

**DIRECTIVE R5** 

# **PROTOTYPE OF FILE PLAN FOR LOCAL AUTHORITIES**

National Archives and Records Service of South Africa June 2003

### 1 GENERAL REMARKS

1.1 File plans of local authorities should i.t.o. section 17(4) of the National Archives and Records Service of South Africa Act (No. 43 of 1996 as amended) be submitted to the National Archives and Records Service of South Africa for approval. The attached prototype file plan is intended to be used by local authorities as a guideline when compiling new systems.

1.2 It should be borne in mind that all file plans compiled according to this prototype file plan should nevertheless be submitted to the National Archives and Records Service for formal approval. Under no circumstances may a new file plan be implemented before formal approval has been obtained. In provinces that does have their own archival legislation and or an archival infrastructure draft file plans should be submitted to the relevant provincial archives service. See Annexure A for the relevant contact details.

## 2 INSTRUCTIONS TO THE COMPILER OF A FILE PLAN

#### 2.1 TABLE OF CONTENTS

The sequence of the various parts of the file plan as indicated in the table of contents, should be retained. All the parts indicated (including the table of contents) should be provided in the file plan, which should be submitted as a unit from the first submission onwards.

#### 2.2 GENERAL INSTRUCTIONS TO THE FILE PLAN

2.2.1 The instructions should be kept in the same sequence as they appear in the prototype.

2.2.2 These are standard instructions and only the following paragraphs should be adapted as indicated below:

#### PARAGRAPH 1

In the open space in this paragraph the complete name of the office to which the file plan is applicable should be given, eg. Municipality of Bentville, Town Clerk.

#### PARAGRAPH 2

Insert the year of implementation of the file plan after 1/.... and 2/....

#### PARAGRAPH 3

The official title of the person in charge of the file plan should be indicated here. According to regulation 12 of the National Archives and Records Service Regulations this person must

- a) be in possession of an appropriate university or technikon qualification and/or have appropriate professional experience;
- b) have successfully completed the National Archives and Records Service's Records Management Course;
- c) possess a thorough knowledge of the body's organisational structure, functions and records systems; and
- d) be responsible for promoting effective, efficient and accountable management of the body's records and ensuring, by inspections and other means, the body's compliance with the provisions of the National Archives and Records Service of South Africa Act (No. 43 of 1996 as amended) and other relevant legislation.

#### PARAGRAPH 12

The date on which the file plan is implemented must be indicated here.

#### PARAGRAPH 13

The example given here should, if possible, be taken from the relevant file plan.

#### 2.3 LIST OF MAIN SERIES

The main series should be kept in the same sequence as they appear in this list.

#### 2.4 SUBJECT CLASSIFICATION

2.4.1 This is only a prototype file plan and local authorities should make the necessary adjustments within this outline to suit their specific needs. In the adapted file plan descriptions should be chosen in such a way that no doubt exists about the purpose for which the file should be used or about the content of the file. The classification should furthermore be made in such a way that ephemeral documents are not placed on the same file as permanently valuable documents. The prototype file plan has in many cases not been worked out in finer detail because the finer subdivisions may differ from one local authority to another. When compiling a file plan the finer subdivisions required should be determined and the system adapted accordingly.

2.4.2 Case files which are kept for individual persons and institutions (eg. for water and electricity, removal of rubbish, sewerage, etc.) and which are not tied to reference numbers in the file plan, should be described in the list of series of separate case files.

2.4.3 The way in which the pages are set out should be followed in the file plan of the office. This requires <u>inter alia</u> that:

2.4.3.1 the use of capital letters should be limited to main series headings;

2.4.3.2 pages should not be numbered - the consecutive file numbers are sufficient indication of the sequence, and the insertion of extra pages is thus made possible.

2.4.4 The number, description and disposal columns should be separated by vertical lines.

## MUNICIPALITY OF BENTVILLE

## FILE PLAN

## TABLE OF CONTENTS

- A. General instructions
- B. List of main series
- C. Subject classification
- D. List of series of separate case files

### GENERAL INSTRUCTIONS TO FILE PLAN

#### NAME OF OFFICE

1. This file plan is for the use of ..... and it may not be applied to any other office without the prior permission of the National Archivist.

#### REPORTING

All amendments and additions (the omission or insertion of an 2. underlining is an amendment as well) should be submitted regularly to the National and Archivist for notification formal approval. In cases where the amendments/additions are circulated by means of circulars, it will suffice if a copy thereof is forwarded to the National Archivist. For easy reference and effective control the notifications should be numbered each year starting at number one, eg. 1/...., 2/...., etc. It is advisable that in cases where major amendments and/or additions are required, the prior approval for the amendment be obtained the from National Archivist before any new files are opened. (For unclassified correspondence see par. 16 of these instructions.)

#### CONTROL OF SYSTEM

3. Control of the file plan is assigned to the ...... No amendments and/or additions to the file plan may be made without the approval of this official. The duties of this official comprise inter alia the following:

- a) He/she must scrutinise the office daily file regularly to ensure that all correspondence is dealt with on the correct files.
- b) He/she must ensure that paragraphs 5 and 6 of the instructions are strictly adhered to by scrutinising the relevant files regularly to ensure that they are used correctly.
- c) He/she must keep the master copy up to date. (See also par. 9.)
- d) The efficiency of the file plan should be examined regularly to ensure that the necessary amendments are provided. When new functions are acquired, new files should be created and where necessary, existing files should be broken up or combined as the case may be. Parent files (i.e. headings which are subdivided but also used as files) should be examined regularly to prevent them from becoming general files and where necessary further sub-files should be created. NB - Such changes must be reported in terms of par. 2 of these instructions.

- e) Particular attention should be paid to cases where correspondence is started on one file and where the emphasis then shifts to another aspect in order to ensure that the matter is dealt with on the appropriate file.
- f) For duties i.r.o. the descriptions on file covers and unclassified correspondence, see paragraphs 13 and 16 below.

(These duties should be included on the official's job description/performance agreement.)

