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Sir/Madam

DISPOSAL OF RECORDS: SCHEDULE OF RECORDS OTHER THAN CORRESPONDENCE FILES

1. It is prescribed procedure for local authorities to obtain disposal authority from the National Archivist for all records (i.e. correspondence files and records other than correspondence files - or Other Records) in their custody.
2. Attached is a prototype schedule, based on disposal authorities, which have been issued to local authorities in the past, and following the example of which every local authority should compile its own schedule.
3. This prototype is not a disposal authority and may not be implemented as such. Offices must use the prototype as a model in the design of a schedule which
 - (i) reflects the unique records management practice of a given office, and
 - (ii) should be submitted to the National Archivist for disposal authority.

The following procedure should be followed in adapting the prototype:

- Delete all items which are not applicable to your office.
- Add items used by your office which do not appear in the prototype.

- Where retention periods for items with a D disposal instruction are not given, retention periods appropriate to your office should be supplied.
N.B. Retention periods determined by the Auditor General and the Department of Transport must be maintained. Your office must supply retention periods only in cases where they are not given.
4. The special nature of electronic records, microfilms and recordings (eg. films, videos and sound recordings - which are also other records) make it inadvisable to include utilisation lists in a prototype records control schedule. If you do utilise a computer and/or maintain microfilms, you are requested to follow the instructions contained in sections 3. MICROFILM, 4. ELECTRONIC RECORDS and 5. FILMS, VIDEOS AND SOUND RECORDINGS in the attached prototype.
 5. If your office is organisationally decentralised, with sections/departments which function independently, a separate schedule can be compiled for each section/department. Schedules compiled on this basis must be dealt with in accordance with par. 3 of this circular. All later revisions/additions (see 1. GENERAL INSTRUCTIONS par. 2 in the attached prototype) must be reported to the National Archivist.
 6. It is advisable for your office to implement disposal instructions contained in the schedule on a regular basis, at least annually. Sound records management practises demands that:
 - (i) ephemeral items occupying costly storage space be destroyed when they lose administrative value, and
 - (ii) A20 items be preserved in good/safe conditions and transferred to the appropriate Archives Repository when they lose administrative value.
 7. Anything w.r.t. the records control schedule which is not clear to you should be clarified with this office immediately.
 8. Your office's records control schedule(s), compiled in accordance with paragraphs 3 and 5 above, should be submitted to this office within two months after receipt of this circular for the issuing of disposal authority.

Yours faithfully

NATIONAL ARCHIVIST



DIRECTIVE D8

**PROTOTYPE SCHEDULE OF RECORDS
OTHER THAN CORRESPONDENCE FILES:
LOCAL AUTHORITIES**

National Archives and Records Service of South Africa

April 2003

CITY COUNCIL OF



SCHEDULE FOR RECORDS OTHER
THAN CORRESPONDENCE SYSTEMS

TABLE OF CONTENTS

	PAGE NO.
1. GENERAL INSTRUCTIONS	
1. Control of schedule	2
2. Revisions, additions and reporting	2
3. Master copy	2
4. Destruction register	2
5. Destruction	3
6. Identification	3
7. Explanation of disposal symbols	3
2. LIST OF ITEMS (For microfilm, electronic records and recordings see 3., 4. and 5. below.)	
A. Agendas and minutes	5
B. Reports	5
C. Financial items	5
D. Deeds and agreements	7
E. Human resources items	7
F. Stores administration	8
G. Cartographic material	8
H. Tax, licences and road traffic	9
I. Services, works and control	18
J. Publications published by the Council	19
K. Photographs	19
L. Records management	19
M. Miscellaneous	20
3. MICROGRAPHIC PROJECTS AND RECORDS	21
4. ELECTRONIC PROJECTS AND RECORDS	22
5. FILMS, VIDEOS AND SOUND RECORDINGS	23
6. ANNEXURES: A. Destruction certificate	24
B. Microfilm: Instructions for completion of application	25
C. Example of an inventory/catalogue for electronic records systems	29
D. Example of a description of an archival electronic records system	30

1. GENERAL INSTRUCTIONS

1.1 Control of the schedule

Control of the schedule is delegated to _____.¹ No revisions/additions may be made to the schedule without the approval of this official.

