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RECORDS MANAGEMENT POLICY MANUAL

National Archives and Records Service of South Africa

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PREFACE

The quality of the services which governmental bodies deliver to their clients and stakeholders depends on how well they can create, store, retrieve, use and manage relevant information to make decisions to act in pursuit of their business objectives. Most of the information generated by governmental bodies are contained in the records that governmental bodies maintain. A major problem for efficient service delivery is that relevant information often is not timeously available to enable governmental bodies to make informed decisions, because the records are not managed properly.

Governmental bodies need to control and manage records according to the legislation promulgated by government to enable government and the public to have timely access to accurate and reliable information.

Records management problems experienced by governmental bodies are amongst others the following:

- there is no top management support for records management or registry functions. Flowing from this the records managers (if they are designated at all) do not have the necessary authority or backing to enforce proper records management practices throughout the bodies.
- no approved records management policies and controls exist that compel officials to apply sound record keeping and records management practices. Consequently -
 - o officials are not using the registries but are keeping the records in their own offices. This results in information not being readily available at a central point preventing sound management decisions to be made based on authentic, reliable and relevant information.
 - o the officials who are keeping records in their own offices are not using the approved file plan(s) but are either piling the records in their offices or are compiling and using their own personal file plans. Flowing from this there is no central control over the records and it is difficult to determine if records of transactions are created in the first place. It is also difficult to pinpoint which are the authentic official records.
 - o due to the lack of central control over the records and the lack of records management awareness amongst the staff, records are destroyed without disposal authorities being issued for them. This tendency is creating a risk that governmental bodies could be held legally liable when information is requested in terms of the Promotion of Access to Information Act, 2000 or when written reasons for administrative decisions are requested in terms of the Promotion of Administrative Justice Act, 2000. Furthermore, governmental bodies could also be at risk when records are needed for legal action.
 - o governmental bodies are not properly equipped to manage records that are generated and stored electronically. Users are creating and deleting records and especially e-mails at their own discretion, without giving thought to creating and keeping records of official transactions conducted in this manner. Unless electronic records are created and managed according to sound records management principles when current, the efficiency, service delivery, accountability and legal interests of government are adversely effected;
 - o some governmental bodies inherited and/or created records that are taking up valuable storage space. They do not know what information is contained in the records neither do they have lists of the records available for retrieval purposes. This practice could adversely affect basic human rights when records are needed to prove a citizen's case in a court of law. Furthermore, it also has a negative

effect on the national and provincial archives services' mandate to protect the national archival heritage.

At an even more fundamental level a very limited culture of information sharing exists within governmental bodies. A tendency exists amongst staff in most governmental bodies to take personal ownership of records and to keep them out of central storage areas where they are accessible and the information they contain can be shared. Hence, the collapse of record keeping systems and registries all over the public service and the tendency to pile records in the offices of individuals.

Good record keeping is essential to governmental accountability in a democratic society. Records are indispensable in order to conduct official business. They provide evidence of what a governmental body has done; the dealings with individuals and other bodies, how it conducts its business, and why it took certain decisions. Good record keeping is critical to the health and efficient operation of the day-to-day business of government. Knowing what records to create and the information they must contain, ensuring that they are created consistently and to a high level of quality, capturing records into record keeping systems, maintaining records appropriately and ensuring their accessibility and retrievability would ensure that evidence-based governance is the foundation of accountability in a democratic society. It would also ensure that authentic records are created and maintained as part of the national archival heritage.

It is unfortunate that there is a popular belief that technology will solve service delivery problems. Numerous disparate systems are deployed in governmental bodies that compound the record keeping and information sharing problems, resulting in even greater service delivery problems. Deploying disparate systems compounds the problem of proving the authenticity of records, resulting in diminished evidential weight of records created on a daily basis.

Records management and the resultant service delivery and information sharing problems can only be resolved if management actively intervenes to create a working culture where records management, information sharing and service delivery flourishes.

Flowing from this it is essential for governmental bodies to give specific consideration to managing records as a valuable asset. The legislative provisions in section 13 of the National Archives and Records Service of South Africa Act (Act No 43 of 1996) are aimed towards promoting sound records management and thereby promoting transparency, accountability and better service delivery. To support continuing service delivery and provide the necessary accountability, governmental bodies should create and maintain authentic, reliable and usable records. Governmental bodies should also ensure that the integrity of the records is protected for as long as they are required as evidence of business operations.

The purpose of this manual is to explain to governmental bodies what their records management obligations are in terms of the National Archives and Records Service of South Africa Act.

Dr Graham Dominy
National Archivist
1 April 2006

LIST OF TERMS

Act:

The National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended.)

Appraisal:

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

Archival value:

Those values, administrative, fiscal, legal, evidential and/or informational, which justify the indefinite or permanent retention of records.

Archives:

Records in the custody of an archives repository.

Archives repository:

The building in which records with archival value are preserved permanently.

Case files

The most detailed (or specific) division in a file plan that creates a separate file for each person, place, institution or item, etc.

Closed volume:

- 1) Volumes of records in a current paper-based file plan that have reached a thickness of 3 cm or have become full, after which a new volume has been opened.
- 2) In an electronic system a folder which was segmented into parts.

Correspondence system

A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

Current records:

Records that form part of a records classification system still in use.

Custody:

The control of records based upon their physical possession.

Disposal:

The action of either destroying/deleting a record or transferring it into archival custody.

Disposal authority:

A written authority issued by the National Archivist 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 governmental body.

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:

Information which is generated electronically and stored by means of computer technology.

Electronic records management system

A (normally out-of-the-box) electronic system that contains business rules to manage records to ensure that they are authentic and reliable. A.k.a Electronic Records Management Applications

Electronic records system:

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

Ephemeral records:

See non-archival records.

File:

See folder.

File plan:

A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

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.

Filing system:

The collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.

Folder:

- 1) An organised arrangement of records on the same subject accumulated in chronological order within the same cover/container.
- 2) The physical action of allocating file reference numbers to records and placing them inside the cover/container.

Functional subject file plan:

A pre-determined logical, systematic and hierarchical structure based on business' functions that are then used to determine subject groups and subjects according to which records are filed and/or electronically indexed. Its purpose is to

- a) facilitate efficient retrieval and disposal of records; and
- b) to link the records back to the functions, activities and transactions that generated them.

Governmental body:

Any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government and until provincial archival legislation takes effect also all provincial administrations and local authorities.

Head of a governmental body:

The chief executive officer of a governmental body or the person who is acting as such.

Integrated Document and Records Management System

A system that supports the medium to long term information needs of a governmental body. It provides functionality over and above that of an electronic document management system to preserve the security, authenticity and integrity of records to enable the permanent preservation of records. Its primary management functions are –

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

Non-archival records:

Records with a short-lived interest or usefulness.

Public record:

A record created or received by a governmental body in pursuance of its activities, regardless of form or medium. (See Annexure 1)

Record:

- 1) Recorded information regardless of form or medium.
- 2) Evidence of a transaction, preserved for the evidential information it contains.

Recording:

Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.

Record classification system:

A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

Record keeping:

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

Record keeping system:

A collection of policies procedures and systems, which capture information according to a records classification system, manage, store and provide access to records and their context over time. A.k.a. *record system*.

Records other than correspondence systems:

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.

Regulations:

The National Archives and Records Service of South Africa Regulations, 2002, Regulation R1458 published in the *Government Gazette* No. 24085 of 20 Nov. 2002.

Retention period:

- 1) The length of time that records should be retained by governmental bodies before they are either transferred into archival custody or destroyed/deleted.
- 2) 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 in a hierarchical storage management system.

Schedule for records other than correspondence systems:

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 for paper-based records other than correspondence files;
- Schedule for electronic records systems other than the electronic correspondence system;
- Schedule for microfilm records;
- Schedule for audio-visual records.

Scheduled:

Records in respect of which a written disposal authority has been issued and which are due for disposal on a specific date.

System technical manual:

A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented as well as details of new releases that were implemented.

System procedures manual:

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding -

- Document capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures
- File transmission
- Information retention
- Information destruction
- Backup and system recovery
- System maintenance
- Security and protection
- Use of contracted services
- Workflow
- Date and time stamps
- Version control
- Maintenance of documentation

A systems procedures manual should be updated when new releases force new procedures.

Terminated records:

Records which were created or received by a governmental body and which were managed by a records classification system no longer in use.

Transitory records:

Transitory records are those records created by officials but not required by the governmental bodies for which they work to control, support or document the delivery of services, or to carry out operations, to make decisions, or to give account of the activities of government. Such records are needed by officials for only a limited time to facilitate the completion of routine actions or to prepare a subsequent record required by a governmental body for the above-mentioned reasons.

Unscheduled:

Records in respect of which a written disposal authority has not yet been issued and which can thus not be disposed of.

Vital/essential records:

- 1) Records that protect the enduring 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 1: INTRODUCTION

Sound records management is fundamental for good governance and effective and efficient administration. It forms the basis for formulating policy, managing resources and delivering services to the public. Records management also provides a basis for accountability and protecting the rights of individuals.

Records are the output of the business and administrative processes of a governmental body. In other words, the final proof that a business or administrative process was transacted. They serve as essential proof of the business that was conducted and should remain unaltered over time for as long as they are needed. As evidence of official business records have on-going use as a means of management, accountability, operational continuity, legal evidence and disaster recovery. They also form the memory of the institution that created them, and by extension, they are part of society's memory and the broader cultural heritage. In some cases records also have a bearing on the rights of citizens. A body's ability to function efficiently and give account of its actions could be negatively affected if sound records management principles are not applied. The need for effective management of records is enhanced by the Public Finance Management Act, 1999, the Promotion of Access to Information Act, 2000, the Promotion of Administrative Justice Act, 2000, and the Electronic Communications and Transactions Act, 2000 in terms of which governmental bodies have an obligation to manage their records properly, to provide access to information contained in records, provide reasons for administrative decisions and to ensure the authenticity of records.

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.

In short, sound records management ensures that all the records that governmental bodies created in the conduct of their official business are, and remain, authoritative and authentic. (See par 3 of Annexure 1) Furthermore, governmental bodies should have ready access to the information they require to deliver their services to the public in an accountable manner. Management has a responsibility to ensure that governmental bodies create and have access to complete and credible information resources to enable the decision-making process to be in the best interest of the public. Information is one of the key resources required to run an efficient organisation. Well-organised records

- enable an organisation to find the right information easily and comprehensively;
- enable the organisation to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of the organisation;
- ensure the conduct of business in an orderly, efficient and accountable manner;
- ensure the consistent delivery of services;
- provide continuity in service delivery when staff leave;
- support and document policy formation and administrative decision-making;
- provide continuity in the event of a disaster;
- protect the interests of the organization and the rights of employees, clients and present and future stakeholders;
- support and document the organisation's activities, development and achievements;
- provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory of the nation.

Since one of the National Archives and Records Service' objectives is to preserve public records with enduring value for use by the public and the state, the National Archives and Records Service is not only concerned with the management and accessibility of records over a short period of time. Records created in electronic and paper-based record keeping systems contain the memory of the decision-making of government and its impact. The National Archives and Records Service has a responsibility to ensure that this memory is maintained and protected for centuries to come. For this reason, the National Archives and Records Service's role is to promote efficient administration by means of regulating the records management practices of governmental bodies to ensure the sound management of their records.

1.1 Statutory and regulatory framework

The statutory and regulatory framework in which sound records management is founded is the following:

The Constitution, 1996

Section 195 of the **Constitution** provides amongst others for the:

- effective, economical and efficient use of resources;
- provision of timely, accessible and accurate information; and requires that
- the public administration must be accountable.

National legislation enacted to give effect to the provisions in this section is the following:

The National Archives and Records Service of South Africa Act (Act. No. 43 of 1996, as amended)

Section 13 of the Act contains specific provisions for efficient records management in governmental bodies. It provides for the National Archivist-

- to determine which record keeping systems should be used by governmental bodies;
- to authorize the disposal of public records or their transfer into archival custody; and
- to determine the conditions -
 - ◆ according to which records may be microfilmed or electronically reproduced;
 - ◆ according to which electronic records systems should be managed.

The National Archives and Records Service of South Africa Regulations (R158 of 20 November 2002)

Part V: Management of Records contains the specific parameters within which the governmental bodies should operate regarding the management of their records.

The Public Finance Management Act (Act. No. 1 of 1999) and the Municipal Finance Management Act (Act. No. 56 of 2003)

The purpose of the Act is to regulate financial management in the public service and to prevent corruption, by ensuring that all governmental bodies manage their financial and other resources properly.

The Promotion of Access to Information Act (Act. No. 2 of 2000)

The purpose of the Act is to promote transparency, accountability and effective governance by empowering and educating the public

1. to understand and exercise their rights;
2. to understand the functions and operation of public bodies; and
3. to effectively scrutinize, and participate in, decision-making by public bodies that affects their rights.

As far as the Promotion of Access to Information Act is concerned, the definition of a record is similar to that in the National Archives and Records Service Act, namely "recorded information regardless of form or medium". Governmental bodies cannot refuse access on grounds that a record is in an electronic form (including an e-mail). This implies that an electronic record (including an e-mail) like any other record should be managed in such a manner that it is available, accessible, and rich in contextual information. By implication electronic records (including e-mails) should be managed in proper record keeping systems and the disposal of electronic records (including e-mails) should be documented and executed with the necessary authority.

The Promotion of Administrative Justice Act (Act. No. 3 of 2000)

The purpose of the Act is to ensure that administrative action is lawful, reasonable and fair and properly documented.

The Promotion of Administrative Justice Act imposes a duty on the state to ensure that administrative action is lawful, reasonable and procedurally fair; and everyone whose rights have been adversely affected by administrative action has the right to be given written reasons for such an action. A person who is of the opinion that his/her rights have been materially and adversely affected by administrative action may request that he/she be provided with reasons for such an action. If an administrator to whom a request was made fails to furnish adequate reasons for administrative action, because the history of that action was documented in e-mail messages or records that were destroyed, it could be presumed that the administrative action was taken without good reason. The administrator then runs the risk of legal action being taken against him/her or his/her organization. Relating this back to the management of records - unauthorized destruction of records (including e-mail) could be considered a deliberate action to conceal the reasons for administrative actions. Any destruction of public records should be done in accordance with a written disposal authority issued by the National Archives and Records Service or its provincial equivalents. Governmental bodies should do a risk assessment to determine the risk of not managing their records (including e-mail) properly against the risk of being held accountable for unreasonable administrative actions.

The Electronic Communications and Transactions Act (Act. No. 25 of 2002)

The purpose of the Act is to legalize electronic communications and transactions, and to build trust in electronic records.

According to the Electronic Communications and Transactions Act data messages are legally admissible records, provided that their authenticity and reliability as true evidence of a transaction can be proven beyond any doubt. The evidential weight of the electronic records (including e-mails) would depend amongst others on the reliability of the manner in which the messages were managed by the originator and the receiver. Should bodies not have a properly enforced records management and e-mail policy and a reliable and secure record keeping system, they run the risk that the evidential weight of their electronic records (including e-mails) might be diminished.

Besides the above mentioned acts a number of other laws compel governmental bodies to manage information and records so that they are readily available and accessible

when needed. The legislation and standards mentioned above are generally applicable to all governmental bodies. There are also non-generic laws that applies to specific governance clusters and governmental bodies and although not mentioned specifically these should also be kept in mind when reading this document.¹

Efficient records management practices are imperative if a body wants to give effect to the provisions of these Acts.

The e-Government Framework and the National e-Strategy

Sound records management is a critical success factor in the implementation of e-government and is part of the e-government framework and the national e-strategy. Through sound records management authentic and reliable evidence of transactions that will take place via the planned e-government gateway would be able to be captured and made available to the citizenry. Sound records management principles form the basis for sharing and re-using of information as well as for providing access to information. Information is only valuable if it can be read in context and remains accessible. The National Archives and Records Service strives to ensure that, in the transition to e-government, evidence of transactions and the information contained in paper-based and electronic records remains accessible and understandable.

The National Archives and Records Service is however not only concerned with the management and accessibility of records over a short period of time. Records created in electronic and paper-based record keeping systems contain the memory of the decision-making of government and its impact. The National Archives and Records Service has a responsibility to ensure that this memory is maintained and protected for centuries to come. The requirement to keep information accessible over time places a major responsibility on governmental bodies to ensure that electronic records and their related metadata are migrated through changes software, hardware and storage media as soon as they occur. The requirement for sound records management practices places a major responsibility on all governmental bodies to ensure that records are appropriately generated, properly maintained and well protected for as long as they are required.

1.2 Benchmark

In support of the requirements of the National Archives and Records Service Act the National Archives and Records Service endorses SANS 15489 *Information and documentation – Records management – Part 1: General and Part 2: Guidelines* as the required benchmarking tool for records management and, in terms of its statutory mandate, requires governmental bodies to put the necessary infrastructure, policies, strategies, procedures and systems in place to ensure that records in all formats are managed in an integrated manner. The National Archives and Records Service also recommends compliance with the National Intelligence Agency's *Minimum Information Security Standard*² and the Department of Public Service and Administration's *Draft Information Security Policies*³.

1 The company Mostert, Goodburn and Opperman recently did extensive research about records retention requirements in legislation. For more information contact Wim Mostert tel.: 011 802 2278, cell.: 082 378 9720, e-mail: worm@mostert.co.za

2 To obtain copies of this standard contact the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, tel. 012 427 4000, fax 012 427 4651.

3 Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>

The National Archives and Records Service also endorses the following national standards with a view that they would guide governmental bodies in creating authoritative and reliable records:

- SANS 15801: *Electronic imaging – Information stored electronically – Recommendations for trustworthiness and reliability*; and
- SANS 23081: *Information and documentation – Records management processes – Metadata for records – Part 1: Principles*.
- SANS 17799: *Information technology – security techniques – Code of practice for information security management*.⁴

1.3 Objective of this publication

This manual is issued in terms of section 13(4) of the National Archives and Records Service of South Africa Act, 1996. The purpose of this manual is to impart the National Archives and Records Service's records management policy and to provide information regarding the management of records in all formats in an integrated manner. The manual contains detailed information regarding the specific requirements and conditions for the management of public records and highlights the specific obligations of heads of governmental bodies and records managers in terms of the National Archives and Records Service Act, 1996 as amended. The manual is also used as the basis for the training presented in the National Archives and Records Service's Records Management Course.

1.4 Intended audience

This manual is applicable to all governmental bodies viz. any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government, and until provincial archival legislation takes effect, also all provincial administrations and local authorities. As soon as archival legislation comes into force in a specific province, such provincial offices and local authorities will receive specific guidelines from the relevant provincial archives service. The guidelines issued by the provincial archives services will not be inconsistent with these guidelines. Should a provincial archives service however prefer to continue using these guidelines they should be read in conjunction with that province's specific archives and records management legislation.

This manual should be retained by the records manager of each governmental body and should be updated with such amending or additional instructions as are made available to them from time to time.

4 This code of practice could be used by governmental bodies that are not subject to the *Minimum Information Security Standard* to guide the design of information security implementation. Governmental bodies that are subject to the *Minimum Information Security Standard* should consult with the National Intelligence Agency before they use this code. To obtain copies of all these standards contact the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

The records manager should ensure that the information in this manual is communicated to all creators of records.

PART 2: MANAGEMENT OF PUBLIC RECORDS

Good governance depends on government's ability to function efficiently and effectively. All governmental bodies need to have ready access to the information they require to perform their services to the public in an accountable manner.

2.1 General

In accordance with Section 13(1) of the National Archives and Records Service of South Africa Act, 1996 (hereafter referred to as the Act), the National Archivist is charged with the proper management and care of all public records in the custody of governmental bodies. See Annexure 2 for the text of the Act.

Heads of governmental bodies need to identify the regulatory environment that affects their activities/functions and should ensure that their activities/functions are documented to provide adequate evidence of their compliance with legislation governing their specific environment, and to ensure compliance with the provisions of the Promotion of Administrative Justice Act, 2000.

They must ensure that all records under their control are stored and filed in a systematic and orderly manner. Records classification systems approved by the National Archivist should be used for this purpose. Heads of governmental bodies are ultimately responsible to ensure that a written disposal authority is issued by the National Archivist in respect of all records in all formats in their custody before any records are destroyed, deleted, transferred into archival custody or otherwise disposed of. Furthermore, they should ensure that paper-based records that are microfilmed or captured in electronic format are not destroyed merely because they now also exist in another format. A written disposal authority for the destruction of the paper-based records should be obtained from the National Archives and Records Service before they are destroyed.

Heads of governmental bodies must ensure that their bodies comply with the conditions suitable for the effective storage of the various types of records, including electronic records, determined by the National Archivist. They may be requested to provide the National Archivist with detailed information on the custody, storage, treatment, classification and disposal of all public records in their care. The National Archivist can, on the grounds that the records are not managed and stored properly, require governmental bodies to take the necessary steps to ensure that records are managed and stored properly. For instructions regarding the secure storage of security classified records, see chapter 4 of the *Minimum Information Security Standard*.⁵

⁵ The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: 012 427 4000, Fax: 012 427 4651. The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies* which is available on the DPSA's website at <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>. Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques - Code of Practice for Information Security Management* which can be obtained from the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

Should functions be moved from one governmental body to another, heads of governmental bodies must inform the National Archivist in writing at least sixty days in advance that records will be transferred between bodies falling under the Act. This notification must include a complete list of the records to be transferred.

Heads of governmental bodies should manage access to records in their custody by members of the public in terms of the Promotion of Access to Information Act, 2000, and other relevant legislation recorded in the Schedules of that Act. To this end heads of governmental bodies should ensure that they document all disposal actions taken in respect of records and that all cases of lost or damaged records are properly investigated documented and reported in writing to the National Archivist, to ensure that they are not held liable for concealing or willfully destroying records in terms of section 90 of the Promotion of Access to Information Act, 2000.

Heads of governmental bodies should ensure that their Human Resources Managers utilise the Department of Public Service and Administration's *Best practice model to keep and manage paper-based employee records*, as well as the National Minimum Information Requirements (NMIR) circulated in the DPSA's circular 4 of 2001 to manage Human Resources records. Financial records should be managed according to the regulations in terms of the Public Finance Management Act, 1999 and the best practices contained in the Office of the Auditor-General's *Audicom Audit Information Manual*. They should also strive to benchmark their records management programmes against the South African national standard 15489: *Information and documentation - Records management, Part 1: General and Part 2: Guidelines*.⁶

In terms of the National Archives and Records Service of South Africa Act, 1996 as amended, heads of governmental bodies must assign records management responsibilities to all employees of the organisation, including the records manager and all other persons in the organisation who create records as part of their work. This should be reflected in their job descriptions, and their performance agreements.

2.2 Managing paper-based records

Heads of governmental bodies should ensure that, in the transition to e-government, sufficient attention is given to the management of paper-based records generated by governmental bodies and should ensure that all the requirements for the management of paper-based records prescribed in this manual are adhered to.

2.3 Managing electronic records

Electronic records are subject to the same requirements provided in the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) that apply to the management of other records.

The Act, in sections 13(2)(b)(ii) and 13(2)(b)(iii), provides for the National Archivist to determine the conditions according to which records shall be electronically reproduced and the conditions according to which electronic records systems shall be managed. The conditions determined by the National Archivist cover aspects such as the classification/filing, retrieval, access to, disposal and long term preservation of the

6 To obtain copies of this standard contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

records. Detailed guidelines for the management of electronic records is contained in the National Archives and Records Service's *Managing electronic records in governmental bodies: Policy, principles and requirements* which is available on the National Archives and Records Service's Website <http://www.national.archives.gov.za>. Alternatively hard copies can be requested via fax or e-mail from the head of the Records Management Division. (Fax: (012) 323 5287, e-mail: rm@dac.gov.za).

In essence, the National Archives and Records Service requires all governmental bodies to have a strategy for the effective management of electronic records in place. This entails that:

- Heads of governmental bodies should ensure that all electronic records systems, (including e-mail and websites, electronic correspondence systems and electronic records systems other than the correspondence systems) are managed according to the guidelines contained in *Managing electronic records in governmental bodies: Policy, principles and requirements*.
- Heads of governmental bodies should recognize that notwithstanding the provisions of any other Act of Parliament to the contrary (e.g. the Electronic Communications and Transactions Act, 2002) no electronic records may be deleted without a prior written disposal authority issued by the National Archivist. They should guarantee that this is strictly adhered to. They should ensure amongst others that a detailed written policy document and a reliable and auditable process support the destruction of original records after they have been imaged. In this regard, heads of governmental bodies should take note of the recommendations contained in SANS 15801: *Electronic imaging – Information stored electronically – Recommendations for trustworthiness and reliability*.⁷
- Heads of governmental bodies should ensure that reliable electronic records are maintained as evidence of official business for accountability, operational continuity, disaster recovery as well as institutional and social memory;
- Heads of governmental bodies within the broader regulatory framework established by the DPSA, the GITO Council and SITA in conjunction with the National Archives and Records Service, should document and implement policies and procedures which control the classification/filing, retrieval, access to, disposal, and long term preservation of records to ensure that the context of the records is identified and that records are protected against unauthorised addition, deletion and alteration. The policies should specify amongst others the following:
 - what additions and alterations may be made to an electronic record after it has been finalised;
 - under what circumstances additions or annotations may be authorised and who has the authority to make them and how annotations and additions must be explicitly indicated;
 - that an audit trail and transaction history of any alterations as well as deletions and transfers of electronic records must be captured and kept as a record;
 - how e-mail should be managed as records;
 - what mandatory and site-specific metadata should be kept for electronic records;
 - the procedures for proper storage and regular recopying, reformatting, any other necessary maintenance, as well as the migration to new technologies to ensure retention and usability of electronic records throughout their life cycle;

7 To obtain copies of these standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

- the appropriate storage environment;
- disaster recovery strategies and back-up management;
- the use of appropriate medium or long-term storage of archival records;
- the measures necessary for the prevention of unauthorised access to the electronic systems and the data contained in such systems.

Should governmental bodies consider automating correspondence processes, the National Archives and Records Service also requires the implementation and maintenance of Integrated Document and Records Management Systems that provide as a minimum the following records management functionality:

- managing a functional subject file plan according to which records are filed;
- managing e-mail as records;
- managing web-sites as records;
- maintaining the relationships between records and files, and between file series and the file plan;
- identifying records that are due for disposal and managing the disposal process;
- associating the contextual and structural data within a document;
- constructing and managing audit trails;
- managing record version control;
- managing the integrity and reliability of records once they have been declared as such; and
- managing records in all formats in an integrated manner.

The purpose of these systems are to ensure that records in all formats are managed according to the same sound records management principles. Integrated Document and Records Management Systems form the backroom support for e-government. The electronic delivery of services will generate records as evidence of transactions. This evidence will have to be retained as records to provide an accountability framework within which the electronic delivery of services can take place.

2.4 Managing micrographic records

Section 13(2)(b)(ii) of the Act stipulates that the National Archivist shall determine the conditions subject to which records may be microfilmed. Microfilming generally involves the destruction of original records. For this reason it is imperative that the microfilming project only be undertaken once a written disposal authority has been obtained from the National Archivist that covers both the original paper-based records as well as the micrographic copies.

The head of a governmental body must ensure that his/her governmental body obtains the specific conditions for microfilming before a microfilm project starts. These conditions will amongst others specify that records with archival value that should be placed on microfilm media that comply with the specifications contained in SANS 10141:2005 - *The processing, testing and storage of silver-gelatin microfilm for archival purposes*.⁸ This code contains specifications concerning the manufacturing of the microfilm, the filming process and the installation of climatically controlled storage areas. The rest of the conditions may differ from body to body, depending on the scope of the specific project.

8 To obtain copies of this standard contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

Governmental bodies are advised to clarify the legal admissibility of microfilm records before any paper-based records are destroyed in terms of a disposal authority issued by the National Archivist.

If another Act of Parliament determines that the relevant governmental body may microfilm its records, it is still necessary for the governmental body to contact the National Archivist to obtain the conditions in terms of the National Archives and Records Service Act, 1996 as amended, concerning the microfilming process as well as a disposal authority that covers both the original records and the microcopies.

2.5 Managing audio-visual records

All films, videos, sound recordings and similar types of records are defined by section 1 of the National Archives and Records Service Act, 1996 as amended, as records and are thus subject to the same requirements with regard to control, custody and care as all the other records in the possession of governmental bodies. Unlike correspondence files that are kept in a registry and can be retrieved through a filing system, these items are not necessarily stored in a registry. It is therefore necessary that these items be reflected in the schedule of other records systems (see Part 3) so that meaningful control can be exercised and a disposal authority be issued for them.

All stipulations in this manual as well the provisions of the Legal Deposit Act, 1997 and the regulations in terms of that Act are applicable to these types of records.

2.6 Managing security classified records in all formats

For instructions regarding the management of security classified records, see chapter 4 of the *Minimum Information Security Standard (MISS)*.⁹ The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies*.¹⁰ Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*.¹¹

2.7 The designation and responsibilities of a records manager

The head of a governmental body, in terms of section 13(5) of the Act, must designate a records manager who will be responsible for the effective, efficient and accountable control of all the public records in that body. The records manager should be an official in a relatively senior central position in the organisation and must be able to communicate easily with division heads and senior management. The records manager should have knowledge of the body's organisational structure, functions and records

9 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: (012) 427 4000; Fax (012) 427 4651.

10 Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>.

11 This standard can be obtained from the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

classification systems. The records manager and registry head should not be one and the same person.

The records manager is required to attend the National Archives and Records Service's Records Management Course and/or any other training sessions provided to records managers by the National Archives and Records Service.

The position of the records manager is of a supervisory and managerial nature. The practical work connected to his/her responsibilities may be delegated to subordinates, like the registry head. However, the records manager's responsibility to ensure that the organisation's records management practices comply with the requirements of the Act may not be delegated. Bodies with several components should appoint separate records managers for each component. These records managers however remain accountable to the records manager of the whole body.

The records manager must draft an organisational records management policy. The immediate objective of the policy is the creation and management of authentic, reliable and useable records, capable of supporting the business functions of the body. The long-term objective of the policy is to ensure that governmental bodies, as part of our national heritage, capture, maintain and protect a corporate memory of decisions and actions that impacted on the lives of the people and the environment they governed. (See Annexure 4 for specific guidelines regarding the compilation of a records management policy). The records manager should ensure that the policy is adopted and endorsed by the head of the governmental body as well as his/her top management team and that the policy is communicated and implemented throughout the organisation.

Since electronic records management is essentially a management issue and not an IT issue the records manager should ensure that records generated and stored in electronic systems are managed in terms of the requirements set out in *Managing electronic records in governmental bodies: Policy, principles and requirements*. Records managers must have a basic understanding of the concepts of database management, file/document tracking, imaging and scanning, electronic document management, workflow and electronic records management to enable them to control records created in an electronic environment properly. The management of electronic records should not be left solely to the IT manager because IT management and the management of records existing in IT systems are different disciplines. Technology is only a tool used to automate the creation, processing and management of records. The IT manager is involved with the technical management of the IT systems. Records managers and IT managers should work together to ensure that records generated, stored and processed in electronic systems are managed properly.

To ensure that information contained in records is kept in a safe and secure environment, the records manager should also work closely together with the governmental body's security manager to ensure that all records storage areas comply with the National Intelligence Agency's¹² prescribed security measures.

12 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: (012) 427 4000; Fax: (012) 427 4651. The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies* which is available on the DPSA's website at <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>. Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management* which can be obtained from the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

Should a governmental body consider making use of the services of records management consultants, it is also the responsibility of the records manager to ensure that the services are delivered within the framework of the National Archives and Records Service's regulatory requirements and that the governmental body does not accept advice from consultants that is contradictory to the requirements of the National Archives and Records Service Act, 1996. In this regard, see the National Archives and Records Service's pamphlet *Records management service providers and the law: What governmental bodies need to know* on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively hard copies can be obtained from the Records Management Division (Tel. (012) 441 3200, Fax: (012) 323 5287, e-mail rm@dac.gov.za).

The specific responsibilities of the records manager are elaborated upon in paragraphs 2.4, 3.5, 4.3, 5.2 and 6.2. Detailed performance criteria for records managers are available on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively hard copies can be obtained from the Records Management Division (Tel. (012) 441 3200, Fax: (012) 323 5287, e-mail rm@dac.gov.za).

PART 3: RECORDS CLASSIFICATION SYSTEMS FOR PUBLIC RECORDS

Records that are correctly arranged and stored are easily accessible and facilitate transparency and accountability that are the cornerstones of democracy.

3.1 General

According to section 13(2)(b)(i) of the National Archives and Records Service of South Africa Act, 1996, the National Archivist shall determine the records classification systems to be applied by governmental bodies.

Records classification systems provide a way of having **intellectual control** over all the records of a body. They provide a means of knowing what records exist and where they are kept. Intellectual control is provided in the file plan and the schedule of records other than correspondence systems where individual records are either listed according to a hierarchical subject structure in the case of the file plan or according to document type in the case of the schedule. Records classification systems facilitate retrieval of records to enable bodies to provide efficient services to the public. Well-organised records -

- enable an organisation to find the right information easily and comprehensively to comply with the requirements of the Public Finance Management Act 1999, the Promotion of Access to Information Act 2000 and the Promotion of Administrative Justice Act, 2000;
- enable the organisation to perform its functions successfully and efficiently; and
- support the business, legal and accountability requirements of the organisation.

The use of the following records classification systems has been determined:

a) Correspondence systems

The **functional subject filing system** consisting of an approved **file plan** and a appropriate **storage system** is to be used by governmental bodies for the management of the paper-based correspondence system **as well as for the management of electronic correspondence systems**.

When a governmental body envisages the implementation of an Integrated Document Management System, a file plan must be approved and issued with a disposal authority before the system is rolled out. Even when a governmental body envisages phasing in the implementation of an Integrated Document Management System without the immediate benefit of an electronic records management application, it is still necessary to have a file plan approved and issued with a disposal authority prior to the roll out of the system, to enable documents to be indexed against that system.

The National Archivist must approve all file plans before governmental bodies implement them. From the governmental body's perspective the purpose of the file plan is to enable access to information. From the National Archives and Records Service's perspective the most important purpose of a file plan is to distinguish between archival and non-archival records. To this end it is necessary that each file plan be investigated before implementation to ensure that the distinction is made. This enables the speedy issuing of a disposal authority for the file plan, to ensure that archival records are earmarked as

such. The purpose of investigating a file plan before implementation is also to ensure that there is no overlapping in file descriptions, that each document can only be placed on one file, and that the file plan reflects the functions of the body sufficiently. Heads of governmental bodies must ensure that all file plans in use, but which the National Archivist, has not yet approved, are submitted for approval.

File plans reflect the activities and functions of a particular body. Each file plan is unique and can thus not be used by another body. File plans are dynamic and should be adapted accordingly when the functions of a body changes. This will ensure that the file plan always correlates with the specific activities/functions of a body.

b) Records other than correspondence systems

The ***schedule for records other than correspondence systems*** is to be used for the management of all records other than correspondence systems. Records other than correspondence systems include archival material such as registers, index cards, photographs, minutes of the council, etc., which for practical considerations are not filed on the correspondence files of the filing system. For a detailed description of records other than correspondence files see Annexure 28. These records are also included under the access provisions of the Promotion of Access to Information Act, 2000 as well as the provisions of the Promotion of Administrative Justice Act, 2000. Heads of governmental bodies should ensure that there is sufficient knowledge regarding which records exist and where they are kept, to ensure that access to the right information can be provided timeously.

The only exceptions are publications obtained by means of purchase or subscription, which are not considered to be records but library material and paintings that are not records but works of art and are therefore not listed in the schedule for records other than correspondence systems. Works of art are classified as assets and should be disposed of in terms of the National Treasury Regulations.

3.2 Designing, implementing and maintaining records classification systems

3.2.1 Functional subject filing systems

3.2.1.1 Designing and implementing a new file plan

When designing file plans, there are a number of specific guidelines (see Annexure 5) to be followed to ensure that the file plan complies with the requirements of the National Archives and Records Service. Detailed design and implementation guidelines for file plans are contained in the National Archives and Records Service's publication *Directive R1: Background and compiling file plans*.

The National Archives and Records Service has also compiled a prototype file plan for generic support functions and a prototype file plan for Human Resources Management. These file plans very comprehensively cover subjects needed for support functions and for the Human Resources function. These file plans can be downloaded from the National Archives and Records Service's website <http://www.national.archives.gov.za> and can be refined by governmental bodies (e.g. name of body, implementation date, and addition of specific subjects that were not supplied). These file plans should still be submitted to the National Archives and Records Service for approval before implementation.

Prototype file plans for local authorities, Ministries and MECS as well Committees and Commissions of Enquiry also exist and should be used by governmental bodies as a framework when compiling file plans for paper-based and electronic records. (See Annexure 6 for a list of the prototype file plans).

Directive R1 and the prototype file plans are available on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively hard copies can be requested from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 323 5287, e-mail: rm@dac.gov.za).

3.2.1.2 Application and Maintenance of the filing system

It does not make sense to commit to designing a new file plan and implementing a new *storage system* to support it and then fail to ensure that the file plan and physical filing system are applied and maintained properly. The National Archives and Records Service has compiled a document containing detailed information regarding the application and maintenance of paper-based filing systems. The document is entitled *Directive R2: Application and maintenance of filing systems*. It is available on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively hard copies can be requested from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 323 5287, e-mail: rm@dac.gov.za).

The generic guidelines contained in Directive R2 are also applicable to electronic systems. Specific guidelines for the application and maintenance of electronic filing systems will however also be contained in the specific interacting software, standards, procedures and policies of the specific electronic solution that is used.

Specific information regarding the physical care of records generated in the filing system is contained in Part 5 of this manual.

3.2.2 Schedule for records other than correspondence systems

When governmental bodies implement Integrated Document Management Systems for the management of records in all formats it will be acceptable if records other than correspondence systems are managed through that system. The **schedule for electronic records systems** will however remain a requirement for the management of electronic records systems other than the correspondence system.

The schedule normally consists of 4 parts namely:

3.2.2.1 Part A: Schedule for paper-based records other than correspondence systems

In order to manage paper-based records other than correspondence systems and to determine retention periods for these records, it is necessary that each governmental body should carry out a records survey to establish what other records there are and where they are kept. The schedule of paper-based records other than correspondence systems should contain a detailed description of the records categories, the individual records themselves as well as the storage location of each. The National Archives and Records Service has compiled prototypes of the schedule for paper-based records other

than correspondence systems, which can be used as the framework for compiling these schedules. See Annexures 7 and 8.

These prototypes are also available on the National Archives and Records Service's website <http://www.national.archives.gov.za>.

3.2.2.2 Part B: Schedule for electronic records systems

In order to manage electronic records systems other than the correspondence system efficiently and determine retention periods, a governmental body must compile a comprehensive inventory/catalogue of all electronic records systems containing a brief description of the purpose of each system. (For an example see Annexure 9). The General Disposal Authorities¹³ for the disposal of ephemeral electronic and related records and transitory records that authorise the destruction or erasure of certain categories of electronic records can be applied by the governmental body to dispose of the non-archival systems listed in the inventory/catalogue. The inventory/catalogue must also be submitted to the National Archives and Records Service to appraise the remaining electronic systems. The National Archives and Records Service will require the body to compile detailed descriptions of the archival systems for the issuing of a disposal authority as well as for archival management and retrieval purposes.

The precise manner in which archival electronic records systems should be scheduled can be negotiated with the National Archives and Records Service. In some cases it may only be necessary to provide an explanation of the purpose of the system and the technology used. In other cases the National Archives and Records Service may request that the information in each system should be described in comprehensive fashion. Descriptions should then include an explanation of the data sets and files included in the system; the hard copy input and output; the processing, subset, and special format files created and used in the system; and the documentation that describes and defines the system and the data in it. A list of preferred elements that should be included in a complete and accurate description for a schedule can be found in Annexure 10.

A schedule of electronic records systems normally consists of an inventory of all electronic records systems except the correspondence system with separate descriptions for each archival electronic system. The inventory must be submitted to the National Archivist for the issuing of disposal authority. The National Archivist would indicate which systems are archival in nature and would request that they be described in detail. The inventory and the described archival system(s) together constitute the schedule of electronic records systems. The schedule should be recorded as Part B of the schedule of records other than correspondence systems.

3.2.2.3 Part C: Schedule for micrographic records

All micrographic records and projects should be incorporated into the schedule for records other than correspondence systems as Part C. This should be done so as to ensure that they are properly administered and retention periods are timeously determined.

13 These General Disposal Authorities are available on the National Archives and Records Service's website <http://www.national.archives.gov.za> as directives D10 and D11. Alternatively hardcopies can be obtained from the Records Management Division (Tel.: (012) 3235300, Fax: (012) 323 5287, e-mail rm@dac.gov.za).