#### ACCURATE FILING OF CORRESPONDENCE

4. All officials conducting correspondence should be supplied with a copy of the file plan. Officials must ensure that they are conversant with the series with which they work and should ensure that all correspondence is dealt with on the correct file. Incorrect filing should be rectified immediately to ensure that permanently valuable documents are not destroyed and to prevent the retention of ephemeral documents.

#### POLICY FILES

Provision has been made for policy files. These files are identified by 5. the symbol "P" as the last component of the reference number, eg. 1/P, 1/1/P, etc. 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 A2 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, eg. 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 subject for which no file exists. In such cases suitable files should be opened.

#### ROUTINE ENQUIRIES

6. At appropriate places in the file plan files for routine enquiries have been provided. These files are identified by the symbol "R" as the last component of the reference number, eg. 1/R, 1/1/R, etc. These files are for enquiries of a routine nature which require no further action subsequent to the reply. UNDER NO CIRCUMSTANCES MAY MATTERS OTHER THAN THE ROUTINE SUPPLY OF INFORMATION BE DEALT WITH ON THESE FILES.

#### **REPORTS AND RETURNS**

7. In the main series for REPORTS AND RETURNS provision has been made only for those reports and returns which cannot be dealt with under the other main series. Where files for reports and returns have been provided in the other main series they are to be used only where the relevant report or return cannot be placed on a subject file under that main series.

#### ASPECTS NOT SEPARATELY PROVIDED FOR

8. Sometimes it is necessary to provide files for subjects which 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.

#### MASTER COPY

9. The master copy is that copy of the file plan which contains all approved subjects and which indicates how files are to be opened and stored. No file may be opened unless the file description has already been recorded in the master copy and the approval of the Records Manager has been obtained. Individual case files which are opened according to notes in the file plan are not recorded in the master copy. <u>They should be recorded in a register of files opened</u> (see par. 10). The Records Manager must ensure that all amendments and/or additions are recorded in the master copy immediately.

#### REGISTER OF FILES OPENED

10. The purpose of this register is to keep a complete record of all files opened. A loose-leaf binder is recommended as it facilitates the insertion of extra pages which are usually required for case files which form part of the subject classification. The register is maintained in the same form as the file plan and files are entered in the same consecutive order. An extra column should be provided opposite the file descriptions in which to note the date of opening (date of first document) next to the file title. The first page of the register should indicate the name of the office to which the file plan is applicable as well as the date of implementation. (For secret files see par. 22.)

#### DESTRUCTION REGISTER

11. A register of closed D files should be drawn up as soon as disposal authority has been obtained. This register is divided into years, eg. 2005, 2006, 2007, etc. When a file volume is closed, its reference number should be entered under the year in which it will be destroyed. A volume which is closed in 2002 and for which the disposal instruction is D3, therefore, will be entered under the year 2005. The register thus indicates which volumes 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. (For disposal see par. 18.)

#### IMPLEMENTATION

12. This file plan will be implemented on ...... and thereafter no correspondence may be dealt with on the files of the previous file plan. Permission can be obtained from the National Archivist to incorporate case files from the previous file plan into the new file plan. All files from the previous file plan should be closed on the day prior to the date of implementation, and no original correspondence should be transferred from the old to the new file plan.

### OPENING OF FILES AND DESCRIPTION ON FILE COVERS

13. Files should be opened only when required. Care should be taken that the numbering and descriptions of the files, as indicated in the file plan, are strictly adhered to. In cases where file descriptions are too lengthy, certain components which do not form an essential part of the file description may be omitted. Where, for instance, the complete file description reads as follows: Finance, Taxes, Land and Property Tax, Remission, the word Taxes may be omitted. Although certain components may be omitted, the title of the main series must always be given and the file description must be sufficiently comprehensive to describe the content of the file. In order to assist the registry staff, the Records Manager should indicate which components may be omitted in such cases. Titles should be printed in indelible ink. The dates of first and last correspondence as well as applicable disposal instructions

when available, should be indicated on the file cover. Worn covers should be replaced regularly.

#### UNDERLINED DESCRIPTIONS

14. All underlined descriptions indicate subject headings only. Subdivisions must be made under these subject descriptions but NO FILE MAY BE OPENED FOR ANY UNDERLINED DESCRIPTION.

#### EXPLANATIONS IN BRACKETS

15. The explanations in brackets under the subject headings or file descriptions are intended as a guide and should not be entered on file covers.

#### UNCLASSIFIED CORRESPONDENCE: PROCEDURE

16. When correspondence is received for which no file is provided, the Records Manager should be approached immediately to indicate on which existing file the correspondence should be placed, or which new file should be opened.

### ANNEXURE FILE COVERS

17. An additional cover must be opened where necessary for storing bulky documentation which if filed would result in an inordinate increase in the volume of a file. No correspondence, may however be filed in such a cover. The cover should be marked clearly with the correspondence file reference number and "Annexure File" written on the outside cover. Every document contained in the Annexure file should bear a cross-reference to the correspondence on which it was received.

#### DISPOSAL OF FILES

18. Once disposal authority has been issued disposal instructions are recorded opposite each file in the disposal column provided in the file plan. The disposal symbols indicate the following –

- A20 : Keep for transfer to the appropriate archives repository if a period of 20 years has elapsed since the end of the year in which the record came into existence.
- D : Destroy (after the lapse of number of years which is indicated by the number following the letter D) after closure of the records.

The destruction of files qualifying for destruction should be done regularly, but at least once a year. The prescribed destruction certificate should be submitted to the National Archivist.

#### THICKNESS OF FILES

19. Files should not exceed 3 cm. in thickness. On reaching this thickness a file must be closed and a new cover should be opened. The number of the new volume (eg. vol. 2) must be indicated on the outside of the new cover. A sheet of paper with the wording "Closed, see volume ..." should be filed as the last item on the closed volume.

#### CLOSURE OF A20 FILES

20. The following procedure should be followed when volumes of A20 files are closed:

- (a) The correspondence should be examined in order to correct any misfilings. A sheet of paper containing the words "Closed, see volume ..." is then filed as the last item in the volume.
- (b) Worn file covers should be replaced.
- (c) The files are then stored in boxes especially used for this purpose.