1.2 Revisions, additions and reporting

All revisions/additions must be reported regularly to the National Archivist for information/approval/issuing of disposal authority. The address is as follows:

1.3 Master copy

The master copy of this schedule must be bound in a separate cover and clearly identified as such. The master copy is kept by _____¹
This official must ensure that the master copy is kept up to date and that the instructions in par. 1.2 above are implemented.

1.4 Destruction register

A destruction register must be maintained. This register should be arranged in years, e.g. a separate section or page for each year. When an item of other records is closed, a description of it is entered under the year in which it must be destroyed, e.g. when an item with a D3 disposal instruction is closed in 2006, its description is entered under 2009. In this way it can easily be determined which items qualify for destruction in a given year. As it is impossible to determine in advance how many pages will be required for a given year, it is advisable to make use of a loose-leaf register for this purpose.

1. The post of the official to whom the responsibility is delegated must be filled in here.

1.5 Destruction

Destruction must take place regularly, but at least once a year. A prescribed destruction certificate must be submitted whenever archives are destroyed. See Annexure A for an example of a destruction certificate.

1.6 Identification

Every item of other records must be identified by recording on its cover the number accorded it in the records control schedule together with the relevant disposal instruction. This information must be recorded within a rectangular block. Other records which qualify for permanent preservation in an archives repository, i.e. A20 items, must be clearly identified before transfer to the repository by inscribing the following information prominently on their covers: the descriptions given them in the records control schedule; and the name of the office/section which used them.

1.7 Explanation of disposal symbols

A20 - Transfer to archives repository if a period of 20 years has elapsed after the end of the year in which the records came into existence.

D - Destroy (office 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 office 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.

Microfilm

A20 - Transfer to archives repository if a period of 20 years has elapsed since the end of the year in which the records came into existence.

AO - Transfer to archives repository immediately after filming.

D5 - Destroy five years after administrative value lapses.

DO - Destroy immediately after filming and checking.

D10 - Destroy ten years after administrative value lapses.

DP - Can remain in the custody of the local authority indefinitely. Must be destroyed when administrative value lapses.

Electronic records

A20 - Transfer to archives repository if a period of 20 years has elapsed since the end of the year in which the record came into existence.

D7 - Destroy/erase after 7 years.

D1M - Destroy/erase after 1 month.

DK - Destroy/erase after copied/processed.

DPR - Destroy/erase when printout/new printout is available.

DT - Destroy/erase when project is complete.

N - Dispose of according to footnote.

DX - Erase only outdated data.

L - (File/item number) Follow disposal instruction for file/item in approved filing system or Records Control Schedule.

2. LIST OF ITEMS

CATEGORY		DESCRIPTION	DISPOSAL
A <u>AGENDAS AND MINUTES</u>	1.	<u>Council meetings</u>	
	1.1	Agendas	DAU7
	1.2	Minutes	A20
	1.3	Indexes to minutes	A20
	1.4	Distribution lists	D
	2.	<u>Management committees</u>	
	2.1	Agendas	DAU7
	2.2	Minutes	A20
	2.3	Indexes to minutes	A20
	2.4	Distribution lists	D
	3.	<u>Other committees</u>	
	3.1	Agendas	DAU7
	3.2	Minutes	A20
	3.3	Indexes to minutes	A20
	3.4	Distribution lists	D
	B <u>REPORTS</u>	1.	Annual report of the Council
2.		Mayor's report	A20
3.		<u>Annual report of sections</u>	
3.1		Town Clerk	A20
3.2		City Secretary	A20
3.3		City Treasurer	A20
3.4		City Health Officer	A20
4.		Reports of own commissions/ committees of enquiry	A20
C <u>FINANCIAL ITEMS</u>	1.	Statements of estimates	A20
	2.	Estimates control book	DAU7
	3.	Financial statements	A20
	4.	Main ledger	A20
	5.	Machine ledger cards	D
	6.	Main cash book	A20
	7.	Main journal	A20
	8.	Ancillary ledger, cash book and journal	DAU7
	9.	Suspense account	DAU3
	10.	Proof balance book	DAU3

