission Registers	DAU7
20.	Consumers Account Statements	DAU7
21.	Consumers Payment Statements	DAU7
22.	Debtors Register	DAU7
23.	Assets and Investments	
	23.1 Financial Assets/Inventory	AP
	23.2 Stocks/Shares/Securities Registers	AP
	23.3 Deeds	AP
24.	Audit	
	24.1 Reports	DAU7
	24.2 Queries	DAU7
25.	Enquiry Covers: Accounting Matters	DAU3

Stores Administration

1.	Stores Registers	DAU7
2.	Stores Issues Vouchers	DAU7
3.	Stores Requisitions	DAU7

Rates and Licences

1.	Erf Rates Registers	DAU7
2.	Consumers Registers	DAU7
3.	Valuation Rolls	A30
4.	Auction Lists	DAU7
5.	Dog Tax Register	DAU
6.	Bicycle Licence Register	DAU
7.	Driver's Licence Register	DAU7
8.	Roadworthy Certificate Register	DAU7

Service/Works/Control

1.	Application Forms: Electricity/Water	DAU
2.	Surveys: Refuse Sanitation Points	DAU
3.	Surveys: Animals on Commonage	DAU
4.	Disconnection Lists: Electricity/Water	DAU
5.	Reconnection Instructions	DAU
6.	Enquiries Covers: Service/Works	DAU

Staff

1.	Attendance Register	DAU
2.	Salary Register	DAU7
3.	Wages Register	DAU7
4.	Salary Records Card	DAU7
5.	Unclaimed Wages Register	DAU7
6.	Deductions Statements	DAU7
7.	Time Sheets	DAU3

8.	Paysheets/Wages Statements	DAU7
9.	Handing Over Statements	DAU7
10.	Leave Register	DAU7
11.	Workmen's Compensation Register	DAU7
12.	Factories Act Register	DAU7

Authority Reference

State Archives Service: 24-S11

7.3 ORANGE FREE STATE

25-S5

FINANCIAL AND ASSOCIATED ARCHIVES: LOCAL AUTHORITIES IN THE ORANGE FREE STATE: WITH RETENTION PERIODS AS AMENDED BY THE AUDITOR-GENERAL

(To be incorporated by local authorities in their List of Other Archives)

Explanation of Symbols

- A30 Transfer documents older than 30 years to Free State Archives Depot.
 AP May be retained by the Local Authority for an indefinite period. When office is closed or assets are surrendered, documents must be transferred to the Free State Archives Depot.
 DAU Destroy immediately after audit has been finalised.
 DAU3 Destroy 3 years after audit has been finalised.
 DAU7 Destroy 7 years after audit has been finalised.

General Administration

Disposal

Minutes: Councils and Committees
 Voters' Rolls

A30
 A30

Financial Administration

- | | | |
|-----|---------------------------------------|------|
| 1. | Statements of Estimates | A30 |
| 2. | Estimates Control Book | DAU7 |
| 3. | Financial Statements | A30 |
| 4. | Main Ledger | A30 |
| 5. | Main Cash Book | A30 |
| 6. | Main Journal | A30 |
| 7. | Ancillary Ledger, Cash Book, Journal | DAU7 |
| 8. | Suspense Account | DAU3 |
| 9. | Proof Balance Book | DAU3 |
| 10. | Receipt Books | DAU7 |
| 11. | Receipt Book Registers | DAU7 |
| 12. | Petty Cash Book | DAU3 |
| 13. | Invoice Book | DAU7 |
| 14. | Cheque Counterfoils/Cancelled cheques | DAU7 |
| 15. | Bank Deposit Book/Statements | DAU7 |
| 16. | Bank Statements | DAU7 |

17.	Bank Reconciliation Statements	DAU7
18.	Expenditure Vouchers	DAU7
19.	Remission Registers	DAU7
20.	Consumers Account Statements	DAU7
21.	Consumers Payment Statements	DAU7
22.	Debtors Register	DAU7
23.	Assets and Investments	
	23.1 Financial Assets/Inventory	AP
	23.2 Stocks/Shares/Securities Registers	AP
	23.3 Deeds	AP
24.	Audit	
	24.1 Reports	DAU7
	24.2 Queries	DAU7
25.	Enquiry Covers: Accounting Matters	DAU3

