



DIRECTIVE D2

SCHEDULE FOR PAPER-BASED RECORDS OTHER THAN CORRESPONDENCE SYSTEMS: ALL GOVERNMENTAL BODIES (EXCLUDING LOCAL AUTHORITIES)

National Archives and Records Service of South Africa

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**SCHEDULE FOR PAPER-BASED RECORDS OTHER THAN
CORRESPONDENCE SYSTEMS: ALL GOVERNMENTAL BODIES (EXCLUDING
LOCAL AUTHORITIES)**

1. Records other than correspondence files are materials such as registers, index cards, photographs, computer printouts, minutes etc. which are not placed on correspondence files.
2. Records other than correspondence files (other records in short) are subject to the same requirements with regard to control, care and disposal as correspondence files. Unlike correspondence files that are kept in a registry and can be retrieved through an approved *file plan*, other records are not necessarily kept in a registry and the Records Manager is also not necessarily aware of the existence of certain items. In order to control these items in a meaningful way it is necessary that these items are also classified according to a specific plan. This will facilitate the easy retrieval of information and the issuing of disposal authority to ensure that ephemeral documents can be disposed of regularly. The classification system for other records is called a *schedule for records other than correspondence systems*.
3. The *schedule* consists of four parts:
 - A. - All paper-based records other than correspondence systems except electronic records systems, micrographic projects and films, videos and sound recordings
 - B. - Electronic records systems other than correspondence systems
 - C. - Micrographic records
 - D. - Audio-visual records

This directive deals with Part A

4. Each body compiles one or more schedule(s) of records other than correspondence systems normally depending on the size or needs of the relevant body. The following method is recommended:
 - (a) Bodies with regional offices, sub-offices/institutions
 - One schedule for head office
 - One schedule for all the regional offices
 - One schedule for all the sub-offices
 - One schedule for all the institutions

(A schedule should be compiled for each institution/sub-office if there is no uniformity between the institutions/ sub-offices).

(b) Head offices with major internal departments

- One schedule for each department.

It is recommended that prior to a schedule being compiled the National Archivist should be contacted to determine which office/department/sub-office qualifies for its own schedule.

5. The schedule should be submitted in duplicate.
6. Items should be categorised and listed in columns.
7. The arrangement and items furnished in Appendix A serve only as a guide for the compilation of the schedule.
8. It is the function of the National Archivist to decide whether an item has archival value or not. Once a disposal authority has been issued the body will be informed thereof.

The office must preserve A20 (archival) records for a period of 20 years, before arrangements can be made for them to be transferred to an archives repository.

The office itself may dispose of the rest of the records. The office itself must determine retention periods for these records. When determining the retention periods the office's financial accountability and functional needs as well as any statutory requirements that these records must satisfy, must be taken into account.

9. All items of records other than correspondence systems should be identified on their covers by means of the numbers which appear in the schedule, e.g. Receipt cash books are marked: B3.1. To distinguish this number from any other numbers appearing on the items, the disposal instruction should be written alongside it and placed in a rectangular block, e.g.:

B3.1-D15

Appendix A

Schedule for paper-based records other than correspondence systems

DEPARTMENT OF

1. GENERAL INSTRUCTIONS

- 1) Control of the schedule
- 2) Alterations, additions and reporting
- 3) Master copy of the schedule
- 4) Destruction register
- 5) Destruction
- 6) Identification
- 7) Explanation of disposal symbols

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- 3. INDEX** (An alphabetical index may be added if the schedule is voluminous and items are not easily traceable from the existing synopsis).

General instructions

1. Control of the schedule

Control of the schedule is assigned to the (official concerned). No alterations and/or additions to the schedule may be made without the approval of this official.

2. Alterations, additions and reporting

All alterations and additions should be submitted regularly to the National Archivist for noting, approval and issuing of disposal authority.

3. Master copy

The master copy of the schedule is filed in a separate cover and is identified as such on the outside cover. It must be kept by the official mentioned above. This copy is kept up to date and the instructions in para. 2 must be carried out.