#### CASE FILES

21. Case files which form part of the subject classification are to be opened in accordance with the instructions appearing at the appropriate places in the system. For particulars concerning case files which do not form part of the subject classification, see the list of series of separate case files at the end of the subject classification. (See also paragraph 9.)

#### SECRET FILES

22. Concerning secret files the following procedure should be followed:

- (a) Secret files may be opened under any main series, sub-series or file description appearing in the master copy of this system. These files are distinguished from the ordinary files by the addition of a capital letter S to the reference number.
- (b) Should a secret file be needed for a subject for which a suitable main series, sub-series or file description does not exist, an

appropriate provision should be made and reported in the usual way to the National Archivist. It is not necessary, however, to indicate that it is intended for secret correspondence.

- Secret files are not indicated as such in the master copy and are also not recorded in the register of files opened for ordinary files.
   A separate register of secret files opened should be kept along the same lines as set out in paragraph 10 of these instructions.
- (d) Separate arrangements for the safe-keeping of secret files must be made and should not be incorporated as a part of these instructions.
- (e) The disposal instruction for all secret files is A20 and they should be dealt with accordingly.

## LIST OF MAIN SERIES

- 1. LEGISLATION
- 2. ORGANISATION AND CONTROL
- 3. OWN COUNCIL AND COUNCIL MATTERS
- 4. HUMAN RESOURCES
- 5. FINANCE
- 6. DOMESTIC SUPPLIES AND SERVICES
- 7. BUILDINGS AND GROUNDS
- 8. TENDERS, QUOTATIONS AND CONTRACTS
- 9. REPORTS AND RETURNS
- 10. PUBLICITY AND INFORMATION
- 11. FESTIVALS AND SOCIAL MATTERS
- 12. COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS
- 13. LEGAL MATTERS
- 14. LICENCES
- 15. TOWN PLANNING AND CONTROL
- 16. ESSENTIAL SERVICES
- 17. COMMUNITY SERVICES

## 01. LEGISLATION

(Acts, regulations, ordinances, etc. must be kept outside the file plan.)

NUMBER	DESCRIPTION	DISPOSAL
01/P	Policy	
01/R	Routine enquiries	
01/01 01/01/01	Parliamentary legislation and regulations Drafting and amendment (Open a file for each act and/or regulation and number consecutively.)	
01/01/02	Legal opinions (For legal opinions related to the contravention of legislation, see 13/1.)	
01/02 01/02/01	<u>Provincial legislation and regulations</u> <u>Drafting and amendment</u> (Open a file for each act and/or regulation and number consecutively.)	
01/02/02	Legal opinions (For legal opinions related to the contravention of legislation, see 13/1.)	
01/03	Council by-laws	
01/03/01 01/03/01/01	<u>General</u> <u>Drafting, amendment, tabling</u> (Open a file for each by-law and number	
01/03/01/02	consecutively.) <u>Advertising, objections, publication</u> (Open a file for each by-law and number	
01/03/01/03	consecutively.) <u>Submission for approval by premier</u> (Open a file for each by-law and number	
01/03/02 01/03/02/01	consecutively.) <u>Standard</u> <u>Drafting and amendment</u> (Open a file for each by-law and number consecutively.)	

## DISPOSAL

01/03/03 01/03/03/01	<u>Compulsory</u> <u>Drafting and amendment</u> (Open a file for each by-law and number consecutively.)
01/04 01/04/01	<ul> <li><u>Council regulations</u></li> <li><u>Drafting and amendment</u></li> <li>(1. Representations for amendment are placed on the file concerned here-under.</li> <li>2. Open a file for each regulation and number consecutively.)</li> </ul>

## 02. ORGANISATION AND CONTROL

NUMBER	DESCRIPTION	DISPOSAL
02/P	Policy	
02/R	Routine enquiries	
02/01	Functions	
02/02	Survey to ascertain extension demands and systems investigation	
02/03	Establishment of new sections/offices (For posts control see 4/1.)	
02/04	Workplanning and procedures	
02/05 02/05/01 02/05/02	<u>Delegation of authority</u> Temporary Permanent	
02/06	Office instructions	
02/07 02/07/01 02/07/01/01 02/07/02 02/07/02/01 02/07/02/02 02/07/02/03	Record control <u>File plan</u> Compilation and amendment <u>Disposal of records</u> Obtaining of disposal authority Transfer Destruction Microfilming (Disposal authority from the National Archives and Records Service	
02/07/04	should be obtained on 2/8/2/1.) Data processing (Disposal authority from the National Archives and Records Service should be obtained on 2/8/2/1.)	
02/07/05 02/07/06	Inspections Returns (See par. 7 of the general instructions.)	
02/08	Privatisation	

## DISPOSAL

# 02/09 Grading of local authority

02/10	Meetings of heads
02/10/01	Arrangements
02/10/02	Agendas
02/10/03	Minutes

## 03. OWN COUNCIL AND COUNCIL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
03/P	Policy	
03/R	Routine enquiries	
03/01 03/01/01 03/01/01/01 03/01/01/02 03/01/01/03 03/01/01/04 03/01/01/05 03/01/01/6 03/01/01/7/1 03/01/01/7/1 03/01/01/7/02 03/01/02 03/01/3	Election Council Determination of wards Voters' rolls Nominations Polling booths Presiding officer and polling Officer: appointment Petitions <u>Revision court</u> Appointment of members Agenda and minutes Council committees Office-bearers	
03/02 03/02/01 03/02/01/P 03/02/01/01 03/02/01/02 03/02/01/03 03/02/01/05 03/02/01/06 03/02/02/01 03/02/02/01 03/02/02/02 03/02/02/03 03/02/03/01 03/02/03/01 03/02/03/02 03/02/03/03	Meetings Main files Policy Motions Questions by members Outstanding resolutions Leave of absence Caucus meetings Standing orders Council Arrangements Agendas Minutes <u>Committees</u> Arrangements Agendas Minutes	

ing cou	ncillors			

DISPOSAL

03/03	Matters concerning councillors
	(Only matters which cannot be placed
	elsewhere - financial matters are eg.
	placed on 5/12 and qualification
	for election on 3/1/1/3.)
03/03/01	Trade with councillors
03/03/02	Awards to councillors

#### 04. HUMAN RESOURCES

(Files under this main series should be used for general human resources matters only. Correspondence in connection with a particular person is placed on the personal files which do not form a part of this file plan. See list of series of separate case files.)