Stores Administration

1.	Stores Registers	DAU7
2.	Stores Issues Vouchers	DAU7
3.	Stores Requisitions	DAU7

Rates and Licences

1.	Erf Rates Registers	DAU7
2.	Consumers Registers	DAU7
3.	Valuation Rolls	A30
4.	Auction Lists	DAU7
5.	Dog Tax Register	DAU
6.	Bicycle Licence Register	DAU
7.	Driver's Licence Register	DAU7
8.	Roadworthy Certificate Register	DAU7

Service/Works/Control

1.	Application Forms: Electricity/Water	DAU
2.	Surveys: Refuse Sanitation Points	DAU
3.	Surveys: Animals on Commonage	DAU
4.	Disconnection Lists: Electricity/Water	DAU
5.	Reconnection Instructions	DAU
6.	Enquiries Covers: Service/Works	DAU

Staff

1.	Attendance Register	DAU
2.	Salary Register	DAU7
3.	Wages Register	DAU7
4.	Salary Records Card	DAU7
5.	Unclaimed Wages Register	DAU7
6.	Deductions Statements	DAU7

7.	Time Sheets	DAU3
8.	Paysheets/Wages Statements	DAU7
9.	Handing Over Statements	DAU7
10.	Leave Register	DAU7
11.	Workmen's Compensation Register	DAU7
12.	Factories Act Register	DAU7

Authority Reference:

State Archives Service: 25-S5

7.4 TRANSVAAL

26-S5

FINANCIAL AND RELATED ARCHIVES: LOCAL AUTHORITIES IN THE TRANS-
VAAL: WITH RETENTION PERIODS AS AMENDED BY THE AUDITOR-GENERAL

(To be incorporated by Local Authorities in their List of Other Archives)

Explanation of Symbols

- A30 Transfer to Transvaal Archives Depot, when documents are 30 years old.
 AP May be retained by the Local Authority for an indefinite period. At final disposal, for example when office is closed or asset is surrendered, documents must be transferred to the Transvaal Archives Depot.
 DAU Destroy immediately after audit has been finalised.
 DAU3 Destroy 3 years after audit has been finalised.
 DAU7 Destroy 7 years after audit has been finalised.

General Administration

Disposal

- Agendas and Minutes, Council and Committees A30
 Voters' rolls A30

Financial Administration

- | | | |
|-----|---|------|
| 1. | Statements of Estimates | A30 |
| 2. | Estimates Control Book | DAU7 |
| 3. | Financial Statements | A30 |
| 4. | Main Ledger | A30 |
| 5. | Machine Ledger Cards | A30 |
| 6. | Main Cash Book | A30 |
| 7. | Main Journal | A30 |
| 8. | Ancillary Ledger, Cash Book and Journal | DAU7 |
| 9. | Suspense Account | DAU3 |
| 10. | Proof Balance Book | DAU3 |
| 11. | Coupon Counterfoils | DAU3 |
| 12. | Receipt Books | DAU7 |
| 13. | Audit Rolls | DAU7 |
| 14. | Receipt Book Register | DAU7 |
| 15. | Receipt Duplicates (posting) | DAU |
| 16. | Petty Cash Book | DAU3 |
| 17. | Invoice Book | DAU7 |

18.	Cheque Counterfoils and Cancelled Cheques	DAU7
19.	Bank Deposit Books/Slips	DAU7
20.	Bank Statements	DAU7
21.	Bank Reconciliation Statements Registers	DAU7
22.	Expenditure Vouchers and Cashed Cheques	DAU7
23.	Remittance Registers	DAU7
24.	Consumer Account Statements	DAU7
25.	Consumer Adjustment Statements	DAU7
26.	Debtors Register	DAU7
27.	Assets and Investments:	
	27.1 Financial Assets/Inventory	AP
	27.2 Stocks/Shares/Securities Register	AP
	27.3 Deeds	AP
28.	Audit:	
	28.1 Reports	DAU7
	28.2 Enquiries	DAU7
29.	Enquiry Covers: Accounting Matters	DAU3