A microfilm project may consist of one or more applications. An application is defined as the micrographic copying of a specific group of records. Separate descriptions must be compiled for each application. Annexure 11 contains an example of the form that should be used to describe the microfilm projects. The described applications together constitute the schedule for micrographic records.

The approval of a microfilm project consists of the allocation of disposal instructions for each component of the microfilm project as well as determining the specific conditions which a body must comply with regarding each application. All amendments and additions to an approved application must be reported to the National Archivist in order to, revise the conditions and disposal instructions applicable to that specific application if necessary.

3.2.2.4 Part D: Schedule for audio-visual records

Even though films, videos, sound recordings and related records are subject to legal deposit in terms of the Legal Deposit Act, 1997, they are still subject to the same requirements regarding their sound management as all the other groups of records. Audio-visual records should be described in a schedule for audio-visual records. This should be done so as to ensure that they are properly administered and retention periods are timeously determined. The precise manner of scheduling should be negotiated with the National Film, Video and Sound Archives (NFVSA). (See contact details in Part 8). Preferably the schedule should contain a description of the records categories, a broad description of the content of the records, as well as the storage location of each category. In some cases it might also be necessary to provide detailed contextual information as well as a list of each individual item, depending what the NFVSA's preference is.

3.3 Discontinuing/terminating records systems

When record keeping systems are terminated, no further records may be added to these systems, although they should continue to be accessible. Records may be removed from the system only in accordance with the disposal authorities issued for those specific systems or in accordance with the specific conversion and migration strategies for the electronic systems.

The process of discontinuing systems should be documented to maintain the reliability and integrity of the records held within those systems.

3.4 The specific responsibilities of the records manager

3.4.1 File plans

The records manager is responsible for the overall control over the compilation, implementation, maintenance and utilisation of approved file plans and the records filed according to these systems.

During the compilation of a new file plan the records manager should liaise with the National Archives and Records Service for assistance and advice during the process. Once the file plan has been compiled, the records manager should submit it to the

National Archivist for approval. The records manager should keep a master copy of the file plan updated to always reflect the functions of the body. The records manager must ensure that the approved file plan is maintained and that all additions and amendments are reported to the National Archivist. As the functions and activities of a body develop, a similar development should occur in the file plan. The records manager should ensure that changes in the file plan are reflected in the physical files, and in the electronic system if the body is using an electronic system.

The records manager should ensure that the registry staff are trained in the allocation of reference numbers and in file plan maintenance procedures. The records manager should also ensure that all the users of the system are trained to allocate reference numbers to correspondence, to ensure that records are not misplaced.

Supervision over the implementation and maintenance of the filing system (the storage system for records) must be ensured. The correct placement of documentation should be monitored and particular attention should be paid to policy, archival, routine enquiry and parent files in both the paper-based and the electronic system to ensure that they are used correctly.

3.4.2 Schedule for records other than correspondence systems

The records manager is responsible for the overall control over the compilation, maintenance and utilisation of the approved schedules for records other than correspondence systems as well as the records themselves.

The records manager must ensure that the schedule for other records systems is compiled and submitted in duplicate to the National Archivist for the issuing of a disposal authority. The records manager should ensure that the master copy of the schedule is maintained and updated and must ensure that all revisions and additions are reported to the National Archivist, to facilitate the issuing of a disposal authority for the records.

The records manager should ensure that the disposal authority is applied at least once a year to ensure that archival records are transferred into archival custody and that non-archival records no longer needed are destroyed.

PART 4: DISPOSAL OF RECORDS

The implementation of an effective disposal programme enables a body to dispose of its records regularly either by transferring the archival records to an archives repository or by disposing of the non-archival records when they are no longer required for administrative, legal or other functional purposes.

4.1 General

In accordance with section 13(2)(a) of the National Archives and Records Service of South Africa Act, no public records under the control of any governmental body may be transferred to an archives repository, destroyed, erased or otherwise disposed of without a written disposal authority issued by National Archivist.

A disposal authority is a written authority issued by the National Archivist specifying records to be transferred into archival custody or specifying records to be disposed of otherwise. Heads of governmental bodies should ensure that all records in their custody are issued with a disposal authority, and should ensure that retention periods are determined for all records that are earmarked for destruction.

The head of a governmental body must inform the National Archivist and submit an application for disposal authority if the governmental body is going to close down permanently. Information on the termination of functions as well as the disposal authority application should be submitted as soon as the information becomes available. This should be done to prevent the records being lost or stored in unsuitable storage conditions.

No governmental body, component, section or division may use a disposal authority issued to another body. Each disposal authority is applicable only to a specific group of records in a specific body and is not transferable.

The National Archives and Records Service issues three types of disposal authorities:

- a) **Standing disposal authority** is issued for current records like the current paper-based filing system, current schedule for records other than correspondence systems, current electronic records and projects, and current micrographic records and projects. In practice it means that a particular office is granted standing disposal authority to destroy certain or specific types of records periodically after the expiration of the retention period without having to apply for disposal authority every time they want to destroy these specific types records.
- b) **Limited disposal authority** is issued for all terminated records. This type of authority is granted to a specific office for the destruction of certain specified archives. This type of disposal authority only applies to specified records and is not of a repetitive nature.
- c) **General disposal authority** is issued for specific types of records that are common in all bodies such as financial records, personnel records, etc. A complete list of these authorities issued is included in Annexure 12. The existence of a General Disposal Authority does not automatically imply that the records can be destroyed. The authorities cover both archival and non-archival records. For more information regarding the retention periods applicable to the records

contained in these authorities contact the Records Management Division. (See contact particulars in Part 8).

Furthermore, the National Archives and Records Service uses different types of disposal instructions to indicate what disposal actions should happen with different records. The disposal symbols are the following:

- A20 - Transfer to archives repository 20 years after the end of the year in which the records were created.
- D - Destroy (body of origin itself determines retention period).
- D7 - Destroy 7 years after closure.
- AP - Can remain in the custody of the body indefinitely. When disposal does take place, e.g. when the body closes or assets are disposed of, it must be transferred to an archives repository.
- DP - Can remain in the custody of the body indefinitely. When disposal does take place, e.g. when the body closes or assets are disposed of, it can be destroyed.
- DAU - Destroy immediately after auditing is completed.
- DAU3 - Destroy 3 years after auditing is completed.
- DAU7 - Destroy 7 years after auditing is completed.

The disposal authorities issued by the National Archives and Records Service enable governmental bodies to implement and maintain a systematic disposal programme.

4.2 Systematic disposal programme

Office accommodation is expensive and to use office space to store old records that are no longer needed for functional and administrative purposes is not a sound financial expense for governmental bodies. Furthermore, the unnecessary accumulation of records no longer needed can seriously hinder functional efficiency and can impact seriously on the performance of an electronic system. Time, human resources and money spent on the care of these records could be used more effectively. Thus, to assist governmental bodies in reducing the storage costs involved with storing records they no longer require for administrative purposes, they are encouraged to implement a systematic disposal programme.

The systematic disposal programme consists of three steps:

1. Gaining control of both current and terminated records
2. Applying for disposal authority from the National Archives
3. Clearing the records, either by arranging for their disposal or transfer to an archives repository.

4.2.1 Gain control

4.2.1.1 *Current records*

The control over current records is evident in the body's ability to design, implement and maintain records classification systems. See Part 3 of the manual.

However, masses of records are being piled unfiled in offices in most governmental bodies without the realisation that those records contain business-critical information needed for the day-to-day operations of the bodies. It is impossible to share the information contained in these records. They are not managed properly and the information is irretrievable and not properly contextualised. Because these records are not kept in proper record keeping systems with proper security and access control, their reliability as evidence of the business of the body is diminished. Records that do not carry evidential weight pose a risk for proving accountability.

It is of crucial importance to ensure that records are subject classified and that the relationships between the records are determined to contextualise individual pieces of information. It may be necessary for governmental bodies to embark on a back-filing project.

The backfiling of unfiled paper-based records cannot be done without having knowledge of the functions and procedures of a governmental body and without applying common sense. Some of the unfiled records are:

- exact duplicates of original records that are filed into existing file plan(s)
- drafts of originals that are filed on existing file plan(s)
- originals that were never filed into any existing file plan
- reference copies of records that were published

When conducting a back-filing project, careful analysis is necessary to enable a distinction to be made between official records that should have been filed and transitory records that could have been destroyed in terms of General Disposal Authorities issued by National Archives and Records Service. Only those records that are official in nature should be back-filed according to the following principles:

- If approved file plan(s) exist for the period that the records were not filed, the unfiled records should be filed against the relevant approved file plan(s).
- If no approved file plans exist for the period that the records were not filed the records should be classified into subject groups according to the functions of the body to enable subject-based lists to be compiled for appraisal purposes. Individual listing of each document according to the addressees is not acceptable.

4.2.1.2 *Terminated records*

a) **Paper-based records**

On the other hand terminated paper-based correspondence files and records other than the correspondence files of a discontinued system must be **sorted, listed** and **batched** by the office of origin. The office of origin must ascertain how these records originated, what their administrative value is and stipulate how long those records should be preserved for administrative purposes. The office of origin must also determine the period that the records cover, e.g. 1919-1987.

b) Electronic records systems

These systems also need to be managed because they might contain information about the business operations of the body that might be needed to satisfy legal and functional requirements. If a body does have such systems, it should be ascertained if the information in the systems is still accessible. If not, the possibility to recover the data should be investigated. The possibility to import the data into new software applications should also be investigated. The systems should then be described in the schedule of electronic records systems to enable the issuing of disposal authority for the systems. Information on the origins of the records should be collected and documented.

c) Audio-visual records

These records might contain information about the business operations of the body that might also still be needed to satisfy legal and functional requirements of the body. As in the case of electronic systems it should also be ascertained if the information on these media is still accessible. If not, the possibility to recover the data should be investigated. The office of origin must also ascertain how these records originated, what their administrative value is and stipulate how long the records should be preserved for administrative purposes. The office of origin must also determine the period that the records cover, e.g. 1919-1987. These records should then be listed according to the guidelines contained in par 3.2.2.4.

4.2.2 Apply for disposal authority

According to section 10(4) of the Regulations (see Annexure 3) applications for disposal authority can be initiated by the head of a governmental body or by the National Archivist.

Applications for disposal authorities should be submitted to the National Archivist in paper-based format or in electronic format. The preferred file formats for electronic applications are MS-Word or MS-Excel. When a body submits applications for disposal authority in paper-based format, two copies of the file plan/list/schedule should always accompany the letter of application.

The following applications must be submitted:

4.2.2.1 Current records

a) Correspondence systems

Submit the approved file plan together with a formal letter requesting a disposal authority. The disposal authority issued will be applicable to the paper-based system as well as the electronic system.

All revisions and additions to the file plan should also be submitted to the National Archives and Records Service to issue disposal authority for them.

b) Records other than correspondence systems

Submit the schedule of records other than correspondence systems together with a letter applying for disposal authority. The four parts of the schedule can be submitted separately if they are compiled sequentially.

4.2.2.2 Terminated records

a) Correspondence files

Submit a list drawn up according to the example in Annexure 13 together with a letter applying for disposal authority. The disposal authority issued will be applicable to the records on the list only.

b) Records other than correspondence files

i) Paper-based records

Submit a list drawn up according to the example in Annexure 14 together with a letter applying for disposal authority. The disposal authority issued will be applicable to the records on the list only.

ii) Electronic records systems

Submit a copy of the inventory/catalogue of systems together with a letter applying for disposal authority. The National Archives and Records Service will identify those systems that should be described according to the example contained in Annexure 9 and will request the body to submit the necessary descriptions to enable the conditions for the management of each system to be determined.

iii) Microfilm records

Submit the description(s) of the microfilm project(s) (See Annexure 11) together with a letter requesting disposal authority. The disposal authority issued will contain the conditions applicable to each application.

iv) Audio-visual records

Submit a letter requesting a disposal authority. The letter should contain a broad description of the relevant records.

Should additional information be required the National Film, Video and Sound Archives in conjunction with the Records Management Division will contact the body with guidelines regarding the precise manner of scheduling.

4.2.2.3 Security classified records not covered by the categories above

Security classified records that may exist outside of the normal records classification systems of a governmental body are still subject to the provisions of the National Archives and Records Service Act, and should be listed according to the example

contained in Annexure 13 to enable an application for disposal authority to be submitted to the National Archivist.

4.2.3 Disposal of records

The disposal of records is either done by destroying records that were identified as being non-archival in nature, or by transferring archival records into archival custody.

4.2.3.1 Destruction of records

Once disposal authorities have been issued governmental bodies can decide on how long the non-archival records should be preserved for their administrative value before they are disposed of. Governmental bodies need to consider the functional needs, financial accountability and other statutory requirements (e.g. the Promotion of Access to Information Act, 2000 and the Promotion of Administrative Justice Act, 2000, etc.) of the records when determining the retention periods.

A particular disposal authority issued by the National Archivist may not be used to dispose of any records not listed in that disposal authority. Records should always be destroyed in such a manner that the confidentiality of information they contain is protected. All copies of records that are authorised for destruction, including security copies, preservation copies and back-up copies should be destroyed. Electronic records can only be considered to have been successfully destroyed/deleted when the information on all storage media has been overwritten.

The destruction of records in terms of a disposal authority is carried out by the body concerned and must be done on a systematic and routine basis in the course of normal business activity. **Only ephemeral records may be destroyed.** Once records have been destroyed, a destruction certificate (see Annexure 15) should be compiled. A copy of the certificate should be submitted to the National Archives and Records Service. The purpose of the certificate for the National Archives and Records Service is to monitor the implementation of a systematic disposal programme and to determine if any archival records were accidentally destroyed. If unauthorised destruction has occurred, the National Archives and Records Service will require a written explanation from the body concerned. The certificate has a secondary purpose in that client bodies can use it to as part of their documentary evidence of the disposal process (See par. 2.1).

No destruction should take place without the assurance that the record is no longer required, that no work is outstanding and that no litigation or investigation or request which would involve the records in question in terms of the Promotion of Access to Information Act or Promotion of Administrative Justice Act is pending.

For prescripts about the safe destruction of security classified records, see chapter 4 of the *Minimum Information Security Standard*.¹⁴ The National Archives and Records Service also recommends compliance with the National Intelligence Agency's *Minimum Information Security Standard* and the Department of Public Service and Administration's *Draft Information Security Policies*.¹⁵ Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information*

14 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: (012) 427 4000; Fax: (012) 427 4651.

15 Department of Public Service and Administration, *Draft Information Security Policies*. *Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>.

4.2.3.2 Transfer of Records

4.2.3.2.1 General

According to section 11(2) of the National Archives and Records Service Act, 1996 as amended, public records determined by the National Archivist as having archival value must be kept by the governmental body for twenty years from the date that the records came into being. These records are indicated by an A20 symbol on the disposal schedule. Governmental bodies must however keep all their records in safe custody until they receive disposal authority from the National Archivist. Only once written disposal authority has been obtained may the governmental body consider arranging for the transfer of their archival records to an archives repository.

As the National Archives and Records Service is not yet equipped to take electronic records into custody, the National Archivist may recommend that electronic records remain in the custody of a governmental body. The National Archivist may also instruct a governmental body to transfer its electronic records into archival custody in an archival acceptable medium such as paper or microfilm.

If another Act of Parliament determines that records should remain in the custody of a specific governmental body or person, the governmental body may not transfer its records to an archives repository except if the National Archivist has authorised the transfer of the records. The National Archivist may nevertheless require that records in the custody of specific functionaries be managed as described in this manual.

The National Archivist may also in consultation with a governmental body, identify archival and/or essential records that should remain in the custody of the governmental body. This will be done mainly in cases where the records are of such a specialised nature that the National Archives and Records Service's staff are not qualified to make them accessible to researchers, or they have such high functional value for the body that transfer into archival custody will hamper the body's service delivery.

4.2.3.2.2 Transfer to archives repositories

The head of the governmental body must submit a written request to the head of the archives repository to initiate a transfer of records. Once written approval has been given for the transfer, records must be packed as described (Annexure 16) and dispatched at the body's expense to the archives repository. A copy of the transfer list (Annexure 17) must accompany the transfer. Another duplicate copy of the list must be submitted together with a transfer letter to the head of the repository. The records should be arranged and packed in the same sequence as described on the transfer list. Any relevant registers or indexes should accompany these records. The head of a repository may refuse to accept records into custody if they are not packed as prescribed. Such records may be referred back to the body to correct the errors.

¹⁶ This standard can be obtained from the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

Records may only be sent to the repositories designated by the National Archives and Records Service (See Annexure 18). Audio-visual records must be transferred to the National Film, Video and Sound Archives as this archives repository is specifically equipped to care for these records. Arrangements for transfers must be made with the Head of the Film, Video and Sound Archives before any transfers take place.

An agreement may be made between the National Archivist and a governmental body to arrange for a systematic transfer of records to the National Archives Repository, in which case the governmental body will transfer records annually in the period agreed upon.

4.2.3.2.3 Transfers between governmental bodies

Records are sometimes transferred between governmental bodies and this often occurs when functions are transferred. Governmental bodies transferring records to another body must notify the National Archivist of such transfers. The only exception is personal staff files that are transferred between governmental bodies when staff are transferred. Notifications of transfer of records should include copies of the file plan, completed schedules for records other than correspondence systems and/or lists of terminated records. If the records in question do not yet carry a disposal authority this fact should be mentioned in the letter so that a disposal authority can be issued on the records prior to the transfer. The following procedures should be followed when records are transferred between bodies falling under the Act:

a) Paper-based records

i) *Correspondence systems*

Paper-based policy and subject files: These files should be terminated immediately. No further correspondence should be placed on these files. **The transferred files may not be incorporated in the filing system of the receiving body.** The transferred policy and subject files must be preserved as separate entities.

Paper-based case files: The governmental body may apply in writing to the National Archivist for these files to be incorporated into the filing system of the receiving body. The files should then be renumbered and descriptions altered so they can be incorporated into the filing system.

ii) *Records other than correspondence systems*

Minute books should be terminated and new ones opened.

Financial books may be used until the end of the financial year that they were received and then terminated. Only financial books used for recording long term transactions are exempt from this condition.

b) Micrographic and audio-visual records can be added to if the receiving body is taking over the responsibility to continue the projects that they are related to. The records received from the originating body should be clearly marked with the particulars of the originating body, and those generated by the body that is taking over the function should be clearly marked with the latter body's particulars, to provide the necessary contextual information.

c) **Electronic records**

Electronic correspondence systems may be imported into an electronic system of another body only if such records are necessary for the continued operations of the body. **A complete archival copy of the entire system as it existed on the day before the transfer as well as all the necessary metadata must however be maintained for archival purposes.**

Electronic records systems other than the correspondence system may be transferred to another body and may be added to provided that it is necessary for the continued operations of the receiving body. **However a complete copy of the entire system as well as the related metadata as it existed on the day before the transfer must be maintained** if the system was evaluated as being archival in nature or until the retention period of the system has lapsed if it was evaluated as being non-archival.

4.2.3.2.4 Transfer to off-site storage facilities

The National Archives and Records Service requires that governmental bodies should implement a systematic disposal programme to decongest registries and storage areas of unneeded records. Off-site storage should never be seen as the solution to the problem. It is expensive to store unneeded records off-site. The National Archives and Records Service requires governmental bodies to apply for disposal authority and to carry out all necessary clearance actions of records of which the retention periods have lapsed, before records are moved off-site.

Should a need arise to move archival records off-site, the National Archives and Records Service requires that, until such time that a database of preferred off-site storage providers exists, the records should be stored in off-site facilities that were evaluated by the National Archives and Records Service as being suitable for storage of archival records.

Governmental bodies wishing to use off-site storage facilities should first obtain written approval from the National Archivist, in terms of section 13(2)(a) of the National Archives and Records Service Act, 1996 as amended.

The National Archives and Records Service's Records Management Division would then inspect the off-site storage facilities before the public records are transferred. This is done to determine their suitability for the storage of public records.

Records that are stored off-site remain the property of the governmental body. Such a body may never renounce its responsibility to ensure that the records are stored under archival conditions. If a governmental body transferred records to an off-site facility and the National Archivist is of the opinion that public records are not being managed properly by the facility, he/she can require that the records should be moved to another storage facility.

Specific attention should be given to the following:

- Governmental bodies should ensure that records are filed into file covers according to the file plan before they are boxed and removed to the off-site storage facility. It may be necessary to do a back-filing project prior to moving the records off-site. [For information regarding back-filing projects, see pp.21-22].
- Records that qualify for disposal in terms of disposal authorities issued by the National Archivist should as far as possible be destroyed before records are moved

off-site. Only records with longer retention periods should be moved off-site, since it does not make sense, from a financial perspective, to pay an off-site storage facility to store records that could have been destroyed.

Governmental bodies should, in contracts with off-site storage facilities stipulate

- that off-site storage facilities should have 24-hour security;
- that any damage to records due to unforeseen circumstances should be reported to the governmental body immediately;
- that boxes in which records are stored should be replaced when there is noticeable damage through regular handling;
- that records are stored in boxes sequentially according to the file plan.

4.3 The specific duties of the records manager

4.3.1 General

The records manager should ensure that a written disposal authority is issued in respect of all records before any records are disposed of. He/she should ensure that all staff are aware that records may not be disposed of without a written disposal authority having been issued by the National Archivist. The records manager should also ensure that all staff are aware of the penalty for the unauthorised destruction or mismanagement of records.

4.3.2 Destruction of records

The destruction of non-archival records must occur in the presence of the records manager. He/she must before destroying non-archival records ensure that:

- no work is outstanding;
- no litigation or investigation is being conducted which concerns the records in question;
- the records have not been requested in terms of the Promotion of Access to Information Act or the Promotion of Administrative Justice Act.

The records manager must also ensure that destruction of archival records does not occur.

Records managers must ensure that all destruction actions are properly documented. They must submit destruction certificates to the National Archivist once records have been destroyed and ensure that the body keeps a record of all destruction actions taken regarding records. An example of this certificate can be found in Annexure 15.

4.3.3 Transfer of records

The records manager should supervise the transfer of the archival records to an appropriate archives repository when the time is right. See the guidelines in Annexures 15, 16 and 18.

The records manager must inform the National Archivist in writing when records are permanently transferred to another governmental body. A complete list of the records should also be submitted to the National Archivist.

The records manager must ensure that no public records are transferred to off-site storage facilities without the permission of the National Archives and Records Service. The records manager, in conjunction with the National Archives and Records Service's Records Management Division, should inspect the off-site storage facility before any records are transferred into its custody. The records manager should inspect the facility regularly after transfers have taken place. For a checklist to inspect off-site storage facilities see Annexure 20. The records manager should notify the National Archivist when such inspections are planned and should submit copies of the inspection reports to the National Archivist. The records manager should ensure that the off-site storage facility is familiar with the requirements of the National Archives and Records Service Act before records are transferred into its custody.

The records manager should ensure that no records are transferred, whether permanently or temporarily, to any person or institution outside of government unless the National Archivist has been informed at least sixty days beforehand and written authorisation has been granted.

PART 5. CARING FOR PUBLIC RECORDS¹⁷

Records require storage conditions and handling processes that take into account their specific physical and chemical properties. Storage conditions and handling processes should be designed to protect records from unauthorised access, loss, damage, destruction, theft and disaster.

5.1 General

Public records are susceptible to various perils that can place them in jeopardy (see Annexure 21). Records should be stored on media that ensure their usability, reliability, authenticity and preservation for as long as they are needed. All records must be stored in areas where they are effectively protected against fire, flooding and unauthorised access. Records should not be exposed to conditions where rough handling, exposure to heat, damp or humid conditions, dust, pests or related hazards can damage them. Care must be taken not to use hazardous cleaning materials in the rooms where records are kept. Files, boxes and any other packaging materials should be made of acid free archival materials.

Fluorescent tubes that are low in ultraviolet light should be used wherever possible in storage areas. Ultraviolet light can be easily measured with a light meter, and levels should not exceed 75µW/lumen. Fluorescent tubes must be supplied with UV filter covers. Lights should be turned off whenever possible. Storage areas should preferably not have windows, but if they do they should be covered with dark curtains or blinds, to prevent damage that could be caused by direct light. In the case of audio-visual material, the windows should be painted black on the inside and white on the outside.

Insects and rodents once attracted to a records storage area may damage the records, so:

- Do not eat, drink or smoke in storage areas.
- Keep surfaces (floors, tops of shelves) clean.
- Bait regularly for rodents and fumigate annually for insects.
- Insect pest strips can be used as localised insect deterrents. However, the strips should not come into direct contact with individual items.

Shelves should be made of coated metal. Wooden shelving should be avoided, as it can release harmful vapours, can contribute to the spread of fire and may harbour insects. The lowest shelf should start at least 150 mm off the floor to prevent flood damage and the top of the shelving should not be less than 320 mm from the ceiling to allow airflow. Records should not be stored on the top of shelving units as they will be too close to ceiling lights and there is also the possibility of damage from water sprinklers. Aisles between shelving should allow easy access to and removal of records.

¹⁷ Based on the following sources: South African National Standards Organisation, SANS 9706/2 – Information and documentation - Paper for documents - requirements for permanence and SANS 11799 - Information and documentation - Document storage requirements for archive and library materials; Ritzenhaller, MA: *Preserving Archives and Manuscripts*, 1993, pp. 72-75 and pp. 98-99; Roper M, e.a.: *Managing public sector records, A study programme. Preserving Records*, 1999, pp. 89-135; National Archives of Australia: *Archives Advise Nr's 1-8* [<http://www.naa.gov.au>]

5.2 Caring for specific types of record

5.2.1 Paper-based correspondence files

Correspondence files in current use should be accommodated in a spacious office area centrally located known as a **registry**. (For information on the construction of records storage areas see Annexure 21 and for information the functions of a registry see Annexure 22.) The office space allocated to a registry must be able to accommodate the growth in documentation. The registry area should be separated by a counter to prevent the entry of unauthorised persons and to protect the records. Only designated staff should retrieve files from the registry.

Correspondence should be stored neatly in file covers. Do not fold items like maps, drawings and plans to fit them into the file cover. Folding cartographic records will damage them. If an item must be folded to fit on a file, copy it and fold the copy for the file, keeping the original elsewhere. Bulky records such as reports, minutes of meetings and other bulky material should be placed in an Annexure cover. If the body has a library, these items could also be placed in the library after the necessary cross-references have been made on the relevant covering letter and on the specific item. Legible descriptions and reference numbers must be written on the file covers and must correspond with the descriptions in the file plan. Records placed on correspondence files should be arranged chronologically, according to the date on which they were received in the registry.

Original faxes made on thermal (heat sensitive) paper should not be placed on files as they fade over time. Photocopies of these faxes must be made and placed on the files. The original thermal paper faxes can be destroyed in terms of the National Archives and Records Service's General Disposal Authority AT2 for the Destruction of Transitory Records.

Correspondence files should preferably be stored in acid free cardboard containers in cabinets or shelves to provide physical protection against fire and dust. The way in which files are arranged in boxes is very important:

- Files should preferably be stored upright with the spine to the back of the box.
- If thin items are stored on their edges, they must be supported to avoid curling and sagging of the paper.
- Boxes should not be too big or too small, and should not be too full or too empty, as easy retrieval means less damage through handling.

The greatest care should be exercised when handling the records, to ensure that they are not damaged.

Paper records should be stored at temperatures between 18-20°C and relative humidities between 45-50%.

The information above also applies to closed volumes of files and correspondence files from terminated filing systems that are stored outside the registry.

5.2.2 Records other than correspondence files

5.2.2.1 Cartographic records

Maps, plans, charts and diagrams should be placed either in flat or vertical hanging cabinets specifically designed to store maps, plans and diagrams. Cartographic records are difficult to handle because they are usually large. Allow enough space for their safe maneuvering and viewing, when taking them out of the cabinets.

Cartographic records should be transported flat. However, sometimes it is necessary to roll cartographic records for storage or transport. Roll around a large core (at least 90 mm diameter) with a protective covering around the outside. When unrolling cartographic records, do it very gently using weights to hold the curled ends down flat. Do not use elastic bands to secure the records rather use cotton tape. Furthermore, use flat bed trolleys when moving bulky items. The items should not hang off the edge of the trolley or drag on the floor.

Do not use adhesive tape to repair torn items.

Use protective packaging for maps, plans and charts. These are:

- Archival polyester sleeves: polyester is a transparent plastic which supports the plan and protects it from dust and handling;
- Polypropylene plastic bags are a cheaper alternative to polyester;
- Interleaving with pieces of archival paper protects the plans from abrasion, ink transfer or adhesive transfer from other plans;
- Folders that are as large as the actual records provide support while preventing items from getting 'lost' in the drawer.

Label cartographic records by writing on the back of the item with a soft pencil. When cartographic records are stored inside plan cabinets, the drawers/doors of the cabinet should be accurately labeled to minimise handling.

Cartographic records should be stored at temperatures between 18-20°C and relative humidity levels between 40-45%.

5.2.2.2 Photographs and negatives

Lint-free cotton gloves should be used at all times when handling photographic records, to prevent fingerprints from being left on the records. Labels and identification stamps should never be applied directly to photographic records. Identification should be on the packaging. Pencil or an appropriate pigment pen can be used on the border of slides. Never write on the back of photographic prints, as this will damage the image. Never use metal pins, staples, paper clips, rubber bands or adhesive tape with photographic records. Viewing equipment should be well maintained and in a clean work environment.

The method of packaging photographs will depend on the particular material and the use for which it is required. Photographs may be kept in reference albums, enclosures, boxes and folders. Very fragile items such as glass plates, daguerreotypes or large presentation prints may require customised packaging. Archival quality packaging should be used for long-term storage of photographic records. If plastics are used they should be polyester or polypropylene – PVC should not be used at all. Archival quality paper or board should be used for envelopes, files and boxes. Prints and negatives should be individually packed in bags or envelopes or placed in individual pockets in an album

page. Loose records should be packed in small groups in archival files or folders and then boxed. If paper-based albums are used the support and boards should be of archival quality, with all pages interleaved and the images held by photo corners. 'Magnetic' or self-adhesive albums should never be used.

Do not roll oversize photographic records. Store them flat in drawers or in a folder or box. Slides can be stored in slide boxes, albums or hanging files made of an appropriate material as for prints and negatives. X-rays should be treated as negative sheets and stored in archival envelopes or inert plastic sleeves and then boxed.

Photographic records should be stored in a clean, dark, climatically controlled environment. Black and white photographs should be kept at 8-12°C and 30-40% relative humidity, and colour photographs at less than 5°C and 30-40% relative humidity. Temporary records and reference copies can be stored under general archives standards of 18-22°C and 45-55% relative humidity.

5.2.2.3 Books and registers other than library material

Books/registers should be vacuum cleaned with a soft brush. Qualified book restorers should take care of leather. You may notice some old ledgers leaving a red dust on your fingers. It is red rot. A qualified book restorer should treat it.

Books/registers can usually be considered already being in their protective packaging since, except in special cases, this is the function of the binding. Because of this, books/registers can be placed on shelves without boxes. Some books/registers have decorative bindings which form an intrinsic part of the item and they must be protected from dust and dirt by being boxed or wrapped in some way. Boxes may also be used if the book/register is fragile, if they need to be grouped together, or if boxes would make retrieval easier. Before placing a book/register on a shelf or in protective packaging, it is important to ensure that it is free of dust and unaffected by mould, insects or active corrosion.

Labeling books/registers is clearly a very important aspect of preserving them. If books/registers are easy to locate, it reduces the amount of handling that they receive and thus reduces damage that may be done to them. However, labeling books/registers can be quite difficult. If the binding is not intrinsically important, a label can be stuck to the binding. Eventually the adhesive on the label will fail, and a new label will need to be put in place. If the binding is intrinsically important, the book/register must be boxed or covered in some way so that the information can be put on a surface other than the binding.

Some books/registers should be stored flat on shelves, e.g. fragile books/registers, books/registers that do not close properly (they may contain paper cuttings or photographs), and large, heavy books/registers. Smaller books/registers may be stored upright on shelves, but take care that they do not lean over at an angle as this will damage the binding. Shelf dividers or spacer boards can be used at regular intervals to support books/registers in an upright position. Be aware that some types of binding (especially post binding) may stick out and damage adjacent books/registers in the shelves. Protective boxes may be required to stop damage occurring. If boxed, the books/registers should be placed upright inside the box (as they would be if they were on the shelf with no box).

Books/registers should be stored at temperatures between 18-20°C and relative humidities between 45-50%.

5.2.2.4 Electronic Records

The different types of electronic storage media each have their own requirements regarding care and environmental conditions.

5.2.2.4.1 Caring for magnetic media

5.2.2.4.1.1 General

When working with magnetic media wear lint-free gloves. Remember that even if hands are clean and dry, fingerprints are still left on magnetic media. Do not touch the recording surfaces of disks and tapes, do not fold or bend disks, and do not write on the paper jacket of the disks. Labeling should be in ink rather than pencil as graphite dust from the pencil could interfere with the reading of the disk or tape. Labels should not be written on once they are attached to a disk. Items should only be removed from their protective packaging for use and returned to their containers immediately after use.

Special care should be taken when moving magnetic media. Ensure that the media are not bumped or dropped, and items should be properly packed in custom-made transportation canisters. Freight and courier companies that specialise in the transportation of magnetic media should be consulted where large quantities are involved or important material is to be moved.

Keep food and drink away from storage media as well as equipment.

Store disks and tapes in a vertical position in a storage container. Magnetic media should preferably be stored in a vertical position in closed metal cabinets, to provide extra protection against heat and dust. However if there are adequate environmental controls, storage on open shelves and racks is acceptable. The storage equipment should:

- be sturdy;
- allow for vertical storage of tapes and disks;
- be electrically grounded.

Paper or cardboard enclosures should never be used for the storage of magnetic media. These enclosures tend to generate dust, which can be particularly damaging to magnetic media. Areas intended for storage of magnetic media should be checked by qualified staff to ensure the absence of magnets or magnetic fields that exceed acceptable limits. Walls, floors and all storage equipment, electrical equipment and wiring within the area must be checked. The area should be free from potential sources of dust, such as typewriters, paper shredders and printers. Carpets should not be used and measures should be taken to prevent dust entering from outside, e.g. installation of an air lock, or maintaining positive internal air pressure. Magnetic media should be stored at temperatures between 18-20°C and relative humidities between 35 – 45%.

The information held on magnetic media can only be processed or read by mechanical means, therefore it is essential that equipment is maintained in good condition – poorly maintained equipment may actually cause damage as it processes or plays tapes and disks. The heads, disk drive and tape drive elements of playback and recording

equipment should be cleaned on a regular basis according to manufacturers' recommendations.

5.2.2.4.1.2 Magnetic tapes

Support open-reel tapes by the hub of the tape during handling and transportation.

Cassettes and tapes should be wound to the end of one side after use. They should never be left stopped partway through for any length of time and the use of 'pause' mode should be avoided.

Tapes should be stored in cases made of non-magnetic material, preferably an inert plastic such as polypropylene. PVC plastic is unsuitable because it contains chlorides that may damage the tape. Cases should have fittings to hold the tapes in position by the hub. They should be strong enough to protect the cassettes from physical damage and close tightly to keep out dust particles.

Reels or cores used for winding tapes should be clean and free from cracks or sharp edges. There should be slots in the flanges of the reels to prevent bubbles of air from being trapped between the layers of tape on the reel. Reels should be made of a stable inert plastic such as polypropylene (not PVC).

Tapes should be exercised to improve their life span. Problems such as 'wrinkling' or 'cinching' of tape may build up in a tape pack as it sits in storage. Exercising can reduce the stress, which cause these problems and may also reduce the danger of print-through. Exercising involves winding the tape slowly through its entire length at playback speed, without stopping. The process should be carried out in the same environmental conditions in which the tapes are to be stored. Tapes which are to be moved to a different environment for exercising should be allowed a period of 48 hours to acclimatise to the new environment before exercising them. It is preferable that tapes are exercised every year but at least once every 3 years.

To minimise deterioration due to handling and use, copies of important and frequently used tapes should be made for reference purposes. Ideally, a preservation master copy, a duplicating copy and a reference copy should be produced, with the preservation master copy stored in a different location from other copies. The duplicating copy is used to produce further reference copies, when multiple copies are required. Labels should clearly indicate the status of the copy.

5.2.2.4.1.3 Diskettes

Disks should never be flexed, bent or picked up by the oval slot in their jackets or by the centre hole of the disk.

Store diskettes under normal office conditions, taking care to avoid extreme fluctuations of temperature or humidity.

Floppy disks and diskettes should be stored in protective envelopes that are resistant to static electricity build-up and have a non-abrasive surface. Tyvek envelopes are widely available and are suitable for this purpose.

5.2.2.4.2 Caring for optical media

Lint-free cotton gloves should be worn to avoid scratching or other marking of the surface. Even if lint gloves are used, do not touch the reflective side of the disk. If disks must be handled with bare hands then fingers should never be allowed to touch the reflective side of the disk. If an optical disk becomes dusty, dirty or fingerprinted it may be possible to clean it before permanent damage occurs, provided great care is exercised. Gently remove loose dust using a non-abrasive photographic lens tissue, or very soft brush. Oily dirt deposits and finger marks can be removed using a photographic lens cleaning solution and lens tissue. The lens cleaning solution should be applied sparingly to the disk surface and wiped off with the tissue. **The cleaning motion should never be circular (along the tracks) – always brush from the centre of the disk outwards.** If the cleaning process creates a scratch, it will do less damage cutting across the tracks rather than along them.

Disks should only be removed from their protective packaging for use and returned immediately after use. Disks should not be bent or flexed.

Food and drink should never be consumed where optical disks are in use.

WORM and Rewritable disks should not be left in direct light or sunlight as it causes the dye layer to fade and the disk to become unreadable.

Optical disks usually come with their own rigid plastic case, known as a jewel case. These cases are reasonably dustproof and are suitable for long-term storage as they are usually constructed of an inert plastic. Disks that do not have a jewel case should be individually enclosed in a sleeve, bag or envelope made of an inert plastic such as polyethylene, polypropylene or Tyvek. Disks should not be stacked or packaged in groups so that they lean against each other, causing pressure build-ups, as this may lead to warping or deformation. Jewel cases are the ideal enclosure because they support each disk at the hub and deflect any impact from other items.

Disks should be labeled on their protective packaging rather than directly on the disks themselves. Inks from pens and markers may contain solvents that can damage the disk and graphite dust from pencils may interfere with reading of the disk.

Optical disks should be stored at temperatures between 18-20°C and relative humidities between 45 – 50%.

The information held on optical disks can only be processed or read by mechanical means, therefore it is essential that equipment is maintained in good condition – poorly maintained equipment may actually cause damage as it processes. To ensure maximum equipment life and to minimize playback problems, optical disk equipment should only be operated in a low-dust environment. Equipment should also be regularly wiped over with a slightly damp cloth to avoid dust build-up. Other maintenance instructions provided by equipment manufacturers should be followed.

The main prospect for long-term retention of information on optical disks seems to be in regular copying or data migration. This entails copying the information on the disk to a fresh WORM or rewritable disk or to another format such as digital tape (or other new technology formats that may be developed). If this is done regularly then the information should survive indefinitely.

5.2.2.5 Micrographic records

Lint-free cotton gloves should be used at all times when handling silver halide film.

Silver halide master films should not be used for reference purposes as the film rolling mechanisms on the reader and printer equipment can cause severe scratching of the gelatin emulsion. Regular surveys of the condition of film holdings should be programmed to monitor any problems. Films and fiche should be returned to their protective packaging immediately after use. Do not leave microform material loose on a work surface where it could be easily damaged.

Viewing equipment should be well maintained and in a clean work environment. Reference films should not be left in viewing equipment for long periods, as prolonged light exposure will affect image quality.

The method of packaging microforms will depend on the exact material and the use for which it is required. Master films should always be stored in archival quality enclosures to ensure their long-term stability. Reference copies may not require such stringent quality controls. The method of packaging will also depend on the specific format.

The preservation master copy of any fiche or film should be kept in a different location to the duplicating master and reference copies. This should preferably be off-site. This is a security measure to ensure that at least one copy of the information will always exist, protecting the master against destruction by theft, inadvertent use, or disaster such as flood or fire.

Storage furniture should be made of coated metal. Wood should be avoided, as it can release harmful vapours, can contribute to the spread of fire and may harbour insects. Specially designed storage furniture such as drawers and cabinets can be purchased for microforms allowing more efficient use of space, however, these are only necessary when large quantities of film are held.