NUMBER	DESCRIPTION	DISPOSAL
04/01	<ul> <li><u>Posts control</u></li> <li>(1. For surveys to ascertain extension demands, systems investigations, establishment of new sections/ offices, see main series 2.</li> <li>2. Posts control has only to do with posts structure and not with the staff filling the posts, i.e. <ul> <li>i) Estimates</li> <li>ii) Designation and classification of Posts</li> </ul> </li> </ul>	
	iii) Creation and conversion	
04/01/01 04/01/01/P 04/01/01/01 04/01/01/01/01 04/01/01/02 04/01/01/02 04/01/02/03 04/01/02/02 04/01/02/02 04/01/02/03	of posts.) <u>Main files</u> Policy <u>Furnishing of information</u> To other bodies By other bodies Duty sheets Evaluation of posts <u>Sections</u> Town clerk/Executive officer City secretary City treasurer	
04/02	<ul> <li><u>Determination of conditions of service</u></li> <li>(1. For grants, payments and deductions see 4/5 sub-series.</li> <li>2. For negotiations with trade unions, see 4/10/1.)</li> </ul>	
04/02/01 04/02/02 04/02/03	Salary scales Leave Official hours of attendance	

NUMBER	DESCRIPTION	DISPOSAL
04/03 04/03/P 04/03/R 04/03/01 04/03/01/01 04/03/02	Vacancies and appointments Policy Routine enquiries Temporary/Part time appointments Holiday work <u>Permanent appointments</u> (As soon as a person is appointed, his/her personal documents are removed from the files hereunder and trans= ferred to his/her personal file. See	
04/03/02/01 04/03/02/02 04/03/02/03	list of series of separate case files.) Section Town Clerk/Executive officer Section City Secretary Section City Treasurer	
04/04 04/04/P 04/04/R 04/04/01 04/04/02 04/04/03	<u>Training and qualifications</u> Policy Routine enquiries Scholarships Courses Language qualifications	
04/05	<ul> <li><u>Financial</u></li> <li>(1. Aspects regarding conditions of service are to be dealt with under 4/2.</li> <li>2. All deductions should be dealt with on the 4/5/3 sub division )</li> </ul>	
04/05/P	on the 4/5/3 sub-division.) Policy	
04/05/01	Salaries and overtime	
04/05/02	Payment of allowances (For councillors see 5/12.)	
04/05/02/01	Subsistence and transport	
04/05/02/02 04/05/02/03	Leave Housing	
04/05/03	Deductions	
04/05/03/01 04/05/03/02	Income-tax Pension	
04/05/03/03	Insurance	
04/05/04	Loans	
04/05/04/01 04/05/04/02	Housing Study	
04/05/04/03	Purchase of motor-car	

04/05/05 04/05/05/01 04/05/06 04/05/06/01 04/05/06/02	<u>Pension fund</u> Application for membership <u>Insurance</u> Medical benefit society Accident insurance
04/06 04/06/01	Termination of service Testimonials and service certificates
04/07 04/07/01 04/07/02 04/07/03 04/07/04 04/07/04/01	<u>Staff control</u> Office hours Leave and relief arrangements Complaints against staff Clothing Uniforms (For purchasing see sub-series 6/1/2/3.)
04/08 04/08/01 04/08/02	<u>Staff evaluation and grading</u> (For posts evaluation and grading see 4/1.) Merit assessment Determination of seniority
04/09 04/09/01	<u>Staff returns and statistics</u> (See par. 7 of the general instructions.) Accidents at work
04/10 04/10/01	Labour relations Negotiations with trade unions and staff associations
04/11 04/11/P	<u>Productivity</u> Policy

## 05. <u>FINANCE</u>

(For staff finance see 4/5 sub-series)

NUMBER	DESCRIPTION	DISPOSAL
05/01 05/01/P 05/01/01	<u>Estimates</u> Policy Annual estimates: Compilation of (Open a file cover for each year, eg. 5/1/1-2000/01; 5/01/1-2001/02.)	
05/01/02 05/01/03	Excess Financial statements	
05/02 05/02/P 05/02/R 05/02/01 05/02/02 05/02/02/01 05/02/03 05/02/03/01 05/02/04 05/02/05	Evaluations Policy Routine enquiries Appointment of appraiser Valuation roll Arable land and portions of farms <u>Valuation court</u> Appointment of Valuation certificates Objections against valuations	
05/03 05/03/01 05/03/01/P 05/03/01/R 05/03/01/01 05/03/01/02	<u>Taxes</u> <u>Land and property tax</u> (For collection see 5/13/5.) Policy Routine enquiries Determination of Tax certificates (Eg. when property is transferred.)	
05/03/01/03 05/04	Remission <u>Loans</u>	
05/04/P 05/04/01 05/04/01/01	(For staff loans see 4/5/4 and for loans to the public see 5/16/1/3.) Policy <u>Borrowing powers</u> Applications and approvals	

## DISPOSAL

05/04/02 05/04/02/01 05/04/02/02 05/04/03 05/04/03/01 05/04/03/02	External loans Short-term loans Long-term loans (Open a file for each loan and number consecutively.) Internal loans Endowment fund Capital development fund
05/05	Rates
05/05/P	Policy
05/05/R	Routine enquiries
05/05/01	<u>Determination</u>
05/05/01/01	Water
05/05/01/02	Electricity
05/05/01/03	Bus
05/05/01/04	Swimming bath
05/05/01/05	Market
05/06	<u>Subsidies received</u>
05/06/P	Policy
05/06/01	<u>Individual subsidies</u>
05/06/01/01	Dental clinics
05/06/01/02	Roads
05/06/01/03	Library
05/06/01/04	Wages
05/07	<u>Deposits</u>
05/07/P	Policy
05/07/01	Water and electricity
05/08	<u>Funds and levies</u>
05/08/01	Capital development fund
05/08/02	Reserve fund
05/09	<u>Investment</u>
05/09/P	Policy
05/09/01	Long-term
05/09/02	Short-term
05/10	<u>Claims</u>
05/10/01	Salaries
05/10/02	Accidents
05/10/03	Compensation