Stores Administration

1.	Stores Registers	DAU7
2.	Stores Issue and Receipt Vouchers	DAU7
3.	Stores Requisitions	DAU7
4.	Stocktaking Sheets	DAU7

Rates and Licences

1.	Assessment Rate Registers	DAU7
2.	Consumer Registers	DAU7
3.	Valuation Rolls	A30
4.	Auction Rolls	DAU7
5.	Dog Licence Registers	DAU
6.	Bicycle Licence Registers	DAU
7.	Transfer of Business Register	DAU7
8.	Hawker Permits	DAU
9.	Temporary Trading Permits	DAU
10.	Trading Licence Register	DAU7
11.	Motor Vehicle Registration: Authority:	
	11.1 Motor Vehicle Registration Register	DAU7
	11.2 Public Driving Permits	DAU
	11.3 Certificate of Fitness Register	DAU7
	11.4 Motor Dealer Returns	DAU7
	11.5 Registration Certificates	DAU
	11.6 Duplicate Registration Certificates	DAU
	11.7 Motor Vehicle Licences	DAU
	11.8 Duplicate Motor Vehicle Licences	DAU
	11.9 Motor Dealer Licence Register	DAU7
	11.10 Add. Motor Dealer Licence Register	DAU7
	11.11 Vehicle Purchase and Sale Register	DAU7

11.12 Learner's Licence Register (Certificates of Competence)	DAU7
11.13 Instructor Certificates	DAU7
11.14 Spot Fine Register	DAU7
11.15 Control Certificates	DAU7
11.16 Motor Transport Register	DAU7
11.17 Clearance Vouchers	DAU

Services, Works and Control

1. Application Forms: Electricity/Water	DAU
2. Surveys: Refuse and Sanitation Points	DAU
3. Surveys: Animals on Commonage	DAU
4. Disconnection Lists: Electricity/Water	DAU
5. Connection Instructions	DAU
6. Enquiry Covers: Services/Works	DAU

Staff

1. Attendance Register	DAU
2. Salary Register	DAU7
3. Wage Register/Cards	DAU7
4. Salary Record Cards	DAU7
5. Unclaimed Wages Register	DAU7
6. Deductions Statements	DAU7
7. Time Sheets	DAU3
8. Paysheets/Wage Statements	DAU7
9. Acknowledgement of Receipt Lists	DAU7
10. Leave Register	DAU7
11. Workmen's Compensation Act Register	DAU7
12. Factories Act Register	DAU7

ANNEXURE 8

FINANCIAL AND RELATED RECORDS AT STATE DEPARTMENTS: CHAPTER M
OF THE FINANCIAL MANUAL*

(N.B. This chapter was previously known as Chapter 14.)

CHAPTER M

- M CUSTODY AND DISPOSAL OF ACCOUNTING RECORDS; PETTY CASH; PRIVATE MONEYS AND PRIVATE BANKING ACCOUNTS; CASHING OF PRIVATE CHEQUES AND OTHER MATTERS M1 CUSTODY AND DISPOSAL OF ACCOUNTING RECORDS
- M1.1 Custody
- Accounting records shall be properly and safely stored and, if at all possible, this should be done under lock and key in a room specially equipped for this purpose. The control over and care of the records must be entrusted to a specific person in writing called the officer in charge of archives who must ensure that the records, after having been audited, are clearly labelled and neatly and orderly arranged in order to facilitate reference thereto. Regular inspections must be carried out to ensure that the foregoing have been complied with and that the available storage space is being utilised as economically and efficiently as possible.
- M1.2 Disposal authority
- M1.2.1 Approval has been granted by the Director of Archives in terms of the regulations regarding the disposal of ephemeral records and the transfer of valuable records from State departments and provincial administrations to archives depots, for the disposal of accounting records as indicated in Annexure II (Director of Archives' general authority AR 2 of 20 April 1966).
- M1.2.2 Should circumstances necessitate a deviation from the prescribed retention periods, representations in writing shall be submitted to the National Archivist, in fivefold for consideration in consultation with the Treasury.