CATEGORY	DESCRIPTION	DISPOSAL
11.	Coupon counterfoils	DAU3
12.	Receipt books	DAU7
13.	Receipt book registers	DAU7
14.	Audit rolls	DAU7
15.	Receipt duplicates (posting)	DAU
16.	Petty cash book	DAU3
17.	Invoice book	DAU7
18.	Cheque counterfoils and cancelled cheques	DAU7
19.	Bank deposit books/slips	DAU7
20.	Bank statements	DAU7
21.	Bank reconciliation statements	DAU7
22.	Bank reconciliation statements register	DAU7
23.	Expenditure vouchers and cashed cheques	DAU7
24.	Remittance registers	DAU7
25.	Consumer account statements	DAU7
26.	Consumer adjustment statements	DAU7
27.	Debtors register	DAU7
28.	<u>Assets and investments</u>	
28.1	Assets register/inventory (For inventory of stores and equipment and the register of works of art see Category F)	AP
28.2	Stocks/shares/securities register	AP
29.	<u>Audit</u>	
29.1	Reports	DAU7
29.2	Enquiries	DAU7
30.	Enquiry covers: accounting matters	DAU3
31.	Debtors cards	D
32.	List of outstanding cheques	D
33.	Milk coupon register	D
34.	Deposit register: water and electricity	D
35.	Creditors register	D

CATEGORY		DESCRIPTION	DISPOSAL
D			
DEEDS AND AGREEMENTS	1.	Deeds duplicated at the Deeds Office	D
	2.	Deeds not duplicated at the Deeds Office	AP
	3.	Letters of undertaking	A20
	4.	Lease agreements	D
	5.	<u>Purchase agreements</u>	
	5.1	Land	A20
	5.2	Moveable property	D
	6.	Policies	D
	7.	Surface rights	D
	8.	Loan agreements	D
	9.	Works contracts	DP
	10.	Siding	DP
	11.	Ambulance services	A20
	12.	Electricity supply	A20
	13.	Water supply	A20
	14.	Grazing rights	D
	15.	Tenders and contracts	D
	16.	Excess agreements	D
	17.	Essential services	A20
E			
<u>HUMAN RESOURCES</u>	1.	Attendance register	DAU
	2.	Salary register	DAU7
	3.	Wage register/cards	DAU7
	4.	Salary record card	DAU7
	5.	Unclaimed wages register	DAU7
	6.	Deductions statements	DAU7
	7.	Time sheets	DAU3
	8.	Paysheets/wage statements	DAU7
	9.	Handing over statements	DAU7
	10.	Leave register	DAU7
	11.	Workmen's Compensation Act register	DAU7
	12.	Factories Act register	DAU7
	13.	Service register	D
	14.	Medical claims	D
	15.	Income tax certificates	D
	16.	Clock cards	D
	17.	Salary advice slips	D
	18.	Unsuccessful job applications	D

CATEGORY		DESCRIPTION	DISPOSAL
	19.	Accident reports: injuries on duty	D
	20.	Unemployment insurance: claims and tax	D
F			
<u>STORES ADMINISTRATION AND PROCUREMENT</u>	1.	Stores registers	DAU7
	2.	Stores issue and receipt vouchers	DAU7
	3.	Stores requisitions	DAU7
	4.	Fuel and oil use statements	D
	5.	Stores cards	D
	6.	Stocktaking sheets	DAU7
	7.	Inventory of stores and equipment	D
	8.	Key register	D
	9.	Register of inflammable and explosive materials	D
	10.	Register of works of art	A20
	11.	Vehicle requisitions	D
	12.	Vehicle distance returns	D
G			
<u>CARTOGRAPHIC MATERIAL</u> (All cartographic material pre-dating 1910 qualifies for permanent preservation)	1.	National monuments (All categories of plan)	AP
	2.	Places of worship (All categories of plan)	AP
	3.	Views of special furnishing and decorations specially designed for a specific building	AP
	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)	DP
	5.	Finer detail of special furnishing and decoration specially designed for a specific building	DP