05/11 05/11/01 05/11/02	<u>Settlement of accounts</u> Telephone Rail
05/12 05/12/01	Grants and pension fund: councillors <u>Payment of grants</u> (For staff see 4/5/2.)
05/12/01/01	Mayor
05/12/01/02	Deputy mayor
05/12/01/03 05/12/02	Management committee members Pension fund matters
05/13 05/13/01	Collection of money Water and electricity
05/13/02	Ambulance
05/13/03 05/13/04	Fire brigade Traffic fines
05/13/05	Taxes
05/14 05/14/01	Insurance Appointment of brokers
05/14/02	Cases
05/14/02/01 05/14/02/02	All risk Fire
05/14/02/03	Third party
05/14/02/04	Money
05/15 05/15/01	Accounting responsibility Audit
05/15/01/01	Provincial
05/15/01/02	Internal Monthly reports
05/15/01/02/01 05/15/01/02/02	Monthly reports Enquiries
05/15/01/02/02/01	
05/15/01/02/02/02 05/15/01/02/02/03	
05/15/01/02/02/04	Transport
05/16	Financial assistance
05/16/01 05/16/01/P	By council to the public Policy
05/16/01/01	Donations

<sup>05/16/01/02</sup> Bursaries

## DISPOSAL

05/16/01/03	<u>Loans</u>
05/16/01/03/01	Sewerage
05/16/01/03/02	Purchase of electrical appliances
05/16/02	Through mayor's funds
05/17	<u>Losses</u>
05/17/01	Bad debts
05/17/02	Loss of municipal property
05/18	Banking account
05/18/01	Signing authority
05/19	<u>Reports and returns</u> (See par. 7 of the general instructions.)
05/19/01	To S.A. Reserve Bank
05/19/02	To Statistics SA

#### 06. DOMESTIC SUPPLIES AND SERVICES

- For tenders, quotations and contracts see main series 8.
   Domestic supplies and services related to buildings, structures and grounds designed specifically for the benefit of the community are dealt with under the main series for essential and community services.)

NUMBER	DESCRIPTION	DISPOSAL
06/01 06/01/P 06/01/01 06/01/02 06/01/02/01 06/01/02/01/01 06/01/02/01/02 06/01/02/01/03 06/01/02/02	Domestic supplies Policy Stocktaking <u>Acquisition and maintenance</u> <u>Furniture and office equipment</u> Section Town Clerk/Executive officer Section City Secretary Section City Secretary Section City Treasurer Stationery (Including the printing of forms.)	
06/01/02/03 06/01/03	Uniforms Disposal of surplus and worn-out supplies	
06/02 06/02/P 06/02/01 06/02/01/01 06/02/01/02 06/02/02 06/02/02/01 06/02/02/02 06/02/02/03 06/02/02/04 06/02/03 06/02/04	Domestic services Policy <u>Transport</u> Applications and approvals Accident reports <u>Communication</u> (Excluding transport.) Postal service Telephone service Telefax Intercom E-mail Translation service Security services	

## 07. BUILDINGS AND GROUNDS

(All council buildings, structures and grounds designed specifically for the benefit of the community are dealt with under the main series for essential and community services.)

NUMBER	DESCRIPTION	DISPOSAL
07/01 07/01/01 07/01/01/01 07/01/01/02 07/01/01/03 07/01/02 07/01/03 07/01/03/01 07/01/04 07/01/04/01 07/01/04/02	Buildings         Acquisition         Purchase         Erection         Hire         Expropriation         Allocation         Maintenance         Specialist maintenance         Alienation         Letting         (Eg. excess office accommodation.)         Sale	
07/02 07/02/01 07/02/01/01 07/02/01/02 07/02/01/03 07/02/02 07/02/03 07/02/03/01 07/02/03/02 07/02/04	Grounds Acquisition Purchase Expropriation Hire Maintenance <u>Alienation</u> Letting Sale Embellishment	

## 08. TENDERS, QUOTATIONS AND CONTRACTS

(Agreements should not be placed on files in this main series. They should be placed on the appropriate subject files elsewhere in the file plan.)

NUMBER	DESCRIPTION	DISPOSAL
08/01 08/01/P 08/01/01 08/01/02	<u>Main files</u> Policy Opening of tenders Approval by Premier	
08/02	Specific tenders and quotations	
08/03	Specific contracts (Open a file for each contract and number consecutively.)	

## 09. REPORTS AND RETURNS

(This main series should only be used for annual, quarterly, monthly and other reports and returns which cannot be placed under another main series. See also par. 7 of the general instructions.)

NUMBER	DESCRIPTION	DISPOSAL
09/P	Policy	
09/01 09/01/01	Reports Annual Report of the Council	
09/01/02 09/01/02/01 09/01/02/02 09/01/02/03	<u>Annual reports of the branches</u> Town Clerk/Executive officer City Secretary City Treasurer	
09/02 09/02/01 09/02/01/01 09/02/01/02 09/02/01/03	<u>Returns</u> <u>Monthly</u> Section Town Clerk/Executive officer Section City Secretary Section City Treasurer	