Preservation and duplicating masters should be stored in a clean, dark, climatically controlled environment. Black and white material should be kept at 8-12°C and 30-40% relative humidity, and colour at less than 5°C and 30-40% relative humidity. Temporary records and reference copies can be stored under general archives standards of 18-22°C and 45-55% relative humidity.

a) Microfilm

Microfilm should be wound onto standard sized reels made from inert plastics or corrosion resistant metals. The loose end of the film should be secured using a strip of archival quality paper held in place with cotton tape. Never use rubber bands or sticky tape to secure a film.

Each roll of film should be individually enclosed in close fitting sealed containers made from polypropylene, polycarbonate or archival quality cardboard. The size of the container should fit the size of the film, i.e. do not put small rolls of film in large containers.

Never apply labels directly to the film - mark the outside of the container only. Some adhesive labels may damage films even when applied to the container, so marking with permanent inks is preferable.

b) Microfiche

Master microfiche should be individually enclosed in sleeves or envelopes made of inert plastics such as polyethylene, polypropylene, polyester or Tyvek, or archival quality paper. Reference copies of fiche may not need individual enclosures as long as they are protected from excessive dust and light, e.g. in inert plastic file boxes or drawers.

Labels should not be applied directly to fiche or to individual enclosures and are usually not required as each fiche has its own header where control information is recorded. However, if additional labeling is required, use a permanent pen and mark the non-image area of the fiche (preferably in the header space).

c) Aperture cards

Aperture cards are normally only produced for reference purposes and can be stored as for reference fiche, in clean sturdy containers that exclude light and dust. The master copy would normally be retained as a roll film, however, if master aperture cards were held they should be individually enclosed, in the same way as master microfiche.

5.2.2.6 Audio-visual records

These records may not be stored in the registry, because they are subject to special handling requirements to ensure their long-term preservation.

Keep storage conditions consistent. Fluctuations in temperature and relative humidity can be harmful to audio-visual records. Choose a storage area away from heavy office traffic. An air conditioner or dehumidifier can help stabilize conditions. Monitor temperature and relative humidity (RH) with a hygrothermograph.

Maintain a dust free storage area. Regular housekeeping and air filters can reduce the amount of minute, airborne particles that can scratch audio-visual media and cause signal loss. Recordings can also be protected from dust by keeping them in closed containers.

Store records away from sources of light, heat and water. Block out harmful ultraviolet light by shading windows and installing UV light filters. Avoid locating storage areas in basements, attics or near heat vents, washrooms, sprinklers and water pipes.

Prohibit food and smoking in storage areas. Spilled drinks and food crumbs can contaminate audio-visual records and equipment, and may also attract insects. Cigarette ash is equally undesirable.

Always keep audio-visual records in closed – not airtight – containers to protect them from dust and physical damage. Good containers are made of materials considered safe for storage (for example, acid free paperboard and non-corrosive metal). Certain plastics such as polyethylene, polypropylene, or polyester is also considered to be safe storage materials, but do not use containers made from polyvinylchloride (PVC). Always use clean undamaged containers for storage – even a few rust spots on a metal film container will accelerate the deterioration of the film inside. Be sure not to keep any

shotlists or other papers inside the container, instead, put them in an envelope affixed to the outside.

Audiotapes should have at least two feet of leader at the head and tail, and should be wound tail-out on a take-up reel. Keep open reel audiotape in a clamshell-style type box with a centre hub. Unless damaged, the original tape box is usually adequate.

Forward audiocassettes to the end of one side before storing. This can help relieve tape stress, since the cassette will have to be rewound before it is played. Store audiocassettes in clean, plastic cases.

Forward videocassettes to the end and store them in their original sleeves or in non-PVC plastic boxes. Always shelve videocassettes upright, with the full reel at the bottom, do not stack them on top of one another. Open reel videotape should be wound on a reel and kept in an enclosed plastic case.

5.2.2.7 Security classified records in all formats

For instructions regarding the care of security classified records in all formats see chapter 4 of the *Minimum Information Security Standard*.¹⁸ The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies*.¹⁹ Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*.²⁰

5.3 The specific responsibilities of the records manager

The records manager is responsible for ensuring the safe custody and storage of all records in all formats.

The records manager should conduct regular inspections in the individual components to ensure that their records management practices conform to the standards promulgated in the Act. Copies of these reports should be submitted to the National Archivist. The records manager should liaise with the IT manager to share information regarding the proper storage of electronic records and should be involved in the regular maintenance of records stored on electronic storage media. He/she should ensure that regular inspections are done and that the results of these inspections are also reported to the National Archives and Records Service.

Buildings and storage areas should be regularly monitored in order to maintain a stable, protective environment for records. The records manager should develop a programme whereby the building, temperature, humidity, air quality, and light in storage areas are monitored, pests are controlled, fire protection and safety equipment are checked and

18 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: 012 427 4000, Fax: 012 427 4651.

19 Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>.

20 This standard can be obtained from the South African Bureau of Standards' Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax: (012) 428-6928; E-mail: sales@sabs.co.za.

the presence of magnetic fields is monitored. The records manager should also inspect the records themselves to monitor for signs of deterioration.

The records manager should ensure that a proper disaster management programme is in place and communicated throughout the organisation.

The records manager should ensure that all staff are aware of the importance of security in the building and records storage areas.

PART 6: TRAINING

The records management programme should be staffed by personnel with appropriate skills and knowledge to ensure that it is effective, efficient, transparent and accountable.

6.1 General

Records management is a shared responsibility between users, records managers and managers. All creators of records should be equipped with the necessary skills to capture and manage reliable and authentic records. Programmes for training should encompass all members of management, records and registry staff as well as all users creating and using records while performing their functions.

Heads of governmental bodies seeking to conform to the guidelines set out in this manual and to benchmark their records management practices against SANS 15489: *Information and Documentation – Records Management*, should ensure that an ongoing programme of records management training is established. The training programme should ensure that the benefits of managing records are widely understood in the organization.

A governmental body may choose a third party supplier to provide records management training as long as the supplier is well versed in the requirements of the National Archives and Records Service Act, 1996 as amended.

Records Managers, trainers, work study officials and registry heads should attend the National Archives and Records Service's *Records Management Course* as well as any other training that might be offered from time to time to equip them for their specific responsibilities in terms of the Act. See Annexure 24 for information on the Records Management Course.

6.2 Specific responsibilities of the records manager

The records manager is responsible to implement and manage a suitable training programme for managers, employees, contractors and records management staff. He/she should supervise the training of staff regarding records management matters and regularly evaluate the success of the training programme against the effectiveness of the records management programme.

The records manager should ensure that records management consultants and suppliers of electronic records management and related products employed by the governmental body, are familiar with the requirements of the National Archives and Records Service Act.

Every registry in a governmental body should have a *registry procedure manual* to facilitate the training of registry staff. The National Archives and Records Service has compiled a prototype *registry procedure manual* that is available on the National Archives and Records Service's website <http://www.national.archives.gov.za>.

Alternatively it can be ordered in hard copy format from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 323 5287 e-mail: rm@dac.gov.za).

The records manager is responsible for ensuring that the registry head is trained and has attended the National Archives and Records Service's *Records Management Course*. He/she should also ensure that the registry head and registry staff are aware of and adhere to the standards, procedures and methods of records management promulgated in the National Archives and Records Service of South Africa Act.

The records manager is responsible to ensure that all staff members are made aware of their joint responsibility in maintaining sound records management practices. He/she should conduct awareness campaigns in this regard.

The records manager should arrange with the National Archives and Records Service's Records Management Division to conduct implementation workshops whenever new file plans are implemented to ensure that all members of staff know how to read and use the file plan.

PART 7: COMPLIANCE MONITORING

The records management programme should be regularly monitored to ensure that it is effective and that it meets the requirements of the National Archives and Records Service of South Africa Act.

7.1 General

Heads of governmental bodies should require that compliance monitoring is regularly undertaken to ensure that the records systems, policies, procedures and processes are properly implemented.

A records management checklist that can be used as a basis to work from is contained in Annexure 25.

It is recommended that specific records management responsibilities and functions should be written into performance agreements and contracts to ensure that the staff's records management behaviour is also assessed and not only the systems and procedures.

The Records Management Division is, in terms of section 13(2)(c) of the Act, obliged to inspect governmental bodies to determine if their records management practices conform to the policies, procedures and guidelines prescribed in terms of the Act. Annexure 26 contains a description of the various types of inspections that the Records Management Division does.

7.2 Specific duties of the records manager

The records manager should conduct regular inspections in the individual components to ensure that their records management practices conform to the standards promulgated in the Act. If the processes and policies are found to be inadequate or ineffective, they should be reviewed in conjunction with the National Archives and Records Service's Records Management Division.

Systems compliance and monitoring should be documented and reports maintained. Copies of these reports should be submitted to the National Archivist.

The records manager should retain contact with the National Archives and Records Service and should, when necessary, request the National Archives and Records Service to conduct inspections on his/her behalf.

PART 8: FURTHER INFORMATION

Further guidance can be obtained from:

**Records Management Division
or National Archives Repository**

National Archives and Records Service of South Africa
Private Bag X236
Pretoria
0001

Tel.: (012) 441 3200

Fax: (012) 323 5287

Fax: 086 682 5055

E-mail addresses:

General records management enquiries: rm@dac.gov.za

Records Management Course: rmc@dac.gov.za

Electronic records management: erecords@dac.gov.za

National Film, Video and Sound Archives

Private Bag X236
Pretoria
0001

Tel.: (012) 343 9767

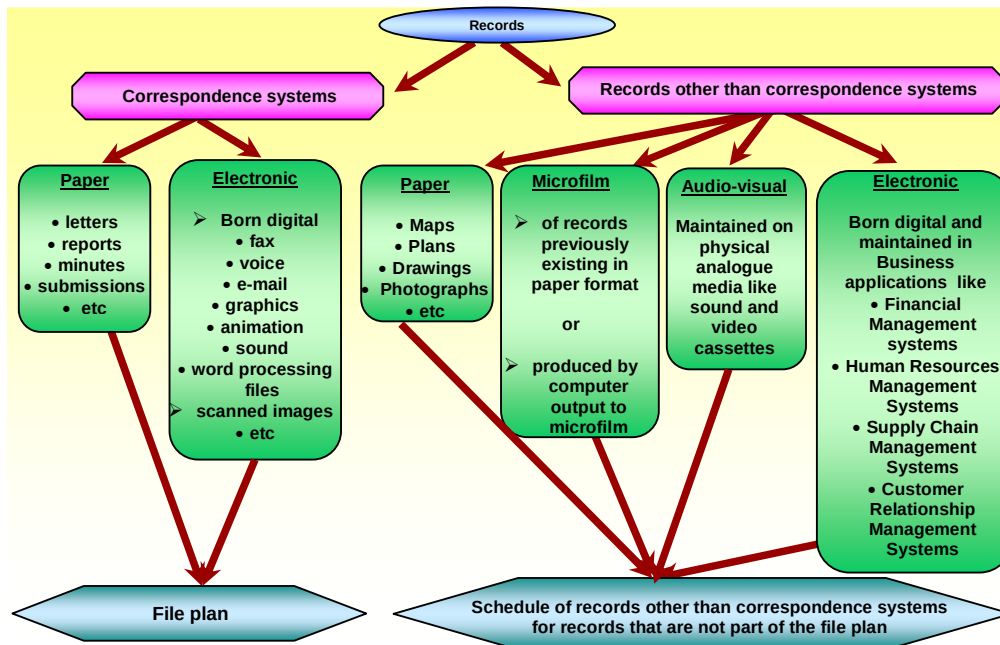
Fax: (012) 344 5143

E-mail: film.enquiries@dac.gov.za

Website: <http://www.national.archives.gov.za>

ANNEXURE 1: CATEGORIES OF RECORDS, THE LIFE-CYCLE, CHARACTERISTICS AND VALUE OF RECORDS

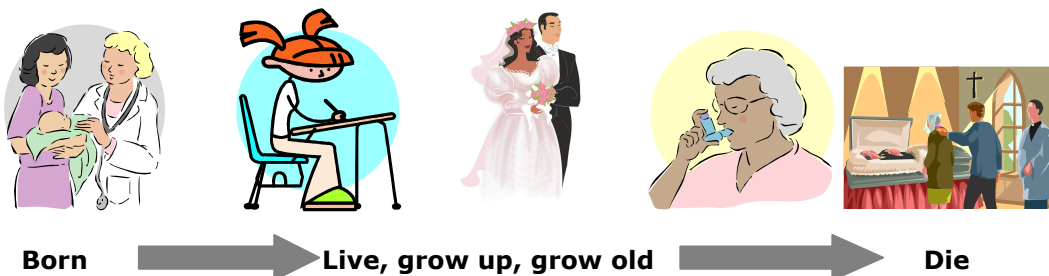
1. Categories of records



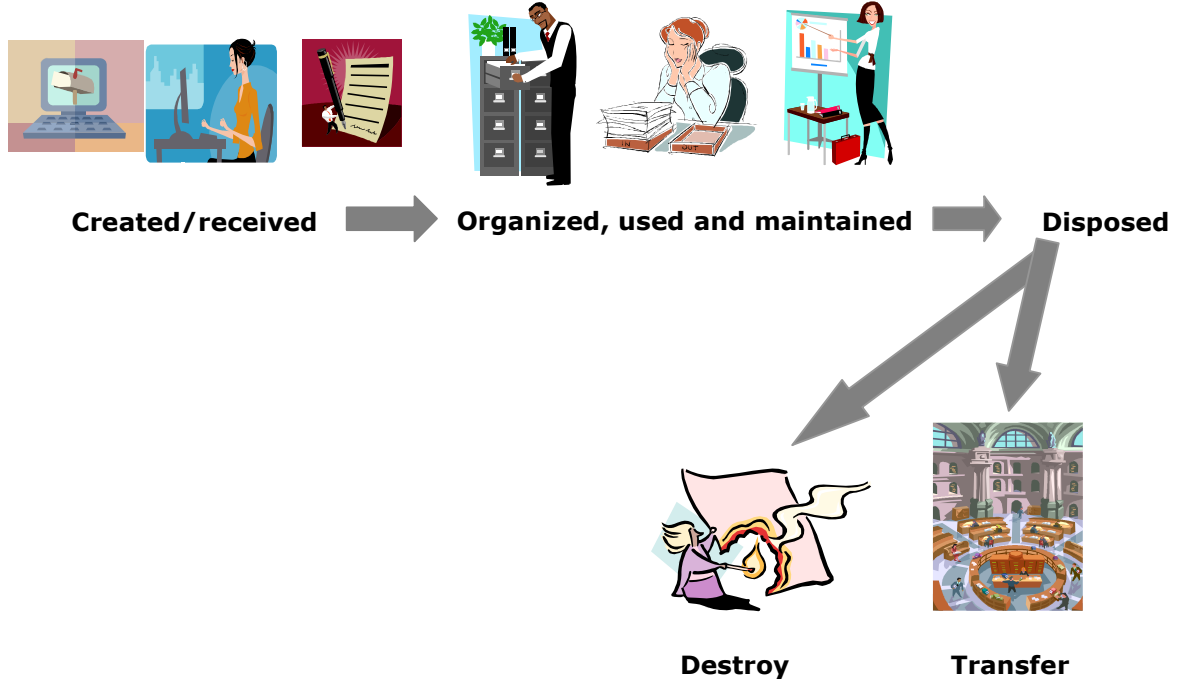
2. The records life-cycle concept

Like a biological organism, a records also has a life cycle. A biological organism is born or adopted, lives and dies and so too does a record go through these stages. Records are created or received, maintained and utilised, and eventually disposed of either by destruction or transfer to an archives repository. By having effective records management practices and procedures the records can be effectively managed through these stages.

Life-cycle of a biological organism



Life-cycle of a record



3. Characteristics of authentic records

According to SANS 15489: *Information and documentation – Records management – Part 1: General* the implementation of records management policies, procedures and practices should lead to the creation, management and preservation of authoritative records that are trustworthy and reliable evidence of actions that were taken while conducting official business. The Electronic Communications and Transactions Act supports the view that the trustworthiness of records determines their evidential weight in legal proceedings.²¹

The following are the characteristics of an authentic record:

a) Authenticity

An authentic record is one that can be proven

- i) to be what it purports to be,
- ii) to have been created or sent by the person purported to have created or sent it, and
- iii) to have been created or sent at the time purported.

To achieve the authenticity of records, organizations should implement and document policies and procedures which control the creation, receipt, transmission, maintenance and disposition of records to ensure that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, alteration, use and concealment.

21 Mostert, W. *Legal Considerations for Document Imaging*. Pamphlet issued by Mostert, Opperman, Goodburn Incorporated

b) Reliability

A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities. Records should be created at the time of the transaction or incident to which they relate, or soon afterwards, by individuals who have direct knowledge of the facts or by instruments routinely used within the body to conduct the transaction.

c) Integrity

The integrity of a record refers to its being complete and unaltered.

It is necessary that a record be protected against unauthorized alteration. Records management policies and procedures should specify what additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation, addition or deletion to a record should be explicitly indicated and traceable.

d) Useability

A useable record is one that can be located, retrieved, presented and interpreted. It should be capable of subsequent presentation as directly connected to the business activity or transaction that produced it. The contextual linkages of records should carry the information needed for an understanding of the transactions that created and used them. It should be possible to identify a record within the context of broader business activities and functions. The links between records that document a sequence of activities should be maintained.

4. The value of records

The **primary or administrative value** is the current value that records have for the body from which they originate.

These records are used:

- ♦ for administrative and accounting purposes;
- ♦ to ensure logical, responsible and consistent actions;
- ♦ for the protection of the legal and financial rights and obligations of the body of origin; and
- ♦ to ensure proper control of activities.

Records illustrate whether and how an organisation was able to fulfill its functions and the degree of success.

The **secondary value** is the long term practical and cultural value records have for the public and researchers at large.

The practical value lies in the use of records in family history studies, proof of property and other rights and as evidence in court. From the cultural value, records can be used for research into amongst others, political, social and economic matters. In other words, records can be used to describe or reconstruct an event or situation in the past.

**ANNEXURE 2: NATIONAL ARCHIVES AND RECORDS SERVICE OF SOUTH AFRICA
ACT (ACT NO. 43 OF 1996)**

as amended by

Cultural Laws Amendment Act 36 of 2001

ACT

To provide for a National Archives and Record Service; the proper management and care of the records of governmental bodies; and the preservation and use of a national archival heritage; and to provide for matters connected therewith.

[Long title substituted by s. 20 of Act 36 of 2001.]

[ASSENTED TO 27 SEPTEMBER 1996]
[DATE OF COMMENCEMENT: 1 JANUARY 1997]
(Afrikaans text signed by the President)

1. Definitions

In this Act, unless the context otherwise indicates-

'appraisal' means the archival function of determining the eventual disposal of records;

'archives' means records in the custody of an archives repository;

'archives repository' means any archives repository contemplated in section 11;

'Council' means the National Archives Advisory Council contemplated in section 6;

[Definition of 'Council', previously definition of 'Commission', substituted by s. 7 (a) of Act 36 of 2001.]

'custody' means the control of records based upon their physical possession;

'disposal authority' means a written authority issued in terms of section 13 (2) (a) specifying records to be transferred into the custody of the National Archives or specifying records to be otherwise disposed of;

'electronic records system' means any records system in which information is generated electronically and stored by means of computer technology;

'governmental body' means any legislative, executive, judicial or administrative organ of state (including a statutory body) at the national level of government;

'head of a governmental body' means the chief executive officer of a governmental body or the person who is acting as such;

'Minister' means the Minister responsible for the administration of this Act;

'National Archives' means the National Archives and Records Service of South Africa established by section 2;

[Definition of 'National Archives' substituted by s. 7 (b) of Act 36 of 2001.]

'non-public record' means a record created or received by a private individual or a body other than one defined as a governmental body in terms of this Act or a provincial law pertaining to records or archives;

'prescribe' means prescribe by regulation;

'public record' means a record created or received by a governmental body in pursuance of its activities;

'record' means recorded information regardless of form or medium;

'recording' means anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form;

'records classification system' means a classification plan for the identification, arrangement, storage and retrieval of records;

'regulation' means any regulation made under this Act;

'this Act' includes the regulations.

2 Establishment of National Archives of South Africa

There is hereby established a branch of the public service of the Republic to be known as the National Archives and Records Service of South Africa.

[S. 2 substituted by s. 8 of Act 36 of 2001.]

3 Objects and functions of National Archives

The objects and functions of the National Archives shall be to-

- (a) preserve public and non-public records with enduring value for use by the public and the State;
- (b) make such records accessible and promote their use by the public;
- (c) ensure the proper management and care of all public records;
- (d) collect non-public records with enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to the need to document aspects of the nation's experience neglected by archives repositories in the past;

- (e) maintain a national automated archival information retrieval system, in which all provincial archives services shall participate;
- (f) maintain national registers of non-public records with enduring value, and promote co-operation and co-ordination between institutions having custody of such records;
- (g) assist, support, set standards for and provide professional guidelines to provincial archives services;
- (h) promote an awareness of archives and records management, and encourage archival and records management activities;
- (i) generally promote the preservation and use of a national archival heritage.

4 National Archivist and staff

- (1) (a) The Minister shall, after consultation with the Public Service Commission contemplated in section 196 of the Constitution, appoint an experienced and qualified person as National Archivist in terms of the Public Service Act, 1994 (Proclamation 103 of 1994), on such grade as the Minister may determine.
- (b) The National Archivist shall manage the National Archives under the direction of the Director-General: Arts, Culture, Science and Technology.

[Sub-s. (1) substituted by s. 9 of Act 36 of 2001.]

- (2) The National Archivist shall in the performance of his or her functions be assisted by officers and employees appointed in terms of the Public Service Act, 1994 (Proclamation 103 of 1994).
- (3) (a) The National Archivist may, subject to any conditions, delegate a power or assign a duty to a member of the staff and may at any time cancel such delegation or assignment.
- (b) A delegation or assignment shall not divest the National Archivist of the power delegated or duty assigned and he or she may at any time amend or set aside any decision made thereunder, or exercise the power or perform the duty concerned.

5 Powers and duties of National Archivist

- (1) The National Archivist shall-
 - (a) take such measures as are necessary to arrange, describe and retrieve records;
 - (b) provide information, consultation, research and other services related to records;
 - (c) with special emphasis on activities designed to reach out to less privileged sectors of society, make known information concerning records by means such as publications, exhibitions and the lending of records;

- (d) require of a person who has made use of records in the custody of the National Archives while researching a publication or dissertation to furnish a copy of the publication or dissertation to the National Archives;
- (e) generally, take such other steps and perform such other acts as may be necessary for or conducive to the achievement of the objects of the National Archives.

(2) The National Archivist may-

- (a) provide training in archival techniques and the management of records;
- (b) co-operate with organisations interested in archival matters or the management of records;
- (c) provide professional and technical support in aid of archival activities and the archival community;
- (d) on the advice of the Council and with the concurrence of the Minister exempt a governmental body from any provision of this Act.

[Para. (d) substituted by s. 10 (a) of Act 36 of 2001.]

- (e) publish the appraisal policy and lists of records that may be destroyed.

[Para. (e) added by s. 10 (b) of Act 36 of 2001.]

6 Establishment, constitution and functions of National Archives Advisory Council

- (1) The Minister shall by notice in the Gazette establish a council to be known as the National Archives Advisory Council.

(2) The Council shall consist of-

- (a) not more than six members appointed by the Minister from among persons who are knowledgeable of or have an interest in archival matters; and
- (b) every chairperson of the various provincial councils advising on archives or, in the absence of such a provincial council, a representative for the province in question elected through a public and transparent process which shall be determined and overseen by the responsible member of the Executive Council of that province.

- (3) The procedures and other conditions for appointment as a member of the Council shall be as prescribed.

(3A) The Minister may dissolve the Council on any reasonable grounds.

(4) The functions of the Council shall be to-

- (a) advise the Minister and the Director-General: Arts, Culture, Science and Technology on any matter related to the operation of this Act;

- (b) advise the National Archivist on furthering the objects and functions of the National Archives;
 - (c) advise and consult with the South African Heritage Resources Agency on the protection of records forming part of the National Estate;
 - (d)
 - (e) consult with the Public Protector on investigations into the unauthorised destruction of records otherwise protected under this Act; and
 - (f) annually submit a business plan to the Minister for approval.
- (5) The Council may appoint committees from amongst its members and may assign to any committee so appointed such of its functions as it may deem fit: Provided that the Council shall not be divested of any function which it has so assigned and may amend or revoke a decision of such a committee.
 - (6) The procedure at meetings of the Council and of a committee shall be as prescribed.
 - (7) The Council or any committee may, subject to the approval of the Minister, co-opt any person to serve on the Council or on a committee, as the case may be, in an advisory capacity, but such a co-opted member shall not have any voting rights.
 - (8) (a) Subject to paragraph (b), a member of the Council who is not in the full-time service of the State, may receive in respect of his or her functions as a member of the Council such allowances as the Minister may determine with the concurrence of the Minister of Finance.
 - (b) The Minister, with the concurrence of the Minister of Finance, must determine criteria for payment of allowances contemplated in paragraph (a).

[S. 6 substituted by s. 11 of Act 36 of 2001.]

7 Secretary and staff of Council

The administrative and secretarial functions of the Council must be performed by a section established by the Director-General in terms of the Public Service Act, 1994 (Proclamation 103 of 1994).

[S. 7 substituted by s. 12 of Act 36 of 2001.]

8 and 9

[Ss. 8 and 9 repealed by s. 13 of Act 36 of 2001.]

10 Annual reports

- (1) As soon as practicable after the end of each financial year the National Archivist shall compile a report on all the activities of the National Archives during that financial year, and the Council shall compile a report on all the activities of the Council during that financial year.

- (2) The report of the National Archivist shall include-
 - (a) details of income and expenditure;
 - (b) a complete list of disposal authorities issued;
 - (c) an account of all cases of unauthorised disposal of public records investigated by the National Archives; and
 - (d) an account of all governmental bodies which have failed to comply with this Act.
- (3) The report of the National Archivist and of the Council, together with the audited annual financial statements pertaining to the funds of the Council, shall be submitted to the Minister, and the Minister shall table them in Parliament within 14 days after receipt thereof if Parliament is then sitting, or if Parliament is not then sitting, within 14 days of the commencement of the next sitting of Parliament.
- (4) Within five months after the reports have been tabled, a delegation consisting of the National Archivist and at least two members of the Council must brief the Portfolio Committee on Arts, Culture, Science and Technology on the reports.

[S. 10 amended by s. 14 of Act 36 of 2001.]

11 Custody and preservation of records

- (1) The Minister may from time to time establish archives repositories under the control of the National Archivist for the custody of records.
- (2) Public records identified in a disposal authority as having enduring value shall be transferred to an archives repository when they have been in existence for 20 years: Provided that-
 - (a) no other Act of Parliament requires such records to be kept in the custody of a particular governmental body or person;
 - (b) the National Archivist may, after consultation with the head of a governmental body, identify such records which-
 - (i) should remain in the custody of a governmental body; or
 - (ii) should be transferred to an archives repository before they have been in existence for 20 years;
 - (c) the National Archivist may defer the transfer of any public records; and
 - (d) the National Archivist may grant permission for any public records to to an archives repository before they have been in existence for 20 years.
- (3) The Minister may prescribe terms and conditions governing the transfer of records under subsection (2).
- (4) The National Archivist shall take such measures as are necessary to preserve and restore records.

12 Access and use

- (1) Subject to any other Act of Parliament which deals with access to public records-
 - (a) a public record in the custody of the National Archives shall be available for public access if a period of 20 years has elapsed since the end of the year in which the record came into existence;
 - (b) access to a public record in respect of which a period of less than 20 years has elapsed since the end of the year in which the record came into existence may be given by the National Archivist upon request.
 - (2) A non-public record in the custody of the National Archives shall be available for public access subject to any conditions agreed upon at its acquisition in terms of section 14 (1) of this Act.
 - (3) Notwithstanding subsections (1) and (2), the National Archivist may refuse access to a record on the grounds of its fragile condition, provided that there shall be a right of appeal to the Director-General against the refusal.
- [Sub-s. (3) substituted by s. 15 of Act 36 of 2001.]
- (4) The Minister may make regulations as to the admission of the public to archives repositories, the making available of records for public access, and the use of equipment for the making of copies of or extracts from records in the custody of the National Archives.

13 Management of public records

- (1) Subject to the provisions of this Act, the National Archivist shall be charged with the proper management and care of public records in the custody of governmental bodies.
- (2) Without limiting the generality of subsection (1)-
 - (a) no public record under the control of a governmental body shall be transferred to an archives repository, destroyed, erased or otherwise disposed of without the written authorisation of the National Archivist, issued subject to-
 - (i) section 6 (4) (e) of this Act; and
 - (ii) a final ruling by the Minister when unresolvable differences arise between the National Archivist and the Council;

[Sub-para. (ii) substituted by s. 16 of Act 36 of 2001.]

- (b) the National Archivist shall-
 - (i) determine records classification systems to be applied by governmental bodies;
 - (ii) determine the conditions subject to which records may be microfilmed or electronically reproduced; and

- (iii) determine the conditions subject to which electronic records systems should be managed;
- (c) the National Archivist shall inspect public records in so far as such inspection may be necessary for the performance of his or her functions under this Act: Provided that the inspection of public records which contain information the disclosure of which is restricted by any other Act of Parliament shall be done only with the consent of the head of the governmental body concerned.
- (3) The Minister may make regulations as to the management and care of public records in the custody of governmental bodies.
- (4) The National Archivist may from time to time issue directives and instructions, which shall not be inconsistent with the regulations, as to the management and care of public records in the custody of governmental bodies.
- (5)
 - (a) The head of a governmental body shall, subject to any law governing the employment of personnel of the governmental body concerned and such requirements as may be prescribed, designate an official of the body to be the records manager of the body.
 - (b) The records manager shall be responsible to see to it that the governmental body complies with the requirements of this Act.
 - (c) Additional powers and functions may be prescribed to a records manager.

14 Acquisition and management of non-public records

- (1) The National Archivist may on behalf of the State acquire by purchase or donation or on loan for a temporary period or in perpetuity, either unconditionally or subject to such conditions as may be agreed upon, non-public records which, in his or her opinion, have enduring value of national significance and which cannot be more appropriately preserved by another institution.
- (2) Subject to any conditions as may be applicable, non-public records acquired under subsection (1) shall be deposited in the archives repository determined by the National Archivist.
- (3) The producer or distributor of a recording which is a non-public record in terms of this Act shall, within six months after a request in writing is made by the National Archivist, provide the National Archivist with a copy of the recording in such form as may be specified in the request.
- (4) Subsection (3) shall not apply in respect of a recording that is required to be deposited in a legal deposit library, defined in section 1 of the Legal Deposit of Publications Act, 1982 (Act 17 of 1982), or that has not been broadcast or made public in South Africa.
- (5) The National Archivist shall maintain national registers of non-public records in South Africa which, in his or her opinion, have enduring value, in consultation with the institutions having custody of such records.
- (6)

[Sub-s. (6) deleted by s. 17 of Act 36 of 2001.]

15 Limitation of liability

No person, including the State, shall be liable in respect of anything done under this Act in good faith and without negligence.

16 Offences and penalties

(1) Any person who-

- (a) willfully damages any public or non-public record in the control of a governmental body; or
- (b) otherwise than in accordance with this Act or any other law, removes, destroys or erases such record,

shall be guilty of an offence and liable on conviction to a fine or imprisonment for a period not exceeding two years or both such fine and imprisonment.

(2) Any person who fails to comply with-

- (a) a request mentioned in section 14 (3); or
- (b)

[Para. (b) deleted by s. 18 of Act 36 of 2001.]

shall be guilty of an offence and liable on conviction-

- (i) in the case of an offence contemplated in paragraph (a) of this subsection, to a fine not exceeding R5 000;
- (ii) in the case of an offence contemplated in paragraph (b) of this subsection, to a fine not exceeding R10 000.

(3) The National Archivist may refuse to allow any person convicted of an offence in terms of subsection (1) access to an archives repository for such period as he or she may deem fit, subject to an appeal to the Minister.

17 Transitional provisions

- (1) The person who, immediately prior to the commencement of this Act, performed the functions of the director of archives under the Archives Act, 1962 (Act 6 of 1962), shall continue in office as the National Archivist.
- (2) Every public servant who, immediately prior to the commencement of this Act, performed functions as a member of the staff of the said director, shall be deemed to be a member of staff of the National Archives.
- (3) Any records in the custody of the said director on the day immediately prior to the commencement of this Act are hereby transferred to the National Archivist subject to any terms and conditions that were applicable to such records on that day.

- (4) Until such time as a provincial legislator promulgates provincial legislation in terms of which a provincial archives service is established for that province, every provision of this Act shall apply in that province, and-
- (a) wherever the expression 'governmental body' occurs it shall mean a legislative, executive, judicial or administrative organ of state (including a statutory body) in such province at the national, provincial or local level of government; and
 - (b) wherever the expression 'public record' occurs it shall mean a record created or received by any institution contemplated in paragraph (a) in pursuance of its activities.

18 Regulations

The Minister may make regulations as to any matter which in terms of this Act is required or permitted to be prescribed or done by regulation, and, generally, with reference to any matter which is necessary or expedient to be prescribed in order to achieve or promote the objects of this Act.

19 Repeal of laws

The following laws are hereby repealed:

- (a) The Archives Act, 1962 (Act 6 of 1962);
- (b) the Archives Amendment Act, 1964 (Act 12 of 1964);
- (c) the Archives Amendment Act, 1969 (Act 63 of 1969);
- (d) the Archives Amendment Act, 1977 (Act 54 of 1977); and
- (e) the Archives Amendment Act, 1979 (Act 32 of 1979).

20 Short title and commencement

This Act shall be called the National Archives and Record Service of South Africa Act, 1996, and shall come into operation on a date to be fixed by the President by proclamation in the Gazette.

[S. 20 substituted by s. 19 of Act 36 of 2001.]

ANNEXURE 3: NATIONAL ARCHIVES AND RECORDS SERVICE OF SOUTH AFRICA REGULATIONS²² (R1458, 2002.11.20)

The Minister of Arts, Culture, Science and Technology, under section 18 read with sections 6(3), 6(6), 11(3), 12(4), 13(3) and 13(5) of the National Archives and Record Service of South Africa Act, 1996 (Act No. 43 of 1996), -

- (a) has made the regulations in the Schedule;
- (b) hereby repeals the Regulations published by Government Notice No. 126 of 24 January 1997.

PART I

DEFINITIONS

1. In these regulations any word or expression to which a meaning has been assigned in the Act, shall have that meaning and, unless the context otherwise indicates -

"Act" means the National Archives Act, 1996 (Act No. 43 of 1996);

"chairperson" means the chairperson of the Council;

"committee" means a committee of the Council appointed in terms of Section 6(5) of the Act;

"head of an archives repository" means the chief executive officer of an archives repository or the person who is acting as such;

"strong room" means a room or place in an archives repository where records are stored;

"the Act" means the National Archives and Record Service of South Africa Act, 1996 (Act No. 43 of 1996).

PART II

COUNCIL

2. (1) The Minister shall appoint members of the Council through a process of public nomination.
- (2) (a) The Minister shall, by notice in the gazette and at least two newspapers circulating throughout the Republic, request nominations of suitably qualified persons.

22 Published in the *Government Gazette* No. 24085 of 20 November 2002.

- (b) The notice referred to in paragraph (a) shall specify the qualifying requirements for the appointment, as well as the manner, place and time within which the nomination must be submitted.
- (3) In appointing a member of the Council from the nominees, the Minister shall ensure that:
 - (a) the member has the necessary experience and that stakeholder interests are taken into account; and
 - (b) the Council reflects to a reasonable degree the demographic and gender realities of the Republic of South Africa.
- 3.
 - (1) A term of office of a member of the Council shall be a period of three years.
 - (2) Any person whose term of office as a member of the Council has expired may be reappointed for one additional term.
 - (3) A person appointed in the place of a member who has vacated office, shall hold office for the unexpired term of office of the member in whose place he/she is appointed.
 - (4) The term of office contemplated in subregulation (3) shall not be considered as a term of office for the purposes or re-appointment under subregulation (2).
- 4. The Minister may remove a member of the Council from office if-
 - (1) the member is absent from two consecutive ordinary meetings of the Council without leave of such absence having been granted by the Council;
 - (2) such removal is requested by at least two thirds of the other members of the Council;
 - (3) The member is found to be of unsound mind by a competent court; or
 - (4) The member is found guilty of misconduct.
- 5.
 - (1) The Minister shall appoint the chairperson and the Council shall elect from among its members a deputy chairperson.
 - (2) The deputy chairperson shall perform all the functions of the chairperson in the absence of the chairperson.
 - (3) Whenever both the chairperson and the deputy chairperson are not available, the members must, from among themselves, elect a member to act as chairperson.
- 6.
 - (1) Ordinary meetings of the Council shall be held at least twice a year.
 - (2) Special meetings of the Council shall be held:
 - (a) by order of the Minister; or

- (b) on a written request signed by at least half of the members of the Council.
 - (3) The chairperson shall determine the venue, date and time of ordinary and special meetings.
 - (4) The secretary shall dispatch the agenda of an ordinary meeting of the Council at least six weeks prior to the date of the meeting to all members of the Council.
 - (5) The secretary shall dispatch the agenda of a special meeting of the Council at least two weeks prior to the date of such meeting.
 - (6) A quorum for a meeting of the Council shall be the majority of its members.
 - (7) If there is no quorum at a meeting the meeting must be postponed for at least two weeks: The members at the second meeting shall form a quorum for that meeting.
 - (8) A decision of the majority of the members present at any meeting constitutes a decision of the Council and, in the event of an equality of votes, the presiding member shall have a casting vote in addition to his or her deliberative vote.
 - (9) No decision of Council shall be invalid merely by reason of a casual vacancy in the Council.
 - (10) The secretary shall record the minutes of every meeting of the Council, and shall circulate the draft minutes among members.
 - (11) Minutes of the proceedings of each meeting shall be submitted at the next meeting of the Council and, if passed as correct, shall be confirmed by the signatures of the chairperson and the secretary.
7. (1) A committee of the Council shall elect a chairperson and, if necessary, a secretary for that committee from among its members.
- (2) The chairperson of a committee shall:
- (a) determine the venue, date and time of a meeting of that committee;
 - (b) table minutes of any meeting held by that committee since the last meeting of the Council at the next ordinary meeting of the Council; and
 - (c) provide a written report of the activities of the committee at the Council meeting.

PART III

TRANSFER OF PUBLIC RECORDS

8. (1) The transfer of public records may take place on the initiative of either the National Archivist of the head of the governmental body under whose control those records fall.
- (2) The National Archivist may enter into an agreement with the head of a governmental body for the planned and systematic transfer of public records.
- (3) When a governmental body wishes to transfer public records, the head of such a body shall submit a written request to do so to the head of the archives repository concerned, subject to the following conditions:
 - (a) Where such records are covered by a disposal authority, this request must include -
 - (i) a duplicate transfer list of such records in which each item is identified by reference number, description and opening and closing dates; and
 - (ii) an indication of the extent of such records in linear metres; and
 - (b) where such records are not covered by a disposal authority, this request must include -
 - (i) a summarised identification of such records by type, period and office of origin;
 - (ii) an indication of the nature of the records classification system, whether such system was approved by the National Archivist, and whether such system is still in use; and
 - (iii) an indication of the extent of such records in linear metres.
- (4) Subject to section 13(2)(a) of the Act a governmental body may transfer public records to an archives repository after receiving written authorization to do so from the head of such repository.
- (5) In addition to any special condition which may apply to any transfer -
 - (a) the public records concerned shall be deposited in the archives repository determined by the National Archivist;
 - (b) the public records concerned must be ordered precisely in accordance with the transfer list contemplated in regulation 3(a)(i);
 - (c) containers or packages used for the transfer must be clearly labeled in the sequence determined by the transfer list; and

- (d) receipt of the transfer shall be acknowledged by the despatch to the governmental body concerned of an endorsed copy of the transfer list.
- (6) Subject to such conditions as the head of an archives repository may determine, public records in the custody of the National Archives may be returned temporarily to the governmental body which transferred them to the National Archives or such body's legal successor to provided that those records shall be returned to the archives repository concerned within 60 days of receipt, unless the head of that repository has authorised an extended period in writing.
- (7) All costs relating to the transfer and temporary return of public records as provided for in this regulations shall be borne by the governmental body transferring the records to or borrowing the records from the National Archives.

