



DIRECTIVE D3

**SCHEDULE FOR PAPER-BASED RECORDS
OTHER THAN CORRESPONDENCE SYSTEMS:
LOCAL AUTHORITIES**

National Archives and Records Service of South Africa

April 2003

**SCHEDULE(S) FOR PAPER BASED RECORDS OTHER THAN
CORRESPONDENCE FILES FOR LOCAL AUTHORITIES¹**

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

This directive deals with Part A.

4. Each council compiles schedule. One schedule may be compiled in which the records other than correspondence systems of all the sections and departments appear but grouped into categories (See Appendix A). The schedule may however be otherwise subdivided into parts that are numbered in which case each part contains the records other than correspondence files of a particular section or department.

¹ a) This schedule is used in terms of art (17)(4)(a) and (b) of the National Archives and Records Service of South Africa Act, 1996 by local authorities that do not yet fall under specific provincial archival legislation.

b) This serves only as an example. The National Archives and Records Service has compiled a comprehensive schedule for local authorities (Directive D8) that is available on the website <http://www.national.archives.gov.za> or alternatively can be ordered in hard copy format from the Records Management Division (Tel.: (012) 323 5300, Fax: (012) 232 5387, e-mail: arg16@dacts4.pwv.gov.za)

5. A schedule should be submitted in duplicate when applying for disposal authority.
6. Items should be categorised and listed in columns.
7. The arrangement and detail furnished in Appendix A serves only as a guide to offices in the compilation of the schedule and may be amended as required.
8. It is the function of the National Archivist to decide whether an item has archival value or not. Once a disposal authority has been issued the body will be informed thereof. The office must preserve A20 (archival) records for a period of 20 years, before arrangements can be made for it to be transferred to an archives repository.

The 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 legislative requirements that these records must satisfy, must be taken into account.

9. The items themselves should be identified on the outside cover by means of their corresponding numbers which appear in the schedule: e.g. volumes with agendas of the Management Committee are marked: A2.1. To distinguish this number from any other number that may appear on the items the disposal instruction should be written next to it and the whole placed in a rectangular block:

A2.1 – A.20.

Appendix A

Schedule for paper-based records other than correspondence systems

MUNICIPALITY OF _____

1. GENERAL INSTRUCTIONS

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

2. CONTENTS

- A) Agendas and minutes ----- p.
- B) Reports ----- p.
- C) Financial items ----- p.
- D) Registers ----- p.
- E) Publications published by the council ----- p.
- F) Cartographic material ----- p.
- G) Photographs ----- p.
- Z) Miscellaneous ----- p.

3. INDEX

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

General instructions

1. Control of schedule

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

2. Alterations, additions and reporting

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

3. Master copy

The master copy of the schedule is filed in a separate cover and is identified as such on the outside cover. This copy is kept by the above-mentioned official who must ensure that it is kept up to date and that the instructions in par. 2 are carried out.

4. Destruction register

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

5. Destruction

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

6. Identification

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

7. Explanation of disposal symbols

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

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

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
A <u>AGENDAS</u> <u>AND</u> <u>MINUTES</u>	1. <u>Council meetings</u>		
	1.1 Agendas	City Secretary	
	1.2 Minutes	City Secretary	
	2. <u>Management Committee</u>		
	2.1 Agendas	City Secretary	
	2.2 Minutes	City Secretary	
B <u>REPORTS</u>	1. Annual report of the Council	City Secretary	
	2. Mayor's report	City Secretary	
	3. <u>Annual reports of departments/ sections</u>		
	3.1 Town Clerk	City Secretary	
	3.2 City Secretary	City Secretary	
	3.3 City Treasurer	City Secretary	
	3.4 Health Officer	City Secretary	
	C <u>FINANCIAL ITEMS</u>	1. Valuation rolls	Accounts Section
2. Site rate register		Accounts Section	
3. Loan register		Accounts Section	
4. Stock register		Accounts Section	
5. Main cash book		Accounts Section	
6. Subsidiary cash register		Accounts Section	
7. Main ledger		Accounts Section	
8. Subsidiary ledger		Accounts Section	
9. Main journal		Accounts Section	
10. Budget		Accounts Section	
11. Financial statements		Accounts Section	
12. Cheque counterfoils		Accounts Section	
13. Receipt books		Accounts Section	
14. Bank reconciliation statements		Accounts Section	

CATEGORY	DESCRIPTION	LOCATION	DISPOSAL
D			
<u>REGISTERS</u> (Financial registers excluded).	1. Destruction register	Central Registry	
	2. Register of files opened	Central Registry	
	3. Register of disposal authorities	Central Registry	
	4. Master copy of the <i>file plan</i>	Records Manager	
	5. Remittance register	Central Registry	
	6. Register of registered or certified post	Central Registry	
	7. Cemetery register	Cemetery Superintendent	
	8. Delivery register	Stores Section	
	9. Supply register	Stores Section	
E			
<u>PUBLICATIONS PUBLISHED BY THE COUNCIL</u> (Publications received by the Council by means of subscription or that have been bought, are not considered to be public records)	1. Advertising brochures	Liaison Section	(NB One copy must be sent to the National Archives Repository immediately after publication. A second copy must be transferred to the relevant repository as part of the normal transfer of A20 records).
	2. Newsletters	Liaison Section	
	3. History of the Town/City	Liaison Section	
	4. Posters	Liaison Section	
	5. Programmes of festivals and exhibitions	Liaison Section	
	6. Regulations	City Secretary	
	7. Voters' rolls	City Secretary	
F			
<u>CARTOGRAPHIC MATERIAL</u> (All cartographic material pre-dating 1910 qualifies for permanent preservation)	1. National monuments (All categories of plans)		
	2. Places of worship (All categories of plans)		
	3. Views of special furnishing and decorations specially designed for a specific building		
	4. Detailed plans of e.g. window sills, door handles, etc., as well as subordinate building works as		

defined in the National Building Regulations and Building Standards Act, 1977 (Act No. 103 of 1977)

5. Finer detail of special furnishing and decoration specially designed for a specific building
6. All other categories of maps, plans, building plans constructions plans engineer's drawings (Including aerial photographs and flight plans) not specified here. (When these items are no longer needed for administrative purposes, the National Archives and Records Service must be contacted, which will make further arrangements for their disposal.)

G

PHOTOGRAPHS

1. Photographs
 - 1.1 Mayor and Council members Liaison Section
 - 1.2 Council buildings Liaison Section
 - 1.3 Important local functions/occasions Liaison Section
 - 1.4 Local historical buildings Liaison Section

Z

MISCELLANEOUS

1. Deeds of transfer, servitudes and bonds City Secretary
2. Agreements City Secretary
3. Leases City Secretary
4. Policies City Secretary