# 10. PUBLICITY AND INFORMATION

NUMBER	DESCRIPTION	DISPOSAL
10/01 10/01/P	Own publicity and information Policy	
10/01/01	Press and radio reports	
10/01/02	Brochures and newsletters	
10/01/03	Enquiries	
	(Only enquiries concerning subjects not pertaining to any other main	
	series are to be dealt with hereunder.)	
10/01/03/01	History of the town	
10/01/03/02	Sights	
10/01/04 10/01/05	Participation in shows and exhibitions Emblems of the council	
10/01/05/P	Policy	
10/01/05/01	Adoption, alteration and	
10/04/05/00	interpretation	
10/01/05/02 10/01/05/02/01	Enquiries and permission to use Town coat of arms 10/1/5/2/2 Flag	
10/01/05/02/03	Chain of office	
10/00	Dublicity by other bodies, control	
10/02	Publicity by other bodies: control (Only control over publicity which	
	cannot be placed under any other	
	main series.)	
10/02/P	Policy	
10/02/01 10/02/01/01	Advertising media Boards and posters	
10/02/01/01		
10/03	Information: other bodies	
	(1. Only information of direct concern	
	to this office. 2. Information regarding the functions	
	of the office must be dealt with on the	
	files concerning those functions.)	
10/03/01	Central government	
10/03/02 10/03/03	Provincial Other local authorities	
10/00/00		

## 11. FESTIVALS AND SOCIAL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
11/01 11/01/P 11/01/01	<u>Main files</u> Policy Speeches (Copies of all speeches should be filed here.)	
11/01/02 11/01/03	Protocol and list of addresses Order paper of municipalities	
11/02	<ul> <li><u>Festivals</u></li> <li>(1. Correspondence re exhibits is placed on 10/1/4 and speeches on 11/1/1.</li> <li>2. Open a file for each festival and number consecutively.)</li> </ul>	
11/03 11/03/01 11/03/01/01 11/03/01/02 11/03/02 11/03/02/01 11/03/03	Social matters Own receptions and functions Mayoral reception Reception for the aged Other receptions and functions Invitations Letters of thanks, congratulation and condolence	
11/03/04	Awards to the public	

### 12. COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS

(1. For own council and committee meetings, see main series 3.2. For meetings of heads, see main series 2.)

NUMBER	DESCRIPTION	DISPOSAL
12/P	Policy	
12/01	<ul> <li>Routine correspondence</li> <li>(1. Routine enquiries, arrangements, membership matters, notices, etc.</li> <li>2. Notices concerning policy should be dealt with under 12/2.</li> <li>3. Open a file for each body or gathering if necessary and number consecutively.)</li> </ul>	
12/02 12/02/01	<u>Minutes, reports and policy decisions</u> <u>National and provincial</u> (Where national or provincial organisations have regional or local offices, the latter's documentation should be provided for under 12/2/2 or 12/2/3.)	
12/02/01/01 12/02/01/02 12/02/02 12/02/02/01 12/02/02/02 12/02/03 12/02/03/01 12/02/03/02	Institute for Town Clerks Provincial Municipal Association <u>Regional</u> Midlands Co-ordinating Committee Regional Development Association <u>Local</u> Ratepayers' Association Metropolitan Transport Committee	

## 13. LEGAL MATTERS

(This main series does not deal with the provision of legislation, but concerns matters which result from the contravention thereof. For acts, ordinances, regulations and by-laws, see main series 1.)

NUMBER	DESCRIPTION	DISPOSAL
13/P	Policy	
13/01	Legal opinions and court decisions	
13/02	Appointment of attorneys	
13/03 13/03/01 13/03/01/01 13/03/02 13/03/02/01 13/03/02/02	<u>Claims</u> <u>By the council</u> Damage to property <u>Against the council</u> Negligence Traffic accidents	
13/04 13/04/01 13/04/02 13/04/02/01 13/04/02/02	<u>Prosecutions</u> Serving of lawsuit documents (Where applicable to a specific case, file on relevant case file hereunder.) <u>Contraventions: cases</u> Keeping of bees Riots	

## 14. LICENCES AND PERMITS

NUMBER	DESCRIPTION	DISPOSAL
14/P	Policy	
14/01 14/01/01 14/01/01/01 14/01/01/01/01 14/01/01/01/02 14/01/01/02 14/01/01/02/01 14/01/01/02/02 14/01/01/02 14/01/01/03 14/01/01/04 14/01/01/04/01 14/01/01/04/02	Licences Application and issues Trading licences Hawkers Entertainment Dairies Vehicle licences Public vehicles Municipal vehicles Driver's licences Occupational licences Plumbers Electricians	
14/02	Permits	

## 15. TOWN PLANNING AND CONTROL

NUMBER	DESCRIPTION	DISPOSAL
15/01 15/01/P 15/01/01 15/01/02	<u>Main files</u> Policy Municipal boundaries Appointment of consulting town Planners and engineers	
15/01/03 15/01/04 15/01/05 15/01/05/01 15/01/05/02	Register of permitted practices Sinking of boreholes <u>Reservation of sites</u> Industry Educational institutions	
15/01/05/03 15/01/05/04 15/01/06 15/01/07	Sport and recreation Churches Geological survey Guide, guideline, structure and development plans	
15/02	Town planning schemes (Open a file for each scheme and number consecutively.)	
15/03	Establishment of townships (Open a file for each township and number consecutively.)	
15/04	<u>Control of townships</u> (Aspects concerning individual erven eg. amendments of individual conditions of title, subdivision of a specific erf, rezoning on a specific erf etc., should be dealt with on the erven files. See list of series of separate case files.)	
15/04/01 15/04/01/01	( <u>Name of township</u> ) Amendment of conditions of establishment	
15/04/01/02 15/04/01/03 15/04/01/04 15/04/01/04/01	Subdivisions and consolidations Servitudes Control of construction of buildings Building line restrictions and	
15/04/01/05	encroachments Permitted practices	
15/04/01/06	Existing practices	
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15/04/01/07	Rezoning	
15/04/01/08	Sectional titles	
15/04/02	(Name of next township)	
	(Provide the same subdivisions	
	as under 15/4/1.)	