4. Destruction register

Once standing disposal authority has been granted for the items in the schedule, a destruction register should be implemented. This register is divided into years, e.g. 2003, 2004, 2005 etc. When an item is closed it is entered under the year in which it will qualify for destruction. An item which is closed in 2003 and for which the disposal instruction is D3 will therefore be entered under the year 2006, thus making it easily apparent which items are to be destroyed in any particular year. The use of a loose-leaf binder is recommended, as it is not possible to determine the number of pages needed per year beforehand.

5. Destruction

Items should be disposed of regularly - at least once a year - whereupon the prescribed destruction certificate should be submitted to the National Archivist.

6. Identification

All items should be identified in a prominent way on the outside cover by means of the number and name as it appears in the schedule as well as the appropriate disposal instruction. The number and disposal instruction should be written in a rectangular block.

7. Explanation of disposal symbols

A20 - Transfer to archives repository 20 years after the end of the year in which the records were created.

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

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
A <u>REPORTS AND MINUTES</u>	1. Annual reports of the department	Central Registry	
	2. Annual reports of regional offices	Central Registry	
	3. Progress reports from public relations officers	Central Registry	
	4. Biannual reports of the Marketing Committee	Central Registry	
	5. Minutes of the Development Council	Secretary of the Council	
B <u>FINANCIAL BOOKS</u>	1. Public debt registers	Accounts Section	(Disposal instructions must be determined so that they are in agreement with the Auditor-General's requirements before being submitted to the National Archives and Records Service for approval)
	2. <u>Ledgers</u>		
	2.1 Main ledgers	Accounts Section	
	2.2 Subsidiary ledgers	Accounts Section	
	2.3 Personnel ledgers	Accounts Section	
	3. <u>Cash books</u>		
	3.1 Receipt cash books	Accounts Section	
3.2 Expenditure cash books	Accounts Section		
C <u>REGISTERS</u> (Financial registers excluded)	1. Register of files opened	Central Registry	
	2. Register of disposal authorities	Central Registry	
	3. Master copy of the <i>file plan</i>	Records Manager	
	4. Master copy of the <i>schedule of records other than correspondence systems</i>	Records Manager	
	5. Attendance register	Human Resources	

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
D <u>PUBLICATIONS PUBLISHED BY THE DEPARTMENT</u> (Publications received by the body by means of subscription or that have been bought, are not considered to be public records)	<ol style="list-style-type: none"> 1. Advertising brochures 2. Newsletters 3. Posters 4. Programmes of festivals and exhibitions etc. 	<p>Liaison Section</p> <p>Liaison Section</p> <p>Liaison Section</p> <p>Liaison Section</p>	(NB One copy must be sent to the National Archives Repository immediately after publication. A second copy must be transferred to the relevant repository as part of the normal transfer of A20 records).
E <u>CARTOGRAPHIC MATERIAL</u>	<ol style="list-style-type: none"> 1. <u>Building plans</u> <ol style="list-style-type: none"> 1.1 Head office 1.2 Institutions 2. Topographical maps 	<p>Central Registry</p> <p>Central Registry</p> <p>Central Registry</p>	
F <u>PHOTOGRAPHS</u>	<ol style="list-style-type: none"> 1. <u>Photographs</u> <ol style="list-style-type: none"> 1.1 Secretary/Director <u>et al</u> of high rank 1.2 Institutions 1.3 Important events in the department 1.4 Aerial photographs 	<p>Central Registry</p> <p>Central Registry</p> <p>Central Registry</p> <p>Central Registry</p>	
G <u>FORMS</u> ¹	<ol style="list-style-type: none"> 1. (Description of form) 2. (Description of form) 	<p>Central Registry</p> <p>Central Registry</p>	
Z <u>MISCELLA- NEOUS</u>	(Any item not fitting into a specific category should be listed here).		

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These are completed forms only. Blank forms are stationery and are not indicated on the schedule.