PART IV

ACCESS AND USE

- 9. (1) Consultation of records in an archives repository shall take place in the reading rooms of the repository.
- (2) A member of the public may be admitted to the strong rooms of an archives repository with the approval of the head of such repository and subject to the conditions laid down by such head.
- (3) A member of the public admitted to a strong room or other place in an archives repository where records are stored or processed shall not eat, drink, smoke, strike a match or use a lighter in the strong room or such place, and shall not carry any bag, receptacle or any other container into the strong room or such place.
- (4) The head of an archives repository may require a member of the public to
 - (a) present his or her identity document or passport;
 - (b) record in the repository's register referred to in subregulation 7(a):-
 - (i) the subject of his or her research;
 - (ii) the purpose of the research;
 - (iii) his or her permanent residential address;
 - (iv) such other information as the head of the archives repository may require;
 - (c) notify the head of any subsequent changes to the information contemplated in paragraph (b);

- (5)
 - (a) The head of an archives repository may deny a user access to a reading room if such person does not comply with these regulations or persists with improper conduct.
 - (b) A denial of access referred to in paragraph (a) shall, as soon as possible, be reported in writing to the National Archivist.
- (6). Reading rooms of archives repositories shall be open to the public at such time as the National Archivist may determine.
- (7)
 - (a) A member of public shall write and sign his/her name in a register provided for the purpose every day on which records are consulted.
 - (b) A member of public shall request the delivery of records to a reading room for consultation in writing using a form, following a procedure, and at times determined by the National Archivist.
 - (c) The head of an archives repository shall determine the number of records which may be consulted simultaneously by a member of public.
 - (d) When consulting records a user shall observe all instructions pertaining to the handling of records laid down by the head of an archives repository, including but not limited to the following:
 - (i) The greatest care in handling records shall at all times be exercised;
 - (ii) The order of records shall not be disturbed;
 - (iii) Any damage to a record or disturbance in the order of records caused or discovered by a member of public shall be reported to the reading room supervisor;
 - (iv) Writing or making of any mark on any record is prohibited;
 - (v) The use of fountain pens is prohibited; and
 - (vi) No bags, receptacles or containers of any kind may be retained in a reading room.
- (8)
 - (a) The head of an archives repository may prohibit the copying of a record if such copying might damage the record.
 - (b) The head of an archives repository may:
 - (i) limit the length of time for which a member of public may utilize a copying machine, computer terminal or other facility provided by that repository: and
 - (ii) provide members of the public with copies of records, provided that the head may impose a limit on the number of copies.

- (c) Members of the public shall pay for any copies of records made in an archives repository according to the tariffs determined by the National Archivist.

PART V

MANAGEMENT AND CARE OF RECORDS

- 10 (1) The head of a governmental body shall be responsible for ensuring that all records of such body -
 - (a) receive appropriate physical care;
 - (b) are protected by appropriate security measures; and
 - (c) are managed in terms of standing orders of that body and other relevant legislation.
- (2) The head of a governmental body shall supply the National Archivist with such information related to the management of records under his/her control as the National Archivist may require.
- (3) The head of a governmental body shall comply with all directives and instructions issued by the National Archivist and pertaining to the management and care of public records.
- (4) The appraisal of the records of a governmental body may take place on the initiative of either the National Archivist or the head of the governmental body concerned.
- (5) The transfer to an archives repository, destruction or other disposal of such records shall be effected in terms of a disposal authority.
- (6) Procedures for the issuing of disposal authority shall be as determined by the National Archivist in directives and instructions.
- (7) The preparation of records for destruction in terms of a disposal authority shall be done under the supervision of the records manager of the governmental body concerned.
- (8) Whenever records are destroyed in terms of a disposal authority, the head of a governmental body shall submit to the National Archivist a certificate of destruction as prescribed by the National Archivist unless an exemption from this obligation has been received from the National Archivist.
- (9) The head of a governmental body shall report to the National Archivist without delay all cases of serious damage, loss or unauthorized destruction of that body's records.
- 11 (1) No governmental body shall use a records classification system unless it has been approved by the National Archivist.
- (2) Any application for the approval of a records classification system shall follow procedures prescribed by the National Archivist.

- (3) Any revision and addition to an approved records classification system shall be submitted to the National Archivist for approval in accordance with procedures set out by the National Archivist.
 - (4) The head of a governmental body shall report to the National Archivist such body's intention to microfilm records or to introduce an electronic records system and such notification shall follow procedures set out by the National Archivist.
- 12 The official designated as the records manager of a governmental body in terms of section 13(5) of the Act shall -
- (a) be in possession of an appropriate university or technikon qualification, and/or have appropriate professional experience;
 - (b) have successfully completed the National Archives' Records Management Course;
 - (c) possess a thorough knowledge of the body's organizational structure, functions and records system; and
 - (d) be responsible for promoting the effective, efficient and accountable management of the body's records and ensuring, by inspections and other means, the body's compliance with the Act and all other relevant legislation.

TITLE

13. These regulations shall be called the National Archives and Records Service of South Africa Regulations, 2002.

ANNEXURE 4: GUIDELINES FOR THE DEVELOPMENT OF A RECORDS MANAGEMENT POLICY AND EXAMPLE OF A RECORDS MANAGEMENT POLICY

A: GUIDELINES FOR THE DEVELOPMENT OF A RECORDS MANAGEMENT POLICY

A1. INTRODUCTION

A governmental body keeps records to support its operations, as well as to fulfill legal and other obligations.

Records should be managed by the governmental body in terms of the broad policy guidelines contained in the National Archives and Records Service of South Africa Act, (Act No 43 of 1996 as amended). It is, however, essential for each body to establish its own records management policy to link its unique processes and procedures to the requirements of the National Archives and Records Service of South Africa Act. The policy should not only be in line with the Act, but should also link up with the body's overall mandate and mission objectives. The records management policy provides the framework within which a governmental body affirms its commitment to create authentic and reliable records.

These guidelines are issued in terms of section 13(4) of the National Archives and Records Service of South Africa Act, 1996. The purpose of these guidelines is to enable records managers to compile their own records management policy using the guidelines as a basis to work from. Governmental bodies should also take note of the recommendations regarding matters that should be addressed in a records management policy contained in the following national standards:

- SANS 15489 – *Information and documentation – Records Management- Part 1: General*;
- SANS 23081 – *Information and documentation – Records Management processes – Metadata for records – Part 1: Principles*; and
- SANS 15801: *Electronic Imaging – Information stored electronically – Recommendations for trustworthiness and reliability*.²³

The National Archives and Records Service also recommends compliance with the National Intelligence Agency's *Minimum Information Security Standard*²⁴ and the Department of Public Service and Administration's *Draft Information Security Policies*.²⁵ Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*.²⁶

23 To obtain copies of these standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax (012) 428-6928; E-mail: sales@sabs.co.za.

24 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: 012 427 4000, Fax: 012 427 4651.

25 Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>.

26 To obtain copies of this standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax (012) 428-6928; E-mail: sales@sabs.co.za.

Due to the nature of the records created and received by governmental bodies it is advisable that the records management policy should consist of a set of policies rather than one comprehensive and cumbersome document. Although this example does not contain the full set, it is recommended that the policy should at least consist of the following parts.

- Part 1: General record keeping and records management.
This part would contain the:
 - general principles according to which records are managed
 - paper-based specific policies.
- Part 2: Electronic records management policy.
This part would contain the general electronic records management principles.
- Part 2a: E-mail policy.
This part would contain the specific records management policy for e-mail management.
- Part 2b: Web content management policy.
This part would contain the specific records management policy regarding web content management.
- Part 2c: Document imaging policy.
This part would contain the specific records management policy regarding the imaging of records to guarantee their evidential weight in legal proceedings.

The Information Security Policy could also be considered to be part of the set of records management policies because information security and records management are closely related.

A2. PLANNING THE POLICY

A governmental body cannot draft a records management policy if it does not know what the specific record keeping and service delivery requirements are. To enable a governmental body to draft a policy that suits the business needs of the specific body, it is advisable that a thorough analysis be done of the environment within which the body operates.

A full and proper understanding of a body's current business and records management operations is of utmost importance to gain insight into the risk involved in not managing records and information properly, as well as the risk of not being accountable for service delivery. The National Archives and Records Service supports the view expressed in SANS 15489: *Information and documentation – Records Management – Part 2: Guidelines* that an understanding of the environment the governmental body operates in, is core to the successful implementation of any record keeping system and records management programme.

A2.1 Understanding the environment in which the governmental body exists

The role of the governmental body, its structure and the administrative, legal, business, regulatory and socio-political environments in which it operates are major factors affecting its record keeping practices and service delivery obligations.

Doing an institutional analysis will provide:

- an understanding of the body and the administrative, legal, business and social contexts in which it operates;
- an understanding of the body's record keeping strengths and weaknesses
- an understanding of the records that need to be sustained over the long term;
- a sound basis for defining the scope of the body's record keeping project and presenting a business case for managerial support; and
- information about the requirements of the body's stakeholders.

The information gathered during an institutional analysis is an essential basis for the compilation of a records management policy as well as a functional subject file plan and the preparation of a records disposal authority.

A2.2 Understanding the business of a governmental body

Records are created within the business context of a governmental body, and are kept as evidence of business activity, i.e. they have an evidential purpose. Every decision a governmental body makes, and everything a governmental body does, involves the use of information. The manner in which a governmental body creates, classifies, stores and manages its records contributes to the success or failure of the governmental body. It is necessary to understand the business processes, why and when records are generated and how they should be managed to ensure that they do have evidential weight. This is why an analysis of the business processes is necessary to enable the drafting of a records management policy and a file plan, and to gain an understanding of why records are created and why and for how long they should be retained.

A2.3 Understanding the records generated by the governmental body

Records are the reflection of a body's activities. It is essential to know what information a body holds and thus be able to respond to requests for information. A records audit profiles each record series and system, and helps to identify any problems, to establish a records management programme, to design a records management policy and a file plan and to produce a disposal schedule. It also helps to determine what is required to install and maintain the records management programme (space, equipment, personnel, etc) as well as how to evaluate the efficacy and economy of records management systems, particularly in the context of the preparation for compliance with the Promotion of Access to Information implementation.

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

- a full understanding of the body - the nature of its activities, its mission, objectives, components and operations;
- level of staff awareness of records management;
- what records are held and the activities to which they relate;
- an inventory of record containers (cabinets, shelves, etc);
- records documentation (file lists, indexes, etc);
- extent of records;

- where copies of records exist;
- date range of the records;
- frequency of consultation of the records;
- tracking systems for the records;
- current records management system and competence levels of records management staff;
- record keeping costs;
- identification of records that should be sustained for the long term.

A2.4 Understanding the impact on the human resources

Records management is very much a cultural issue in a governmental body. There should be sufficient understanding of what the current record keeping behaviour of the staff is and how the implementation of a records management policy would impact on the training, skills level and work processes and procedures of the staff.

An investigation should be done to determine:

- The influence of ineffective record keeping on the staff and their service delivery;
- The skills level of the staff;
- How the staff would deal with a new record keeping system;
- How the staff would cope with technology when it is introduced;
- How the staff would deal with electronic service delivery;
- The training and change management activities that are necessary to create a record keeping culture.

The records management policy may have an impact on the job functions of existing staff. Governmental bodies need to determine if it would be necessary to re-skill and redeploy staff. The staff would be more receptive to the policy when they have had an opportunity to raise issues and concerns during such an investigation.

A3. STRUCTURING A RECORDS MANAGEMENT POLICY

The policy document should be clear and concise. All information in the policy should be relevant. Procedures should not be documented in the policy, but should be cross-referenced.

The policy should be

- flexible;
- implementable; and
- cost effective.

The following elements should be addressed in the policy:

A3.1 Policy statement

The policy should

- emphasize that all records created or received during the execution of an body's functions (including electronic records, e.g. e-mail) are public records and that these records must be managed in accordance with the determined policy guidelines;
- stipulate that public records must be classified and stored so that they are easily accessible, thereby facilitating transparency, accountability and democracy.

Note: It is crucial that the policy statement is clear and precise. All staff should be able to understand the purpose of the policy.

A3.2 Relationship with other policies

Describe the relationship with other policies e.g.

- E-mail policy
- Electronic records management policy
- Internet policy
- Information security policy, etc.

A3.3 Statutory and regulatory framework

List all the relevant laws and regulations that impact on records creation and records management practices.

A3.4 Intended audience

Note: A policy should not consist of quotations from published source material and standards. It should talk to the audience about the issues at hand.

A3.5 Roles and responsibilities

A3.5.1 *Top and senior management*

Define the responsibilities of top and senior management regarding record keeping and record management.

A3.5.2 *Records manager*

Describe

- who the records/information manager is and define the records manager's area of responsibility and
- who the sub-records/information managers are as well as their areas of responsibility

A3.5.3 *IT manager*

The policy should clearly define the IT manager's area of responsibility.

A3.5.4 *Other roles and responsibilities*

All other roles that are involved with records creation, record keeping and records management should be identified and defined. This is specific to each office and may include

- users
- registry staff, etc.

A3.6 Identification of records systems

Policy should-

- identify all systems that are creating and storing records;
- describe the systems;
- describe the information contained in the systems;
- list contact particulars of responsible persons;
- describe additional documentation relating to the system(s) e.g. *System Technical Manuals, Systems Procedure Manuals, File plan, Register of Files Opened, Registry Procedures Manual*, etc.

A3.7 Classification systems

Policy should-

- stipulate that only classification systems that have been approved by the National Archivist may be used for both paper-based and electronic records;
- indicate who to contact when difficulties are experienced with the allocation of reference numbers;
- emphasize that no revisions and additions may be made to the classification systems without the records/information manager's prior approval;
- indicate whether the classification systems are only used in the paper-based environment or electronically;
- if used electronically indicate whether the systems are used in a fully fledged Integrated Document and Records Management System or as a shared environment on a network drive;
- if not used electronically indicate how records on individual personal computers are to be managed;
- indicate how e-mail should be managed, if a separate e-mail policy does not exist.

A3.8 Disposal of records

Policy should-

- make it clear that no public records may be destroyed, erased or otherwise disposed of without prior written authorisation from the National Archivist;
- emphasise that retention periods for non-archival records must be determined by the organisation itself;
- emphasise that the records manager, in consultation with the users, will determine the retention periods;
- indicate that transparency, accountability, the requirements of democracy, any other legal obligations as well as the office's own functional needs must always be considered when determining retention periods;
- insist that the records/information manager must be contacted whenever the staff disagree with an allocated retention period;
- emphasise that archival paper-based records must be kept for a period of 20 years before they are transferred to an archives repository, unless agreement on a shorter period before transfer has been reached with the National Archivist;
- indicate where disposal schedules are to be obtained;
- give clear guidelines on the disposal of electronic records.

A3.9 Storage and custody

- Policy should indicate if a disposal agreement with the National Archives and Records Service is in place that contains special arrangements regarding the custody of records.
- Policy should give precise guidelines on:
 - *where* information resources are kept [In which office, particular locality, hard drive, directory or sub-directory. The level of detail will vary according to specific circumstances];
 - the appropriate physical care of information resources [Consider the special requirements of media like microfilm, videotapes and other magnetic media, appropriate precautions against fires, and so on];
 - under whose immediate control resources are to be kept; which media resources will be kept in. [There should be clarity as to which records should be kept only in electronic form or in both electronic and hard copy];
 - how often records kept on electronic storage media should be refreshed and migrated to new storage media to enable them to be accessible when required;
 - Policy should indicate that a registry procedure manual exists and should indicate where and from whom the registry procedures can be obtained.

A3.10 Access and security

Policy should give clear guidelines on the security of all information systems and resources. Aspects requiring attention include the following:

- general physical security;
- control over the removal of resources from their place of custody or from the control of the responsible person;
- the protection of privacy and confidentiality [Keep in mind the inappropriate disclosure of information which may harm the organisation or infringe the privacy rights of individuals. The right to privacy is now enshrined in the Bill of Rights, and legislation is being prepared to give effect to it];
- protection against unauthorised access;
- maintenance of the integrity of records which means that the records should be protected against alteration or deletion;
- the specific concerns regarding electronic information. [A systematic back-up procedure is imperative. Control over software, particularly pirated software, from getting onto the organisation's computers is also important];
- the protection of vital records [i.e. those records the loss of which would render the organisation partially or totally unable to carry out its normal functions. If the organisation implements a vital records protection programme, its scope and the choice of on-site or off-site security storage should be determined].

Policy should emphasize that the National Archivist must immediately be informed in writing when losses of public records occur.

A3.11 Legal admissibility and evidential weight

Policy should-

- address the need to ensure that records are admissible as evidence in courts of law and in this regard
 - stipulate what metadata should be captured [if a documented metadata schema exists, cross reference to it. If it does not exist policy should contain a brief

- description of what should be captured. Records manager should then take steps to document in detail]
- stipulate what audit trail data should be captured and who should have access to it.
- identify procedures to ensure that all legal obligations relating to information management are satisfied. [This refers to tax laws, audit requirements, copyright, the Promotion of Access to Information Act, 2000 etc.].

A3.12 Training

Policy should indicate-

- the relevant records management training courses that should be attended and by which staff members at which time intervals;
- who is responsible for training staff in the allocation of file reference numbers;
- who is responsible for training the registry staff;
- that the records manager should ensure that all staff are conversant with the proper registry procedures to enable them to support registry to function properly.

A3.13 Inspections by the National Archives and Records Service

Policy should-

- indicate that the National Archives and Records Service, subject to the exemption provision contained in section 13(2)(c) of the National Archives and Records Service Act, 1996 as amended, is entitled to full and free access, at all times, to all public records in the organisation's custody;
- mention the records that are exempted, from full and free access by the National Archives and Records Service as well as the reasons.

A3.14 Evaluation

- Policy should stipulate criteria for measuring the records management programme's success.

A4. IMPLEMENTING THE POLICY

The top and senior management should support the policy and should issue a commitment statement in this regard.

Top and senior management should lead by example. If they manage their own office's records properly, the staff would more readily buy into the concept.

Top management should also ensure that the records management function is sufficiently resourced to facilitate that effective record keeping becomes a normal administrative practice.

The policy should be disseminated and communicated to the staff. It is recommended that, besides providing staff with copies of the policy document, the records manager should launch a records management awareness campaign to inform all the staff of their responsibilities.

A5. MONITOR AND REVIEW THE POLICY

Once implemented it is necessary to monitor staff compliance to the policy. The staff's awareness and understanding of the policy should be monitored by doing spot checks on their record keeping and records management behaviour so that timely interventions can be made.

The policy itself should be reviewed regularly to ensure that it continuously meets the business and service delivery needs of the body.

A6. INPUT BY NATIONAL ARCHIVES AND RECORDS SERVICE

The National Archives and Records Service encourages governmental bodies to submit their record keeping and records management policies to the National Archives and Records Service to review it to ensure that it is aligned with the requirements of the National Archives and Records Service Act.

B. EXAMPLE OF A RECORDS MANAGEMENT POLICY

The attached policy serves only as an example to guide governmental bodies regarding the formulation of the policy. It is generic in nature and governmental bodies should not consider it sufficient to replace the need for a proper investigation into the unique business requirements, and record keeping and records management practices of the specific body. When drafting a policy, governmental bodies should ensure that the National Archives and Records Service's records management requirements are integrated with their own business requirements and administrative practices.

RECORDS MANAGEMENT POLICY FOR [NAME OF GOVERNMENTAL BODY]

Version [insert version number] of [date]

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1. Purpose

- 1.1 Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the [name of governmental body] to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act.
- 1.2 Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of [name of governmental body] must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. [Name of governmental body] considers its records to be a valuable asset to:
 - enable [name of governmental body] to find the right information easily and comprehensively;
 - enable [name of governmental body] to perform its functions successfully and efficiently and in an accountable manner;
 - support the business, legal and accountability requirements of [name of governmental body];
 - ensure the conduct of business in an orderly, efficient and accountable manner;
 - ensure the consistent delivery of services;
 - support and document policy formation and administrative decision-making;
 - provide continuity in the event of a disaster;
 - protect the interests of [name of governmental body] and the rights of employees, clients and present and future stakeholders;
 - support and document the [name of governmental body]'s activities, development and achievements;
 - provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.
- 1.3 Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

2. Policy statement

- 2.1 All records created and received by [name of governmental body] shall be managed in accordance with the records management principles contained in section 13 of the National Archives and Records Service Act, 1996.
- 2.2 The following broad principles apply to the record keeping and records management practices of [name of governmental body]:
 - The [name of governmental body] follows sound procedures for the creation, maintenance, retention and disposal of all records, including electronic records.
 - The records management procedures of [name of governmental body] comply with legal requirements, including those for the provision of evidence.
 - The [name of governmental body] follows sound procedures for the security, privacy and confidentiality of its records.

- Electronic records in the [name of governmental body] are managed according to the principles promoted by the National Archives and Records Service.
- The [name of governmental body] has performance measures for all records management functions and reviews compliance with these measures.

3. Relationship with other policies

- 3.1 The [name of governmental body]'s Records Management Policy consist of this policy as well as additional parts that cover the unique nature of the broad spectrum of records generated by [name of governmental body]. These policies are managed by the records manager. The following parts exist:
- Electronic records management policy
 - E-mail policy;
 - Document imaging; and
 - Web content management policy
- 3.2 Other policies that are closely related to the Records Management Policy are
- the Information Security Policy which is managed by the Security Manager;
 - the Internet Usage Policy which is managed by the IT Manager; and the
 - Promotion of Access to Information Policy which is managed by the CIO.

[Note: These are only examples. Governmental bodies should list the policies that pertain to the records and information management practices in their particular environment.]

4. Scope and intended audience

- 4.1 This policy impacts upon [name of governmental body]'s work practices for all those who:
- create records including electronic records;
 - have access to records;
 - have any other responsibilities for records, for example storage and maintenance responsibilities;
 - have management responsibility for staff engaged in any these activities; or manage, or have design input into, information technology infrastructure.
- 4.2 The policy therefore applies to all staff members of the [name of governmental body] and covers all records regardless of format, medium or age.

5. Regulatory framework

- 5.1 By managing its paper-based records effectively and efficiently [name of governmental body] strives to give effect to the accountability, transparency and service delivery values contained in the legal framework established by:
- Constitution, 1996;
 - National Archives and Records Service of South Africa Act (Act No 43 of 1996 as amended);
 - o National Archives and Records Service of South Africa Regulations;
 - Public Finance Management Act (Act No 1 of 1999);
 - Promotion of Access to Information Act (Act No 2 of 2000);
 - Promotion of Administrative Justice Act (Act No 3 of 2000);
 - Electronic Communications and Transactions Act (Act No 25 of 2002).

[Note: Governmental bodies should list all other acts, regulations and codes of practices that impact on the record keeping and records management practices of the body.]

6. Roles and responsibilities

6.1 Head of [name of governmental body]

- 6.1.1 The [post designation] is ultimately accountable for the record keeping and records management practices of [name of governmental body].
- 6.1.2 The [post designation] is committed to enhance accountability, transparency and improvement of service delivery by ensuring that sound records management practices are implemented and maintained.
- 6.1.3 The [post designation] supports the implementation of this policy and requires each staff member to support the values underlying in this policy.
- 6.1.4 The [post designation] shall designate a senior manager to be the records manager of the [name of governmental body] and shall mandate the records manager to perform such duties as are necessary to enhance the record keeping and records management practices of [name of governmental body] to enable compliance with legislative and regulatory requirements.

6.2 Senior managers

- 6.2.1 Senior managers are responsible for the implementation of this policy in their respective units.
- 6.2.2 Senior managers shall lead by example and shall themselves maintain good record keeping and records management practices.
- 6.2.3 Senior management shall ensure that all staff are made aware of their record keeping and records management responsibilities and obligations.
- 6.2.4 Senior managers shall ensure that the management of records including e-mail is a key responsibility in the performance agreements of all the staff in their units.

6.3 Records manager

- 6.3.1 The records manager is responsible for:
 - the implementation of this policy;
 - staff awareness regarding this policy;
 - the management of all records according to the records management principles contained in the National Archives and Records Service Act, 1996.
 - The determination of retention periods in consultation with the users and taking into account the functional, legal and historical need of the body to maintain records of transactions.

6.3.2 The specific duties of the records manager are contained in the Records Manager's job description which is published on the intranet [give URL]/filed on file [give file number from the governmental body's file plan].

[Note: Governmental bodies should adapt this as is appropriate for their specific circumstances.]

6.3.3 The records manager is mandated to make such training and other interventions as are necessary to ensure that the [name of governmental body]'s record keeping and records management practices comply with the records management principles contained in the National Archives and Records Service Act.

6.3.4 The records manager may from time to time issue circulars and instructions regarding the record keeping and records management practices of [name of governmental body].

6.3.5 The records manager shall ensure that all records created and received by [name of governmental body] are classified according to the approved file plan and that a written disposal authority is obtained for them from the National Archives and Records Service.

6.3.6 The [post designation] is the records manager for the whole [name of governmental body].

[Note: If a governmental body has sub-records managers, each sub-records manager's area of responsibility should be defined.]

6.4 Chief Information Officer

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

6.4.2 The Chief Information Officer shall inform the records manager if a request for information necessitates a disposal hold to be placed on records that are due for disposal.

6.5 IT manager

6.5.1 The IT manager is responsible for the day-to-day maintenance of electronic systems that stores records.

6.5.2 The IT manager shall work in conjunction with the records manager to ensure that public records are properly managed, protected and appropriately preserved for as long as they are required for business, legal and long-term preservation purposes.

6.5.3 The IT manager shall ensure that appropriate *systems technical manuals* and *systems procedures manuals* are designed for each electronic system that manages and stores records.

6.5.4 The IT manager shall ensure that all electronic systems capture appropriate systems generated metadata and audit trail data for all electronic records to ensure that authentic and reliable records are created.

6.5.5 The IT manager shall ensure that electronic records in all electronic systems remains accessible by migrating them to new hardware and software platforms

when there is a danger of technology obsolescence including media and format obsolescence.

- 6.5.6 The IT manager shall ensure that all data, metadata, audit trail data, operating systems and application software are backed up on a daily, weekly and monthly basis to enable the recovery of authentic, reliable and accessible records should a disaster occur.
- 6.5.7 The IT manager shall ensure that back-ups are stored in a secure off-site environment.
- 6.5.8 The IT manager shall ensure that systems that manage and store records are virus free.
- 6.5.9 Comprehensive details regarding specific responsibilities of the IT Manager are contained in:
 - the Electronic Records Management Policy;
 - the E-mail policy;
 - the Web content management policy;
 - document imaging policy; and the
 - Information security policy.

[Note: If a governmental body does not have separate policies, the detailed requirements should be included in this document]

6.6 Security manager

- 6.6.1 The security manager is responsible for both information and physical security of all records.
- 6.6.2 Details regarding the specific responsibilities of the security manager are contained in the information security policy.

6.7 Legal services manager

- 6.7.1 The legal services manager is responsible for keeping the Records Manager updated about developments in the legal and statutory environment that may impact on the record keeping and records management practices of [name of governmental body].

6.8 Registry staff

- 6.8.1 The registry staff are responsible for the physical management of the records in their care.
- 6.8.2 Detailed responsibilities regarding the day-to-day management of the records in the registry are contained in the *Registry Procedure Manual*.

6.9 Staff

- 6.9.1 Every staff member shall create records of transactions while conducting official business.
- 6.9.2 Every staff member shall manage those records efficiently and effectively by:
- allocating reference numbers and subjects to paper-based and electronic records according to the file plan;
 - sending paper-based records to the registry for filing;
 - ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist.
- 6.9.3 Records management responsibilities shall be written into the performance agreements of all staff members to ensure that staff are evaluated on their records management responsibilities.

[Note: Governmental bodies should identify and define all other roles and their responsibilities.]

7. Records classification systems and related storage areas

The [name of governmental body] has the following systems that organize and store records:

7.1 Correspondence systems

7.1.1 File plan

- 7.1.1.1 Only the file plan approved on [date] and implemented on [date] shall be used for the classification of correspondence records. The file plan shall be used for the classification of paper-based and electronic (including e-mail) records.
- 7.1.1.2 Specific procedures for the allocation of file subjects and reference numbers to electronic records are contained in the [name of system] procedures manual that is published on the Intranet [provide URL]/filed on file [give file number from the governmental body's file plan]. More specific guidance regarding the classification of e-mail is contained in the E-mail management policy that is published on the Intranet [provide URL]/filed on file [give file number from the governmental body's file plan]. [Note: Governmental bodies should adapt this as is appropriate for their specific circumstances.]
- 7.1.1.3 Each staff member shall allocate file reference numbers to all correspondence (paper, electronic, e-mail) according to the approved subjects in the file plan.
- 7.1.1.4 When correspondence is created/received for which no subject exists in the file plan, the records manager should be contacted to assist with additions to the file plan. Under no circumstances may subjects be added to the file plan if they have not been approved by the records manager. Specific procedures regarding the addition and approval of a subject in the electronic system are contained in the [name of system] procedures manual that is published on the Intranet [provide URL]/filed on file [give file number from the governmental

body's file plan]. [Note: Governmental bodies should adapt this as is appropriate for their specific circumstances.]

7.1.2 Storage areas

7.1.2.1 Paper-based correspondence files are kept in the custody of-

7.1.2.1.1 The central registry

- 7.1.2.1.1.1 All paper-based correspondence system records that are not HR related are housed in the central registry.
- 7.1.2.1.1.2 All these records are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.2.1.1.3 The registry is a secure storage area and only registry staff are allowed in the records storage area.
- 7.1.2.1.1.4 Staff members that need access to files in the registry shall place a request for the files at the counter. [Note: Governmental bodies should adapt this as is appropriate for their specific circumstances.]
- 7.1.2.1.1.5 The registry shall be locked when registry is not in operation.

[Note: Governmental bodies should indicate where all the case files which are listed in the series of separate case files are stored and how they are managed]

7.1.2.1.2 The Human Resources registry

- 7.1.2.1.2.1 All Human Resources related records are housed in the HR Registry.
- 7.1.2.1.2.2 The general HR subject files as well as HR case files are under the management of the records manager who is mandated to ensure that they are managed properly.
- 7.1.2.1.2.3 [name of governmental body] maintains a set of paper-based case files for each staff member. These files are confidential in nature and are housed in a secure storage area in the HR registry.
- 7.1.2.1.2.4 The case files are managed as part of the List of Series of Separate Case Files that is maintained and managed by the records manager.
- 7.1.2.1.2.5 The files exist only in paper-based format and the physical tracking of the case files are managed with the file tracking system in the Integrated Document and Records Management System [Note: Governmental bodies should adapt the wording appropriately.]

7.1.2.2 Electronic correspondence records are stored in an electronic repository that is maintained by the IT section.

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

[Note: Governmental bodies have not necessarily implemented Integrated Document and Records Management Systems. Should the electronic records be managed according to the file plan on each individual PC or on a shared drive that should be noted here. If the electronic records are not managed formally, they do not form part of a formal record keeping system and should not be listed here. The details regarding their management should be addressed in the electronic records management policy]

7.2 Records other than correspondence systems

7.2.1 Schedule for records other than correspondence systems

7.2.1.1 The records manager maintains a schedule of all records other than the correspondence system. The schedule contains a description of each set of records other than the correspondence system and indicates the storage location and retention periods of these records regardless of format. The schedule is available on the Intranet [provide URL]/filed on file [give file number from the governmental body's file plan]. [Note: governmental bodies should adapt this as is appropriate for their specific circumstances.]

7.2.1.2 Should records be created/received that are not listed in the schedule, the records manager should be contacted to add the records to the schedule.

7.2.2 Storage areas

7.2.2.1 Paper-based

7.2.2.1.1 The [name of governmental body] has the following sets of paper-based records other than the correspondence systems that are in the custody of the various officials that use them on a daily basis. [List the sets of records here]

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

[Note: If the governmental body does not have such records not, this paragraph can be omitted]

7.2.2.2 Micrographic records

7.2.2.2.1 The [name of governmental body] has the following sets of microfilmed records that are stored in the [name of storage area]. [List the sets of records here]

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

[Note: If a governmental body does not have such records this paragraph can be omitted]

7.2.2.3 Audio-visual records

7.2.2.3.1 The [name of governmental body] has the following sets of audio-visual records that are stored in the [name of storage area]. [List the sets of records here]

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

[Note: If a governmental body does not have such records this paragraph can be omitted]

7.2.2.4 Electronic systems other than the correspondence systems

7.2.2.4.1 [Name of governmental body] has a number of electronic records systems in operation which is not part of the correspondence system and that generate and store public records. [List the sets of records here]

7.2.2.4.2 The IT manager is responsible for the day-to-day maintenance of these systems.

7.2.2.4.3 The records maintained in these systems are under the control of the records manager who is mandated to ensure that they are managed properly.

7.2.2.4.4 Detailed guidance regarding the management of these systems is contained in the electronic records management policy.

[Note: For each system note the name of system, where the database/repository is housed, and where the systems are scheduled.]

8. Disposal of records

8.1 No public records (including e-mail) shall be destroyed, erased or otherwise disposed of without prior written authorization from the National Archivist.

8.2 The National Archivist has issued Standing Disposal Authority Number [add number] for the disposal of records classified against the file plan. The records manager manages the disposal schedule.

8.3 The National Archivist issued Standing Disposal Authority Number [add number] on the schedule of records other than correspondence systems. The records manager manages the disposal schedule.

8.4 Retention periods indicated on the file plan and schedule were determined by taking [name of governmental body]'s legal obligations and functional needs into account. Should a staff member disagree with the allocated retention periods, the records manager should be contacted to discuss a more appropriate retention period.

8.5 Disposal in terms of these disposal authorities will be executed annually in December. [Note: Governmental bodies should adapt this as is appropriate for their specific circumstances.]

8.6 All disposal actions should be authorized by the records manager prior to their execution to ensure that archival records are not destroyed inadvertently.

- 8.7 Non-archival records that are needed for litigation, Promotion of Access to Information requests or Promotion of Administrative Justice actions may not be destroyed until such time that the Manager: Legal Services has indicated that the destruction hold can be lifted.
- 8.8 Paper-based archival records shall be safely kept in [name of storage area] until they are due to transfer to the National Archives Repository. Transfer procedures shall be as prescribed by the National Archives in the *Records Management Policy Manual*.
- 8.8 Specific guidelines regarding the procedure to dispose of electronic records are contained in the electronic records management policy.

9. Storage and custody

- 9.1 See par. 7 for an identification of all record keeping systems and their storage locations.
- 9.2 All records shall be kept in storage areas that are appropriate for the type of medium. The National Archives and Records Services' guidelines contained in the *Records Management Policy Manual* shall be applied.
- 9.3 Specific policies for the management of electronic storage media are contained in the electronic records management policy.

10. Access and security

- 10.1 Records shall at all times be protected against unauthorized access and tampering to protect their authenticity and reliability as evidence of the business of [name of governmental body].
- 10.2 Security classified records shall be managed in terms of the Information Security Policy which is available from the security manager.
- 10.3 No staff member shall remove records that are not available in the public domain from the premises of [name of governmental body] without the explicit permission of the records manager in consultation with the information security manager.
- 10.4 No staff member shall provide information and records that are not in the public domain to the public without consulting the Chief Information Officer. Specific guidelines regarding requests for information are contained in the Promotion of Access to Information Policy which is maintained by the Chief Information Officer.
- 10.5 Personal information shall be managed in terms of the Promotion of Access to Information Act until such time that specific protection of privacy legislation is enacted.
- 10.6 No staff member shall disclose personal information of any member of staff or client of [name of governmental body] to any member of the public without consulting the Chief Information Officer first.

10.7 An audit trail shall be logged of all attempts to alter/edit electronic records and their metadata.

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

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

10.8.2 Access to server rooms and storage areas for electronic records media shall be managed with key card access [Note: governmental bodies should adapt this to specific circumstances]

11. Legal admissibility and evidential weight

11.1 The records of [name of governmental body] shall at all times contain reliable evidence of business operations. The following shall apply:

11.1.1 *Paper-based records*

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

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

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

11.1.1.4 Should evidence be obtained of tampering with records, the staff member involved shall be subject to disciplinary action.

11.1.2 *Electronic records*

11.1.2.1 The [name of governmental body] shall use systems which ensure that its electronic records are:

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

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

12. Training

12.1 The records manager shall successfully complete the National Archives and Records Service's Records Management Course, as well as any other records management training that would equip him/her for his/her duties.

- 12.2 The records manager shall identify such training courses that are relevant to the duties of the registry staff and shall ensure that the registry staff are trained appropriately.
- 12.3 The records manager shall ensure that all staff members are aware of the records management policies and shall conduct or arrange such training as is necessary for the staff to equip them for their records management duties.

13. Monitor and review

- 13.1 The records manager shall review the record keeping and records management practices of [name of governmental body] on a regular basis and shall adapt them appropriately to ensure that they meet the business and service delivery requirements of [name of governmental body].
- 13.2 This policy shall be reviewed on a regular basis and shall be adapted appropriately to ensure that it meets the business and service delivery requirements of [name of governmental body].

14. Definitions

[Note: Only terms that are used in the policy should be defined]

Archives repository:

The building in which records with archival value are preserved permanently.

Authentic records:

Authentic records are records that can be proven to be what they purport to be. They are also records that are considered by the creators to be their official record.

Authoritative records:

Authoritative records are records that are authentic, reliable, trustworthy and useable and are complete and unaltered.

Correspondence system:

A set of paper-based and electronic communications and associated documents, sent, received, generated, processed and stored during the conduct of business.

Custody:

The control of records based upon their physical possession.

Disposal:

The action of either destroying/deleting a record or transferring it into archival custody.

Disposal authority:

A written authority issued by the National Archivist 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.

Electronic records:

Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record systems other than the correspondence system.

Electronic records system:

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

File plan:

A pre-determined classification plan by which records are filed and/or electronically indexed to facilitate efficient retrieval and disposal of records.

Filing system:

The collective noun for a storage system (like files, boxes, shelves or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.

Non-archival records:

Records with a short lived interest or usefulness.

Public record:

A record created or received by a governmental body in pursuance of its activities, regardless of form or medium.

Records other than correspondence systems:

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.

Record:

- 1) Recorded information regardless of form or medium.
- 2) Evidence of a transaction, preserved for the evidential information it contains.

Records classification system:

A plan for the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in the classification system.

Recording:

Anything on which sounds or images or both are fixed or from which sounds or images or both are capable of being reproduced, regardless of form.

Record keeping:

Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information.

Records management

Records management is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.

Retention period:

The length of time that records should be retained in offices before they are either transferred into archival custody or destroyed/deleted.

Schedule for records other than correspondence systems:

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 for paper-based records other than correspondence files;
- Schedule for electronic records systems other than the electronic correspondence system;
- Schedule for microfilm records;
- Schedule for audio-visual records.

System technical manual:

A manual containing information regarding the hardware, software and network elements that comprise the system and how they interact. Details of all changes to a system should also be documented.

System procedures manual:

A manual containing all procedures relating to the operation and use of the electronic system, including input to, operation of and output from the system. A system procedures manual would contain detailed procedures regarding -

- Document capture
- Document scanning
- Data capture
- Indexing
- Authenticated output procedures
- File transmission
- Information retention
- Information destruction
- Backup and system recovery
- System maintenance
- Security and protection
- Use of contracted services
- Workflow
- Date and time stamps
- Version control
- Maintenance of documentation

A systems procedures manual should be updated when new releases force new procedures.

15. References

[Note: Only references that are really applicable and which confirm the policy should be defined]

Department of Public Service and Administration: *Draft Information Security Policies. Securing Information in the Digital Age.*

National Archives and Records Service: *Records Management Policy Manual*, April 2006.

National Archives and Records Service: *Managing electronic records in governmental bodies: Policy, principles and requirements*, April 2006.

National Archives and Records Service: *Performance criteria for records managers in governmental bodies*, April 2006.

National Intelligence Agency: *Minimum Information Security Standard.*

South African Bureau for Standards: SANS 15489: *Information and documentation – Records management – Part 1: General.*

South African Bureau for Standards: SANS 15489 *Information and documentation – Records management – Part 2: Guidelines*.

South African Bureau for Standards: SANS 15801: *Electronic imaging – Information stored electronically – Recommendations for trustworthiness and reliability*.

South African Bureau for Standards: SANS 23081: *Information and documentation – Records Management processes – Metadata for records – Part 1: Principles*.

South African Bureau for Standards: SANS 17799: *Information Technology – Security techniques - Code of Practice for Information Security Management*.

16. Authorization

This policy was approved by [post designation of head of governmental body] on [date].

HEAD OF DEPARTMENT
DATE:

ANNEXURE 5: DESIGNING, IMPLEMENTING AND MAINTAINING FILE PLANS

1. General

1.1 Standards against which effectiveness is measured

There are two questions a governmental body should ask:

1.1.1 Does the file plan facilitate easy access?

This involves two features:

- ♦ The plan should ensure that all records on a specific subject are placed together. By doing this, a governmental body ensures that records can be made available in the quickest and most satisfactory manner. If a governmental body uses an electronic correspondence system parallel with the paper-based correspondence system, the same file plan should be used for both systems to ensure that records on a specific subject can be retrieved whether in electronic form or in paper.
- ♦ The file plan should meet the needs of the people using the plan. In other words, the file plan must be *user friendly*.