CATEGORY	DESCRIPTION	DISPOSAL
	6. ALL OTHER CATEGORIES OF MAPS, PLANS, BUILDING PLANS, CONSTRUCTION PLANS AND ENGINEER'S DRAWINGS (INCLUDING AERIAL PHOTOGRAPHS AND FLIGHT PLANS) not specified here. When these items are no longer needed for administrative purposes, you must contact the State Archives Service, which will make further arrangements for their disposal.	
H <u>TAX, LICENCES AND ROAD TRAFFIC</u> (For traffic control see I17)	1. Owners rates registers	DAU7
	2. Consumers registers	DAU7
	3. Valuation rolls	A20
	4. Auction rolls	DAU7
	5. Dog licence register	DAU
	6. Bicycle licence register	DAU
	7. Transfer of business register	DAU7
	8. Hawker permits	DAU
	9. Temporary trading permits	DAU
	10. Trading licence register	DAU7
	11. Driver's licence register	DAU7
	12. Roadworthy certificate register	DAU7
	13. (CPA 26/3780916) Motor vehicle clearance voucher receipt book	DAU7
	14. (CPA 21(9)) Completed form	DAU7
	15. (CPA 28/730932) Batch register	DAU7
	16. <u>Motor vehicle registration: authority</u>	
	16.1 Motor vehicle registration register	DAU7
	16.2 Certificate of fitness register	DAU7
	16.3 Motor dealer returns	DAU7
	16.4 Registration certificates	DAU7
	16.5 Duplicate registration certificates	DAU7

CATEGORY	DESCRIPTION	DISPOSAL
16.6	Motor vehicle licenses	DAU7
16.7	Duplicate motor vehicle licences	DAU7
16.8	Motor dealer licence register	DAU7
16.9	Additional motor dealer licence register	DAU7
16.10	Vehicle purchase and sale register	DAU7
16.11	Learner's licence register (certificates of competence)	DAU7
16.12	Spot fine register	DAU7
16.13	Control certificates	DAU7
16.14	Motor transport register	DAU7
17.	Taxi licences	D
18.	Firearm licences	D
19.	Register of businesses	A20
20.	Valuation certificates	D
21.	Field books/forms	D
22.	Property tax cards	D
23.	Market permits	D
24.	<u>Forms created in terms of the Road Traffic Act (Act No. 29 of 1989)</u>	
RO	Application and notice in respect of registration as authorised officer	D2
DTC	Application and notice in respect of registration of driver's licence testing centre	D2
CR	Certificate of registration	D5
LL1	Application for learner's licence	D2
LL2	Learner's licence	D2
MC	Medical certificate	D2
DL1	Application for driver's licence	D5
DL2	Authorisation to issue driver's licence	D55
RID	Receipt in respect of identity document	D3
DCT	Declaration in respect of lost documents	D2

CATEGORY	DESCRIPTION	DISPOSAL
DL3A	Driver's licence not incorporated in identity document in Transvaal	D55
DL3B	Driver's licence not incorporated in identity document in the Cape of Good Hope	D55
DL3C	Driver's licence not incorporated in identity document in Natal	D55
DL3D	Driver's licence not incorporated in identity document in the Orange Free State	D55
IS1A	Application for an instructor's certificate in Transvaal	D2
IS1B	Application for an instructor's certificate in the Cape of Good Hope	D2
IS1C	Application for an instructor's certificate in Natal	D2
IS1D	Application for an instructor's certificate in the Orange Free State	D2
IS2A	Medical certificate for an instructor in Transvaal	D2
IS2B	Medical certificate for an instructor in the Cape of Good Hope	D2
IS2D	Medical certificate for an instructor in the Orange Free State	D2
IS3A	Instructor's certificate in Transvaal	DAU7
IS3B	Instructor's certificate in the Cape of Good Hope	DAU7
IS3C	Instructor's certificate in Natal	DAU7
IS3D	Instructor's certificate in the Orange Free State	DAU7
TS1	Application for registration as testing station	D2
RW1A	Application for roadworthy certificate in Transvaal	D2
RW1B	Application for roadworthy certificate in the Cape of Good Hope	D2