* As published.

- M1.2.3 Particulars of accounting records in respect of which no disposal authority exists, must be submitted to the Director of Archives for consideration in consultation with the Treasury. In such cases it must be certified that no reasons exist why the records may not be destroyed and that at least two years have elapsed since the date of the last audit of the records.
- M1.2.4 In the case of computerized and microfilm systems instructions A3.2 and A4.2 of the Archives Instructions shall be adhered to.
- M1.3 Destruction and Destruction Certificate
- M1.3.1 Accounting records subject to a continuous audit may be destroyed without more ado after the lapse of the prescribed retention period. In the case of offices and sections not subject to a continuous audit, accounting records may only be destroyed after the lapse of the prescribed retention period provided two years have elapsed since the date of the last audit. The date of destruction is calculated from the date of last entry.
- M1.3.2 Accounting records which may be destroyed in terms of these instructions must be disposed of in the manner determined from time to time by the Government Printer in his circulars on the recovery of waste paper. A specific person must be designated in writing to supervise the collection and removal of the records.
- Annexure I The following certificate must be submitted to the National Archivist after accounting records have been destroyed in terms of these instructions:

Annexure II: List of accounting records and manner of disposal

Disposal authority has been granted by the National Archivist in respect of the following accounting records:

Classification	Description	Manner in which records are to be disposed of
A.	Public debt registers.....	P.
B.	<p style="text-align: center;">Ledgers</p> 1 Main Ledgers..... 2 Subsidiary ledgers..... 3 Personal ledgers..... 4 Personal debts and debtors' ledgers..... 5 Stores ledgers..... 6 Equipment ledgers.....	D After 10 years D After 10 years D after 10 years D after 10 years D after 10 years D after 10 years
C.	<p style="text-align: center;">Cash books</p> 1 Receipt cash books..... 2 Expenditure cash books..... 3 Petty cash books.....	D after 7 years D after 7 years D after 7 years
D.	<p style="text-align: center;">Journals</p> 1 Journal entry slip..... 2 Journal slip summaries..... 3 Bound journals..... 4 Journal transfer books.....	D after 7 years D after 7 years D after 7 years D after 7 years
E.	<p style="text-align: center;">Register of cash received</p>	
F.	1 Remittance registers..... 2 Registered slip registers.....	D after 7 years D after 7 years
	<p style="text-align: center;">Miscellaneous books and Registers</p> 1 Abstract books..... 2 Trial balance books..... 3 Registers of securities..... 4 Bank reconciliation registers..... 5 Register of reserve stock of face-value forms..... 6 Receipt vouchers..... 7 Official postage stamps registers.....	D after 3 years D after 3 years D after 10 years D after 3 years D after 7 years D after 3 years D after 3 years

Classification	Description	Manner in which records are to be disposed of	
G.	Salary Records		
	Standard salary system		
	1	Salary file (as prescribed in paragraph 250 of the Standard Salary System Manual).....	D after 7 years
	2	Salary record (on salary file).....	D after 7 years
	3	Control paysheet.....	D after 3 years
	4	Paysheet.....	D after 3 years
	5	Deduction and detail sheet.....	D after 3 years
	6	Advices to computer.....	D after 1 year
	Hand and mechanical systems		
	7	Salary register.....	D after 7 years
8	Personal history cards.....	D after 7 years	
9	Salary advices.....	D after 3 years	
10	Salary deductions register.....	D after 3 years	
H.	Expenditure vouchers		
	1	Order forms.....	D after 7 years
	2	Firm's invoices.....	D after 7 years
	3	Discharged warrant vouchers and cheques.....	D after 7 years
	4	Telephone, rail and government garage accounts.....	D after 3 years
	5	Pay and subsistence and transport sheets.....	D after 3 years
	6	Paymaster-General's advices (Dr.).....	D after 3 years
	7	Departmental transfers.....	D after 3 years
	8	Stores issue vouchers.....	D after 3 years
9	Receipts.....	D after 7 years	
I.	Receipt vouchers		
	1	Paymaster-General's advices (Cr.).....	D after 3 years
2	Stores receipt vouchers.....	D after 3 years	
J.	Miscellaneous statements and accounts		
	1	Monthly cash accounts.....	D after 7 years
	2	Schedules of warrant vouchers.....	D after 7 years
	3	drawn and deposits made.....	D after 7 years
4	Lists of outstanding warrant vouchers/cheques...	D after 2 years	
	Stocktaking reports.....		