1.1.2 Does the file plan facilitate the implementation of a disposal authority?

Not only must the file plan be an effective **finding aid** but it must facilitate the implementation of an **effective disposal programme** too.

Each file unit in the file plan should bring together records that have the same retention periods. The underlying significance of this is that an effective division should be made between ephemeral (D) records and records of archival value (A20). By separating D and A20 records, a systematic disposal programme can be implemented.

1.2 Three essential requirements of a file plan

A file plan must be in compliance with the following requirements:

- ♦ The plan must be **logical and consistent**. By logical and consistent is meant that the plan should rest on the principles outlined and not be patched together without reason or purpose. The fixed pattern decided on is followed consistently throughout and justified deviations are pertinently noted.
- ♦ The plan must be **flexible/elastic**, which means that any new subjects that have to be added to the file plan can be included so without disturbing the original design pattern. No file plan remains static and it must therefore be designed in such a way that it can accommodate later additions in the correct place.
- ♦ The plan must also be as **simple** as possible. A governmental body should always be encouraged to give preference to uncomplicated methods.

2. The procedure for designing and approval of a file plan.

The designing of a file plan is the responsibility of the body concerned. It should, however, be done in conjunction with the staff of the National Archives and Records Service as there are certain requirements that have to be met before the *National Archivist can approve the file plan*. It is recommended that the designer(s) of the file plan should, at the very least, hold consultations with the staff of the National Archives and Records Service at the stages indicated below:

- ♦ before a start with the designing of a new file plan is made
- ♦ when the main series of the file plan have been determined
- ♦ as soon as the draft file plan has been completed, and it is submitted to the National Archivist for written comment

After this the draft file plan is adapted where necessary in the light of these comments, and two copies lodged with the National Archivist for approval. The National Archivist returns one copy together with the document of approval to the governmental body. Only after this may implementation of the file plan be undertaken.

3. The functional subject file plan

3.1 Definition

A pre-determined logical, systematic and hierarchical structure based on business' functions that are then used to determine subject groups and subjects according to which records are filed and/or electronically indexed so as to facilitate efficient retrieval and disposal of records.

3.2 Composition

A file plan consists of the following parts:

- ♦ Front page: This page contains the name of the relevant government body and/or part thereof.
- ♦ Table of Contents: It indicates the different components of the file plan.
- ♦ General Instructions: This component tells one how to use the file plan. The General Instructions provides valuable information on how the file plan operates. The General Instructions should be consulted by the users of the file plan, particularly new staff who may be unfamiliar with the workings of the file plan. If the file plan is used electronically, the General Instructions should reflect that.
- ♦ List of Main Series
Each of the main series corresponds with the functions of the office.
e.g. Legislation
 Finance
 Human Resources
 Buildings and Grounds
 Licences, etc.

- ♦ Subject Classification

This comprises the different individual main series of the file plan.

Each main series starts on a new page. Main series consist of three columns. They are the number, description and disposal columns. The subject classification is in a vertical format without any indentations. Provisions are classified by subject and each subject is numbered.

In the main series subjects are described from the general to the specific with the main series subject description (i.e. the heading of the main series) being the most general subject of a main series. It is also accepted practice that Policy and Routine Enquiries files are listed first under the subject with which they deal. This is to keep with the practice of listing files (subjects) from the general to the specific.

Underlining is used to indicate that a subject itself is not a file but a heading, and that the files provided for under that heading cover certain aspects of that subject. The headings of the main series may never be used as files and are accordingly always underlined. All descriptions within a main series that are too comprehensive to serve as files must be similarly underlined.

The Notes in brackets provided in the subject classification are clarifying comments or instructions for the users of the file plan. They can deal with a specific main series, sub-division or file.

NOTE: The Notes that refer to a main series in its entirety are provided for in the file plan just under the main series heading. If there is more than one, these are numbered consecutively within the same set of brackets. Where they refer only to a specific sub-division or file, they are placed under that heading and enclosed in brackets since they do not form part of the heading and are accordingly not recorded on the file cover. These notes usually include instructions on the opening of files, e.g.

4/7 Licenses

(Open a file for every applicant in terms of the applicant's name)

or they serve as a cross-reference to draw attention to a related file elsewhere in the file plan and also to guard against possible incorrect use:

4/7 Licenses

(For appeals and refusals, see 8/7)

The precise file or series number is given to eliminate unnecessary tracing.

- ♦ List of Series of Separate Case Files

This is found at the back of the file plan. This series consists of case files with a unique numbering procedure; in other words they are not coupled (linked) to a number in the subject classification. Examples of these are individual personal case files and erven case files.

3.3 Fundamental principles for file plan design

The functional subject file plan which is advocated for use by governmental bodies is based on the following three fundamental principles:

3.3.1 Organisational principle

The purpose of this principle is to determine which part(s) of a governmental body qualify for their own file plan.

The general rule is that a governmental body that has its own administrative machinery which enables it to execute its line functions should have a single file plan covering all the functions of such a body. A governmental body only has its own administrative machinery if such a body has its own budget vote, appoints and manages its own staff, determines its own financial, human resources and procurement policy, and if the Head of such a body is the accounting officer in terms of the PFMA. For example: All departments established in terms of the Public Service Act should each have a single file plan.

The advantages of a single file plan reflecting the functions of the whole organization are:

- a) enable it to break down institutional silos;
- b) enable easy retrieval of management information across units;
- c) eliminate duplication;
- d) enable it to have tighter control over the management of the file plan by the records manager by ensuring that
 - i. revisions and additions are made without compromising the file plan structure;
 - ii. the file plan always reflects the functions of the office; and
 - iii. spending time to manage file plans and records is reduced;
- e) eliminate user confusion as to which file plan to use;
- f) leverage training benefits by developing standardized training courses;
- g) enable user friendly searching for information across the organisation

However, in some instances it is necessary for a governmental body to have more than one file plan. The following criteria should be used to determine which part(s) of a governmental body are entitled to have its own file plan(s):

- The head of such a unit is a statutory entity appointed in terms of a specific Act. Such a unit was assigned specific line function duties, was mandated to perform those duties autonomously and is accountable to Parliament for the performance of those duties. Such a unit need not be a public entity²⁷ in its own right. It can be a distinguishable part of another body and can share support functions with another body. Examples would be bodies such as the Surveyor-General and the Registrar of

²⁷ Section 1 of the Public Finance Management Act defines a [national] public entity as:

- a) a national government business enterprise
- b) a board, commission, company, corporation, fund or other entity (other than a national government business enterprise) which is-
 - i. established in terms of national legislation
 - ii. fully or substantially funded either from the National Revenue Fund, or by way of tax, levy or other money imposed in terms of national legislation; and
 - iii. accountable to Parliament

Deeds in the Department of Land Affairs or the Compensation Fund and the Unemployment Insurance Fund within the Department of Labour.

- The body performs functions which are so diverse in nature that the incorporation of the diverse functions into a single file plan would undermine the purpose of the file plan and hamper service delivery. For example, the functions of the City Engineer and the City Treasurer in a metropolitan council are so diverse in nature that separate file plans are advisable. Further examples of this are the file plans of Ministries at national level, MECs at provincial level and Mayors at local government level. The reasoning for separation of file plans are that the Ministers, MECs and Mayors have executive and political roles that are more wide-ranging than just the functions of the specific departments and/or local governments that they are governing. Their file plans should therefore reflect their broader role in society.

The following cannot be used to justify a separate file plan for a part or parts of a governmental body:

- An own registry and a separate building. This does not qualify as "own administrative machinery";
- Confidentiality and security classification. If security and confidentiality are pre-requisites, a separate set of confidential and/or security classified files should be opened according to the file plan and should be stored in secure storage areas separate from the general registry;
- High functional use of files. Files opened according to a single file plan can still be stored in decentralized registries to bring them closer to the staff that use them often.

3.3.2 Functional principle

This principle determines how a specific file plan should be grouped into main series, so that the file plan is in accordance with the functions performed by that governmental body. The main series of the file plan are based on the main functions of the governmental body. The functions performed by a governmental body are divided into two groups those being Support Functions and Line Functions.

- ◆ Definition of a support function: Definition of a support function: Support functions are those functions that enable a government body to execute the unique and specific line functions for which they were created. In order for a Governmental Body to fulfill its mission it needs to have support functions in place. Support functions are common to all governmental bodies and normally generate records which are similar in all government bodies.

For example: They are mostly administrative in nature and will include functions such as Human Resources Management, Financial Management, Supply Chain Management, Facilities Management, etc.

- ◆ Definition of line function: A line function is derived from a governmental body's purpose or mission, in other words those unique functions for which that specific body was created to perform.

For Example: The line function of a bank is to provide facilities to store money, to provide loans, etc. Similarly, the line functions of a local authority are to provide essential and community services such as water, sewerage, bus transport, etc to

the residents of a particular municipal area. The line function of a hospital would be to provide medical services.

As the list of main series in the file plan is a reflection of the functions of a governmental body, there will be main series dealing with support functions and main series dealing with line functions listed in the list of main series. When compiling a file plan a body should first list the support functions main series as these generally remain static and do not change over time. The line functions main series must be placed last so that if the governmental body attains changes or extra functions it will not disturb the system.

The support main series group is arranged in the order of relative importance. Opinions may differ regarding the precise sequence of any two main series but it is obvious that a main series Supplies and Services cannot take precedence over a series such as Organisation and Control.

In the same way the line main series are arranged in order of importance, though use can also be made of the grouping of related main series or arrangement in methodical (systematical) or procedural (modus operandi) order.

Alphabetical order in the arrangement of the main series is impractical since related main series are thus separated. Nor can the alphabetical sequence be maintained when numerous additions are made, and determining a generally acceptable set of key words becomes an impossible task. Tracing difficulties are limited to a minimum if a meaningful layout in accordance with the simple pattern outlined above is followed.

When determining the support and line function main series the requirement of sufficient magnitude (or size) should be considered. This consideration is necessary to keep the number of the main series within reasonable limits. Where the size of specified functions is limited, similar or related functions are combined under a heading that will either describe the common characteristic of the various functions or name each function separately by means of a coupled heading. The Finance main series that includes the functions Estimates, Expenditure and Income serves as an illustration of the first technique. And, when using the second technique, the functions of the Acquisition and Control of Supplies and the Provision of Services are placed under the coupled caption: Supplies and Services.

3.3.3 One Subject One File/Folder principle

This third principle breaks down the activities under each main series into smaller tasks, operations and transactions. This principle implies that ideally each document should only have one home. The file/folder cover constitutes the home. With this principle in mind, each file/folder description must be well thought out so that overlapping and duplication of descriptions are avoided.

3.4 Specific types of files used in the functional subject file plan

3.4.1 Policy files

A distinction should be made between policy and routine executive documentation by the provision of separate files. These separate files are called policy files and are identified by the symbol "P" as the last component of their reference number. By placing the letter "P" at the end of the number, flexibility is added to the file plan as policy files can be

added at any stage without disrupting the original pattern. The policy file is always the first provision under the subject with which it deals.

For example: 1. LEGISLATION
 1/P Policy
 and 5/1 Estimates
 5/1/P Policy

All matters concerning policy, rulings, instructions, procedures and directives, should be dealt with on these files to ensure easier reference. It must be noted that the term "instructions", as used above indicates instructions regarding the work of a section and not instructions to officials. If a case arises before disposal authority has been issued on the file plan where a policy matter is decided on a subject file, the records manager should decide whether copies of the correspondence as a whole, or a copy of the final decision only, should be placed on the relevant policy file. Once disposal authority has been issued, a copy of a policy decision taken on an A20 file should be placed on the policy file with a cross-reference to the file on which the case was finalised. If a policy decision is taken on a D file, copies of all relevant documents should be placed on the relevant policy file. Where a bulky document, e.g. a report, contains a policy decision or ruling, only an extract of the relevant section of the report should be placed on the policy file. Correspondence dealt with on policy files should be limited to that relating to the formulation and/or revision of policy.

The following correspondence should not be placed on policy files –

- (i) Enquiries regarding policy that do not result in the formulation of new policy or new amended interpretation of existing policy.
- (ii) Dealings with individual cases which do not result in the formulation of new policy or amendments to existing policy.
- (iii) Cases concerning a main or sub-series as a whole, but which are not policy matters, as well as individual aspects of the particular subjects for which no file exists. In such cases suitable files should be opened.

3.4.2 Routine enquiries files

This can be defined as a file dealing with enquiries of a routine nature needing only a single response. These files are identified by the symbol R as the last component of the reference number so that they can be added to the file plan at any stage without disrupting the original pattern. The routine enquiries file is normally the second provision (after the policy file) under the subject with which it deals. If there were no policy file under that particular subject, the routine enquiries file would be the first provision.

For example: 1 LEGISLATION
 1/P Policy
 1/R Routine Enquiries
 and 5/1 Estimates
 5/1/R Routine Enquiries

3.4.3 Aspects not separately provided for files

Sometimes it is necessary to provide files for subjects that in the beginning do not receive sufficient correspondence to warrant separate files being opened for each subject. These files may, however, not be used as "general" files. When the records manager notices that a specific subject generates sufficient correspondence to justify creating a separate subject file, such a file must be provided for in the file plan.

3.4.4 Parent files

This is a former heading that has been sub-divided but, because the underlining of that heading has been deleted, it can now be used as a file.

For example:

was:

7 EDUCATION
 7/1 Mathematics Instruction
 7/1/1 Gauteng
 7/1/2 KwaZulu-Natal
 7/1/3 Limpopo

changed to:

7 EDUCATION
 7/1 Mathematics Instruction
 7/1/1 Gauteng
 7/1/2 KwaZulu-Natal
 7/1/3 Limpopo

On the left 7/1 is an umbrella heading and it is underlined. It is therefore not a file but a heading.

On the right 7/1 is not underlined. It can therefore be used as a file and is specifically called a parent file because it has been sub-divided.

The parent file is similar to an Aspects not separately provided for file. It can be used for correspondence relating to all the sub-divisions thereof (i.e. matters concerning more than one sub-division), in addition to being a file for aspects of the subject for which separate provision has not been made.

For example: Main Series 2: ORGANISATION AND CONTROL
 2/1 Delegation of Authority
 2/1/1 Permanent

File 2/1 is the parent file as it is not underlined and can thus be used as a file. All aspects related to delegation of authority except which specifically deal with permanent delegations of authority must be dealt with on this file.

Parent files should only be provided for when absolutely necessary and, again like Aspects not separately provided for files, should be examined regularly to prevent them from becoming general files. Where necessary further sub-files should be created.

3.4.5 Case files

The most detailed (or specific) division in a file plan occurs when a separate file for each person, place, institution or item, etc. is provided. These are called case files.

There are two kinds of case files: Firstly there are case files that are linked to a reference number in the subject classification part of the file plan. These case files are opened in accordance with the instructions (notes) appearing at the appropriate places in the subject classification, e.g.:

For example: 11/2 Festivals
(Open a file for each festival and number consecutively)

Secondly there are case files with their own unique numbering procedure not linked to a reference number in the subject classification part of the file plan. These case files do not form part of the subject classification and are therefore listed in the List of Series of Separate Case Files part of the file plan. An example of this kind of case file is the personal file.

3.4.6 Security classified files

Security classified files are not exempted from the general requirements for the efficient control of records. On the contrary, the necessity is even greater. Efficient records management and the body's responsibilities regarding access to information in terms of the Promotion of Access to Information Act, 2000 demand that staff should be aware of the prescripts in Chapter 4 of the *Minimum Information Security Standard*.²⁸ The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies*.²⁹ Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*.³⁰

- (a) for the creation of security classified files and
- (b) the control of those that are opened.

As far as the paper-based file plan is concerned the general file plan of a body is used as a basis for the establishment of secret files since it contains all the possible subjects dealt with by the body, any of which may possibly develop into a secret matter. Where a secret file may be required under any underlined heading, a file marked S is opened:

9	<u>INTERNATIONAL TRADE</u>	9	<u>INTERNATIONAL TRADE</u>
9/P	Policy	9/P	Policy
9/1	<u>Agreements</u>	9/P/S	Policy
9/1/1	<u>With Great Britain</u>	9/1	<u>Agreements</u>
9/1/1/P	Policy	9/1/1	<u>With Great Britain</u>
9/1/1/1	Grain	9/1/1/P	Policy
9/1/1/2	Arms	9/1/1/1	Grain
		9/1/1/2	Arms
9/1/2	<u>With USA</u>	9/1/1/2/S	Arms
9/1/2/P	Policy	9/1/2	<u>With USA</u>
		9/1/2/S	With USA

28 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency. .

29 Department of Public Service and Administration, *Draft Information Security Policies. Securing Information in the Digital Age*. <http://www.info.gov.za/otherdocs/2001/infosecure.pdf>.

30 To obtain copies of this standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax (012) 428-6928; E-mail: sales@sabs.co.za.

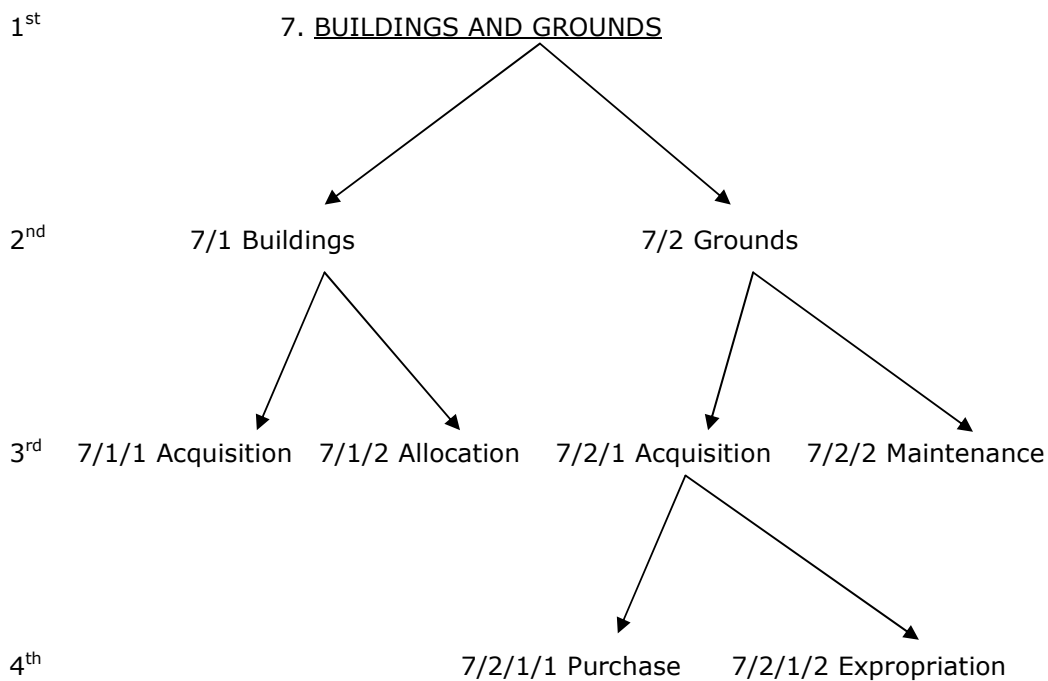
Complete instructions regarding security classified files in a file plan are contained in the General Instructions.

In an electronic correspondence system it is not necessary to provide separate files for security classified records. All electronic systems have the functionality to set access restriction on individual documents based on particular users' security clearances.

3.5 Numbering technique

The technique recommended by the National Archives and Records Service is coupled to that of the functional subject file plan. This technique can be described as a hierarchical one, built on umbrella descriptions or headings.

For Example: This is a diagrammatical representation of the numbering technique and indicates the various levels of division.



Vertical Format:

Main Series 7:	<u>BUILDINGS AND GROUNDS</u>	1 st Level
7/1	<u>Buildings</u>	2 nd Level
7/1/1	Acquisition	3 rd level
7/1/2	Allocation	3 rd level
7/2	<u>Grounds</u>	2 nd level
7/2/1	<u>Acquisition</u>	3 rd level
7/2/1/1	Purchase	4 th level
7/2/1/2	Expropriation	4 th level

7/2/2

Maintenance

3rd level

The main series are numbered consecutively. After this, in each main series a number is allotted once again to every main sub-division of each main series. Each subject is sub-divided in the same manner. The number of the file is obtained by combining the different numbers of all the divisions and separating each from the other by means of a forward slash, thus:

Main subject/subject/sub-division/sub-division

Finance/Valuations/Valuations Court/Appointment

5

2

4

1

Each component therefore represents a specific subject and the position of a figure in the number indicates that the subject represented by it is sub-ordinate to, or is an aspect of, the subject represented by the previous figure.

The method of stroke numbering lends a natural elasticity to the file plan, allowing additions to be made at the proper place without disrupting the entire plan. The proper place is that place in the plan where the subject logically belongs – or where it would have been provided originally when the file plan was compiled.

In electronic file plans it is preferable that the stroke numbering technique (i.e. numbers separated from each other by means of a forward slash) is also used. If this is not possible or feasible other numbering techniques may be used, the prerequisite being that each specific subject is represented by a component in the reference number. In the case of parallel paper-based and electronic correspondence systems numbering techniques other than the stroke numbering technique may however hamper the storing of the parallel paper-based files in a logical sequence on shelves or in cabinets. This needs to be taken into account before a decision is made regarding the numbering technique.

Different techniques for numbering divisions are employed to prevent the file plan from becoming bogged down, i.e. further additions not being able to be made in the right places:

Where a need exists to have subject files under a main subject for persons, items, places as well as files for subjects that are not related to persons, items or places, the following type of sub-division should be used:

13	<u>BEACHES AND HOLIDAY RESORTS</u>
13/1	<u>Matters related to more than one beaches/holiday resort</u>
13/1/P	Policy
13/1/1	Pollution
13/1/2	Security
13/1/3	Speed limits
13/2	<u>Glentana</u>
13/2/1	Water scheme
13/2/1/1	<u>Application for connection</u>
13/2/1/1/1	Hotels
13/2/1/1/2	Residences

Any later additions similar to 13/1/1 or 13/1/3, e.g. cancellation of servitudes, etc., can follow immediately thereafter.

3.6 Numbering of case files

It is normal practice to allot to each individual case file its own number. However, the quantity of case files, whether very large or very small, decides the necessity for this practice.

3.6.1 Normal numbering of case files

- (a) A series of case files is linked to a specific subject in the file plan, e.g.

4/7/3 Applications for Licenses

(Open files for every application and number consecutively, e.g.

4/7/3/1 Casa Mia Hotel

4/7/3/2 Suikerbossie Hotel).

- (b) The method above requires that a separate alphabetical index be kept for tracing individual cases. By using the "alpha-numerical" method, however, the index can be dispensed with, i.e. by providing 26 categories (one for each letter of the alphabet) and giving each individual case a number within its category, e.g. –

4/7/3 Applications for Licenses

(Open files for every case and number alpha-numerically, e.g.-

4/7/3-A1 Albert P

4/7/3-B1 Berg B

4/7/3-B2 Barends J).

To avoid confusion a hyphen is used in the alpha-numerical and pure alphabetical techniques (compare 4/7/3-01 with 4/7/3/01).

- (c) Where the same series of cases appears two or more times in the file plan an Annexure of Constant Numbers is used which is a list of the bodies, items or places concerned. Each is allotted a fixed number in this list which becomes an Annexure to the file plan, for example:

ANNEXURE A

REGIONAL OFFICES

1. JOHANNESBURG
2. CAPE TOWN
3. BLOEMFONTEIN
4. PIETERMARITZBURG
5. NELSPRUIT
6. BISHO
7. KIMBERLEY

8. POLOKWANE
9. MAFIKENG

When case files are needed under a heading in the file plan, reference is made merely to this Annexure with instructions that files are to be numbered in accordance therewith, for example:

4/4 Acquisition of sites and erection of buildings

4/4/1 Head Office

4/4/2 Regional Offices

(Open a file for each office according to Annexure A).

and

5/1/3 Stocktaking

(For library books, see 5/2/2/1).

5/1/3/1 Head Office

5/1/3/2 Regional Offices

(Open a file for each office according to Annexure A)

3.6.2 Departure from the normal procedure

Where each case file does not require an individual number, either of the following techniques can be used:

- (a) Where some cases require separate files, while others do not because of the small quantity, the following can be done:

4/7/3 Applications for Licenses

4/7/3/1 Cases not separately provided for

4/7/3/2 Hotels

4/7/3/3 Restaurants

If a specific case under 4/7/3/1 grows so much that it becomes necessary to open a separate file for it, all such documents are removed from 4/7/3/1 and transferred to a new file. The new file will not be a sub-division of 4/7/3/1 but will be given the next case file number, i.e. 4/7/3/4.

- (b) Where correspondence on the cases is too small for individual files but comprehensive enough to justify 26 files with very few back-references, the following should be done:

4/7/3 Applications for Licenses

(Open a file for every letter of the alphabet, i.e. 4/7/3-A, 4/7/3-B, etc.).

Where a great concentration of cases occurs at the letters M and N, files should then be numbered in terms of the alphanumerical or pure numerical technique. Where a small quantity of correspondence occurs, the letters can be combined, i.e. 4/7/3-A/D, etc.

3.6.3 Separate Case files

It is not advisable to link large groups of case files to a file plan by means of a series number, but to keep the groups separate according to their own numbering procedure. Amendments to the general plan do not then result in a whole group of case files having to be re-numbered.

3.7 Guidelines when designing the subject classification part of the file plan

The following guidelines should be kept in mind:

- 3.7.1 No theoretical limit exists concerning the process of subdivision. However, for practical reasons it is inadvisable to go further than the 7th level of division, i.e. to have 7 stroke numbers. For Example 1/1/1/1/1/1/1. The reason being that difficulties will arise with insufficient space on the paper-based file cover for the descriptions and numbering and/or the filing process for electronic records will be slowed down considerably.
- 3.7.2 File/folder descriptions must be mutually exclusive. In other words, each document should ideally be stored on one file, i.e. have one home. However, in reality this is not always possible. Very often correspondence received by bodies deals with more than one subject. In the case of paper-based documents bodies should make copies of the documentation and place a copy with cross-references to the relevant files. In an electronic correspondence system documents are filed on one folder only, but proper links to other folders should be established to enable the documents to be retrieved in context.

File descriptions should be well thought out so that overlapping of subjects is avoided. Furthermore, file descriptions must be accurate, precise and not vague. A file with the description "General" is therefore unacceptable.

For example:

- 2 ACCOMMODATION
- 2/1 Buildings
- 2/1/1 Erection
- 2/1/2 Cleaning
- 2/1/3 Allocation
- 2/1/4 Office buildings

In the above example the description of file 2/1/4 is not accurate or precise enough (i.e. the description of file 2/1/4 does not clearly define a specified field). The fact that the description of file 2/1/4 does not state which activities or aspects of office buildings should be dealt with leads to overlapping between file 2/1/4 and files 2/1/1, 2/1/2 and

2/1/3. Correspondence on the subject "cleaning of office buildings" could for example be filed on either file 2/1/2 or file 2/1/4.

Another very important requirement with regard to the fact that subjects should be mutually exclusive (in other words that they do not overlap), is that subjects on the same level of division should be equal value and like in nature. (Refer to paragraph 3.4 Numbering Techniques for an explanation on levels of division in the file plan).

With regards to equal value one cannot for example have an activity such as Subsidised Transport become a main series along with one for Transport. Subsidised Transport is a more specific subject than the general subject Transport. They are therefore not equal in value; in fact the subject Subsidised Transport should be made a sub-division of the subject Transport, for example:

15 TRANSPORT
15/1 Subsidised Transport

Trade Licenses (general subject) and Application for Trade Licenses (more specific subject) similarly cannot be presented as subjects on the same level of division within a main series, for example:

	<u>Incorrect division</u>		<u>Correct division</u>
16	<u>LICENSES</u>	16	<u>LICENSES</u>
16/1	Trade Licenses	16/1	Trade Licenses
16/2	Application for Trade Licenses	16/1/1	Application for Trade Licenses

Having subjects of the same kind (or like in nature) on the same level of division prevents overlapping even further so that for example under Education, the breakdown into Gauteng, Mathematics Instruction, Mother Tongue Instruction and KwaZulu-Natal cannot be effected on the same level.

	<u>Incorrect division</u>		<u>Correct division</u>
7	<u>Education</u>	7	<u>EDUCATION</u>
7/1	Mathematics Instruction	7/1	<u>Mathematics Instruction</u>
7/2	Gauteng	7/1/1	Gauteng
7/3	Mother Tongue Instruction	7/1/2	KwaZulu-Natal
7/4	KwaZulu-Natal	7/2	<u>Mother Tongue Instruction</u>
		7/2/1	Gauteng
		7/2/2	KwaZulu-Natal

A useful guideline with regard to keeping subjects of equal value and like in nature on the same division level would be to provide verbs and nouns on separate levels of division, for example:

7 BUILDINGS

7/1	Office buildings	(noun – 2 nd level)
7/1/1	Erection	(verb – 3 rd level)
7/1/2	Maintenance	(verb – 3 rd level)
7/1/3	Cleaning	(verb – 3 rd level)
7/2	Houses	(noun – 2 nd level)
7/2/1	Erection	(verb – 3 rd level)
7/2/2	Maintenance	(verb – 3 rd level)
7/2/3	Cleaning	(verb – 3 rd level)

3.7.3 File descriptions should bring together documents possessing the same retention period. This guideline is to facilitate the implementation of a systematic disposal programme.

For example a governmental body should not place arrangements and agendas of meetings on the same file as those with the minutes and reports of the meetings. The main reason for this is that arrangements and agendas are regarded as ephemeral in nature and can be disposed of when a body no longer requires them for their administrative value. The minutes and reports of the meetings are archival in value and will warrant long term preservation. As a result, if bodies keep ephemeral and archival records on the same file, they will have to retain the entire file. By separating the material a body can regularly dispose of or destroy those files that qualify for destruction and thereby create space for the new records, for example:

8	<u>COUNCILS AND COMMITTEES</u>	
8/2	<u>Committees</u>	
8/2/P	Policy	A20
8/2/1	<u>Committee of Enquiry regarding ABC</u>	
8/2/1/1	Establishment and Mandate	A20
8/2/1/2	Appointment and members	D5
8/2/1/3	Gathering of information	A20
8/2/1/4	<u>Meetings</u>	
8/2/1/4/1	Arrangements and agendas	D5
8/2/1/4/2	Minutes	A20
8/2/1/4/2/1	Distribution	D2

Two other examples of providing separate files for ephemeral and for archival records in the file plan are the Policy (A20 records) and Routine Enquiries (D records) files.

3.7.4 The amount of correspondence determines the degree of division (i.e. the number of files provided for a specific subject) that is necessary. Overloading of any file hampers tracing and can cause delays where there is only one file and more than one person is involved with different aspects of a case at the same time.

In such an instance, provision can be made in the following ways:

<u>Simultaneous Use</u>	<u>Overloading</u>
3/1/1 Contributions to Budget Speech	3/1/2/1 General Estimates

Extends to	Extends to
3/1/1 Contributions to Budget Speech	3/1/2/1 <u>General Estimates</u> (Open a file for each financial year and link year number to file number, i.e. 3/1/2/1 - 92/93).
3/1/1/1 Research Section	

- 3.7.5 A support matter can only be dealt with under a support main series. In this way all financial activities fall within the financial function and all supplies transactions under the supplies function. Even if a specific financial control measure or a store purchase is such that the division or section which carries out the line function performs the support function as well, there is no reason for making the files required a part of that particular line main series since all files are equally accessible in the support main series. The opposite tendency, that is to say, to place a line activity under a support main series occurs very seldom but should also not be allowed since there is no valid justification for such hybridisation in a file plan.

3.8 Reference letters or codes

The necessity of adding reference letters or codes in front of the file numbers to identify a body is determined by the question of whether or not these serve any useful purpose. If a single body uses more than one file plan or when more than one file plan is being maintained in a single registry, then it certainly serves a useful purpose. For this reason the reference letter HR is prefixed to reference numbers in the subject classification part of a Human Resource file plan. Only when there is real danger that documents without a reference letter may land in the wrong file plan, in other words, if a single body has two files with the same number but from different plans, is the use of a reference letter for one of the file plans justified. A single letter is usually sufficient but letters that can be confused with figures, i.e. I and L, should not be used.

4. The implementation of the file plan

As soon as the National Archivist has approved the file plan, arrangements may be made for the implementation thereof. The body concerned must select a specific date on which the new file plan must be implemented.

4.1 Paper-based correspondence systems

The change over to the new file plan requires that the current file plan and the files opened according to it be terminated in its entirety on the day before and that none of the terminated files be used thereafter. The terminated files may be needed for a time for reference purposes and may even accompany the new files initially, but should be removed from the registry as soon as conveniently possible.

Case files which existed under the old file plan, may be transferred into the new file plan and may be re-numbered, but this should be done only in respect of active files. Where case files are dormant, they should be transferred to the current file plan only when they come into use again. In this way the unnecessary transition of large numbers of case files is eliminated. Case files that are separate from the file plan remain unaffected.

Even before the implementation date it is advisable to prepare covers for file provisions in the new file plan in respect of those subjects which it is expected will be needed immediately.

On the day before the changeover all old files are terminated and no documents are filed in them thereafter. Replies to items in the terminated file should be lodged in the new files if they bear the date of the changeover.

No documents may be removed from the terminated files and sorted into the new files. If absolutely essential, i.e. in the case of policy matters, copies of such documents may be made and placed in the new files for easier reference.

For simpler future reference it is also advisable to endorse on the new and the terminated files the corresponding old and new reference numbers.

4.2 Electronic correspondence systems

Records generated in electronic correspondence systems may be imported into the new electronic system only if such records are necessary for the continued operations of the body. **A complete archival copy of the entire system as it existed on the day before the new system was implemented as well as all the necessary metadata must however be maintained for archival purposes.**

5. Control registers

From the first day that the new file plan is in use two control registers must be kept and maintained in respect of the system.

Two separate registers are kept – the first to serve as the master plan of what subjects are available and the second to indicate what files have, in fact, been opened in terms of the master copy.

The *master copy* contains all subjects that were approved by the National Archives and Records Service. This *master copy* is kept and maintained by the records manager. The records manager must ensure that all revisions and additions are recorded in the *master copy* after approval has been obtained from the National Archives and Records Service. Individual case files are not recorded in the *master copy*. They should be recorded in the register of files opened.

The *register of files opened* on the other hand, records exactly what files have been opened as well as the date they were opened. It is essential that it be known at all times exactly what files have actually been opened. A file is only put into use at the stage when the first document is lodged in the cover. In any case prior to this it is merely a file cover and not a file. The register ensures at the same time that duplicates of existing files are not opened by mistake. Usually a copy of the file plan is used for this and clearly marked *register of files opened* on the front page. In this copy a column is drawn under the heading: Date opened. As soon as a file/folder is put into use, the date of the first piece of correspondence on that file is noted in this column. Each new volume that is opened is recorded in this register. The register should also indicate whether the file exists in paper-based form, if an electronic file exists parallel to the paper-based file and

if there exists only electronic files for a specific file provision exist.³¹ The *register of files opened* is kept and maintained by the head of the registry.

6. The maintenance of the file plan

This should follow on naturally from the implementation stage. The maintenance of the system is the responsibility of the records manager. Maintenance of the file plan is about development. As the functions and activities of a governmental body develop, a similar development should occur with the file plan. New additions and amendments will continuously have to be made to the file plan. Incorrect action in these circumstances includes neglecting to add the proper new files, subjects or even main series to the new file plan. In this way documents which originate from such new activities force their way into the existing plan and into unsuitable files. On the other hand incorrect additions are made which duplicate existing files, or additions are inserted in wrong places in the file plan. Thirdly, the headings may not satisfy the requirements laid down. These actions lead to inefficient functioning of the file plan and to its eventual decline. In such circumstance disposal instructions for the files cannot be issued and where these have in fact been issued, can lead to their withdrawal. Effective maintenance of the system involves supervision, inspection and training to ensure that neither the system's development nor staff changes result in the deterioration of the system. The maintenance stage involves six steps:

- Training the records manager and the registry staff in classification and file plan maintenance procedures. The users of the file plan should also be trained to understand and use the file plan correctly, as well as understand basic registry procedures.
- Monitoring and assessing the user requirement regarding revisions and additions to the file plan and the disposal authority.
- Monitoring of the following:
 - Maintenance of the *master copy* and the *register of files opened*
 - Ensure that the electronic version and the paper-based version of the file plan is always synchronized
 - File/folder closure practices
 - The allocating of the correct reference numbers to records
 - Efficiency of document flow
 - Correct use of the paper-based and electronic subject folders to ensure that records are not misfiled
 - Correct use of paper-based and electronic policy, routine enquiry and parent files
 - Filing order
 - Preparation and maintenance of file covers
 - Physical care of files
 - Excessive loading of files which are not adequately sub-divided, or a too detailed division of files which should rather have been combined.
- Supervising the disposal of closed records.
- Continual observation by the records manager regarding the functioning of the system in practice against the needs of the body.
- The reporting of revisions and additions made to the file plan by the records manager (he/she controls the expansion of the file plan in governmental body) to the National Archives and Records Service to obtain the National Archivist's approval.

31 It is imperative that the paper-based files and the electronic files should have the same opening and closing dates to ensure that the disposal authority can be applied properly.

7. Uniform file plans

There are two types of uniform file plans:

A general uniform file plan may be put into use for a head office and its regional or branch offices provided their functions are identical to a great degree. The South African Police Service makes use of such a file plan.

A limited uniform file plan may be introduced for two or more regional or branch offices or for a group of institutions with the same or similar functions, i.e. schools or hospitals. Such a file plan may differ entirely from that in use in the head office or it may be based on the head office file plan but be sub-divided further into more detail or vice versa.

The advantages of uniform file plans are obvious:

- Identical disposal instructions for a file plan for regional or branch offices or institutions may usually be given to embrace all offices. Those for the head office are usually different.
- In such cases officers are all conversant with the file plan and transfers of personnel mean no new adjustment or temporary disruption.
- An additional advantage in a general uniform file plan is that most of the correspondence received in the various bodies already have the correct reference numbers. This will naturally save much time and serve also as an effective verification of correct reference number allocation in regional or branch offices.

A group of offices employing a uniform file plan require a control office (usually the head office). This office controls the additions or amendments to the system and also serves as the only link in such matters with the National Archivist. Except in the numbering of case files that may differ in each office, regional or branch offices may make no changes to the file plan.

The general instructions for uniform file plans usually prescribe the following procedure for creating new files or any amendments: In all the file plans except the one in the control office, there is provision for an unclassified correspondence file. If an occasion arises where there is correspondence on a matter for which no file has been provided, it is placed provisionally in the file for unclassified correspondence and dealt with further. Meanwhile approval for the inclusion of a suitable file in the file plan is sought from the control office after which all the relevant documents are transferred to this new file. If it is considered necessary a reference sheet may be placed in the file for unclassified correspondence columns for:

Sender/Subject/Date/File reference.

The particulars of each document that was temporarily stored on the file are recorded on this page. No correspondence may be stored permanently on this file. Suggestions for a suitable addition to the file plan may be made on the file for additions and amendments to the file plan.

In uniform file plans it may be that at certain offices some of the files are not needed at all and that there are accordingly gaps in such a series of files. This should present no problems so long as the prescribed control registers – the *master copy* and the *register of files opened* are correctly kept.

Where a general uniform file plan is in use and a head office and regional or branch office use the same building or even the same registry, it is advisable that a reference letter be used to distinguish one of the file plans and so eliminate possible confusion.

Uniform file plans are subject to all the requirements of ordinary file plans. The approval of the National Archivist should be obtained before a file plan sanctioned for a head office is employed for this purpose. It is also advisable that all the offices concerned should make the change over to the uniform file plan on the same day.

ANNEXURE 6: LIST OF PROTOTYPE FILE PLANS

Outdated R-directives removed

R3. General instructions to a file plan.

R5. Prototype file plan for local authorities.

R9. Prototype file plan for Commissions and Committees of Inquiry.

R10. Prototype file plan for offices of ministers and deputy ministers.