CATEGORY	DESCRIPTION	DISPOSAL
RW1D	Application for roadworthy certificate in the Orange Free State	D2
RW2A	Roadworthy certificate in Transvaal	D2
RW2B	Roadworthy certificate in the Cape of Good Hope	D2
RW2C	Roadworthy certificate in Natal	D2
RW2D	Roadworthy certificate in the Orange Free State	D2
CF1A	Application for certificate of fitness in Transvaal	D2
CF1B	Application for certificate of fitness in the Cape of Good Hope	D2
CF1C	Application for certificate of fitness in Natal	D2
CF2A	Certificate of fitness and certificate of fitness disk in Transvaal	D2
CF2B	Certificate of fitness and certificate of fitness disk in the Cape of Good Hope	D2
CF2C	Certificate of fitness and certificate of fitness disk in Natal	D2
CF2D	Certificate of fitness and certificate of fitness disk in the Orange Free State	D2
PDP1A	Application for public driving permit in Transvaal	D2
PDP1B	Application for public driving permit in the Cape of Good Hope	D2
PDP1C	Application for public driving permit in Natal	D2
PDP1D	Application for public driving permit in the Orange Free State	D2
PDP2A	Medical certificate w.r.t. public driving permit in Transvaal	D2

CATEGORY	DESCRIPTION	DISPOSAL
PDP2B	Medical certificate w.r.t. public driving permit in the Cape of Good Hope	D2
PDP2C	Medical certificate w.r.t. public driving permit in Natal	D2
PDP2D	Medical certificate w.r.t. public driving permit in the Orange Free State	D2
PDP3A	Public driving permit in Transvaal	DAU7
PDP3B	Public driving permit in in the Cape of Good Hope	DAU7
PDP3C	Public driving permit in Natal	DAU7
PDP3D	Public driving permit in in the Orange Free State	DAU7
NTD	Notice to discontinue use of vehicle	D2
OP1	Notice in respect of operator identification	D2
OP2	Temporary operator card	D2
OP3	operator card	D2
OP4	Notice to collect operator card	D2
OP5	Notice in respect of registration of operator	D2
OP6	Notice in respect of performance of operator	D2
NRD	Notice/receipt in respect of document	D2
ANR	Application and notice in respect of traffic register number	D2
RNC	Traffic register number certificate	D5
CPA1	Section 341 of the Criminal Procedure Act (No. 51 of 1977), Notice (handwritten)	D2
CPA2	Section 341 of the Criminal Procedure Act (No. 51 of 1977), Notice (computerized)	D2

CATEGORY	DESCRIPTION	DISPOSAL
CPA3	Section 56 of the Criminal Procedure Act (No. 51 of 1977), Notice	D2
CPA4	Section 54 of the Criminal Procedure Act (No. 51 of 1977), Summons (handwritten)	D2
CPA5	Section 54 of the Criminal Procedure Act (No. 51 of 1977), Summons (computerized, one count)	D2
CPA6	Section 54 of the Criminal Procedure Act (No. 51 of 1977), Summons (computerized, more than one count, accused appears for a legal person)	D2
CPA7	Charge sheet (handwritten where none of the other forms are used)	D2
CPA8	Charge sheet (computerized, where none of the other forms are used)	D2
CPA9	Section 54 of the Criminal Procedure Act (No. 51 of 1977), Summons where it is impossible to use CPA5 or CPA6 because of computer difficulties	D2
MVR1	Application and notice in respect of registration and licensing of a motor vehicle	D5
MVR2	General certificate in respect of registration and licensing of a motor vehicle	D5
MVR3	Clearance certificate for motor vehicle	DAU
MVR6	Application for refund of licence fees in respect of motor vehicle stolen or permanently unfit for use as a motor vehicle	D5
MVR7	Temporary/special permit	DAU3

CATEGORY	DESCRIPTION	DISPOSAL
MVR8	Application by person in receipt of war pension for exemption from payment of motor vehicle licence fees	D3
MVR9	Certificate of exemption - person in receipt of war pension	D3
CAPE-1	Application for registration of motor vehicle	D5
CAPE-2	Registration certificate and motor vehicle licence	D5
CAPE-3	Application for renewal of motor vehicle licence	D3
CAPE-4	Registration certificate and renewal of motor vehicle licence	D5
CAPE-5	Application for motor vehicle licence and clearance certificates	D4
CAPE-6	Application for motor transport licence and clearance certificates	D4
CAPE-7	Motor dealer's licence and clearance certificates issued	D4
CAPE-8	Motor transport licence and clearance certificates issued	D4
CAPE-9	Free registration certificate	D4
CAPE-10	Clearance certificate for motor vehicle	DAU
CAPE-11	Motor transport clearance certificate	D4
CAPE-12	Motor dealer's clearance certificate	D4
CAPE-13	Notice of transfer of ownership	D5
CAPE-14	Notice of theft or permanent unfitness of motor vehicle and application for refund of licence fees	D5
CAPE-15	Advice of registration of motor vehicle	D5
CAPE-16	Application for temporary or special permit	D3
CAPE-17	Temporary and special permit	DAU3