Classification	Description	Manner in which records are to be disposed of
K.	<p style="text-align: center;">Counterfoils, carbon duplicates, etc.</p> <p>1 Order forms.....</p> <p>2 Warrant vouchers/cheques.....</p> <p>3 Invoice books.....</p> <p>4 Rail warrants.....</p> <p>5 Departmental transfers.....</p> <p>6 Journal entries.....</p> <p>7 Stores issue and receipt vouchers.....</p> <p>8 Expenditure and other receipts (except forms of the Department of Inland Revenue).....</p> <p>9 Bank deposit slips.....</p> <p>10 Requisitions for motor transport.....</p> <p>11 Claims.....</p> <p>12 Covering forms for dispatching warrant vouchers/cheques.....</p>	<p>D after 5 years</p> <p>D after 5 years</p> <p>D after 5 years</p> <p>D after 2 years</p> <p>D after 2 years</p> <p>D after 2 years</p> <p>D after 3 years</p> <p>D after 5 years</p> <p>D after 5 years</p> <p>D after 1 year</p> <p>D after 5 years</p> <p>D after 1 year</p>
L.	Audit queries and replies disposed.....	D after 3 years

DEFINITION OF SYMBOLS

The symbol used in the last column denote the following:

D - Records may be destroyed after the number of years indicated.

P - Records to be retained permanently.

ANNEXURE 9

EXAMPLE OF ENTRIES IN AN APPLICATION REGISTER

APPL. NO. ¹	NAME OF OFFICE	TYPE OF RECORD	DATE OF APPL.	AUTHORITY	REMARKS
NA1	Dept. Arts, Culture, Science and Technology: Language Bureau	Terminated correspondence files: 1942-1992	01.07.03	C2-L1 NA 97.07.01	Gert
NA2	Mpumalanga Provincial Government MEC of Local Government, Housing and Land Administration	Approved filing system	01.07.17	E7-S NA	Isabel
NA3	Bethal Transitional Council approved	Revisions and additions to the filing system	01.07.24	LAB-S1 NA 98.01.16	Isabel

-
1. Prior to 1.10.89 all applications received consecutive numbers. From 1.10.89 to 31.12.96 applications from provincial administrations and local authorities received a T number and applications from state departments a S number starting from number 1 due to the structure of the records management component during that time. Records Management: Central was dealing with central government offices while Records Management: Transvaal dealt with provincial administrations and local authorities.

From 2.1.97 all applications received an NA number again starting from number 1. This was due to the implementation of the National Archives and Records Service of South Africa Act, 1996.

ANNEXURE 10

EXAMPLE OF A COVER OF A DISPOSAL APPLICATION

C2-L NA

DEPARTMENT OF ARTS, CULTURE,
SCIENCE AND TECHNOLOGY,
LANGUAGE BUREAU

NA 1

Terminated correspondence
files: 1942-1992

ANNEXURE 11

ROUTE SHEET

APPLICATION NUMBER

OFFICER ACTION

1.	Investigating Officer	complete
2.	Supervisor	Examine
3.	Head: Records Management Component	Examine
4.	Head: Provincial Component	Examine
5.	Deputy Director: Records Management and Information Systems	Approval
6.	Chair: Appraisal Review Committee	Monitoring
7.	National Archivist	Approval
8.	DD/RIS Heads of Components Supervisor	Enquiry/ Attention/ Authority number
9.	Investigating Officer	Letter of Authority
10.	Supervisor	Examine
11.	Head: Records Management Component	Signature
12.	Investigating Officer	Index/file/ adjust cover if necessary