**ANNEXURE 7: SCHEDULE FOR PAPER-BASED RECORDS OTHER THAN
CORRESPONDENCE SYSTEMS: ALL GOVERNMENTAL BODIES (EXCLUDING LOCAL
AUTHORITIES)**

1. Records other than correspondence files are materials such as registers, index cards, photographs, computer printouts, minutes etc. which are not placed on correspondence files.
2. Records other than correspondence files (other records in short) are subject to the same requirements with regard to control, care and disposal as correspondence files. Unlike correspondence files that are kept in a registry and can be retrieved through an approved file plan, other records are not necessarily kept in a registry and the Records Manager is also not necessarily aware of the existence of certain items. In order to control these items in a meaningful way it is necessary that these items are also classified according to a specific plan. This will facilitate the easy retrieval of information and the issuing of disposal authority to ensure that ephemeral documents can be disposed of regularly. The classification system for other records is called a schedule for records other than correspondence systems.
3. The schedule consists of four parts:
 - A - All paper-based records other than correspondence systems except electronic records systems, micrographic projects and films, videos and sound recordings
 - B - Electronic records systems other than correspondence systems
 - C - Micrographic records
 - D - Audio-visual records

This directive deals with Part A
4. Each body compiles one or more schedule(s) of records other than correspondence systems normally depending on the size or needs of the relevant body. The following method is recommended:
 - (a) Bodies with regional offices, sub-offices/institutions
 - One schedule for head office
 - One schedule for all the regional offices
 - One schedule for all the sub-offices
 - One schedule for all the institutions

(A schedule should be compiled for each institution/sub-office if there is no uniformity between the institutions/ sub-offices).

(b) Head offices with major internal departments

- One schedule for each department.

It is recommended that prior to a schedule being compiled the National Archivist should be contacted to determine which office/department/sub-office qualifies for its own schedule.

5. The schedule should be submitted in duplicate.
6. Items should be categorised and listed in columns.
7. The arrangement and items furnished in Appendix A serve only as a guide for the compilation of the schedule.
8. It is the function of the National Archivist to decide whether an item has archival value or not. Once a disposal authority has been issued the body will be informed thereof.

The body must preserve A20 (archival) records for a period of 20 years, before arrangements can be made for them to be transferred to an archives repository.

The body itself may dispose of the rest of the records. The body itself must determine retention periods for these records. When determining the retention periods the body's financial accountability and functional needs as well as any statutory requirements that these records must satisfy, must be taken into account.

9. All items of records other than correspondence systems should be identified on their covers by means of the numbers which appear in the schedule, e.g. Receipt cash books are marked: B3.1. To distinguish this number from any other numbers appearing on the items, the disposal instruction should be written alongside it and placed in a rectangular block, e.g.:

B3.1-D15

Appendix A**Schedule for paper-based records other than correspondence systems****DEPARTMENT OF****1. GENERAL INSTRUCTIONS**

- 1) Control of the schedule
- 2) Alterations, additions and reporting
- 3) Master copy of the schedule
- 4) Destruction register
- 5) Destruction
- 6) Identification
- 7) Explanation of disposal symbols

2. CONTENTS

- A) Reports and minutes ----- p.
- B) Financial items ----- p.
- C) Registers ----- p.
- D) Publications published by the department ----- p.
- E) Cartographic material ----- p.
- F) Photographs ----- p.
- G) Forms ----- p.
- Z) Miscellaneous ----- p.

- 3. INDEX** (An alphabetical index may be added if the schedule is voluminous and items are not easily traceable from the existing synopsis).

General instructions

1. Control of the schedule

Control of the schedule is assigned to the (official concerned). No alterations and/or additions to the schedule may be made without the approval of this official.

2. Alterations, additions and reporting

All alterations and additions should be submitted regularly to the National Archivist for noting, approval and issuing of disposal authority.

3. Master copy

The master copy of the schedule is filed in a separate cover and is identified as such on the outside cover. It must be kept by the official mentioned above. This copy is kept up to date and the instructions in para. 2 must be carried out.

4. Destruction register

Once standing disposal authority has been granted for the items in the schedule, a destruction register should be implemented. This register is divided into years, e.g. 2003, 2004, 2005 etc. When an item is closed it is entered under the year in which it will qualify for destruction. An item which is closed in 2003 and for which the disposal instruction is D3 will therefore be entered under the year 2006, thus making it easily apparent which items are to be destroyed in any particular year. The use of a loose-leaf binder is recommended, as it is not possible to determine the number of pages needed per year beforehand.

5. Destruction

Items should be disposed of regularly - at least once a year - whereupon the prescribed destruction certificate should be submitted to the National Archivist.

6. Identification

All items should be identified in a prominent way on the outside cover by means of the number and name as it appears in the schedule as well as the appropriate disposal instruction. The number and disposal instruction should be written in a rectangular block.

7. Explanation of disposal symbols

- A20 - Transfer to archives repository 20 years after the end of the year in which the records were created.
- D - Destroy (body of origin itself determines retention period).
- D7 - Destroy 7 years after closure.

- AP - Can remain in the custody of the body indefinitely. When disposal does take place, e.g. when the body closes or assets are disposed of, it must be transferred to an archives repository.
- DAU - Destroy immediately after auditing is completed.
- DAU3 - Destroy 3 years after auditing is completed.
- DAU7 - Destroy 7 years after auditing is completed.

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
A <u>REPORTS AND MINUTES</u>	1. Annual reports of the department	Central Registry	
	2. Annual reports of regional offices	Central Registry	
	3. Progress reports from public relations officers	Central Registry	
	4. Biannual reports of the Marketing Committee	Central Registry	
	5. Minutes of the Development Council	Secretary of the Council	
B <u>FINANCIAL BOOKS</u>	1. Public debt registers	Accounts Section	(Disposal instructions must be determined so that they are in agreement with the Auditor-General's requirements before being submitted to the National Archives and Records Service for approval)
	2. <u>Ledgers</u>		
	2.1 Main ledgers	Accounts Section	
	2.2 Subsidiary ledgers	Accounts Section	
	2.3 Personnel ledgers	Accounts Section	
	3. <u>Cash books</u>		
	3.1 Receipt cash books	Accounts Section	
	3.2 Expenditure cash books	Accounts Section	
C <u>REGISTERS</u> (Financial registers excluded)	1. Register of files opened	Central Registry	
	2. Register of disposal authorities	Central Registry	
	3. Master copy of the file plan	Records Manager	
	4. Master copy of the schedule of records other than correspondence systems	Records Manager	
	5. Attendance register	Human Resources	

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
D <u>PUBLICATIONS PUBLISHED BY THE DEPARTMENT</u> (Publications received by the body by means of subscription or that have been bought, are not considered to be public records)	1. Advertising Brochures 2. Newsletters 3. Posters 4. Programmes of festivals and exhibitions etc.	Liaison Section Liaison Section Liaison Section Liaison Section	(NB One copy must be sent to the National Archives Repository immediately after publication. A second copy must be transferred to the relevant repository as part of the normal transfer of A20 records).
E <u>CARTOGRAPHIC MATERIAL</u>	1. <u>Building plans</u> 1.1 Head office 1.2 Institutions 2. Topographical maps	Central Registry Central Registry Central Registry	
F <u>PHOTOGRAPHS</u>	1. <u>Photographs</u> 1.1 Secretary/Director <u>et al</u> of high rank 1.2 Institutions 1.3 Important events in the department 1.4 Aerial photographs	Central Registry Central Registry Central Registry Central Registry	
G <u>FORMS</u> ³²	1. (Description of form) 2. (Description of form)	Central Registry Central Registry	
Z <u>MISCELLA- NEOUS</u>	(Any item not fitting into a specific category should be listed here).		

32 These are completed forms only. Blank forms are stationery and are not indicated on the schedule.

**ANNEXURE 8: SCHEDULE(S) FOR PAPER BASED RECORDS OTHER THAN
CORRESPONDENCE FILES FOR LOCAL AUTHORITIES³³**

1. Records other than correspondence files, are archival material such as registers, index cards, photographs, computer printouts, minutes of the council, etc. which for practical consideration are not filed on the correspondence files of the filing system.
2. Records other than correspondence files (other records in short) are subject to the same requirements with regard to control, care and disposal as correspondence files. Unlike correspondence files that are kept in a registry and can be retrieved through an approved file plan, other records are not necessarily kept in a registry and the Records Manager is also not necessarily aware of the existence of certain items. In order to control these items in a meaningful way it is necessary that these items are also classified according to a specific plan. This will facilitate the easy retrieval of information and the issuing of a disposal authority to ensure that ephemeral documents can be disposed of regularly. The classification system for other records is called a schedule for records other than correspondence systems.
3. The schedule of other records systems consists of four parts:
 - A - All paper-based records other than correspondence systems except electronic records, systems micrographic projects and films, videos and sound recordings.
 - B - Electronic records systems other than correspondence systems.
 - C - Micrographic records.
 - D - Audio-visual records.

This directive deals with Part A.
4. Each council compiles schedule. One schedule may be compiled in which the records other than correspondence systems of all the sections and departments appear but grouped into categories (See Appendix A). The schedule may however be otherwise subdivided into parts that are numbered in which case each part contains the records other than correspondence files of a particular section or department.
5. A schedule should be submitted in duplicate when applying for disposal authority.
6. Items should be categorised and listed in columns.

33 a) This schedule is used in terms of section (17)(4)(a) and (b) of the National Archives and Records Service of South Africa Act, 1996 by local authorities that do not yet fall under specific provincial archival legislation.

b) This serves only as an example. The National Archives and Records Service has compiled a comprehensive schedule for local authorities (Directive D8) that is available on the website <http://www.national.archives.gov.za> or alternatively can be ordered in hard copy format from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 232 5387, e-mail: rm@dac.gov.za).

7. The arrangement and detail furnished in Appendix A serves only as a guide to bodies in the compilation of the schedule and may be amended as required.
8. It is the function of the National Archivist to decide whether an item has archival value or not. Once a disposal authority has been issued the body will be informed thereof. The body must preserve A20 (archival) records for a period of 20 years, before arrangements can be made for it to be transferred to an archives repository.

The body itself may dispose of the rest of the records. The body itself must determine retention periods for these records. When determining the retention periods the body's financial accountability and functional needs as well as any legislative requirements that these records must satisfy, must be taken into account.

9. The items themselves should be identified on the outside cover by means of their corresponding numbers which appear in the schedule: e.g. volumes with agendas of the Management Committee are marked: A2.1. To distinguish this number from any other number that may appear on the items the disposal instruction should be written next to it and the whole placed in a rectangular block:

A2.1 – A.20.

Appendix A**Schedule for paper-based records other than correspondence systems****MUNICIPALITY OF _____****1. GENERAL INSTRUCTIONS**

- 1) Control of the schedule
- 2) Alterations, additions and reporting
- 3) Master copy of the schedule
- 4) Destruction register
- 5) Destruction
- 6) Identification
- 7) Explanation of disposal symbols

2. CONTENTS

- A) Agendas and minutes ----- p.
- B) Reports ----- p.
- C) Financial items ----- p.
- D) Registers ----- p.
- E) Publications published by the council ----- p.
- F) Cartographic material ----- p.
- G) Photographs ----- p.
- Z) Miscellaneous ----- p.

- 3. INDEX** (An alphabetical index may be added if the schedule is voluminous and items are not easily traceable from the existing synopsis.)

General instructions

1. Control of schedule

Control of the schedule is assigned to the (official concerned). No alterations and/or additions to the schedule may be made without the approval of this official.

2. Alterations, additions and reporting

All alterations and additions should be submitted regularly to the National Archivist for noting, approval and granting of disposal authority.

3. Master copy

The master copy of the schedule is filed in a separate cover and is identified as such on the outside cover. This copy is kept by the above-mentioned official who must ensure that it is kept up to date and that the instructions in par. 2 are carried out.

4. Destruction register

Once standing disposal authority has been granted on the items in the schedule, a destruction register should be implemented. This register is divided into years, e.g. 2003, 2004, 2005, etc. When an item is closed, its reference should be entered under the year in which it will be destroyed. An item which is closed in 2003 and for which the disposal instruction is D3 will therefore be entered under the year 2006, thus making it easily apparent which items are to be destroyed in any particular year. The use of a loose-leaf binder is recommended, as it is not possible to determine the number of pages needed per year beforehand.

5. Destruction

Items should be disposed of regularly - at least once a year - whereupon the prescribed destruction certificate should be submitted to the National Archivist.

6. Identification

All items should be identified on the outside cover by means of the number and name as they appear in the schedule as well as the appropriate disposal instruction. The number and disposal instruction should be written in a rectangular block.

7. Explanation of disposal symbols

- A20 - Transfer to archives repository 20 years after the end of the year in which the records were created.
- D - Destroy (body of origin itself determines retention period).
- D7 - Destroy 7 years after closure.

- AP - Can remain in the custody of the local authority indefinitely. When disposal does take place, e.g. when the body closes or assets are disposed of, it must be transferred to archives repository.
- DAU - Destroy immediately after auditing is completed.
- DAU3 - Destroy 3 years after auditing is completed.
- DAU7 - Destroy 7 years after auditing is completed.

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
A <u>AGENDAS</u> <u>AND</u> <u>MINUTES</u>	1. <u>Council meetings</u> 1.1 Agendas 1.2 Minutes 2. <u>Management Committee</u> 2.1 Agendas 2.2 Minutes	City Secretary City Secretary City Secretary City Secretary	
B <u>REPORTS</u>	1. Annual report of the Council 2. Mayor's report 3. <u>Annual reports of departments/ sections</u> 3.1 Town Clerk 3.2 City Secretary 3.3 City Treasurer 3.4 Health Officer	City Secretary City Secretary City Secretary City Secretary City Secretary City Secretary	
C <u>FINANCIAL</u> <u>ITEMS</u>	1. Valuation rolls 2. Site rate register 3. Loan register 4. Stock register 5. Main cash book 6. Subsidiary cash register 7. Main ledger 8. Subsidiary ledger 9. Main journal 10. Budget 11. Financial statements 12. Cheque counterfoils 13. Receipt books 14. Bank reconciliation statements	Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section Accounts Section	(N.B. Disposal instructions should be determined in consultation with the Auditor-General before being submitted to the National Archivist for approval)

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
D <u>REGISTERS</u> (Financial registers excluded).	1. Destruction register 2. Register of files opened 3. Register of disposal authorities 4. Master copy of the file plan 5. Remittance register 6. Register of registered or certified post 7. Cemetery register 8. Delivery register 9. Supply register	Central Registry Central Registry Central Registry Records Manager Central Registry Central Registry Cemetery Superintendent Stores Section Stores Section	
E <u>PUBLICATIONS PUBLISHED BY THE COUNCIL</u> (Publications received by the Council by means of subscription or that have been bought, are not considered to be public records)	1. Advertising brochures 2. Newsletters 3. History of the Town/City 4. Posters 5. Programmes of festivals and exhibitions 6. Regulations 7. Voters' rolls	Liaison Section Liaison Section Liaison Section Liaison Section Liaison Section City Secretary City Secretary	(NB One copy must be sent to the National Archives Repository immediately after publication. A second copy must be transferred to the relevant repository as part of the normal transfer of A20 records).
F <u>CARTOGRAPHIC MATERIAL</u> (All cartographic material pre-dating 1910 qualifies for permanent preservation)	1. National monuments (All categories of plans) 2. Places of worship (All categories of plans) 3. Views of special furnishing and decorations specially designed for a specific building 4. Detailed plans of e.g. window sills, door handles, etc., as well as subordinate building works as defined in the National Building		

Regulations and
Building Standards
Act, 1977 (Act No.
103 of 1977)

5. Finer detail of
special furnishing and
decoration specially
designed for a
specific building
6. All other categories
of maps, plans,
building plans
constructions plans
engineer's drawings
(Including aerial
photographs and
flight plans) not
specified here.
(When these items
are no longer
needed for
administrative
purposes, the
National Archives and
Records Service
must be contacted,
which will make
further arrangements
for their disposal.)

G
PHOTOGRAPHS

- | | |
|--|-----------------|
| 1. <u>Photographs</u> | |
| 1.1 Mayor and Council
members | Liaison Section |
| 1.2 Council buildings | Liaison Section |
| 1.3 Important local
functions/occasions | Liaison Section |
| 1.4 Local historical
buildings | Liaison Section |

Z
MISCELLANEOUS

- | | |
|--|----------------|
| 1. Deeds of transfer,
servitudes and
bonds | City Secretary |
| 2. Agreements | City Secretary |
| 3. Leases | City Secretary |
| 4. Policies | City Secretary |

ANNEXURE 9: EXAMPLE OF AN INVENTORY/CATALOGUE FOR ELECTRONIC RECORDS SYSTEMS

NAME OF SYSTEM	PURPOSE OF SYSTEM	FUNCTIONS
LOGISTICS Contact person: Sipho Mokoena	Control and monitor the issuing of consumable state property.	• Monitor consumption figures per accounting officer • Calculate stock on hand • Etc.
PERSAL Contact person: Seipati Ncgobo	To keep a record of the personal information of all personnel employed by the department and to administer all expenses i.r.o. salaries. All state departments use the system.	Maintenance, reports and enquiries i.r.o the following: ID number; Surname; Initials First Names; Date of Birth; Race; Gender; Disability; Citizenship; Date of Citizenship; Nationality; Residential Address; Etc.
PERMIT APPLICATIONS REGISTRATION SYSTEM Contact person: Tumi Mokaba	To keep a register and track of all applications for permits.	• Allocate application numbers • Issue acknowledgement of receipt • Track status of application • Issue permits • Gather management statistics • Etc.

ANNEXURE 10: Example of a description for an archival electronic records system

A. General remarks

1. Electronic records are subject to the same requirements provided in the National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended) that apply to other records.
2. Each system is evaluated on its own merits and archiving procedures are determined accordingly.
3. 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, etc.)
4. As governmental bodies apply electronic systems differently, it is necessary to liaise with the National Archives and Records Service on the precise manner of scheduling. Schedules for appraisal purposes can then be compiled according to the needs of a particular body.
5. Preferably the information in each automated system should be described in comprehensive fashion. That is, the description should include an explanation of the data sets and files included in the system; the hard copy input and output; the processing, subset, and special format files created and used in the system; and the documentation that describes and defines the system and the data in it.
6. The schedule must be compiled in duplicate.
7. Where there is more than one electronic records system, a separate description must be prepared for each one.
8. Systems should be numbered consecutively.
9. The information required should be given in detail.
10. Websites should also be scheduled if they are not managed via the Integrated Document and Records Management System.

B. Information that should be included in the schedule

A complete and accurate description of all a governmental body's electronic record keeping systems and websites should include the elements indicated below.

1. Name of the system/website: Indicate the commonly used name and acronym of the system. In the case of a website, also include the URL.
2. Implementation date: Indicate the date on which the system/site was implemented.
3. System control number: Specify the internal control number assigned to the system for reference, control, or cataloguing purposes. For example, the information systems inventory number.
4. Governmental body's programme supported by the system: Show the governmental body's programme(s) or mission(s) to which the system/site relates. In the case of websites, also describe sub-sites that are linked to the main site.
5. Cite any laws or directives authorising such programmes or missions.
6. List the names, office addresses, and telephone numbers, and location of the programme personnel who can provide additional information about the programme and the system supporting it. In the case of a website also provide the particulars of the webmaster and/or the web content manager.
7. Purpose of the system/site: Indicate the reasons for the system/site and the requirements met by it. In the case of a website indicate if it is used interactively, creating dynamic and interactive sites.
 - 7.1 Data input and sources: Describe the primary data input sources and the providers of the data to the system/site. Also give the names of any other systems, either inside or outside the governmental body, from which this information system receives data.
 - 7.2. Major output: Show the system's main products and the frequency of their preparation. For example reports, tables, charts, graphic displays, catalogues, or correspondence - prepared weekly, monthly, or yearly. Also indicate whether the information is transferred to other systems.
8. Information content: Indicate the main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics of the system. Also tell whether the system saves superseded information and whether it contains micro data or summary data. In the case of websites include:
 - The content pages that compose the site, inclusive of the HTML markup;
 - A description of records generated when a user interacts with a site and indicate if these records are captured in a record keeping system; and
 - If the agency chooses to document its site this way, lists of the URLs referenced by the site's hyperlinks.
9. Platforms: Indicate the hardware and software platforms on which the system was operated. List the formats the records were captured in. Indicate if any of the formats are obsolete already. In the case of websites describe the:

- Records relating to the software applications used to operate the site; and
 - COTS software configuration files used to operate the site and establish its look and feel, including server environment configuration specifications.
10. Continuation of system: Indicate if information contained in the system was imported from a previous system and/or if the system was run on another platform previously. Also indicate if the system underwent any name changes and/or if the system was inherited from an antecedent organisation. Describe any information losses that have occurred in the process.
11. Location of documentation (metadata see par 4.1.4) needed to read and understand the files: Indicate where the code books and file layouts are maintained. Indicate the office, room number, and name of the person having custody of them. Full documentation must accompany electronic records to assist in their use and interpretation. The documentation should include a background description of the purpose of the system; extent and use of the system as well as record formats and other information needed to recreate the system. Technical documentation would include the electronic records management strategy, and policy related to the management of the specific system, as well as the System Technical Manual and Systems Procedures Manual, the metadata schema (if it exists separately from the policies and manuals). The technical documentation of the records, sufficient to support their use for secondary analysis, must accompany the transfer. If a transfer is made on tape/disk the custodian would also need specific information on how the tape/disk was written, identification and definition of all data sets transferred, record layouts specifying relative positions, lengths and definitions of all data elements, and code books for all unique codes used in the records. This is necessary to ensure that the new custodian would have possession of all the information that is necessary to prove the authenticity of the records within the relevant context. A transfer list in which individual cassettes and their contents are specified is also required. Restrictions on access and use: Indicate national security, privacy, or other restrictions. In the case of websites include:
- website design records,
 - records that specify the body's web policies and procedures by addressing such matters as how records are selected for the site and when and how they may be removed,
 - records documenting the use of copyrighted material on a site,
 - records that document user access and when pages are placed on the site, updated, and/or removed,
 - site maps that show the directory structure into which content pages are organized.
12. Metadata schema: Metadata is critical to the understanding of the context of the records. Provide full details about the metadata captured in the system and attach the metadata schema that describes the conceptual entities, their elements, their interrelationships and their rules.
13. Audit trail: Audit trail data is critical to prove authenticity of records. Provide full detail about the types of audit trail data, where and how it is stored and how to interpret it.
14. Storage management: Describe the storage media the master copies, back-ups and any other copies will be kept on. Describe the storage environment in which these records will be kept. Describe how often the records will be spot checked to detect any deterioration in the storage media. Describe how often the storage

media will be refreshed (i.e. writing to new media of the same kind). Describe the migration strategy in place for these records (i.e. strategies are used to ensure that the information remains accessible across technological development in hardware and software platforms). Describe how often migration to new technologies will be done.

15. Back-up and disaster recovery.

Describe any back ups that exist. Describe any disaster recovery actions that were done and how they influenced the records in the system.

16. Disposal authority: If disposal authority has already been granted on any item the appropriate disposal instructions as well as the number of the disposal authority should be given. (See par C for a definition of disposal instructions.)

Where input documents are filed on files in a filing system approved by the National Archivist, the file number should be indicated.

17. Date prepared: Give the date the schedule was prepared.

C. Disposal instructions: Electronic records

It is important to note that the National Archives and Records Service, in consultation with the governmental body concerned, determines archival value. Arrangements to this effect should be made with the National Archivist. There are two basic instructions, A (representing "archival") and D (representing "not archival"), with variations determined by retention period. For instance, A1 means transfer to the National Archives and Records Service one year after creation and D3 means destroy/delete three years after creation.

A: Three options are available:

- (i) The transfer of archival electronic records to an appropriate archives repository for permanent preservation as soon as possible after creation, or at such time as specified by the National Archivist.
- (ii) The transfer of electronic records with archival value to an appropriate archives repository for permanent preservation in a proven archival medium such as paper or microform.
- (iii) The office of origin being required to preserve the archival electronic records and maintain their functionality permanently.

D: Records not to be transferred to the National Archives and Records Service. The governmental body, keeping aspects such as legal requirements, financial accountability, transparency and organisational functionality in mind, has to determine its own retention periods.

D. Example of a system description for a schedule for electronic records systems other than the correspondence system

DEPARTMENT OF FISHERIES

- 1. System name:**
Quota Control System (QCS)
- 2. Implementation date**
1999.03.15
- 3. System control number:**
FISH2
- 4. Governmental body programme(s) supported by the system:**
Communication Services
Communication channels throughout the Department of Fisheries
Publications Division
Legal Services
- 5. Relevant laws and directives**
Fisheries Act of 1990 (Act No. 45 of 1990)
Directive 7 of 1992 (Disposal of records regarding deep sea fishing)
- 6. Responsible Unit**
The Quota Control Unit
- 7. Purpose of the system**
The system is used to register the fishing industry and to allocate quotas to each registered industry.
The system provides the following functionality:
Registering the individual industries;
Calculating and allocating quotas.
Printing of permits.
Printing of statistics and management information concerning each registered industry.
 - 7.1 Data input and sources:**
Form Fish 207 completed by applicant.
Supportive legal documents attached to Fish 207.
Relevant information is also received from several wildlife organisations, universities and similar departments in foreign countries.
 - 7.2 Major output:**
Permits
Quarterly and annual statistics.
Reports/articles regarding related topics.
Information is sporadically exchanged with similar bodies in other countries.
- 8. Information content:**
Information regarding the fishing industry.
Relevant information regarding ichthyology, the fishing industry, halieutics, weather patterns, etc.

Content date coverage, time span: 1980 - present

Geographic coverage: Oceans around the globe; water masses in Southern Africa

Update cycle: Every two weeks

9. Platform

Mircrosoft Access 97

Windows 97

10. Continuation of system (where applicable)

Originally run in a SAP Database. Migrated to Microsoft Access on 01.09.19.

11. Location of documentation needed to read and understand the files:

The Information Systems Division of the Department of Fisheries maintains codebooks and file layouts, and a systems technical manual and a systems procedures manual exist.

Contact person: Ms B Bass, Information Systems, Room 101

A file containing metadata and other relevant information on each transfer can also be found in the List of Separate Case Files at Registry.

Information regarding the transfer of the cartridges can be found on file 9/1/1/3/5/6 at Registry.

12. Metadata schema

A detailed description of the metadata that is captured in the system is contained in the Systems Procedures Manual.

13. Audit trail information

Detail regarding the audit trail information that is captured is contained in par. 5 of the Records Management Policy.

The Systems Procedures Manual contains information regarding how to access and interpret the audit information.

14. Storage management

Online database.

Storage environment according to National Archives and Records Service's guidelines contained in Annexure F of the *Guide to the management of electronic records in governmental bodies*.

Spot checking of media on an annual basis, etc.

15. Back-up

Daily, weekly and monthly back-up done on WORM magnetic tape.

16. Disposal authority:

Correspondence filing system: 2-S1NA

Additional information on file 13/2/1/4.

- 17. Date prepared:**
2004-11-14

ANNEXURE 11: EXAMPLE OF A DESCRIPTION OF A MICROFILM PROJECT FOR INCLUSION IN THE SCHEDULE OF MICROFILM PROJECTS

1. INSTRUCTIONS FOR COMPLETION OF THE FORM

- 1.1 A microfilm project may consist of one or more applications. An applications is defined as the micrographic copying of a specific group of documents. The following applications may for example, be encountered:

- (a) Application No. 1: Minutes of Council
- (b) Application No. 2: Building plan folders of the Architecture Department

A separate description as set out in Appendix A must be completed for each application.

- 1.2 The term "disposal authority" refers to a disposal authority issued by the National Archivist. Where such an authority has been issued the number of the authority should be filled in under section 3.1.1 and/or 3.2.1 of the application form. If not applicable complete sections 3.1.2 and 3.2.2.

- 1.3 Concerning sections 3.1.2 and 3.2.2 Proposed Disposal, one of the following symbols should be employed to indicate the proposed disposal of the relevant item:

- A20 - Transfer to an archives repository 20 years after the end of the year in which the records were created
- AO - Transfer immediately after filming to an archives repository/records centre
- D5 - Destroy five years after functional value has expired
- DO - Destroy immediately after filming and verification
- D10 - Destroy ten years after functional value has expired
- DP - May be kept by a body for an unspecified period. Must be destroyed as soon as no longer needed functionally.

- 1.4 When disposal authority on an application/applications has been obtained, the authority (i.e. the pages on which the applications is/are described) should be inserted in the correct place in the schedule.

Appendix A

Description of a Micrographic Project

1. NAME OF BODY/SECTION _____
2. MICROFILM APPLICATION
(See instructions for completion of application, par. 1.)
 - 2.1 Name of group of documents concerned: _____

 - 2.2 Is the application:
 - 2.2.1 already in use? _____
 - 2.2.2 in planning stage? _____
 - 2.3 Extent of group of documents concerned:
 - 2.3.1 Present extent in linear meters? _____
 - 2.3.2 Annual accrual in linear meters? _____
3. DISPOSAL AUTHORITY POSITION
(See paragraphs 1.2 and 1.3 in the instructions above for the completion this section)
 - 3.1 ORIGINAL DOCUMENTS
 - 3.1.1 If already issued, provide authority number: _____
 - 3.1.2 Disposal authority is hereby requested. The proposed disposal is as follows:

 - 3.2 MICROGRAPHIC COPIES
 - 3.2.1 If already issued, provide authority number: _____
 - 3.2.2 Disposal authority is hereby requested. The proposed disposal is as follows:

4. REASON FOR IMPLEMENTATION OF MICROFILM APPLICATION
 - 4.1 Accommodation considerations/security considerations.³⁴

³⁴ Delete if not applicable.

4.2 Other - please specify on a separate page.

5. ACCOMMODATION POSITION

(NB - statistics must be provided in linear meters.)

	TOTAL SHELVING SPACE	SPACE CURRENTLY OCCUPIED	ANNUAL ACCRUAL
Registry			
Storage Rooms			
TOTAL			

6. OPERATION OF MICROFILM APPLICATION

6.1 Who undertakes photography/processing?

6.1.1 Body itself

6.1.1.1 Own apparatus? Yes/No/Hired

6.1.1.2 Trained photographer in service? Yes/No

6.1.2 Outside agency

6.1.2.1 Please provide the name and address of the agency:

6.2 Who keeps the master copies? Body itself/outside agency³⁵

6.2.1 If the master copies are kept by an outside agency:

6.2.1.1 Please provide the reasons why this agency is keeping the master copies:

³⁵ Delete if not applicable.

6.2.1.2 Please provide the name and address of the agency:

6.3 Are the master copies checked regularly? Yes/No

6.3.1 If so, by whom? _____

7. MICROFILM TYPE USED³⁶

7.1 Master copy: Microfilm roll/Apture Card/Fiche/Microfilm Jacket

7.2 Working copy: Microfilm roll/Apture Card/Fiche/Microfilm Jacket

7.3 Security copy: Microfilm roll/Apture Card/Fiche/Microfilm Jacket

36 Delete the type not applicable.

ANNEXURE 12: LIST OF GENERAL DISPOSAL AUTHORITIES³⁷

General Disposal Authorities are issued for categories of records used by more than one governmental body, e.g. financial records, contract files, personal staff files, etc.

Please note: The existence of a General Disposal Authority does not automatically imply that the records can be destroyed. The authorities cover both archival and non-archival records. For more information regarding the retention periods applicable to the records contained in these General Disposal Authorities contact the Records Management Division. See Part 7 for contact details.

The General Disposal Authorities that are underlined in the general Disposal Authorities column can be accessed online on the National Archives and Records Service's website http://www.national.archives.gov.za/rms/general_disposal_authorities.htm

Nature of Records	Office	General Disposal Authority Number
1. Copies of documents (drafts, reminders, acknowledgements of receipt) " "	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
2. Agendas of council meetings - copies	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
3. Attendance registers	National departments	AB 2
4. Daily files	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
5. Lists of registered documents	National departments	AG 1

³⁷ Please note that the information on the website is updated regularly.

Nature of Records	Office	General Disposal Authority Number
6. Housing rental contracts	Local authorities	PAH 1
7. Clinical patient records	National departments and provincial departments Local authorities	AK2 PAK4
8. Circulars: Tender Board Contracts to departments	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
9. DPSA Circulars: vacancies in civil service and covering circular minutes	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
10. Circulars received	All governmental bodies	Consolidated into General Disposal Authority No AT2 for the Destruction of transitory records. See item 24
11. Unsuccessful applications for positions and related correspondence	National departments, provincial departments and statutory bodies Local authorities	AU1 PAO 1
12. Unsuccessful tenders	Local authorities	PAO2
13. Tenders and contracts	National departments and provincial departments Local authorities	AK 3 See Circular 2 of 1985 Circular 1 of 1993
14. Personal files and staff record cards	National departments and provincial	Circular 1 of 1987 See directive D9

Nature of Records	Office	General Disposal Authority Number
	departments Local authorities	PAP 1 See directive D6
15. Casualty files: provincial employees	Provincial departments	Circular 1 of 1987 See directive D9
16. Personal files and service record cards	S.A. Transport Services prior to 1990-04-01	AP 3 See Circular 1 of 1963
17. Financial and associated records (The list contains both archival and non-archival records)	Local authorities	The retention periods in these disposal authorities are outdated. Please consult Chapter 17 of the Treasury Regulations 2005. ³⁸ Transvaal -26-S5 Cape Province -23-S7 and 23-S17 Orange Free State - 25-S5 Natal - 24-S11
18. Financial records	National departments, provincial departments constitutional institutions, trading entities and public entities	The retention periods in this disposal authority are outdated. Please consult Chapter 17 of the Treasury Regulations 2005. ³⁹ AR2
19. Motor vehicle and driver's records (under Road Traffic Act)	Local authorities	Directive D8 For records prior to June 1990 see number 17

³⁸ National Treasury, *National Treasury Regulations 2005*, Gazette No. 27388 dated 15 March 2005.

³⁹ National Treasury, *National Treasury Regulations 2005*, Gazette No. 27388 dated 15 March 2005.

Nature of Records	Office	General Disposal Authority Number
20. Plans and drawings	Local authorities	See Circular 2 of 1993
21. Cumulative report cards	Provincial departments	AK 4
22. Transitory records	All governmental bodies	AT 2 See directive D10
23. Electronic and related records	All governmental bodies	AE 1 See directive D11
24. Motor log books and records	National departments and provincial departments Local authorities	AL 1
25. Civil and Social pensions case files	All governmental bodies	AC 1
26. Z forms	National and provincial Departments	AZ1
27. Postal Registers	All governmental bodies	AP4
28. Visitor's books	All governmental bodies	AV2 See circular 5 of 2006

ANNEXURE 13: APPLICATION FOR DISPOSAL AUTHORITY FOR TERMINATED CORRESPONDENCE FILES

1. This procedure applies to files in a terminated filing system that is no longer used for correspondence. It should not be confused with closed volumes of files in a current system.
2. An application for disposal authority should be submitted to the National Archivist, accompanied by a list in which the particulars of the files are outlined as indicated in Appendix A. If available a copy of the file plan is sufficient.
3. Applications for disposal authority can be submitted in paper-based format or in electronic format. The preferred electronic format is MS Word or MS Excel. For the completion of this list, the following requirements apply:
 - (a) The files should appear in alphabetical or numerical sequence and each volume should be listed individually.
 - (b) Case files should not be listed individually. The number of files should be indicated as well as the subject under which the case files were opened. The basis of opening e.g. persons, places, etc. should also be stated. The periods that the series covers should also be indicated. (Refer to Appendix A).
 - (c) All files belonging to the filing system should be listed, including those that are still being referred to.
 - (e) The list must not be compiled from index cards or any other finding aids for the files. It must be compiled from the files themselves so as to ensure an accurate reflection of the files in question.
4. It is the function of the National Archivist to decide whether an item has archival value or not. Once a disposal authority has been issued for the terminated correspondence files the body will be informed thereof.

Once disposal authority has been issued for the terminated records the body will be informed and arrangements will be made for the transfer of A20 records to the appropriate archives repository/records centre.

The rest of the items may be disposed of when the retention periods have lapsed. When determining the retention periods, the body's financial accountability and functional needs, as well as any legislative requirements which these records must satisfy, must be taken into account.

Appendix A

List of terminated correspondence files

1. Body in which the system/files were used:
2. Period covered by the system/files: (year) to (year)
3. Total linear meters shelving space occupied by the files:
4. Official to be contacted in connection with proposed disposal instructions:

Name:

Tel:

Cell:

Fax No.:

E-mail:

FILE NUMBER	DESCRIPTION	PERIOD	DISPOSAL
A1/1 Vol. 1	Staff: establish- ment	1950-1961	
A1/1 Vol. 2	Staff: establish- ment	1961-1973	
A1/2	Staff: transfer	1949-1952	
A1/2/1 to A1/2/510 (510 FILES)	Series of case files: Individual transfers (a file per official.)	1949-1952	
A1/2/A1 to A1/2/Z3 (513 FILES)	Series of case files: Individual transfers (a file per place.)	1949-1952	
A1/3	Staff: routine enquiries. etc.	1949-1952	

ANNEXURE 14: APPLICATION FOR DISPOSAL AUTHORITY FOR TERMINATED RECORDS OTHER THAN CORRESPONDENCE FILES

1. Records other than correspondence files are records which for practical considerations are not filed on the correspondence files of the filing system, in other words records such as registers, index cards, minutes, photographs, plans, etc.
2. A clear distinction should be drawn between terminated records other than correspondence files and current records other than correspondence files. Terminated records other than correspondence files are the documentary residue of:
 - (a) activities once performed but now discontinued; or
 - (b) a previous system of other records that has been superseded; or
 - (c) Other records that were taken over from another body and discontinued; or
 - (d) documents which were created for a specific temporary purpose but which are currently no longer in use.

Paragraph (a) may be illustrated by the case of a body executing the activity of fuel rationing for the period 1940 to 1947. Various registers, etc. were created during that 7-year period but were terminated once the activity was discontinued. In the case of (b) for instance, an accounting system may have been in use for the period between 1950 and 1964 but was superseded in 1965 by a totally new system comprising different types of registers, journals, etc.

3. Applications for disposal authority can be submitted in paper-based format or in electronic format. The preferred electronic format is MS Word or MS Excel.
4. The following requirements apply for the completion of this schedule:
 - (a) A schedule in duplicate should be submitted when applying for disposal authority.
 - (b) Items should be categorised (where possible) and listed in columns.
 - (c) The arrangement and items set out in Appendix A serve only as a guide to bodies in the compilation of the schedule.
5. It is the function of the National Archivist to decide whether an item has archival value and should be classified archival or not.

Once disposal authority has been issued for the terminated records other than correspondence files the body will be informed and arrangements will be made for the transfer of A20 items to the appropriate archives repository/records centre.

The body concerned must determine the retention period for items that can be disposed of by the body. The functional requirements of the body as well as any

other legal responsibilities the body may have, must be taken into account when a retention period is determined. When records have been destroyed in terms of this authority a certificate of destruction should be submitted to the National Archivist.

Appendix A

List of terminated records other than correspondence files

1. Body in which the records were used:
2. Period.....(year) to (year).....
3. Total linear meters of shelving space occupied by the records
4. Official who may be contacted regarding proposed disposal instructions.....

Name:

Telephone:

Fax No.:

Cell No.:

E-mail.:

CATEGORY	DESCRIPTION	PERIOD	DISPOSAL INSTRUCTION
REPORTS AND MINUTES	1. Six monthly reports of the Fuel Commit- Tee	1940-1947	
	2. Minutes of Health Committee	1940-1947	
	3. Minutes of City Planning Committee	1940-1947	
FINANCIAL ITEMS	4. Main Ledgers	1940-1964	
	5. Subsidiary Ledgers	1950-1964	
	6. Personnel Ledgers	1950-1964	
	7. Returns Cash Book	1950-1964	
REGISTERS	8. Attendance Register	1950-1955	
	9. Stores Register	1953-1978	
FORMS ⁴⁰	10. (Description of Form)	1951-1955	
	11. (Description of Form)	1952-1953	

40 These are completed forms only. Blank forms are stationery and are not indicated on the schedule.

ANNEXURE 15: DESTRUCTION CERTIFICATE

I hereby certify that the records listed below which occupiedlinear metres of shelving/storage space were destroyed today in terms of disposal authority/authorities number(s)

Name of Office:

Name of Records Manager

Telephone:

Fax:

Cell :

E-mail:

Signature:

Date:

NUMBER	DESCRIPTION	PERIOD

Where a series of case files is destroyed, e.g. personal staff files, files for institutions, or item files, the listing of individual files is not required, unless the body wishes to compile such a list for its own purposes:

In such a case, only the first and last file numbers and the periods are indicated in the first and third columns, and a comprehensive description of the whole group is recorded in the second column.

ANNEXURE 16: PACKING OF FILES IN ARCHIVAL BOXES

- (N.B. 1. Boxes which do not comply with these requirements will not be accepted by an archives repository and
2. Unboxed files will not be accepted).

