DIRECTIVE D7

EXAMPLE OF A DESCRIPTION OF AN ELECTRONIC RECORDS SYSTEM FOR INCLUSION IN THE SCHEDULE FOR ELECTRONIC RECORDS SYSTEMS

National Archives and Records Service of South Africa

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1. General remarks

1.1 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) that apply to other records.

1.2 The schedule of electronic records systems is a way in which a governmental body describes its electronic records systems so that the archival value of the records in the systems can be determined.

1.3 Each system is evaluated on its own merits and archiving procedures are determined accordingly.

1.4 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.)

1.5 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.

1.6 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.

1.7 The schedule must be compiled in duplicate.

1.8 Where there is more than one electronic records system, a separate description must be prepared for each one.

1.9 Systems should be numbered consecutively.

1.10 The information required should be given in detail.

2. **Information that should be included in a schedule for electronic records systems**

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

2.1 Name of the system: Indicate the commonly used name and acronym of the system.

2.2 System control number: Specify the internal control number assigned to the system for reference, control, or cataloguing purposes. For example, the information system inventory number.

2.3 Governmental body's programme supported by the system: Show the governmental body's programme(s) or mission(s) to which the system relates.

2.4 Cite any laws or directives authorising such programmes or missions.

2.5 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.

2.6 Purpose of the system: Indicate the reasons for the system and the requirements met by it.

2.7 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.

2.8 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.

2.9 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 micro-data or summary data.

2.10 Location of documentation 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.

2.11   Storage management: Describe the storage media on which the master copies, back-ups and any other copies will be kept. 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.

2.12   Disposal authority: If disposal authority has already been granted for 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.

2.13   Date prepared: Give the date the schedule was prepared.

3.   <u>Disposal instructions: electronic records</u>

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.

Appendix A

Example of a system description for a schedule of electronic records 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   Mokoena@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 Service guidelines contained in Annexure F of *Managing electronic records in governmental bodies: Policy guidelines*

Spot checking of media on an annual basis, etc.

12. **Disposal authority:**
Correspondence *file plan*: 2-S1NA
Additional information on file 13/2/1/4.

13. **Date prepared:**
2002-07-30