ANNEXURE 12

EXAMPLE OF AN ENTRY IN AN AUTHORITIES REGISTER

C10-S1 NA Government Printer. Head Office

1/10/1 of 1997.06.12 (NA 25)
7/2/2/10/4 of 1997.07.25
Revisions and additions to the
approved filing system

C10-S2 NA Department of Home Affairs

2/7/2/1/1/37 of 1998.04.20 (NA)
7/2/2/10/4 of 2001.07.30
Revisions and additions to
the records control schedule

ANNEXURE 13

EXAMPLE OF AN ENTRY IN THE MICROGRAPHIC PROJECTS REGISTER

MF NO.	NAME OF OFFICE	DESCRIPTION OF RECORDS	DATE OF APPLICATION	APPLICATION NUMBER	DISPOSAL AUTHORITY NO. AND DATE ALLOCATED
70	Department of Land Affairs: Registrar of deeds	Erven files	01.07.10	NA50	C14-L1 NA 97.06.04

ANNEXURE 14

EXAMPLE OF A COVER FOR A MICROGRAPHIC PROJECT

MFS70

DEPARTMENT OF LAND AFFAIRS.
REGISTRAR OF DEEDS

Erven files: 1942-1996
(Disposal Authority No.
C14-L1 NA)

ANNEXURE 15

PREVIOUS SYSTEMS FOR THE ALLOCATION OF AUTHORITY NUMBERS:1. Individual governmental bodies

Prior to 1980 an alpha-numerical system, based on the name of the applying office, was used, preceded by the letter B for "beperkte" (limited) or S for "staande" (standing) and followed by a number allocated sequentially. Thus SB 40 represented a standing authority for the then Department of the Interior ("Binnelandse Sake"), now Home Affairs, SB 41 a standing authority for the then Department of External Affairs ("Buitelandse Sake"), now Foreign Affairs, SB 43 the erstwhile Bantu Administration and Development, SO 2 for the Orange Free State Provincial Administration, SO 3 another for the then Department of Education, Arts and Science ("Onderwys, Kuns en Wetenskap"), now National Education, and so on. There was no causal relationship in the groupings of authorities, which were further bedevilled by changes of name (Native Affairs; Bantu Affairs; Bantu Administration and Development; Plural Affairs; Co-operation and Development, etc.) In 1980 a change was made to the predecessor of the present system. A number was allocated to a department, followed by the letter B or S and a sequential number which started from one for authorities for that department.

As a result of decentralisation of the former State Archives Service in 1989 a new system was adopted, based on the 1980 system, but with the identifying symbol of the region concerned as last component. The sequential numbers started from one again for each region.

In the Transvaal region the letters S and T was used as suffixes. T indicating authorities issued by the Transvaal region on records of local authorities and administrations and S indicating authorities issued by the Transvaal region on records of central ("sentrale") state departments. This was substituted by the letters NA in 1997 indicating the change over due to the National Archives Act, 1996.

This practice continued up to 01.06.30 when a new system was put into operation. The new system is set out in Part VIII.

2. General Disposal Authorities

Before 01.06.30 General disposal authorities numbers were allocated in Afrikaans and comprised as follows:

- (i) The letter A indicating "Algemene Magtiging".
- (ii) The first letter of the name of the category of records.
- (iii) A number, allocated in sequence and starting from 1 e.g.:

AK1

[A	=	Algemene magtiging (general authority)
K	=	Kliniese pasiënterekords (clinical patient records)
1	=	the first authority

General disposal authorities issued to Local Authorities were identified with a P (Plaaslike Owerhede) in front of the number e.g.:

PAK4

[P	=	Plaaslike Owerheid (Local Authority)
A	=	Algemene magtiging (general authority)
K	=	Kliniese pasiënterekords (clinical patient files)
4	=	the 4th authority issued

ANNEXURE 16

LIST OF NUMBERS FOR STATE AND PROVINCIAL DEPARTMENTS FOR THE ALLOCATION OF AUTHORITY NUMBERS

(This Annexure was terminated on 2001.06.30. Numbers are now allocated according to Annexures A-E in the approved filing system. See also parr. 8.3.2 - 8.3.4 in this APG.)