CATEGORY	DESCRIPTION	DISPOSAL
CAPE-18	Identification card	DAU3
CAPE-19	Application by person in receipt of war pension for exemption from payment of motor vehicle licence fees	D3
CAPE-20	Certificate of exemption	D3
NATAL-1	Application for registration of motor vehicle	D5
NATAL-2	Motor vehicle registration certificate	D5
NATAL-3	Receipt of motor vehicle fees	D3
NATAL-4	Clearance certificate	DAU
NATAL-5	Motor vehicle licence renewal	D1
NATAL-6	Clearance certificate - short term	DAU
NATAL-7	Notice of theft or permanent unfitness of registered motor vehicle	D5
NATAL-8	Advice of change of address	D1
NATAL-9	Advice of change of particulars of motor vehicle	D5
NATAL-10	Application for permit and identification cards	D3
NATAL-11	Temporary permit to use motor vehicle	DAU3
NATAL-12	Special permit to use motor vehicle	D3
NATAL-13	Identification card	DAU3
NATAL-14	Application for motor dealer's licence	D4
NATAL-15	Motor dealer's licence	D4
NATAL-16	Dealer's clearance certificate	D4
NATAL-17	Certificate of exemption from payment of motor vehicle licence fees	D3
NATAL-18	Medical certificate - disabled ex-servicemen	D3
NATAL-19	Application for exemption – disabled ex-servicemen	D3
NATAL-20	Daily submission list - motor vehicle fee collections	D7

CATEGORY	DESCRIPTION	DISPOSAL
NATAL-21	Register of motor vehicles acquired and disposed of – motor vehicle dealer	D3
NATAL-22	Motor vehicle licence renewal	D1
NATAL-23	Application for a motor transport licence	D4
NATAL-24	Motor transport licence	D4
NATAL-25	Motor transport clearance certificate	DAU
NATAL-26	Clearance certificate	DAU
NATAL-27	Claim for refund	D5
OVS-1	Application for registration and licensing of motor vehicle	D5
OVS-2	Registration certificate	D5
OVS-3	Motor vehicle licence	D4
OVS-4	Application for motor dealer's licence or additional motor dealer's clearance certificates	D4
OVS-5	Motor dealer's licence and receipt for additional motor dealer's clearance certificates	D4
OVS-6	Clearance certificate for motor vehicle	DAU
OVS-7	Free registration certificate	D4
OVS-8	Clearance certificate, motor dealer, motor vehicle	DAU
OVS-9	Clearance certificate, motor dealer, motor cycle, motor tricycle or motor quadrucycle	DAU
OVS-10	Notice that vehicle is broken up, destroyed, stolen or permanently unfit	D5
OVS-11	Notice of change of ownership	D5
OVS-12	Advice of registration of motor vehicle	D5
OVS-13	Registration and return of motor vehicles acquired and disposed of	D3
OVS-14	Application for temporary/ special permit	D3

CATEGORY	DESCRIPTION	DISPOSAL	
	OVS-15	Temporary/special permit	DAU3
	OVS-16	Identification card	DAU3
	OVS-17	Identification card	DAU3
	OVS-18	Application for motor transport licence and clearance certificates	D4
	OVS-19	Motor transport clearance certificate	D4
	OVS-20	Motor transport licence and clearance certificate issued	D4
I			
<u>SERVICES, WORKS AND CONTROL</u>	1.	Application forms: electricity/water	DAU
	2.	Surveys: refuse and sanitation points	DAU
	3.	Surveys: animals on commonage	DAU
	4.	Disconnection list: electricity/water	DAU
	5.	Connection instructions	DAU
	6.	Reconnection instructions	DAU
	7.	Enquiry covers: services/works	DAU
	8.	Services register (electricity, water and sewerage)	D
	9.	Excess register	D
	10.	Pound register	D
	11.	Meter reading books	D
	12.	Register of meter reading books	D
	13.	Register of electricity reading and collections	D
	14.	Caravan park booking register	D
	15.	Building statistics register	A20
	16.	<u>Traffic control</u> (For road traffic see H)	
	16.1	Spot fines/notices	D
	16.2	Register of traffic violations	D
	16.3	Summonses	D
	16.4	Identity cards	D
	16.5	Accident reports	D
	16.6	Summonses: control statements	D
	16.7	Temporary and special permits	D
	17.	<u>Library management</u>	
	17.1	Members' register/cards	D