1. **GENERAL**

- 1.1. Files transferred to an archives repository/records centre are packed in archival boxes particulars of which are as follows:

Size: 368 mm X 267 mm X 95 mm (outside measurements).

How obtained: (a) Government Departments: procure from the Government Printer's *Catalogue of Stationery*. Consult the National Archives Repository for additional information, if necessary).

(b) Other institutions: Consult the National Archives Repository for information.

Control: Before delivery the size and condition of the boxes must be checked carefully. The repository/records centre will not accept damaged boxes or boxes of another size for transfer.

2. **PACKING:** (See sketches in Appendix A).

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

- N.B. (i) Files must not be packed tightly.
(ii) After the files have been packed there should be play of about 1 cm in the box.
(iii) If for some or other reason a file is kept back, space should be left for it.

3. **INSCRIPTIONS ON BOXES** (See sketches in Appendix A):

(The head of the repository will indicate which one of the methods below must be followed).

3.1 Methods

3.1.1 Vertical method

The box is placed upright like a book on a shelf. (N.B. The lid opens to the right).

3 cm from the top: Source Code (This must be obtained from the repository/records centre).

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

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

Immediately below the break: the name of the governmental body (This may be stamped or letters of smaller format may be used) (in pencil).

2 cm from the bottom: the sequential number of the box (in pencil).

3.1.2 Lateral method

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

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

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

4. **USEFUL ADDRESSES**

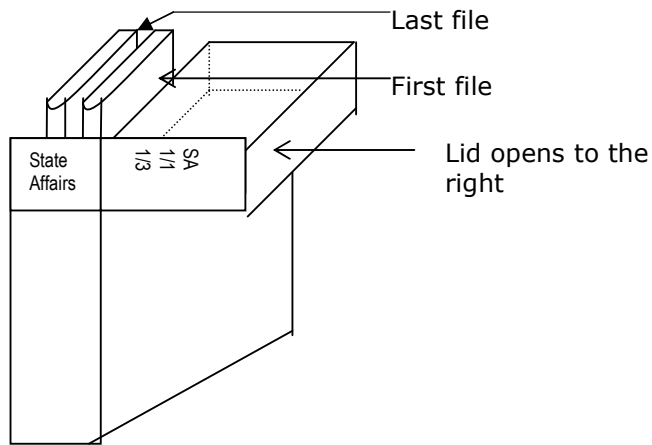
ARCHIVAL BOXES:

Box Pro
cc. PO Box 49017
HERCULES
0030
Tel.: (012) 377 1922
Fax: (012) 377 1451
Contact Person: Mr. PS Reddy

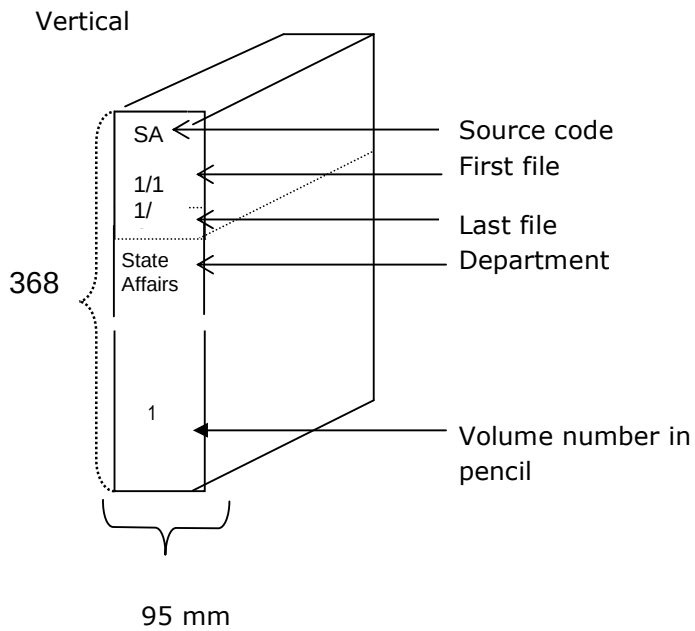
Appendix A

Sketches: Packing of files in cardboard boxes

Sketch 1

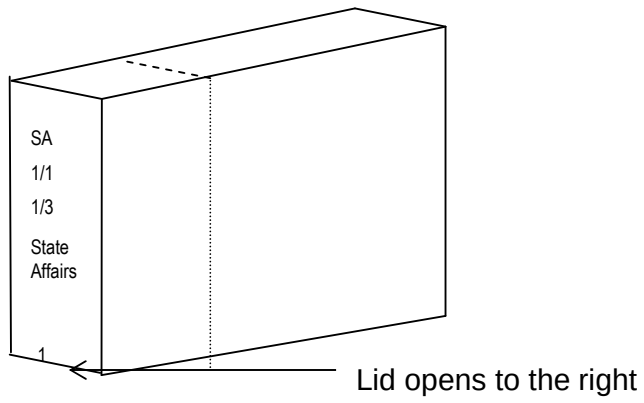


Sketch 2



Sketch 3

Lateral



ANNEXURE 17: TRANSFER LIST

1. Name of body/office
2. Street address
3. Extent of records in linear meters
4. Disposal authority number⁴¹
5. Official dealing with transfer
6. Telephone
7. Fax
8. Cell
9. E-mail

Item, Box or Package No.	File, Register or Form No.⁴²	Description	Period in years	Proposed Disposal⁴³

41 If you do not yet have an authority number, you must place your disposal recommendations in the disposal column. This list will then be used to issue disposal authority.

42 When a file consists of more than one volume, each individual volume must be listed.

43 Where records which have already been designated for permanent preservation by the National Archivist are transferred, this column can be deleted.

ANNEXURE 18: CONTACT PARTICULARS: NATIONAL AND PROVINCIAL ARCHIVES SERVICES

Please refer to the National Archives and Records Service's website <http://www.national.archives.gov.za> for up-to-date contact particulars.

National Archives and Records Service of South Africa

Head Office

Dr Graham Dominy
The National Archivist
Postal address: Private Bag X236, PRETORIA, 0001
Street address: 24 Hamilton Street, Arcadia, PRETORIA

Tel.: (012) 441 3200
Fax: (012) 323 5287
E-mail: archives@dac.gov.za

Components

Records Management Division

Mrs Erna-Marié Pretorius
Head: Records Management
Address as for National Archivist

Tel.: (012) 441 3200
Fax: (012) 323 5287
E-mail: rm@dac.gov.za (Records management in general)
rmc@dac.gov.za (Records Management Course)
e-records@dac.gov.za (Electronic records management)

National Archives Repository

Ms Khanyi Ngcobo
Deputy Director: Archival Services
Address as for National Archivist
Tel.: (012) 441 3200
Fax: (012) 323 5287
E-mail: enquiries2@dac.gov.za

National Film, Video and Sound Archives

Mr Dennis Maake
Deputy Director: National Film, Video and Sound Archives
Postal address: Private Bag X236, PRETORIA, 0001
Street address: 698 Church Street East, Arcadia, PRETORIA

Tel.: (012) 343 9767
Fax: (012) 344 5143
E-mail: film.enquiries@dac.gov.za

Information Systems Division

The Head: Information Systems
Address as for National Archivist
Tel.: (012) 441 3200
Fax: (012) 323 5287

E-mail: naairs@dac.gov.za (National Automated Archival Information Retrieval System)
publications@dac.gov.za (Publications)

Provincial Archives Services

Eastern Cape Provincial Archives Service

Head Office

Ms Qondi Malotana
 The Provincial Archivist
 Postal address: Private Bag X7486, KING WILLIAM'S TOWN, 5600
 Street address: 5 Eales Street, KING WILLIAM'S TOWN

Tel: (043) 604 4017/6
 Cell: 082 894 8572 (Ms Qondi Molotana)
 Fax: (043) 642 2014
 E-Mail: qondi.malotana@srac.ecprov.gov.za

Port Elizabeth Archives Repository

Mr Johan van Zyl
 The Head
 Postal address: Private Bag X3932, North End, PORT ELIZABETH, 6056
 Street address: 1 De Villiers Street, PORT ELIZABETH

Tel.: (041) 484 6467
 Fax: (041) 484 6451

Mthatha Archives Repository

Mrs Nozipho Njisane
 The Head
 Street address: c/r Owen Street and Alexander Road, MTHATHA
 Tel.: (047) 532 5148

Free State Provincial Archives Service

Mr Ferdi Wheeler
 The Provincial Archivist
 Postal address: Private Bag X20504, BLOEMFONTEIN, 9300
 Street address: 29 Badenhorst Street, Universitas, BLOEMFONTEIN

Tel.: (051) 522 6762
 Fax: (051) 522 6765
 E-mail: fsarch@sac.fs.gov.za

Gauteng Provincial Archives

Ms Betsy Eister
 The Head
 Postal address: Private Bag X33, JOHANNESBURG 2000
 Street address: NBS Building, 38 Rissik Street, JOHANNESBURG

Tel.: (011) 355 2505
 Cell: 083 554 1967 (Dumezweni Makhubu)
 Fax: (011) 355 2789
 E-mail: dumezweni.makhubu@gauteng.gov.za

KwaZulu-Natal Provincial Archives Service

Head Office

Mr Sibusiso Ngcoya
 The Provincial Archivist
 Postal address: Private Bag X9012, PIETERMARITZBURG, 3200
 Street address: 231 Pietermaritz Street, PIETERMARITZBURG

Tel.: (033) 342 4712
 Cell: 083 960 0248
 Fax: (033) 394 4353
 Email: pmbarchives@dact.kzntl.gov.za

Durban Archives Repository

Mr Bihm Singh
 The Head
 Postal address: Private Bag X22, GREYVILLE, 4023
 Street address: Nashua House, 14 De Mazenod Street, GREYVILLE

Tel.: (031) 309 5682
 Fax: (031) 309 5685
 Email: dbnarchives@dact.kzntl.gov.za

Pietermaritzburg Archives Repository

Mrs Judith Hawley
 The Head
 Postal address: Private Bag X9012, PIETERMARITZBURG, 3200
 Street address: 231 Pietermaritz Street, PIETERMARITZBURG

Tel.: (033) 342 4712
 Fax: (033) 394 4353
 Email: pmbarchives@dact.kzntl.gov.za

Ulundi Archives Repository

The Head
 Postal address: Private Bag X75, ULUNDI 3838
 Street address: Block 4, Unit A, ULUNDI
 Tel: (035) 879 8500
 Fax: (035) 879 8518
 E-mail: archives@dact.kzntl.gov.za

Limpopo Provincial Archives Service

Mr Jabu Nkatingi
 The Head
 Postal address: Department of Sport, Arts and Culture, Archives Service, Private Bag X9549, POLOKWANE, 0700

Street address: 15 Grobler Street, POLOKWANE

Tel.: (015) 299 7846
 Cell: 083 289 9507 (Mr Jabu Nkatingi)
 Fax: (015) 299 7811
 E-mail: nkatingij@sac.norprov.gov.za

Mpumalanga Provincial Archives Service

The Head

Postal address: PO Box 1243, NELSPRUIT, 1200
 Street address: 1st Floor, Building 5, 7 Government Boulevard, Riverside Park Ext 2, NELSPRUIT

Tel.: (013) 766 5190
 Fax: (013) 766 5591 and (013) 766 8256
 E-mail: dnsedibe@nel.mpu.gov.za

Northern Cape Provincial Archives Service

Ms Andrea Luxton

The Provincial Archivist

Postal address: Private Bag X5004, KIMBERLEY, 9300
 Street address: Department of Sport, Arts and Culture Building, 22 Abattoir Road, Ashburnham 8301, KIMBERLEY

Tel: (053) 807 4782
 Cell: 082 873 5283 (Ms Andrea Luxton)
 Fax: (053) 833 4600
 Email: apluxton@bp.ncape.gov.za

North West Provincial Archives and Records Service

Mr Phinias Phinias

The Head

Postal address: Department of Sport, Arts and Culture, Private Bag X90, MMABATHO, 2735
 Street address: Provident House, University Drive, MMABATHO

Tel: (018) 387 0261
 Cell: 083 944 5742 (Mr Phinias Phinias)
 Fax: (018) 384 1200
 E-mail: sphinias@nwpg.gov.za

Western Cape Provincial Archives and Records Service

Mr Nkhumbudzeni Tshirado

The Head

Postal address: Private Bag X9025, CAPE TOWN, 8000
 Street address: 72 Roeland Street, CAPE TOWN

Tel.: (021) 466 8100
 Fax: (021) 456 2960
 Email: Archives@pgwc.gov.za (for General Correspondence)
 Records@pgwc.gov.za (for Records Management enquiries)

Readroom@pgwc.gov.za (Reading Room Enquiries)
Outreach@pgwc.gov.za (Outreach Activities) (for records management matters)

ANNEXURE 19: PRACTICAL TIPS FOR MOVING PAPER-BASED RECORDS

1. Plan the move with great care.
2. Inform the owner of the building that you are moving out and inform the owner of the new building that you are moving in. This way arrangements can then be made with regard to the use of lifts; other occupants of the building warned beforehand and keys handed over.
3. Inform all officials in your office timeously of a date when all records should be returned to registry in order to enable you to pack.
4. List all records before moving to the new office.
5. Box records to protect and prevent them from being damaged during the move.
6. Box the files in numerical sequence.
7. Mark the boxes sequentially. This will enable the boxes to be easily unpacked into the new location.
8. Do not destroy any records without the written approval of the National Archives and Records Service of South Africa.
9. Do not transfer any records to the National Archives Repository without prior arrangement with the Head of the National Archives Repository.
10. Confidentiality of information should be borne in mind. When packing the records secret files should be kept under security.
11. Let the driver of the vehicle transporting the records sign for them when moving the records to the new office. On arrival at the new office a responsible official should check that all the boxes have arrived at their location and sign for them.
12. Check that there is adequate parking for the truck when loading and off-loading. It might be necessary to arrange with the traffic department for the use of parking for this purpose.
13. The vehicle should not be left unattended.
14. The removal company must supply their own supervisors to ensure that the responsibility of the packers does not lie with the office personnel.
15. Tea and lunch times must be cleared with the removal company in order to ensure that they correspond with those of the office personnel.
16. Determine whether the removal company will work after hours. This could have could have implications, like the building having to remain open and arrangements being needed with office personnel to supervise.
17. The removal company must keep to the agreed dates. The contract must include penalties that the company will have to pay should they not keep to the dates.

18. Removal companies are usually not accustomed to moving records. The importance and value of the records must be explained to them.
19. A contact person at the removal company's office must be obtained, in case problems are encountered.
20. Packers cannot eat, drink or smoke near the boxes.
21. No-one should sit on the boxes containing the records.
22. Before the move, it is essential to make sure that there is adequate space for the records in the other building.
23. A register must be compiled to indicate which records must go to which room or office. The same information must be written on the boxes.
24. Records that cannot be boxed (perhaps large registers or cartographic material) should also be marked clearly.
25. The removal company must supply their own pens, pencils and labels. (These should be included in the contract.)
26. Office staff members should be:
 - (a) at the building where you are moving from;
 - (b) at the building to receive the move; and
 - (c) there should be additional staff in case of absence.

These officials must make sure that everything is running smoothly. It should not be their task to supervise the packers.

27. The shelves on which the records are to be packed must be cleaned beforehand.
28. The removal company usually charges for the boxes, but once unpacked the company takes the boxes back. It is thus essential that the number of boxes unpacked in a day is closely monitored. (Keep track of how many boxes have been packed, unpacked and empty boxes returned to the removal company. You can get discount on the return of the boxes.) Make sure that it is written in your tender document.
29. Training of the packers and their supervisors is important. This should be done on the very first day and it should include the following:
 - (a) The order in which the records must be removed from the shelves;
 - (b) The order in which the records must be packed in the boxes;
 - (c) The labeling of the boxes;
 - (d) The order in which the boxes must be taken to the truck;
 - (e) The order in which the truck must be packed. Determine beforehand how many boxes can be packed in the truck. If the truck can take 200 boxes, start loading the truck with box 200, then 199, 198 ... so that when the truck is full, box no. 1 is right in front and ready to be unloaded and immediately go to the correct office.
 - (f) The order in which the truck must be unpacked;
 - (g) The order in which the boxes must be moved to the offices;

- (h) The order in which the boxes must be unpacked on the shelves.
- (i) Explain the value of the records and that no eating, drinking or smoking is allowed near them.
- (j) Explain that no-one should sit on the boxes because this could damage the records inside the boxes.

ANNEXURE 20: CHECK-LIST FOR OFF-SITE STORAGE FACILITIES⁴⁴

NAME OF PRIVATE STORAGE FACILITY: _____

DATE VISITED: _____

1. COMPANY PROFILE	
1.1 What is the company's mission?	
1.2 How does that mission compare with the goals and needs of your body?	
1.3 How long has the company been in the business of information management?	
1.4 Will the company provide references?	Yes/No
1.4.1 Will the company provide contact particulars of other <i>governmental bodies</i> that use the services of the company?	
1.4.2 Who are the other major clients? Provide contact particulars.	
1.5 Is the company an active member of PRISM International?	Yes/No
2. GENERAL SECURITY	
2.1 Does the company have 24-hour monitored security?	Yes/No
2.2 Does the company have authorized access to the facility?	Yes/No
2.3 Does the company have in-house security training and procedures?	Yes/No
2.4 Does the company have monitored vault entry?	Yes/No
2.5 Does the company have a secure loading and unloading area?	Yes/No
2.6 Does the company have authorization procedures that meet the governmental body's requirements?	Yes/No
2.7 Is the company using outsourced security service providers?	Yes/No
2.7.1 Will the company provide the name of the security service provider?	
2.7.2 Is the security services provider registered with the Private Security Industry Regulatory Authority ⁴⁵ ?	Yes/No

⁴⁴ Adapted with the kind permission of PRISM International from their publication *Demand the best. A guide to help select an Off-site Information Management Company* [<http://www.prismint.org>] and according to South African Bureau of Standards, SANS 11799 – *Information and Documentation – Document storage requirements for archive and library materials*.

⁴⁵ Private Security Industry Regulatory Authority, Street address: 481 Belvedere Street, Arcadia, Pretoria; Telephone: (012) 337 5500; Fax: (012) 324 3338; Website: <http://www.sira-sa.co.za>.

2.7.2.1 Can the company provide a registration certificate for the security company?	
2.8 How frequently are the security rounds done?	
2.9 Does the company itself conduct a daily security check?	Yes/No
2.10 Are security systems inspected and tested regularly?	Yes/No
2.11 Are the facilities situated in high crime areas?	Yes/No
2.11.1 What additional security arrangements were made for these?	Yes/No
3. DISASTER PREVENTION/PLANNING	
3.1 Does the facility have adequate fire detection systems?	Yes/No
3.1.1 Are all parts of the building connected to the fire detection system?	Yes/No
3.1.2 Is the fire detection system connected to a central monitoring panel? And does the system	Yes/No
3.1.2.1 issue a local warning at the control panel, indicating where the fire has been detected?	Yes/No
3.1.2.2 operate a plant shut down sequence to ensure that electrical, gas, heating and air conditioning systems does not contribute to the spreading of the fire?	Yes/No
3.1.2.3 automatically transmit a warning to the local fire brigade?	Yes/No
3.1.2.4 transmit a general fire alarm throughout the entire building?	Yes/No
3.1.3 Is the building equipped with manual fire alarm points?	Yes/No
3.2 Does the facility have adequate automatic fire suppression systems?	Yes/No
3.2.1 Describe systems used.	
3.2.2 Is the system regularly inspected and maintained?	Yes/No
3.2.3 Does the facility have portable fire extinguishers?	Yes/No
3.2.3.1 Are the portable fire extinguishers strategically placed?	Yes/No
3.2.3.2 Are the staff trained in the use of the portable fire extinguishers?	Yes/No
3.2.3.3 Are these portable fire extinguishers inspected and tested regularly?	Yes/No
3.4 Does the facility have a no-smoking policy?	Yes/No

3.5 Does the facility have a compliance certificate issued by the local Fire Brigade?	Yes/No
3.5.1 Can the company provide a copy of the certificate?	Yes/No
3.6 Is the alarm system activated by line tampering or disruption?	Yes/No
3.7 Does the facility have a regularly maintained and tested internal disaster plan?	Yes/No
4. FACILITY	
4.1 Is the facility in a desirable location?	Yes/No
4.1.1 Is the facility located in a non-flood prone area?	Yes/No
4.1.2 Is the facility at risk from earthquakes, tidal waves or landslides?	Yes/No
4.1.3 Is the facility at risk from fire or explosions in adjacent sites?	Yes/No
4.1.4 Is the facility near a place or a building that attracts rodents, insects and other pests?	Yes/No
4.1.5 Is the facility near a plant or installation that emits harmful gases, smoke, dust, etc.?	Yes/No
4.1.6 Is the facility in a polluted area?	Yes/No
4.1.7 Is the facility near a strategic installation which could be a target in an armed conflict?	Yes/No
4.2 Is the facility built according specific construction standards to ensure that it would be able to carry the weight of the paper?	Yes/No
4.3 What is the condition of the roof?	Good/Average Bad
4.3.1 Does the warehouse have a ceiling against the roof? ⁴⁶	Yes/No
4.4 Is there evidence of water leaks in the roof?	Yes/No
4.5 Does the facility have windows in the walls or the roof?	Yes/No
4.5.1 Are the windows blacked out? or	Yes/No
4.5.2 Are the windows covered with UV filtering?	Yes/No
4.6 Is illumination controlled to minimize damage to records?	Yes/No
4.7 Is the building ventilated in such a way that free air flow prevents	Yes/No

⁴⁶ If not, indicate that archival records may not be stored on the first three rows of shelves underneath the roof because heat can damage paper.

pockets of humidity from building up?	
4.7.1 Is the shelves lifted at least 150mm from the floor and the ceiling to ensure a free flow of air?	Yes/No
4.7.2 Is the air quality inside the building monitored for air pollution a oxidizing gasses and dust?	Yes/No
4.8 Is the facility climatically controlled?	Yes/No
4.8.1 Is the interior of the building insulated against external climatic changes?	Yes/No
4.8.1.1 Describe how it is insulated.	
4.9 Is the inside of the facility constructed of materials that are non-combustible and that does not attract, emit or retain dust?	Yes/No
4.9 Where are the following situated in relation to the storage facility?	
4.9.1 electricity supply systems	
4.9.2 gas supply systems	
4.9.3 water supply systems	
4.9.4 temperature/humidity control systems	
4.9.5 air filtration plant	
4.9.6 ventilation plant	
4.10 Does the facility have back-up power systems?	Yes/No
4.11 Does the facility have proper insurance coverage in the event of a disaster?	Yes/No
4.12 Is the facility in a stand-alone building? Or	Yes/No
4.12.1 Is the facility located in a multi-tenant building?	Yes/No
4.12.2 Who are the other tenants and what are their businesses? ⁴⁷	Yes/No
4.13 Are there other businesses near this facility that could be potentially hazardous?	Yes/No
4.14 Does the company engage in any other business at its facilities (moving and storage, public warehousing, etc.)?	Yes/No
4.15 Are there water pipes inside the building to evaluate if there is a danger that records could be flooded? ⁴⁸	Yes/No

⁴⁷ Records storage facilities should not be close to other tenants who have businesses that can cause fire, water or chemical damage.

4.15.1 How regularly are they checked for leaks?	
5. COURIER VEHICLES	
5.1 Are the vehicles designed for safe records transport?	Yes/No
5.2 Are the vehicles climatically controlled?	Yes/No
5.3 Do the vehicles have appropriate security?	Yes/No
5.3.1 Describe the security.	
5.4 Are the vehicles secured while at a delivery/pick-up site?	Yes/No
5.5 Do the vehicles undergo preventative maintenance?	Yes/No
5.5.1 How regularly?	
5.6 Are the vehicles equipped with appropriate two-way communications (cellular phones, pagers, etc.)?	Yes/No
5.7 Are vehicles equipped with a global positioning system?	Yes/No
5.8 Are vehicles equipped with a fire extinguisher?	Yes/No
6. POLICIES & PROCEDURES	
6.1 Does the company have a clear and acceptable business contract?	Yes/No
6.2 Are shipping and receiving lists signed and maintained for future reference?	Yes/No
6.3 Does the company have a comprehensive employee screening process?	Yes/No
6.4 Does the company have a substance abuse policy (initial and ongoing)?	Yes/No
6.5 Are the employees/drivers provided with uniforms and identification cards?	Yes/No
6.6 Are employees required to sign a confidentiality agreement?	Yes/No
6.7 Is there ongoing employee education regarding the protection of the records in the care of the company?	Yes/No
6.8 Are after-hours personnel trained to handle client emergencies/requests?	Yes/No
7. STORAGE CAPABILITIES	
7.1 Is the company equipped to store:	

48 If there are, there is a danger of flooding.

7.1.1 Audio and video tapes?	Yes/No
7.1.2 Computer media?	Yes/No
7.2.3 Hardcopy records?	Yes/No
7.1.4 Micrographics?	Yes/No
7.1.5 X-Rays?	Yes/No
7.1.6 Maps?	Yes/No
7.1.6.1 How are maps stored?	Yes/No
7.1.7 List other formats stored	Yes/No
7.2 Does the facility have adequate space to meet current needs?	Yes/No
7.3 Does the facility have adequate space to meet future needs?	Yes/No
7.4 Does the facility have temperature and humidity controlled environment for:	Yes/No
7.4.1 Hardcopy records?	Yes/No
7.4.2 Electronic records	Yes/No
7.4.2.1 Is the vault constructed according to SA national standards?	Yes/No
7.4.2.2 Does the media vault have an auxiliary power backup?	Yes/No
7.4.3 Is the racking and shelving specifically designed for information management? ⁴⁹	Yes/No
7.4.3.1 Are the shelves lifted above the floor?	Yes/No
7.5 What is the general condition of the boxes?	Yes/No
7.6 What type of containers/boxes do they use?	Yes/No
7.7 How are the files kept inside the containers?	Yes/No
7.8 Is the company aware that archival paper records should be stored in acid free containers?	Yes/No
8. PHYSICAL CARE	
8.1 Are the facilities dust free?	Yes/No

⁴⁹ Archival records must be stored on shelves that are made of coated metal. Wooden shelving should be avoided, as it can release harmful vapours, can contribute to the spread of fire, may harbour insects and may collapse when there are floods.

8.1.1 How often are the buildings cleaned?	Yes/No
8.2 Is humidity a problem?	Yes/No
8.3 Are insects a problem?	Yes/No
8.3.1 How often do they fumigate the building?	Yes/No
8.3.2 Are they using an outside service provider to fumigate?	Yes/No
8.3.3 Are they supervising the service provider?	Yes/No
8.3.4 Will they provide the name of the company?	Yes/No
8.4 Are rodents a problem?	Yes/No
8.4.1 Are they taking preventative actions?	Yes/No
8.4.1.1 Describe what actions are taken.	Yes/No
8.5 Is too much sunlight/electric lighting a danger to the records?	Yes/No
8.5.1 Are they taking preventative actions?	Yes/No
8.5.1.1 Describe actions taken.	Yes/No
9. CUSTOMER SERVICES	
9.1 Do they have 24-hour customer access?	Yes/No
9.2 Do they use barcode tracking?	Yes/No
9.3 Do they provide client procedures and/or training?	Yes/No
9.4 Do they provide client review rooms?	Yes/No
9.5 Are computer reports available?	Yes/No
9.6 Do they provide confidential destruction services for:	Yes/No
9.6.1 Hard copy?	Yes/No
9.6.2 Media?	Yes/No
9.7 Do they assist with:	Yes/No
9.7.1 Contingency planning?	Yes/No
9.7.2 Disaster recovery services?	Yes/No
9.8 Do they have a courier service that is:	Yes/No
9.8.1 Company staffed?	Yes/No

9.8.2 Outside vendor?	Yes/No
9.8.3 Emergency service only?	Yes/No
9.9 Do they handle Departmental billing?	Yes/No
9.10 Do they provide e-mail transmission of records?	Yes/No
9.11 Do they provide fax transmission of records?	Yes/No
9.12 Do they provide emergency pick-up and delivery services?	Yes/No
9.13 Do they provide facility management/ outsourcing services?	Yes/No
9.13.1 Describe what services are provided.	Yes/No
9.14 Do they provide index and inventory services?	Yes/No
9.15 Do they provide information management consulting?	Yes/No
9.15.1 Describe what services are provided.	Yes/No
9.16 Do they provide microfilming/ imaging services?	Yes/No
9.17 Do they provide a phone reference service?	Yes/No
9.18 Do they provide remote (online) access?	Yes/No
9.19 Do they provide retention schedule monitoring?	Yes/No
9.20 Are they aware of the National Archives and Records Service's requirement that public records destruction must be authorized with a written disposal authority?	Yes/No
9.21 Do they provide retrieval and refile services?	Yes/No
9.21.1 How efficient is the retrieval system of the records?	Yes/No
9.21.1.1 Are they willing to demonstrate their retrieval system?	Yes/No
9.21.1.2 Describe the retrieval system.	Yes/No
9.22 Are storage containers readily available?	Yes/No
9.23 Are computer media transfer cases available?	Yes/No
9.23.1 Are there different levels of security for these cases?	Yes/No
9.24 Is a statement of service and prices available?	Yes/No
9.25 Is client records/information management software available?	Yes/No

ANNEXURE 21: PROTECTING RECORDS AGAINST VARIOUS PERILS

1. General

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

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

2. Fire

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

2.1 Position of record storage areas

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

2.2 Construction of storage areas

As far as possible, the walls, floors and roof should be constructed of non-flammable materials, like brick and cement. The doors should be sturdy, made from steel and lock properly. The windows should be equipped with burglar proofing. Both the windows and doors should be constructed in such a manner that no unauthorised persons may gain access to the records to cause a fire. Electrical installations should be installed in such a way as to prevent electrical faults from causing a fire.

2.3 Shelving and cabinets

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

2.4 Fire sources

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

2.5 Fire extinguishers

These should be easily available and in good working order. Water, dry powder or foam based extinguishers should not be used as these will in any event damage the records. Preferably carbon dioxide (CO₂) extinguishers should be used as the gas will not destroy or damage the records. Fire-fighting apparatus should be inspected annually. If a fire should break out, it should be extinguished as soon as possible. Staff should be adequately trained and aware of the dangers of CO₂ to humans.

3. Water

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

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

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

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

4. Pests

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

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

5. Extremes of temperature and humidity

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

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

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

6. Light

When records are exposed to light, their durability is severely affected. Paper-based records bleach and the writing fades. This is particularly the case of records exposed to direct sunlight. However, even exposure to indirect sunlight and artificial light damages

records over time. Thus, no direct sunlight should be allowed to shine on the records. In the storage areas of those records consulted less frequently all light sources should be limited. The electrical lights should be switched off when nobody is working in the storage areas. Similarly, the lights between the shelves in registry should be off when files are not being sought or repacked.

7. Dust

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

8. Handling

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

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

9. Unauthorised removal

To prevent records from becoming damaged, removed or destroyed, the Records Manager must ensure that measures are in place to prevent unauthorised persons from having access to registry and record storage areas during and after office hours. The control of keys to these areas should be assigned to a specific person who should ensure that access to these areas only occurs under supervision. Precautions should also be taken to burglarproof all windows that are accessible from the street. A counter should be erected to separate the registry work area from the entrance so as to prevent the entry of unauthorised persons. Staff from other division/sections should not have free access to the records and that includes personal files.

ANNEXURE 22: THE ORGANISATION AND FUNCTIONS OF A REGISTRY⁵⁰

1. Introduction

Registry controls the formal channels of communication and enables an organisation to perform its functions. Registry is the link between the organisation it serves, the various sections/components of the organisation and the outside world. A registry that is well organised ensures that records are correctly classified, filed, stored and disposed of when no longer needed.

A body's registry should be centrally situated in order to facilitate and expedite the distribution and flow of files. It should rather occupy an area that is initially too large with the view to avoid it becoming too cramped later. The registry lay-out should be closely associated with the idea of assuring the most effective workflow.

Registries are usually established on a centralised basis, but sometimes it is necessary to establish decentralised registries. Decentralised registries are usually established if it would cause unnecessary delays in accessing files if they are not kept near the individuals working with them, or if the access requirements of the files prevents them from being kept in a general registry e.g. human resources files. Governmental bodies should decide which of the two systems would work best for them. A general guideline is that it is better to keep the files in a central registry when files are used by more than one section/division, or if the workflow process requires the file to move to more than one section/division. When only one section/division uses certain files they could be kept at that section/division, provided that they are managed properly. Whether to establish centralised or decentralised registries should be considered carefully, taking the following into account:

- Decentralised registries-
 - ◆ Can cause the development of dissimilar records classification systems and records management practices, as well as duplication of files;
 - ◆ Require the use of more office space and shelving;
 - ◆ Prevent the accurate estimation of personnel recruiting and training needs.
- Centralised registries-
 - ◆ ensures uniformity in records management practices;
 - ◆ achieve better training results;
 - ◆ provide for the interchange of staff;
 - ◆ ensure that staff, office space and other resources are used optimally.

Should a governmental body decide to decentralise its registries, the following requirements should be met:

- The file plan and records management practices should remain uniform;
- The receipt and opening and dispatch of mail remain the function of the main registry, which will ensure that the correct file reference numbers are allocated to all mail before they leave the registry;
- Staff should be trained in the main registry to enable them to gain the necessary skills to manage records properly and to facilitate the interchange of staff when necessary.

⁵⁰ As the National Archives and Records Service's staff gains more experience with Integrated Document Management Systems, the National Archives and Records Service would revise this information from being purely paper-based.

2. Accommodation and layout

A single spacious office area, centrally located, should be used to accommodate a registry. The office's centrality should make the distribution and flow of records easier. As offices differ in size and complexity, it is impossible to suggest the ideal size for a registry office. Nevertheless, the office allocated should be able to accommodate the growth in documentation. A registry's layout should be closely designed to ensure an efficient workflow. See fig. 1 in Appendix A

The registry work area should be separated from the entrance by a counter (See fig. 2 in Appendix A). The purpose of this is to prevent the entry of persons not working in registry and to protect the records. It also, particularly in staff registries, prevents officers from other divisions and sections having easy access to personal files. Only the registry staff should retrieve files for the correspondence clerks rather than the latter doing it themselves.

3. Equipment and other requirements

Registries should have the following items:

- (a) Supervisor's table
 - (b) Ample chairs
 - (c) Tables to open post with movable wooden or wire pigeonholes for sorting.
 - (d) Postal dispatch table(s)
 - (e) Tables for attaching post and file sorting
 - (f) File distribution rack with pigeonholes
 - (g) Trolleys for carrying files
 - (h) Steel cabinet, with doors, to hold limited supplies of stationery and file covers.
 - (i) Cabinet with drawers for pending cards (only if necessary)
 - (j) One or two file cabinets or shelves. File cabinets are preferable to open shelving because of the added protection they give the records against dust and fire. Furthermore, shelves or filing cabinets should enable files to be easily stored and retrieved when needed; provide sufficient physical protection; and take up minimal space⁵¹.
 - (k) Cardboard containers are the most suitable method of storing files. These containers provided good protection against dust prevents files from becoming untidy and damaged and facilitates easy handling⁵².
 - (l) Post dispatch cabinet (See fig. 3 in Appendix A)
 - (m) Handbag cabinet
 - (n) File covers and other components of a file
- Although some bodies have their own file covers printed, where possible use should be made of the standardized covers (See fig. 4 in Appendix A). These covers can be obtained from the Government Printer as standard stationery items in four colours, viz. blue, green, red and black. Reinforced covers with ribbon linings are uneconomical and non-reinforced covers are just as effective.

A backing board with a paper fastener and a cardboard triangle washer are placed in the cover to secure the correspondence. (See fig. 5 in Appendix A)

A paper-fastener is placed in the top left-hand corner of the backing board about 4 cm from the top and side. The Government Printer supplies a paper punch that makes a single hole in filing material. The paper fastener is pushed through the backing board

51 The government contractor for shelving is: Symco Corporation, PO Box 8426, ELANDSFONTEIN, 1406

52 The government contractor for containers is: Box Pro cc, PO Box 49017, HERCULES, 0030

and not through the cover as this causes files to stick together, which damages them. (See fig. 6 in Appendix A)

A control sheet (see fig. 7 in Appendix A) is attached to the inside cover of the file. Once incoming post has been allocated a reference number, the relevant files should be drawn, the documents filed and the control sheet completed. Attaching incoming material to the front cover of the file or by placing it loosely inside the file is not recommended

Some bodies prefer to use 'Indian' fasteners as they allow for more movement when folding correspondence during consultation. However, the disadvantages are that they break easily and do not keep the correspondence securely in place.

It is unnecessary to place all incoming post in files before submitting them for attention. Many items, such as leave forms, financial statements, accounts claims, etc. may be sent loose to officers or sections and if necessary, returned to registry after attention for filing.

4. Functions of a registry

The National Archives and Records Service's publication *Directive G5: Prototype registry procedure manual* contains detailed information regarding the functions of a registry. The publication is available on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively it can be ordered in hard copy format from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 323 5287 e-mail: rm@dac.gov.za). In a summary, the registry is responsible for the following tasks:

4.1 Receipt, opening, sorting and dispatch of mail

The mailbag should be collected on a daily basis and a person who has been authorised in writing to do so should open mail at least once a day. The registry should preferably be closed when the mail is sorted to allow for the task to be done as speedily and as accurately as possible.

The following guidelines regarding the sorting of mail is useful:

- ♦ Official letters addressed by name to a person should be forwarded unopened.
- ♦ Private letters should be delivered unopened to the addressee.
- ♦ **Secret** and **Confidential** envelopes should be directed unopened to the person assigned for this purpose, who will deal with them according to the prescripts in the *Minimum Information Security Standard*.⁵³
- ♦ All envelopes marked "**staff confidential**" should be sent unopened to the Human Resources Department or Human Resources registry.

53 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: (012) 427 4000; Fax: (012) 427 4651. The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies*, that is available on [<http://www.info.gov.za/otherdocs/2001/infosecure.pdf>]. Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*. To obtain copies of this standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax (012) 428-6928; E-mail: sales@sabs.co.za.

- ♦ If a postal item is marked "for the attention of", open the letter and deal with it in the normal way, i.e.
 - date stamp the mail on the back of the first page of a letter. Annexures are never stamped;
 - allocate file reference numbers to the mail;
 - distribute the mail to the officials.

All mail should be posted via the registry, which should be well skilled in applying the prescriptions contained in the Postal Guide of the South African Post Office. If all mail is posted from a central point the registry can ensure that it is signed, date stamped and allocated with file reference numbers before it is dispatched. The registry can then also ensure that a copy of the outgoing letter is placed on the correct file.

4.2 Secure receipt and dispatch of money and other face value items

Money and other face value items received through the mail should be managed according to the prescriptions contained in the Treasury Regulations.

4.3 Preparation of file covers

A neatly prepared file cover is eye-catching and provides an incentive to the users to keep it in good condition. (See fig. 8 and fig. 9 in Appendix A for examples of well-prepared file covers)

The file number and length of inscriptions should be borne in mind when planning the front cover of the file. The area for inscriptions may be blocked off ensuring a neat appearance that is legible. Meanwhile, the space for the file number should be ascertained by considering how the file will be placed in the cabinet. The wear and tear to which the files are subjected should be considered when determining the quality of the file covers.

Inscriptions and numbers on file covers should be neat and legible. Fine line pens or stencils may be used. Descriptions and numbers can also be typed on the cover by means of a word processor with a good font. Alternatively, the inscriptions may be embossed on plastic strips that are then pasted to the covers. Black Indian ink is very effective as it is lasting and does not smudge when water is spilt on it.

The subject description should be short and concise. It should correspond with the description in the filing system. Each component of the file number should be indicated by the corresponding description in the file plan.

The following are examples of correct file cover descriptions.

- (a) Description of file 2/1/1
ORGANISATION AND CONTROL
Functions
Taken over
- (b) Description of file 4/6/1/2/1
ACCOMMODATION
Application and Allotment
Office Accommodation
(Regional Offices, excluded)
Pretoria
- (c) Description of file 3/3/5/1
FINANCE

(Expenditure, excluded)
 Claims from departments
 S.A. Railways

The above-mentioned examples contain details to adequately identify the files and enable users to quickly ascertain the subject matter. The Main Series description must always be noted on the cover.

Each file's volume number should immediately be indicated on the file cover when one is opened, using Arabic figures only.

The period of a closed file should be indicated on the cover, i.e. the dates of the first and last items on the file.

Each file's disposal instruction is placed on the cover once it has been obtained from the National Archivist.

Should a file carry a security classification, it should be clearly indicated on the file cover.