(N.B. Mere name changes of offices do not require the allocation of new numbers.)

1. Office of the Prime Minister (Cancelled on 1984-09-17). See 40.
2. Office of the Public Service Commission (Until 1994-06-30 known as Commission for Administration. For the Training Institute, see 72).
3. National Intelligence Agency. (Until 1994.06.30 known as the National Intelligence Service. For South African Secret Service. See 87).
4. Department of Foreign Affairs (name amended from External Affairs).
5. National Treasury. (Before 2000 known as the Department of Finance. In 1991 the Treasury became the separate Department of State Expenditure. See 50. In 1996 the Department of Finance was divided into the Department of Finance and the South African Revenue Service. For the latter, see 75).
6. Office of the Auditor-General. (See disposal agreement 7/2/3/1/4 DA 1999).
7. Department of Trade and Industry.
8. Department of Agriculture (Cancelled on 1984-09-17). See 31.
9. Department of the Environment (Cancelled on 1984-09-17). See 32 and 33.
10. Department of Posts and Telecommunication Service. (Until 1998 known as the Department of Posts and Telecommunications).
11. Department of Transport.
12. South African Transport Services (privatized as Spoornet on 1990-04-01).

13. Department of Home Affairs (name amended on 1984-09-17, previously Department of the Interior). (From 1992-01-01 disposal authorities for the Government Printer receive the authority number of Home Affairs.)
14. Department of Justice (for Correctional Services from 1991, see 47).
15. Department of Co-operation and Development (Department abolished, see 42).
16. South African Police Service (Until 1994-06-30 known as the South African Police).
17. S.A. National Defence Force (Until 1994-06-30 known as the South African Defence Force).
18. Department of Labour (Until 1994-06-30 known as the Department of Manpower).
19. Department of National Education (Cancelled on 1984-09-17). See 34.
20. Department of Community Development (Cancelled on 1984-09-17). See 35.
21. Department of Health and Welfare (Cancelled on 1984-09-17). See 36.
22. Department of Minerals and Energy. (Until 1997 known as Department of Minerals and Energy Affairs).
23. Cape Provincial Administration (Abolished on 1994-06-30. From 1994-07-01 see 58, 61 and 65).
24. Natal Provincial Administration (Abolished on 1994-06-30. From 1994-07-01 see 57).
25. Orange Free State Provincial Administration (Abolished on 1994-06-30. From 1994-07-01 see 63).
26. Transvaal Provincial Administration (Abolished on 1994-06-30. From 1994-07-01 see 59, 62 and 64).
27. Department of Education and Training (From 1994-07-01 see 55 and 56).

28. Administration of South West Africa (Discontinued on 1990-03-21).
29. Department of Statistics (Discontinued on 1982-04-01). See 53.
30. Department of Constitutional Development (Until 1994-06-30 known as the Department of Constitutional Development and Planning).
31. Department of Agriculture (Until 1994-06-30 known as the Department of Agricultural Economy and Marketing).
32. Department of Environmental Affairs and Tourism (Until 1994-06-30 known as the Department of Environmental Affairs).
33. Department of Water Affairs and Forestry.
34. Department of National Education (From 1994-07-01 see 54, 55 and 56).
35. Department of Public Works (From 1992-01-01 disposal authorities of the Government Printer receive the authority number of Home Affairs. Until 1994-06-30 known as Department of Public Works and Land Affairs. For Land Affairs, see 49).
36. Department of Health (From 1990-10-01 the function of Civil and Military Pensions was transferred from the Department of Health and Welfare to the Department of Finance. From 1994-07-01 Welfare is a department on its own, see 73).
37. Administration : House of Assembly (Until 1994-06-30)
- 37/1 Department of Budgetary and Auxiliary Services.
- 37/2 Department of Education and Culture.
- 37/3 Department of Health Services and Welfare.
- 37/4 Department of Agriculture and Water Supply. (Later called Agricultural Development.)
- 37/5 Department of Local Government, Housing and Works (After 1993-04-01 called Housing and Works, until the office was phased out).
38. Administration : House of Representatives (Until 1994-06-30)
- 38/1 Department of Budgetary and Auxiliary Services.