CATEGORY		DESCRIPTION	DISPOSAL
	17.2	Register of lost and damaged books	D
	17.3	Stock register	D
	17.4	Register of issuing and bookings	D
	18.	<u>Health administration</u>	
	18.1	Notices of contagious diseases	D
	18.2	Clinic medicines register	D
	18.3	Ambulance occurrence register	D
	18.4	Clinic patient cards	D
	19.	Register of advertisement signs	D
J			
<u>PUBLICATION</u>	1.	Publicity brochures	A20
<u>ISSUED BY</u>	2.	Newsletters	A20
<u>THE COUNCIL</u>	3.	History of the city	A20
<u>ITSELF</u>	4.	Programmes of festivals, exhibitions, etc.	A20
(Publications obtained by way of purchase and/or subscription are not archives)	5.	Municipal notices	D
	6.	Voters' lists (For used election material see M10)	A20
K			
<u>PHOTOGRAPHS</u>	1.	Mayor and Council members	AP
	2.	Council buildings	AP
	3.	Historical local buildings	AP
	4.	Important local functions, events, etc.	AP
L			
<u>RECORDS</u>	1.	Master copy of file plan	A20
<u>MANAGEMENT</u>	2.	Records control schedule	A20
	3.	Register of files opened	A20
	4.	Destruction registers	A20
	5.	Register of registered/certified post	D
	6.	Register of post received and despatched	D
	7.	Register of disposal authority	A20

CATEGORY		DESCRIPTION	DISPOSAL
	8.	Stamp register	D
	9.	Telex register	D
	10.	Fax transmission forms	D
	11.	Pending diary	D
	12.	Pending cards	D
	13.	Route cards: file movements	D
<u>M</u>			
<u>MISCEL-</u>	1.	Cemetery register	A20
<u>LANEOUS</u>	2.	Delivery registers	D
	3.	Civil defence membership register	D
	4.	Civil defence emergency plan	A20
	5.	Circulars received	D
	6.	Birth, marriage and death registers	D ¹
	7.	Speeches	A20
	8.	Procedure manuals	A20
	9.	Daily files	D
	10.	Used election material as specified in the provincial ordinances (For Voters' lists see J6)	D
	11.	Meeting attendance lists	D

1. Originals are preserved by the Department of Home Affairs.

3. **MICROGRAPHIC PROJECTS AND 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.

A microfilm project may consists of one or more application. An application is defined as the micrographic copying of a specific group of records. Separate descriptions must be compiled for each application. Annexure B 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 an office 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.

4. ELECTRONIC PROJECTS AND RECORDS

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 C). The General Disposal Authorities¹ 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 office 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 D.

*A schedule of electronic records systems normally consists of a separate description for each system. The described system(s) together constitute the *schedule of electronic records systems* and must be submitted to the National Archivist for the issuing of disposal authority. The schedule should be recorded as Part B of the *schedule of records other than correspondence systems*.*

1. *Managing electronic records in governmental bodies: Policy Guidelines, Annexures D and E.*

5. FILMS, VIDEOS AND SOUND RECORDINGS

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). 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.

CONTACT DETAILS

The Head
National Film, Video and Sound Archives
Private Bag X236
PRETORIA
0001

Tel.: (012) 343 9767
e-mail: film01@hotmail.com

ANNEXURE A

CERTIFICATE OF DESTRUCTION

I hereby certify that the records listed below which occupiedlinear meters 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 items individually 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 B

SCHEDULE OF MICROFILM PROJECTS

1. INSTRUCTIONS FOR COMPLETION OF APPLICATION

1.1 A microfilm project may consist of one or more applications. An application 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.

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? Office itself/outside agency¹

6.2.1 If the master copies are kept by an outside agency:

¹ Delete if not applicable.