## 16. ESSENTIAL SERVICES

NUMBER	DESCRIPTION	DISPOSAL
16/01	Water (Correspondence which pertains to a specific area is placed on the relevant case file under 16/1/2. Correspondence which cannot be linked to a specific area, is placed on the relevant subject file which has been provided	
16/01/01	under the heading: <u>main files</u> .) <u>Main files</u>	
16/01/01/P	Policy	
16/01/01/R 16/01/01/01	Routine enquiries Acquisition of sources	
16/01/01/01/01	Dams	
16/01/01/01/02	Rivers	
16/01/01/01/03	Springs	
16/01/01/02	Purchases (Financial aspects of a routine nature, eg. accounts, should be dealt with on the appropriate files under main series 5.)	
16/01/01/03	Provision and maintenance of reservoirs and purification plants (Including pumping stations.)	
16/01/01/04	Main pipe lines	
16/01/01/04/01	Installation	
16/01/01/04/02 16/01/01/04/03	Servitudes Connection	
16/01/01/05	Meters	
16/01/01/05/01	Installation	
16/01/01/05/02	Testing	
16/01/01/06 16/01/01/07	Water restrictions Statistics	
16/01/03	Municipal areas	
	(Open a file for each area and number consecutively.)	

16/02 16/02/P 16/02/R 16/02/01 16/02/02	<ul> <li><u>Electricity</u></li> <li>Policy</li> <li>Routine enquiries</li> <li>Generation</li> <li>Purchase</li> <li>(1. Eg. from Escom.</li> <li>2. Financial aspects of a routine nature, eg. accounts, should be dealt with on the appropriate files under main series 5.)</li> </ul>
16/02/03 16/02/04	Servitudes Erection and maintenance of sub-stations
16/02/05	Provision and maintenance of street lights
16/02/06 16/02/06/01 16/02/06/02 16/02/07 16/02/08	Meters Installation Testing Statistics <u>Distribution</u> (Open a file for each area and number consecutively.)
16/03 16/03/P 16/03/R 16/03/01 16/03/02 16/03/03	Roads and streets Policy Routine enquiries Road construction programme Proclamation Planning and commentary
16/03/03/01 16/03/03/02 16/03/04 16/03/04/01 16/03/05 16/03/05/01	<u>i.r.o. main roads</u> National roads Provincial roads Closing Temporary closing <u>Construction and maintenance</u> <u>Surfaces</u> (Open a file for each road or street
16/03/05/02	and number consecutively.) <u>Stormwater drainage</u> (Open a file for each area and number consecutively.) Sidowalka
16/03/05/03	Sidewalks

16/03/05/04 16/03/06	Bridges and subways (Open a file for each bridge or subway and number consecutively.) Allocation of street-names
16/04 16/04/P 16/04/R 16/04/01 16/04/01/01	Sewerage Policy Routine enquiries Establishment and management Sewerage farms (Open a file for each farm and
16/04/01/02	number consecutively.) Sewerage pumping-stations (Open a file for each pumping-station and number consecutively.)
16/04/01/03	<u>Network</u> (Open a file for each area and number consecutively.)
16/05	Sanitation
16/05/P	Policy
16/05/R	Routine enquiries
16/05/01	Rubbish removal service
16/05/01/01	Street rubbish bins
16/05/01/02	Home rubbish bins
16/05/01/03	Garden garbage
16/05/02	Sanitation service
16/05/02/01	Bucket service
16/05/02/02	Vacuum tank service
16/05/02/03	Public toilets
16/05/03	Recovery of waste
16/06 16/06/P 16/06/R 16/06/02 16/06/02/01 16/06/02/02 16/06/03 16/06/04 16/06/05	Cemetery and crematorium Policy Routine enquiries Establishment <u>Maintenance</u> Cemetery Crematorium Exhumation and reburials Erection of tombstones Pauper burials

## 17. COMMUNITY SERVICES

NUMBER	DESCRIPTION	DISPOSAL
17/01	Health (All inspections are to be dealt with	
17/01/P 17/01/R 17/01/01	under 17/1/4.) Policy Routine enquiries Provision of clinic services (For patient files see list of series of	
17/01/02 17/01/02/01 17/01/02/02 17/01/02/03 17/01/02/03/01 17/01/03 17/01/03/01 17/01/03/02	separate case files) <u>Diseases and plagues</u> Notice of occurrence Measures for prevention Measures for combatting Epidemics <u>Inspections</u> Premises and food Air and water pollution	
17/02 17/02/P 17/02/R	<u>Education</u> Policy Routine enquiries	
17/03 17/03/P 17/03/R 17/03/01 17/03/01/01 17/03/01/02 17/03/01/02/02 17/03/01/02/02 17/03/01/03 17/03/01/05 17/03/01/05/01 17/03/01/05/02 17/03/01/05/03 17/03/01/05/04 17/03/01/06 17/03/01/07	Traffic control (For bus transport see 17/8.)Policy Routine enquiries Road use Promotion of road safety Vehicle control Roadworthiness testing Disposal of abandoned vehicles Traffic volume surveys Provision of road signs Applications for permission Processions1 Political Rallies Abnormal loads Loudspeakers and posters Use of speed traps Offences: condonation (For prosecutions, see 13/4.)	

17/03/02	Parking allocation
17/03/02/01	Public parking
17/03/02/02	Taxis
17/03/02/03	Loading zones
17/04 17/04/P 17/04/R 17/04/01 17/04/01/01 17/04/02 17/04/02/01 17/04/02/02 17/04/02/03 17/04/02/04 17/04/03	Library Services Policy Routine enquiries <u>Buildings</u> Acquisition Maintenance <u>Books and periodicals</u> Purchase Donation Losses Inter-library loans Reports and returns (See par. 7 of the general instructions.)
17/05	Housing
17/05/P	Policy
17/05/R	Routine enquiries
17/05/01	<u>Schemes</u>
17/05/01/01	National housing scheme
17/05/01/02	Municipal housing scheme
17/05/01/02/01	Applications
17/05/01/02/02	Waiting-lists
17/05/02	Rent board investigations
17/06/P 17/06/R 17/06/01 17/06/02 17/06/03 17/06/03/01 17/06/03/02 17/06/03/03 17/06/03/04 17/06/03/05 17/06/03/06	<u>Civic centre, parks, gardens and</u> open spaces Policy Routine enquiries Applications Provision <u>Maintenance</u> Parks Caravan parks Playgrounds Camping grounds Islands and circles Nurseries