- 38/2 Department of Education and Culture.
- 38/3 Department of Health Services and Welfare.
- 38/4 Department of Local Government, Housing and Agriculture.
39. Administration : House of Delegates (Until 1994-06-30)
- 39/1 Department of Budgetary and Auxiliary Services.
- 39/2 Department of Education and Culture.
- 39/3 Department of Health Services and Welfare.
- 39/4 Department of Local Government, Housing and Agriculture.
40. Office of the Presidency. (Until 1994-06-30 known as the office of the President and Deputy-President (Until 1994-06-30 known as the Office of the State President. For Central Economic Advisory Service, see 70).
41. Cotton Board.
42. Department of Development Aid (Department abolished on 1992-03-31).
43. Maize Board.
44. Human Sciences Research Council.
45. Department of Development Planning (Department abolished).
46. Meat Board.
47. Department of Correctional Services (from 1991).
48. Government Communication and Information System. (Until 1998 known as the S.A. Communication Service).
49. Department of Land Affairs (1991) (Until 1994-06-30 known as the Department of Regional and Land Affairs).
50. Department of State Expenditure. (From 1991-2000. In 2000 amalgamated with the Department of Finance and named National Treasury. See 5).
51. Department of State Affairs (1991). (Department abolished).
52. Egg Board.

53. Statistics South Africa (From 1998-09-01. Before that, known as Central Statistical Services).
54. Department of Sport and Recreation (From 1994-07-01).
55. Department of Arts, Culture, Science and Technology (From 1994-07-01).
56. Department of Education (From 1994-07-01).
57. Provincial Administration: KwaZulu/Natal (From 1994-07-01).
58. Provincial Administration: Northern Cape (From 1994-07-01).
59. Provincial Administration: Northern Province (From 1994-07-01).
60. Provincial Administration: North-West (From 1994-07-01).
61. Provincial Administration: Eastern Cape (From 1994-07-01).
62. Provincial Administration: Mpumalanga (From 1994-07-01).
63. Provincial Administration: Free State (From 1994-07-01).
64. Provincial Administration: Gauteng. (From 1994-07-01).
65. Provincial Administration: Western Cape. (From 1994-07-01).
- 65/1 Department of Agriculture.
- 65/2 Education Department.
- 65/3 Department of Economic Affairs.
66. Rand Water.
67. Pretoria Technicon.
68. Medunsa.
69. Office for Public Enterprises.
70. Central Economic Advisory Service. (From 1994-07-01. Before this date it was part of the Office of the State President).
71. Department of Public Service and Administration. (From 1994-07-01).

72. South African Management Development Institute (Since 1996. Before 1996 it was part of the PSC).
73. Department of Social Services. (From 1994-07-01 to 2000 known as the Department of Welfare).
74. Department of Housing (From 1994-07-01).
75. South African Revenue Service (From 1996).
76. Office for Regional Development (1990-1991. From 1992 see 49).
77. Wheat Board.
78. Oil Seeds Board.
79. Independent Communications Authority. (From 1994-2000 known as the Independent Broadcasting Authority).
80. Deciduous Fruit Board.
81. National Peace Secretariat.
82. Sorghum Board.
83. Department of Local Government and National Housing. (1991-1993).
84. Committee of University Principals (including Joint Matriculation Board).
85. Dried Fruit Board.
86. Development Bank of Southern Africa.
87. South African Secret Service. (Since 1994.06.30).
88. National Library of South Africa.
89. Legal Aid Board.
90. SA Abattoir Corporation (1977-1992). For Abattoir Commission see 31.