6.2.1.1 Please provide the reasons why this agency is keeping the master copies:

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 USED²

7.1 Master copy: Microfilm roll/Aperture Card/Fiche/Microfilm Jacket

7.2 Working copy: Microfilm roll/Aperture Card/Fiche/Microfilm Jacket

7.3 Security copy: Microfilm roll/Aperture Card/Fiche/Microfilm Jacket

² Delete the type not applicable.

ANNEXURE C

**EXAMPLE OF AN INVENTORY/CATALOGUE FOR
ELECTRONIC RECORDS SYSTEMS**

NAME OF SYSTEM	PURPOSE OF SYSTEM	FUNCTIONS
<p>LOGISTICS</p> <p>Contact person: Siphon Mokoena</p>	<p>Control and monitor the issuing of consumable state property.</p>	<ul style="list-style-type: none"> • Monitor consumption figures per accounting officer • Calculate stock on hand • Etc.
<p>PERSAL</p> <p>Contact person: Seipati Ncgobo</p>	<p>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.</p>	<p>Maintenance, reports and enquiries i.r.o the following:</p> <ul style="list-style-type: none"> • ID number; • Surname; • Initials • First Names; • Date of Birth; • Race; • Gender; • Disability; • Citizenship; • Date of Citizenship; • Nationality; • Residential Address; • Etc.
<p>PERMIT APPLICATIONS REGISTRATION SYSTEM</p> <p>Contact person: Tumi Mokaba</p>	<p>To keep a register and track of all applications for permits.</p>	<ul style="list-style-type: none"> • Allocate application numbers • Issue acknowledgement of receipt • Track status of application • Issue permits • Gather management statistics • Etc.

ANNEXURE D

Schedule for archival electronic records systems other than the correspondence 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.

B. Information that should be included in the schedule

A complete and accurate description of all a governmental body's electronic recordkeeping systems should include the elements indicated below.

1. Name of the system: Indicate the commonly used name and acronym of the system.
2. 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.
3. Governmental body's programme supported by the system: Show the governmental body's programme(s) or mission(s) to which the system relates.
4. Cite any laws or directives authorising such programmes or missions.
5. 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.
6. Purpose of the system: Indicate the reasons for the system and the requirements met by it.
7. Data input and sources: Describe the primary data input sources and the providers of the data to the system. Also give the names of any other systems, either inside or outside the governmental body, from which this information system receives data.
8. 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.
9. 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 microdata or summary data.
10. Location of documentation (metadata see par 4.1.4) needed to read and understand the files: Show 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. 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.

11. Storage management: Describe the storage media the master copies, backups and any other copies will be kept on. Describe the storage environment in which these record 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.
12. 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 attached list 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.

13. 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. System control number:**
FISH2
- 3. Governmental body programme(s) supported by the system:**
Communication Services
Communication channels throughout the Department of Fisheries
Publications Division
Legal Services
- 4. Relevant laws and directives**
Fisheries Act of 1990 (Act No. 45 of 1990)
Directive 7 of 1992 (Disposal of records regarding deep sea fishing)
- 5. Responsible personnel**

Ms B Bass	Mr. FC Mokoena
Information Systems	Directorate Administration
Room 101	Room 311
(012) 328 5738 x 346	(012) 328 1369 x 301
bass@fish.pwv.gov.za	fcmokoena@fish.pwv.gov.za
- 6. 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. 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.

8. Major output:

Permits

Quarterly and annual statistics.

Reports/articles regarding related topics.

Information is sporadically exchanged with similar bodies in other countries.

9. Information content:

Information regarding the fishing industry.

Relevant information regarding ichthyology, the fishing industry, halieutics, weather patterns, etc.

Date coverage, time span: 1980 - present

Geographic coverage: Oceans around the globe; water masses in Southern Africa

Update cycle: Every two weeks

10. Location of documentation (metadata) needed to read and understand the files:

The Information Systems Division of the Department of Fisheries maintains codebooks and file layouts.

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.

11. Storage management

Online database

Daily, weekly and monthly back-up done on WORM magnetic tape.

Storage environment according to National Archives and Records Services' 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

- 12. Disposal authority:**
Correspondence filing system: 2-S1NA
Additional information on file 13/2/1/4.
- 13. Date prepared:**
2002-11-14