17/06/03/07 17/06/04	Civic centre Planting and felling of trees
17/07 17/07/P 17/07/R 17/07/01 17/07/01/01 17/07/01/02 17/07/02 17/07/03	Sport and recreation Policy Routine enquiries Swimming baths Application for use Hours Provision of sports facilities <u>Maintenance of sports</u> <u>Facilities</u> (Open a file for each sport and number consecutively.)
17/08	Bus transport
17/08/P 17/08/R 17/08/01 17/08/02 17/08/03 17/08/04 17/08/05 17/08/06 17/08/07 17/08/08	(For traffic control see 17/3.) Policy Routine enquiries Establishment of services Arrangement of services Determination of routes and halts Provision of shelters Drafting and amending of time-tables Hiring out of buses Bus tours arranged by council Disposal of lost goods
17/09 17/09/P 17/09/R 17/09/01 17/09/02 17/09/03 17/09/03/01 17/09/03/02	Market Policy Routine enquiries Appointment of market agents Hiring out of tables and stalls <u>Sales</u> Arrangement of auctions Fixing of prices

17/10 17/10/01 17/10/01/P 17/10/01/R 17/10/01/01 17/10/01/01/01 17/10/01/01/02 17/10/02	Provision and management of fire brigade and ambulance services Fire brigade services Policy Routine enquiries <u>Buildings</u> Acquisition Maintenance Ambulance services
17/11	<u>Abattoir</u>
17/11/P	Policy
17/11/R	Routine enquiries
17/12	<u>Pound</u>
17/12/P	Policy
17/12/R	Routine enquiries
17/12/01	Impounding of animals
17/13 17/13/P 17/13/R 17/13/01 17/13/01/01 17/13/01/02 17/13/01/02/01 17/13/02	Welfare PolicyRoutine enquiriesWelfare organisationsRegistrationStreet collectionsApplicationsSupply of food, clothing and fuel
17/14	<u>Religion and churches</u>
17/14/P	Policy
17/14/R	Routine enquiries
17/15	<u>Museums and memorials</u>
17/15/P	Policy
17/15/R	Routine enquiries
17/15/01	Provision
17/15/02	<u>Maintenance</u>
17/15/02/01	Professional
17/15/02/02	Routine
17/15/03	Declaration as monument
17/16	Civil defence

## LIST OF SERIES OF SEPARATE CASE FILES

NUMBER	DESCRIPTION	DISPOSAL
	Personal files	
SP, surname and initials	Personal confidential file (This file contains personal matters of a confidential nature.)	
SL, surname and initials	<u>Leave file</u> (This file contain routine matters i.r.o. subject.)	
Erf number	<u>Erven files</u> (Copies of all matters i.r.o. the history of an individual erf should be filed here.)	
Clinic code, surname and initials	<u>Clinical patient files</u> (Medical reports, social reports, and related documentation i.r.o. a specific patient should be filed here.)	

## ANNEXURE A

#### **Cape Town Archives Repository**

The Head Postal address: Private Bag X9025, Cape Town 8000 Street address: 72 Roeland Street, Cape Town Tel.: (021) 462 4050 Fax: (021) 465 2960 E-mail: capearch01@hotmail.com

#### **Free State Archives Repository**

The Head Postal address: Private Bag X20504, Bloemfontein 9300 Street address: 29 Badenhorst Street, Bloemfontein Tel.: (051) 522 6762 Fax: (051) 522 6765 E-mail: fsarch01@hotmail.com

### **Eastern Cape Provincial Archives**

Eastern Cape Provincial Archives, Head Office The Provincial Archivist Postal address: Private Bag X7486, King William's Town 5600 Street address: 5 Eales Street, King William's Town Tel.: (043) 643 3043 Fax: (043) 643 3375

### Port Elizabeth Archives Repository

The Head Postal address: Private Bag X3932, Port Elizabeth 6056 Street address: 1 De Villiers Street, Port Elizabeth Tel.: (041) 484 6451 Fax: (041) 484 6451

#### **Umtata Archives Repository**

The Head Postal address: Private Bag X5095, Umtata 5100 Street address: c/o Owen Street and Alexander Road, Umtata

#### KwaZulu-Natal Archives

KwaZulu-Natal Archives, Head Office The Acting Provincial Archivist Postal address: Private Bag X75, Ulundi 3838 Street address: Block 4, Unit A, Ulundi Tel.: (035) 879 8500 Fax: (035) 879 8518

### **Durban Archives Repository**

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 E-Mail: dbnarchives@kznedu.kzntl.gov.za

#### **Pietermaritzburg Archives Repository**

The Head Postal address: Private Bag X9012, Pietermaritzburg 3200 Street address: 231 Pietermaritz Street, Pietermaritzburg Tel.: (033) 342 4712 Fax: (033) 394 4353 E-mail: pmbarchives@kznedu.kzntl.gov.za

#### **Northern Cape Archival Services**

The Head Postal address: Private Bag X5004, Kimberley 8300 Street address: 6<sup>th</sup> Floor Dutoitspan Building, Dutoitspan Road, Kimberley 8301 Tel.: (053) 831 1761 Fax: (053) 833 4353 E-mail: aluxton@ds.ncape.gov.za

#### **Limpopo Province Archives Services**

The Provincial Archivist Postal address: Private Bag X9549, Polokwane 0700 Tel.: (015) 299 7728 Fax: (015) 295 2043 E-mail: nkatingij@sac.norprov.gov.za

### **Mpumalanga Archives Services**

The Provincial Archivist Postal address: PO Box 1243, Nelspruit 1200 Tel.: (013) 766 5063 Fax: (013) 766 5594/1 E-mail: pmodiba@nel.mpu.gov.za

### **North West Archives Services**

Postal address: Private Bag X6, Mmabatho 2735 Tel.: (018) 387 0244 Fax: (018) 392 1087 E-mail: Imokoena@nwpg.org.za

(DIRR5 June 2003)