4.4 Numbering and placing of documents in files

The numbering of items and submissions on a file has the advantage that one can refer to a specific page. Since each item is regarded as an entity, each item rather than each page should be numbered. Likewise, it is unnecessary to arrange documents in reverse order on the file.

Returnable documents i.e. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned inside the file cover.

For instructions regarding the numbering and placing of documents on security classified files, see chapter 4 of the *Minimum Information Security Standard*.⁵⁴

4.5 Distribution of files from registry

Files are brought to a specific place in registry. They are distributed to the various officials and sections once they have been sorted into clearly marked pigeonholes. From here the messengers remove them. Sorting is carried out regularly by the registry personnel who note the files' conditions. They should arrange for the immediate opening of further volumes should existing files become too thick.

4.6 Tracing Files

If a file is unavailable after the first search, or after a reasonable period of time, the document should be sent to the appropriate section for noting and instructions. If the matter cannot be attended to without the file, registry should be requested to continue

54 The *Minimum Information Security Standard* can be obtained from the National Intelligence Agency, Private Bag X87, PRETORIA, 0001, Telephone: (012) 427 4000; Fax: (012) 427 4651. The National Archives and Records Service also recommends compliance with the Department of Public Service and Administration's *Draft Information Security Policies*, that is available on [<http://www.info.gov.za/otherdocs/2001/infosecure.pdf>]. Governmental bodies that are not subject to the *MISS* should take note of the guidance in SANS 17799: *Information Technology – Security techniques – Code of Practice for Information Security Management*. To obtain copies of this standards contact the South African Bureau of Standards' Standards Sales Division at: Office address: 1 Dr Lategan Road, Groenkloof, Pretoria; Postal Address: Private Bag X191, Pretoria, 0001; Telephone: (012) 428-6883; Fax (012) 428-6928; E-mail: sales@sabs.co.za.

looking for it. After repeated unsuccessful attempts to locate the file, the registry head should open a duplicate file and, in pencil, note this fact in the *register of files opened*.

Only in exceptional cases should registry staff be instructed to search urgently for a file. Only in extreme circumstances should it be necessary to conduct special searches for files.

Offices are systematically searched and the correspondence is placed on those files found with notes made on the control sheet. It should be mentioned to the official concerned, that new correspondence has been placed on the relevant files. If he/she is absent the files can be placed in the "IN" pigeonhole or tray on his desk.

Files should be removed from an official's desk without his/her knowledge. If the official is absent, a note can be left indicating that the file was taken.

4.7 Filing documents and storing files

Before a file is replaced, the registry staff should make sure that all correspondence has received attention and for the instructions to "file" or "pend".

Files should always be neat and care should be taken to ensure that their covers are intact. Correspondence should be arranged neatly in the cover, the filing spike is undamaged, and all pins and paper clips should be removed. Repairs to files should be done before they are stored or sent to an official. When a file becomes 3 cm thick, it should be closed and a new volume opened.

Incoming post is dealt with in registry. However, to assist the registry staff, the correspondence clerks should themselves place their submissions and copies of outgoing letters on the relevant files. However, smaller offices prefer the filing of all documentation to be done by the registry staff.

Documents should be attached to spikes placed inside the back of the file cover. To keep the filing material firmly in place, a cardboard washer is placed over the spike on top of the last item of correspondence. This washer is removed to place more items on the file and immediately replaced.

Documents are filed chronologically according to date of receipt in registry, and the item with the latest date appears on the top. An Annexure, regardless of its date, forms part of the document with which it was sent. Generally, the date of receipt of incoming correspondence, and not the date of dispatch determines the order in which documents are filed.

Only one copy of the outgoing correspondence should be placed on a file. More than one copy on the same file serves no purpose. Cross-referencing is both useful and essential but should only be used when necessary. Only one reference number should appear on the outgoing letter, while the correspondence clerk should indicate the alternative reference number on the extra copy.

Reports, minutes of meetings and other bulky material should not be filed with other documents. They should be placed in an Annexure cover and this fact should be indicated on the file. No correspondence should be placed in the cover, which should only contain the number of the file and the word "Annexure". Where a library exists consideration may be given to placing all publications not requiring departmental action in the library. Publications should not be placed on an ordinary file.

Valuable documents should be protected against damage. Care should be taken that such losses do not cause embarrassment. Personal documents received for noting should be placed in an envelope and attached inside the flyleaf of the file until they are returned to the owner. There are also instances when material is taken into safe custody, and this is noted on the relevant covering postal item or document on the file.

Facsimile copies made on heat sensitive glazed paper are inclined to fade and become illegible over time. Thus to ensure proper record keeping, a photocopy must be made of the received fax and placed on the file.

Files are stored in cabinets or shelves either numerically or alphabetically or alpha-numerically.

In departments with a few SP personal files, these together with the SL, SF, and SA files do not need to be numbered. Surnames and initials on the covers are sufficient.

When there are a large number of personal files, the SP, SL, SF, and SA files can be numbered alpha-numerically i.e. S/A1, S/A2, and S/B1, S/B2, etc.

File covers with different colours may be used to differentiate the four types of personal files. All files related to one specific official or employee should however be stored together.

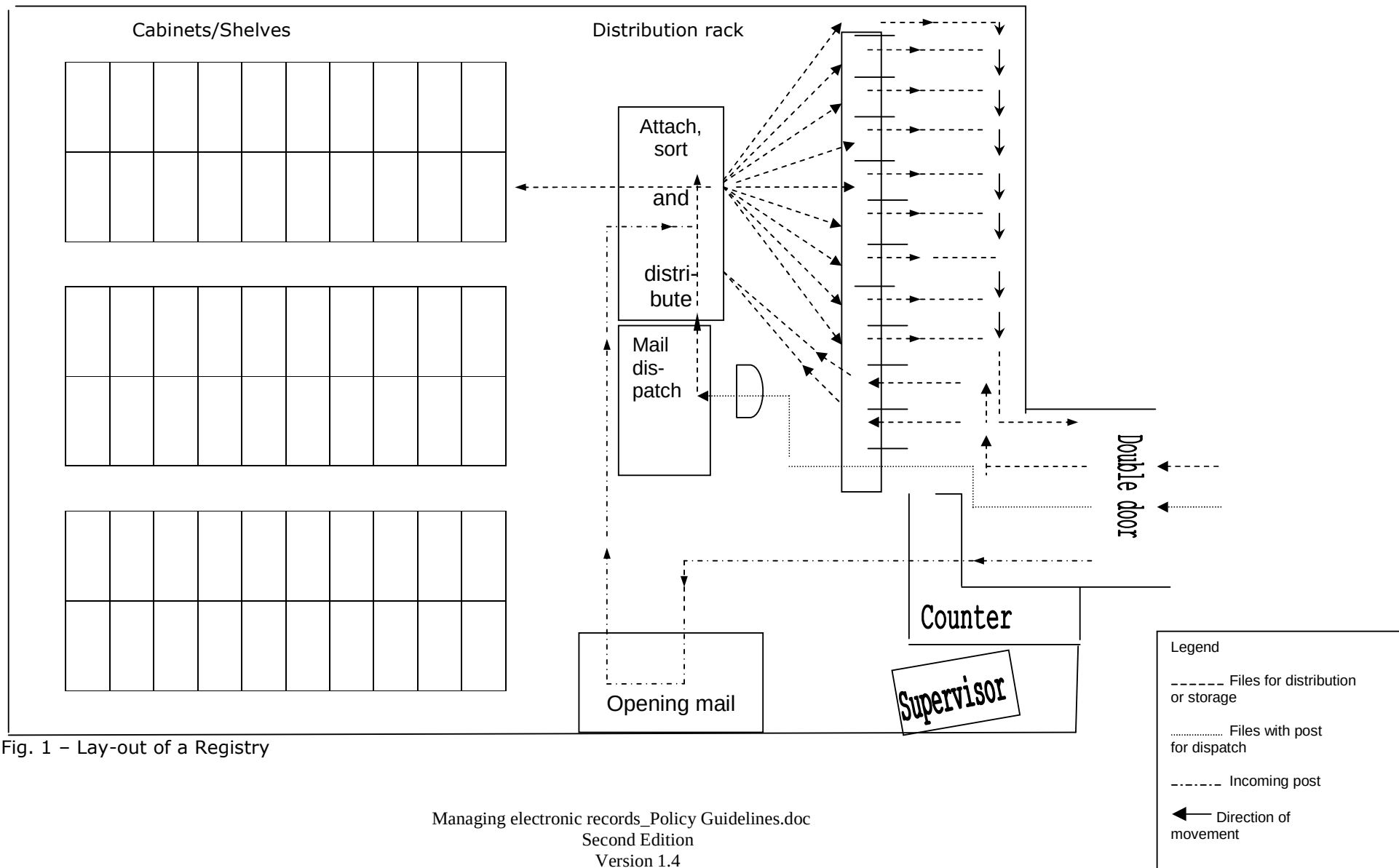


Fig. 1 – Lay-out of a Registry

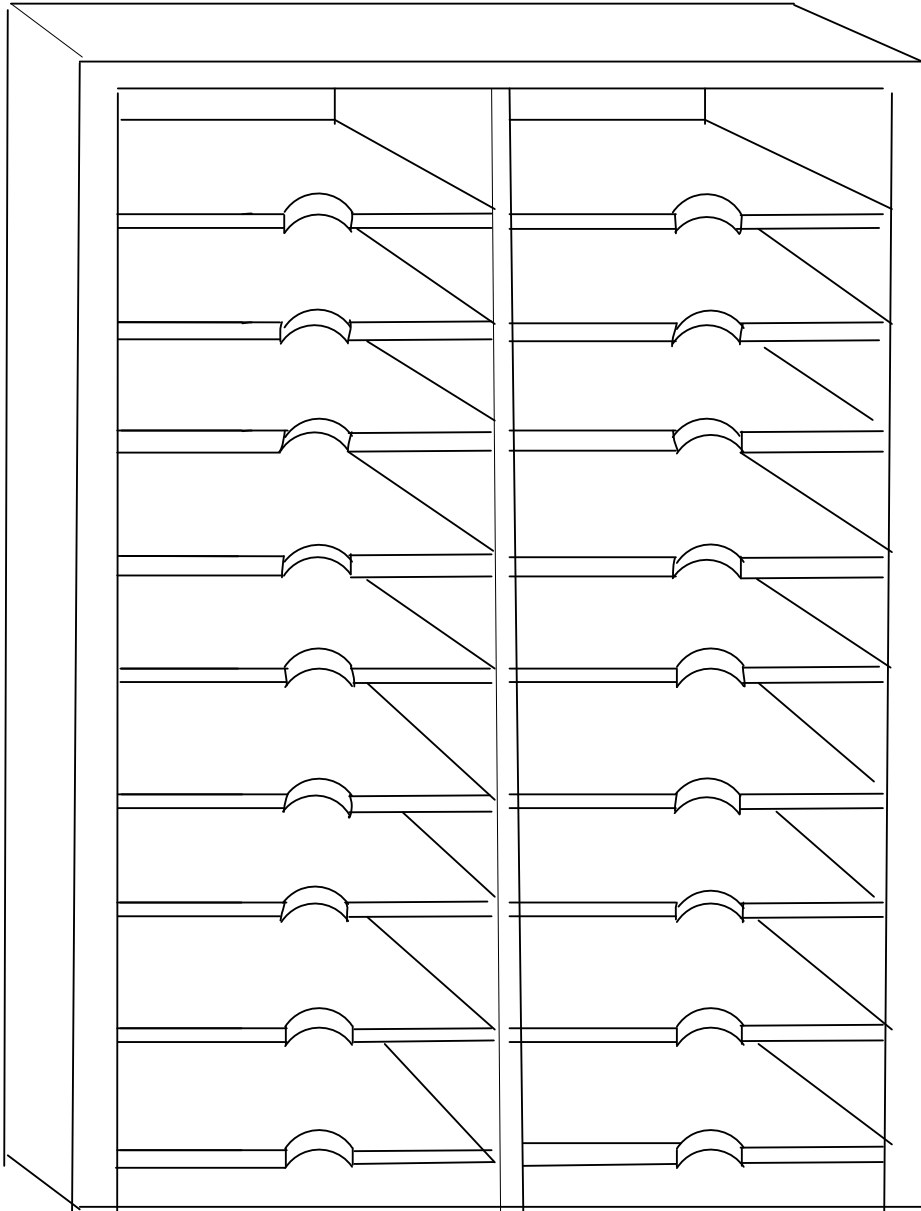


Fig. 3 – Mail dispatching cabinet

LÊER-FILE NO.		LÊER-FILE NO.																					
		ONDERWERP-SUBJECT 																					
		➔ ➔																					
		VERWYSINGS-REFERENCES					TYDPERK-PERIOD		BESKIKKING-DISPOSAL														
							TOT- TO																
KANTOOR-OFFICE																							
VOL		DEPARTEMENT-DEPARTMENT																					
<table border="1" style="width: 100%; height: 200px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																							

Fig. 4 – Standardised file cover

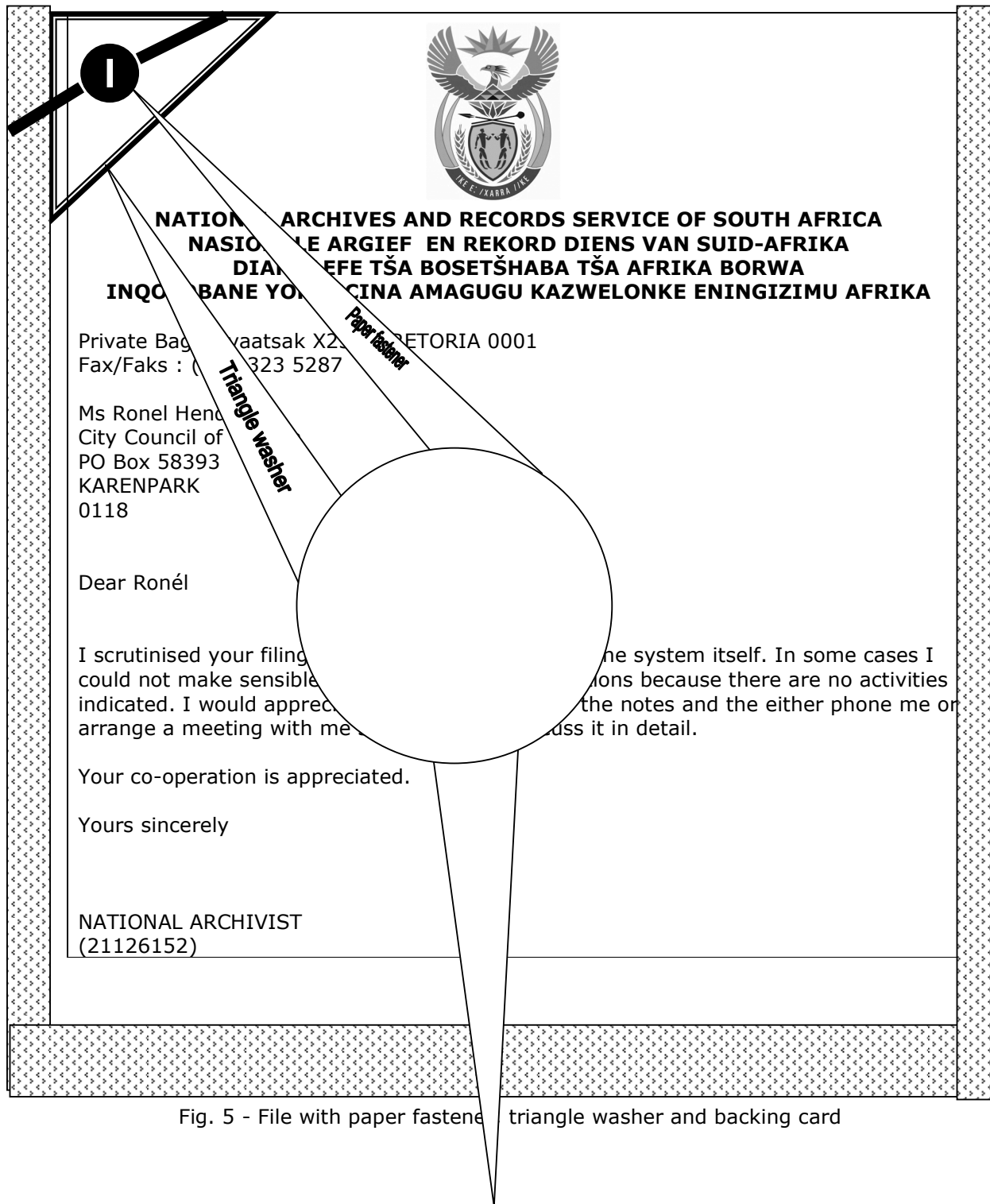


Fig. 5 - File with paper fastener, triangle washer and backing card

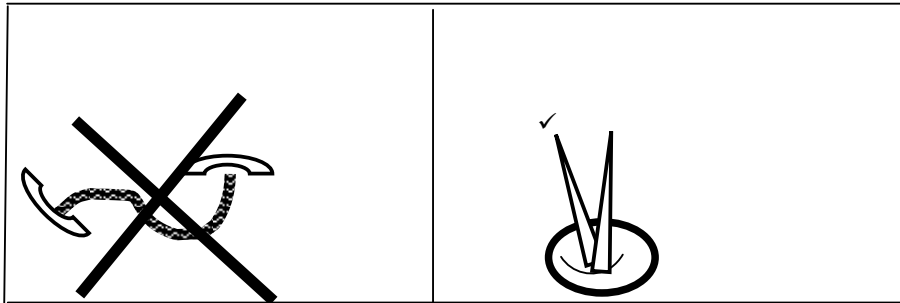


Fig. 6 – Correct paper fastener

KONTROLELEVEL – CONTROL SHEET							
Seksie wat normaalweg met lêer handel Section normally dealing with file							
Item	Datum op lêer Date on file	Vir aandag van For attention of	Verwys na bladsy Refer to page	Paraaf Initials	Datum Date	Hou oor Pend	Bêre File
17	10-4-02	A.C.	13	A.C.	12-4-02	_____	File
18	11-4-02	W.X / XY / A.C	17	A.C.	12-4-02	_____	File
19	12-4-02	W.X	18	A.C.	12-4-02	15-5-02	File

Fig. 7 – Control sheet

Fig. 8 - Example of a well-prepared cover (Human Resources)

[illegible]

Fig. 9 – Example of a well-prepared cover

ANNEXURE 23: PAPER CONSERVATION GROUP AND PRODUCTS

SOUTH AFRICAN PAPER CONSERVATION GROUP (SAPCON)

For membership contact:

Mrs. M van Staden
PO Box 35682
MENLO PARK
0102
Tel./Fax: (012) 361 4592
E-mail: mvs@lantic.net

CONSERVATION PRODUCTS FOR ARCHIVAL PRESERVATION AND RESTORATION

Stanwood cc
PO Box 87441
Houghton, 2041
JOHANNESBURG
Tel.: (011) 485 3763
Fax: (011) 485 1105
e-mail: cmlewis@hixnet.co.za

Contact: Mrs. Lewis

Disclaimer: The fact that these companies are listed here does not constitute an endorsement of their services, neither does it express any opinion regarding the quality of the services rendered by them.

ANNEXURE 24: RECORDS MANAGEMENT COURSE

Introduction

Records management is the management of information resources in a manner that makes information easily accessible, securely protected, stored and disposed of when no longer required for administrative purposes. Records management controls the creation, maintenance, use and disposal of records.

Aim

The aim of the 4-day records management course is to teach the basics of records management and explain the National Archives and Records Service's role in promoting efficient records management.

Target group

The course is designed to accommodate records managers, senior administrative officials, training officials, work-study officials and registry heads.

It is suggested that, as the records management course does not teach routine registry practices, registry clerks receive in-service training rather than attend this course.

Medium

The course is presented in English.

Content

The course covers the following topics:

- Archival legislation and the role of the National Archives and Records Service
- Duties of the records manager
- Records management policy
- Importance of good record keeping practices
- Identification and care of different categories of records
- Compilation of classifications systems
- Disposal of records

The course will also have group discussion sessions, practical exercises and videos dealing with various facets of records management.

Certificates

Certificates will be issued to candidates who are able to complete two practical exercises successfully.

Fees

No fees are charged for the course.

Venue

The course is presented on the premises of the National Archives and Records Service, 24 Hamilton Street, Pretoria.

Refreshments

Tea and coffee are provided.

A restaurant within walking distance from the National Archives and Records Service building provides lunch to course-goers at reasonable prices.

Travel and subsistence

Traveling and subsistence expenses incurred by candidates are not the responsibility of National Archives and Records Service of South Africa.

Dates

The dates of the RMC are determined on an annual basis. They are published on the National Archives and Records Service's website <http://www.national.archives.gov.za>

Alternatively they can be obtained from the course organiser. See contact details.

Contact details

For further information regarding the course contact:
Arie Bot
National Archives and Records Service of South Africa
Private Bag x236
PRETORIA
0001

Tel.: (012) 441 3200
Fax: (012) 323 5287
E-mail: rmc@dac.gov.za

ANNEXURE 25: RECORDS MANAGEMENT PERFORMANCE CRITERIA

Records Management Performance Criteria Relevant to the National Archives and Records Service of South Africa Act (No 43 of 1996 as amended)

1. Policy	
1.1 Does the body have a records management policy?	Yes/No
1.2 Is the policy endorsed by the head of the governmental body and his/her senior managers?	Yes/No
1.3 Is the policy endorsed by the National Archives and Records Service of South Africa?	Yes/No
1.4 Is the records management policy known to all members of staff?	Yes/No
1.5 Is the records management policy reviewed at regular intervals?	Yes/No
2. Resources	
2.1 Has the records management programme been allocated the appropriate resources (finances / staff / equipment) to enable it to be maintained?	Yes/No
3. Responsibility	
3.1 Does the body have a formally designated records manager?	Yes/No
3.2 Are operational records management responsibilities formally assigned to the records manager and his/her sub-records managers?	Yes/No
3.3 Are record keeping responsibilities of individual employees documented and communicated to all staff?	Yes/No
3.4 Does senior management lead by example?	Yes/No
4. Position in the organisation	
4.1 Is the records management programme organisationally located in the most appropriate position in the organisation?	Yes/No
4.2 Have relationships with other key information management stakeholders (e.g. IT sections) in the organisation been identified and developed?	Yes/No

5. Training	
5.1 Has the records manager attended the Records Management Course offered by the National Archives and Records Service of SA?	Yes/No
5.2 Has the records manager attended any other records management training?	Yes/No
5.2.1 Describe the training attended	
5.3 Does the body have copies of the Records Management publications issued by the National Archives and Records Service of SA?	Yes/No
6. Strategic Plan	
6.1 Is records management an objective in the strategic plan of the body?	Yes/No
6.2 Does the records management programme have a documented strategic plan?	Yes/No
7. Record keeping systems and disposal of records	
7.1 File plans	
7.1.1 Is there a file plan for paper-based records in use?	Yes/No
7.1.2 Has the National Archivist approved the file plan?	Yes/No
7.1.3 Has a disposal authority been issued for it?	Yes/No
7.1.4 Is the master copy of the file plan updated regularly?	Yes/No
7.1.5 Were all revisions and additions reported to the National Archivist for approval?	Yes/No
7.1.6 Has disposal authority been issued for all revisions and additions to the file plan?	Yes/No
7.1.7 Are the disposal authorities carried out on a regular basis?	Yes/No
7.1.8 Is the same file plan used for the electronic correspondence system?	Yes/No
7.1.9 Is there an electronic document/records management system in place to control the management of electronic records?	Yes/No
7.2 Schedule for records other than correspondence systems	

7.2.1 Does the body have a schedule for paper-based records other than correspondence files?	Yes/No
7.2.2 Are all paper-based records other than correspondence files reflected on it?	Yes/No
7.2.3 Has disposal authority been issued for it?	Yes/No
7.2.4 Are the disposal authorities carried out on a regular basis?	Yes/No
7.3 Schedule for microfilm records	
7.3.1 Does the body have a schedule of microfilm projects?	Yes/No
7.3.2 Has disposal authority been issued for it?	Yes/No
7.3.3 Are the disposal authorities carried out on a regular basis?	Yes/No
7.4 Schedule for electronic records systems	
7.4.1 Does the body have a schedule of electronic records systems other than the electronic correspondence system?	Yes/No
7.4.2 Has disposal authority been issued for it?	Yes/No
7.4.3 Are the disposal authorities carried out on a regular basis?	Yes/No
7.5 Schedule for audio-visual records	
7.5.1 Does the body have a schedule of audio-visual records?	Yes/No
7.5.2 Has disposal authority been issued for it?	Yes/No
7.5.3 Are the disposal authorities carried out on a regular basis?	Yes/No
8. Terminated records	
8.1 Does the body have terminated records?	Yes/No
8.2 If yes, does it have disposal authority?	Yes/No
8.3 Does the body carry out the disposal authority frequently?	Yes/No
9. Records control mechanisms	
9.1 Register of files opened	
9.1.1 Has this register been implemented?	Yes/No

9.1.2 Is the register kept up to date?	Yes/No
9.2 Register of disposal authorities	
9.2.1 Are copies of all disposal authorities filed here?	Yes/No
9.3 Destruction register	
9.3.1 Are the destruction dates of all non-archival records recorded here?	Yes/No
9.3.2 Is the register kept up to date?	Yes/No
10 Registry procedures	
10.1 Does the body have a registry procedure manual?	Yes/No
10.2 Is it in use at all registries?	Yes/No
10.3 Are all registry staff conversant with the registry procedures?	Yes/No
11. Record keeping procedures	
11.1 Do all members of staff know what records the body generates?	Yes/No
11.2 Do all members of staff know how these records are to be identified, kept and used?	Yes/No
11.3 Is e-mail which forms part of the official records filed according to the paper-based file plan? Or	Yes/No
11.4 Is the e-mail controlled via the electronic document/records management system and stored in electronic form?	Yes/No
11.5 Are all members of staff capable of allocating the correct file reference numbers to all paper-based and electronic documentation?	Yes/No
12. Physical custody and care	
12.1 Has the records manager approved all locations for records storage?	Yes/No
12.2 Are the storage areas dedicated to records storage?	Yes/No
12.3 Are paper-based correspondence files stored –	Yes/No
12.3.1 In numerical sequence to facilitate easy retrieval?	Yes/No
12.3.2 On shelves inside the storage areas?	Yes/No

12.4 Are all records protected against –	Yes/No
12.4.1 Careless and rough handling?	Yes/No
12.4.1 Fire damage?	Yes/No
12.4.1 Water damage?	Yes/No
12.4.1 Mould?	Yes/No
12.4.1 Pests?	Yes/No
12.4.1 Excessive light?	Yes/No
12.4.1 Unauthorized removal?	Yes/No
12.4.1 Dust?	Yes/No
12.5 Are the locations/storage areas of all records other than correspondence files recorded in the records control schedule?	Yes/No
12.6 Are all electronic records systems protected against –	Yes/No
12.6.1 Tampering?	Yes/No
12.6.1 Unauthorized alteration?	Yes/No
12.6.1 Accidental damage or destruction?	Yes/No
12.6.1 Intended damage or destruction?	Yes/No
12.7 Are records that are kept on magnetic, optical and audio-visual storage media stored in climatically controlled storage areas?	Yes/No
12.8 Are the electronic storage media refreshed on a regular basis?	Yes/No
12.9 Does the body have a migration strategy for its electronic records?	Yes/No

B Legal regulatory compliance

13.1 Records Management Performance Criteria Relevant to the Public Finance Management Act (Act No 1 of 1999)	
13.1.1 Has the body received any requests for evidence in terms the Public Finance Management Act?	Yes/No
13.1.2 Was the body able to provide the requested evidence within the prescribed time frame?	Yes/No

13.1.3 Was the body able to retrieve the requested evidence comprehensively in paper or other formats?	Yes/No
13.1.4 Was the body able to prove accountability in terms of the Public Finance Management Act?	Yes/No
13.2 Records Management Performance Criteria Relevant to the Promotion of Access to Information Act (Act No 2 of 2000)	
13.2.1 Does the body keep a manual on functions and an index of records held by it?	Yes/No
13.2.2 Has the body received any requests for information in terms of the Promotion of Access to Information Act?	Yes/No
13.2.3 Was the body able to provide the requested information within the prescribed time frame?	Yes/No
13.2.4 Was the body able to retrieve the requested information comprehensively in paper or other formats?	Yes/No
13.3 Records Management Performance Criteria Relevant to the Promotion of Administrative Justice Act (Act No 3 of 2000)	
13.3.1 Has the body received any requests for reasons for administrative action in terms of the Promotion of Administrative Justice Act?	Yes/No
13.3.2 Was the body able to provide reasons within the prescribed time frame?	Yes/No
13.3.3 Was the body able to formulate reasons with the support of records maintained in paper or other formats?	Yes/No
13.4 Conclusion	
Flowing from the preceding evaluation, indicate whether the governmental body complies with the requirements of the following Acts regarding records management or not: • National Archives and Records Service of South Africa Act (No 43 of 1996 as amended) • Public Finance Management Act (Act No 1 of 1999) • Promotion of Access to Information Act (Act No 2 of 2000) • Promotion of Administrative Justice Act (Act No 3 of 2000)	Yes/No Yes/No Yes/No Yes/No

Other Remarks/Conclusion regarding records management practices	

ANNEXURE 26: INSPECTIONS BY STAFF OF THE NATIONAL ARCHIVES AND RECORDS SERVICE

1. INTRODUCTION

The responsibility and powers to inspect bodies falling under the National Archives and Records Service of South Africa Act (Act No. 43 of 1996 as amended) is vested in the National Archivist in terms of section 13(2)(c) of this Act.

The National Archivist has allocated this responsibility to the National Archives and Records Service's Records Management Divisions, and it is seen as a core component of the National Archives and Records Service's overall records management function. The inspection is one of many records management tools available, but it is the most comprehensive and powerful. It requires substantial resources to be used effectively. Ideally every governmental body should be inspected regularly, preferably on an annual basis. In records management a lot can happen in a year, especially when the high turnover in registry staff is taken into account.

The Records Management Division utilises six different categories of inspection, each designed to meet specific circumstances.

2.1 CATEGORIES OF INSPECTION

2.1 Routine inspection

This inspection covers the full range of records management functions, but not in depth. It is designed to secure an overall picture of the body's records management practices and to make the body aware of its responsibilities in terms of the Act. It is used primarily for new bodies, bodies which have undergone substantial organisational restructuring, and bodies with which the National Archives has had little contact.

2.2 Inspection of approved file plan implementation

This inspection should be undertaken within the first year of a file plan's implementation, and its purpose is fourfold:

- (i) If the file plan has replaced a previous file plan, to check that the file plan and physical files have been properly terminated;
- (ii) To confirm the desirability or otherwise of provisions in the file plan which although acceptable appear either unnecessary or inappropriate;
- (iii) To check provisions in the file plan which could overlap;
- (iv) To check all parent files in order to confirm their appropriateness (in other words that they are necessary and used in the correct way).

At the same time, as a secondary aspect, some features that are part of a maintenance inspection would also receive attention.

2.3 Inspection of approved filing system maintenance

This inspection is designed to measure how efficiently and accurately the physical system is being maintained. Ideally such an inspection should take place after the system has been in use for two years, and thereafter it should be undertaken regularly. The following aspects should receive attention:

- (i) Does the master copy of the file plan correlate with the National Archivist's master copy?
- (ii) The appropriateness of maintenance procedures (e.g. register of files opened; the supervisory and management functions of the records manager; etc.).
- (ii) The accuracy of document subject classification - includes misfiling.
- (iii) The degree of efficiency with regard to the flow of files in an office, in other words the demand, supply and locating thereof.
- (iv) The correct use of policy, routine enquiry and parent files.
- (v) Filing order of documents on a file.
- (vi) Preparation and maintenance of file covers.
- (vii) Closure procedures of files.
- (viii) Administration and storage of closed files.
- (ix) Physical care of all files.

2.4 Appraisal inspection

This inspection is designed to supplement standing disposal authority applications. Item descriptions, which do not clearly identify either ephemeral or permanently valuable records are investigated. In some cases limited disposal authority applications can also be facilitated by an on-site inspection.

2.5 Occasional inspection

By its nature, this inspection is designed for ad hoc application. It is undertaken in response to a request for assistance from a client body, or when the National Archivist identifies a specific problem in a client body.

2.6 Comprehensive inspection

This inspection is designed to cover in depth all aspects of records management practice in a governmental body. It is seldom used, but is a useful tool in certain circumstances, notably when a client body is experiencing wide-ranging records management problems. The ideal procedure for such an inspection is as follows:

- (i) Send comprehensive inspection questionnaire to the body.

- (ii) Process the completed questionnaire.
- (iii) Do the on-site inspection by following up problems identified in the questionnaire and, where appropriate, inspecting the maintenance of the body's approved filing system(s).
- (iv) Compile the inspection report and send it to the client body.
- (v) Follow up response to the inspection report.

ANNEXURE 27: RECORDS OTHER THAN CORRESPONDENCE SYSTEMS

The following types of records are records other than correspondence files and should be listed on the Schedule for other records systems.

Reports and minutes

Examples are items like annual reports, progress reports as well as minutes of various committees and other bodies kept outside the filing system.

Financial records

Examples are financial statements, ledgers, cashbooks, etc. Many of these financial records are found in all governmental bodies. Governmental bodies must comply with the Treasury Regulations for departments and constitutional institutions which was issued in terms of the Public Finance Management Act of 1999 as well as similar regulations issued in terms of the Municipal Finance Management Act, 2003.

Registers/Card Indexes

Examples are the Register of Files Opened, Destruction Register, Master Copy of the Filing System, leave registers, attendance registers, etc.

Publications

Examples are advertising brochures, posters and newsletters.

A body should distinguish between its own publications and those that are received from other bodies. Publications are usually stored in a library, but may sometimes be stored in the filing system or another storage area. Publications stored in a library and publications that are received by purchase or subscription need not be listed in the schedule of other records systems because they are not considered records according to the National Archives Act's definition of record. They are however state assets and must be managed according to the prescriptions in the Treasury Regulations. Publication that do not fall in these two categories should be listed in the schedule of other records systems.

As far as offices' own publications are concerned these are regarded as records and should be listed in the Schedule of records other than correspondence systems.

Cartographic Material

Examples are maps, plans, diagrams, charts, sketches, etc. They should be listed in the schedule of other records systems.

Photographs

Examples are aerial photographs, portraits, etc. These may not be disposed of without the approval of the National Archivist. They should therefore be listed in the schedule of other records systems.

Works of Art

Works of art like paintings are not records. They are state assets that should be managed according to the prescripts in the Treasury Regulations. Works of art should not be listed in the schedule of other records systems.

Circulars

The organisation must distinguish between received and own circulars. The main reason is in the issuing of disposal authority.

Received Circulars are usually a complete set kept outside of the filing system. These received circulars must be reflected in the schedule of other records systems.

Own Circulars are those created by the body and distributed to other bodies. These are usually kept in the filing system, but should the body have a complete set of these kept outside the filing system, they should be listed in the schedule of other records systems.

Electronic records systems other than the correspondence system

Examples would be business applications that are generated for specific purposes, like an imaging system for services accounts, or a structured database maintained for specific operational purposes. All components of electronic records systems are records as defined by the Act, they must be dealt with in accordance with the provisions of the Act. The electronic records systems consists of data input, data storage, data processing and data output with regard to a specific activity, as well as related metadata.

In order to efficiently manage it electronic records systems other than the correspondence system, governmental bodies must describe these systems in the schedule of electronic records systems.

Micrographic Records

Micrographic images of records created during microfilm projects are also records in terms of the Act. In terms of section 13(2)(b)(ii) of the National Archives of South Africa Act the National Archives must determine the conditions subject to which records may be microfilmed. The rationale behind this is that microfilm projects generally involve the destruction of original paper-based records. It is imperative that the microfilm project should only be undertaken once written approval have been obtained from the National Archivist.

Films, Videos and Sound Recordings

All films, videos and sound recordings are defined as records. They are thus subject to the same requirements regarding custody, care and disposal as other records. Examples: Films or videos compiled on the activities of the department or for project purposes, mayoral speeches, court hearings, etc.

ANNEXURE 28: LIST OF CIRCULARS ISSUED BY THE NATIONAL ARCHIVIST⁵⁵

1/1963	Disposal of personal files and service record cards of officials after conclusion of service (AP 3) (Feb. 1963) (Lapsed, but still applicable to the records of the SA Railways/SA Transport Services/Spoornet before 1990.04.01)
1/1964	Disposal of personal files and service record cards of officials and employees after conclusion of service (Jan. 1964) (Replaced in toto by 1/87)
1/1965	Obtaining Disposal Authority in respect of all archives (Government Offices) (Jan. 1965)
1/1965	Disposal of Archives: Local Authorities (PAA 1) (Aug. 1965) (Replaced in toto by 1/92 hereunder)
1/1967	Control and management of Archives in Government Offices (Jun. 1967)
2/1970	Destruction of archives (after filming) (May 1970)
1/1974	Disposal of Archives: Computer Documentation (Aug. 1974)
1/1979	Amendment of legal provisions regarding archives (micrography, filing) (Apr. 1979) (Related to the Archives Act No. 6 of 1962)
3/1984	Word Processor: Instructions for Use (Oct. 1984)
1/1985	Disposal of duplicate personal files
2/1985	Disposal of Tenders and contracts: AK 3 (Government Offices and S.A. Transport Services) PAK 3 (Local Authorities) (Dec. 1985) (Local Authorities replaced by 1/93 hereunder)
1/1987	Disposal of personal files and staff record cards (May 1987) (Government Offices)
1/1989	Use of fax machines (Aug. 1989)
1/1992	Disposal of archives other than correspondence files - local authorities (Dec. 1992)
1/1993	Disposal of tenders and contracts (local authorities) (Apr. 1993)
2/1993	Disposal of plans and drawings described according to the regulations in terms of the National Building Regulations and Building Standards Act - local authorities (Aug. 1993)

55 a) Some of these circulars are available on the National Archives and Records Service's website <http://www.national.archives.gov.za>. Alternatively hard copies can be requested from the Records Management Division (Tel.: (012) 441 3200, Fax: (012) 323 5287, e-mail: rm@dac.gov.za).

b) The website contains the latest additions.

3/1993	Disposal of Classified Archives (Oct. 1993)
1/1994	Restructuring of State Offices: Control over Archives (Apr. 1994)
1/1995	Moratorium on the Destruction of Public Records (Dec. 1995)
1/1997	Commencement of the National Archives and Records Service of South Africa Act, 1996 (Act No. 43 of 1996) (Feb. 1997)
2/1997	Transfer of official publications to the National Archives and Records Service of South Africa (Mar. 1997)
3/1997	Location of documentation related to the National Security Management System (Dec. 1997)
1/1998	Safekeeping and destruction of public records: Subordinate nature of other legislation in relation to the National Archives and Records Service of South Africa Act, 1996 (Jun. 1998)
2/1998	Moratorium on the destruction of public records (Nov. 1998)
3/1998	National Archives of South Africa Act: Applicability to statutory bodies.
1/2004	Application of the SANS 15489 Records Management Standard by governmental bodies.
1/2006	Application of the South African National Records Management Standards by governmental bodies within the framework of the National Archives and Records Service of South Africa Act, 1996.
2/2006	Incorrect information conveyed at an Institute of Municipal Administration of South Africa (IMASA) Conference from 11-15 April 2005 regarding section 13 of the National Archives and Records Service Act, 1996 versus sections 14-16 of the Electronic Communications and Transactions Act, 2002.
3/2006	Application of the South African National Records Management Standards adopted in 2006 by governmental bodies within the framework of the National Archives and Records Service of South Africa Act, 1996.
4/2006	State Information Technology Agency (SITA) Tender 398: Enterprise Content Management Solutions
5/2006	Preservation and disposal of visitors' books: Notification of issuing of general disposal authority AV2.

CHANGE HISTORY

VERSION NUMBER	CHANGES MADE
Version 1.4	1. Typing errors corrected. 2. NARS telephone number changed throughout the document. 3. Par 4.2.3.2.3 adapted to exclude notification of transfer of personal staff files. 4. Annexure 4, par 6.6.1: Paragraph adapted to make provision of information security. 5. Annexure 5: a) paragraph 3.3.1 reworded to clarify intent; b) paragraph 3.3.2 definition of support function reworded to clarify c) paragraph 8: removed. 6. Annexure 6: Outdated directives removed from list 7. Annexure 12: List of General Disposal Authorities updated 8. Annexure 16: reference to State Tender Board contract RT26 replaced with reference to the Government Printer's Catalogue of Stationery 9. Annexure 18: Contact details updated.

(HB#5958v1)