

DIRECTIVE R10

RECORDS IN OFFICES OF MINISTERS AND DEPUTY MINISTERS

(FOR THE PRESENT ALSO FOR USE BY OFFICES OF PROVINCIAL MEC'S)

National Archives and Records Service of South Africa
June 2003

GENERAL

- 1.1 The National Archives and Records Service of South Africa Act (No. 43 of 1996 as amended) is applicable to all governmental bodies. Offices of Ministers and Deputy Ministers are governmental bodies at the highest level and the Act is therefore also applicable to such offices. (See the National Archives and Records Service Regulations and Records Management Policy Manual which are available from the National Archivist on request.)
- 1.2 The Act (section 1) defines public records as "a record created or received in a governmental body in persuance of its activities, regardless of form or medium".
- 1.3 Party political and private documents do not fall under the provisions of the Act and are not subject to compulsory transfer to an archives repository, as is the case with official documents. However, the National Archives and Records Service of South Africa solicits the donation of such documents as they often supplement the official documents and illuminate the role which the Minister concerned played personally. Such sources also ensure that the role of the particular person is not forgotten when historical works are written.
- 1.4 In the past adequate emphasis was not placed on the fact that official records in ministerial offices are subject to the provisions of the Act. As a result, such records were often regarded as private property and at the conclusion of the Minister's term of office were dealt with in ways other than transferring them to an archives repository, which would have been the correct procedure.
- 1.5 To eliminate misunderstandings and ensure that ministerial records are dealt with according to the provisions of the Act, the National Archives and Records Service provides active assistance and guidance to offices of ministers regarding management of records.

2. FILE PLAN

- 2.1 To ensure that correspondence is filed in such a manner that the material with long-term value is separated from the material with temporary value so that a standing disposal authority can be issued to destroy temporary material periodically, it is essential that file plans be compiled in liaison with the National Archivist and be submitted for approval. The attached prototype file plan serves as an example, and can be adapted and expanded to meet the needs of the particular office.
- 2.2 Once a file plan has been approved and implemented, the National Archivist should be requested to issue disposal authority on Main Series, 2 and 3 of the system.

DESTRUCTION OF RECORDS

3.1 NB It is very important that in terms of art. 13(2)(a) of the Act, **NO RECORDS** even those which appear to be unimportant, may be destroyed without a written disposal authority of the National Archivist.

4. TRANSFER OF RECORDS

- 4.1 Records may only be transferred to an archives repository/records centre established in terms of the Act.
- 4.2 When it becomes known that a Minister is to conclude his term of office and his successor does not require the files for reference, or if his portfolio is to be terminated, arrangements for the transfer of the records to an appropriate repository should be made without delay.

5. LIAISON WITH THE NATIONAL ARCHIVIST

- 5.1 The National Archivist is charged with the custody, filing and disposal of records of ministerial offices at national level. All enquiries should be directed to the National Archivist, National Archives and Records Service of South Africa, Private Bag X236, Pretoria. (Telephone (012) 323 5300, Fax (012) 323 5287.)
- 5.2 Offices of Members of Executive Councils of provincial administrations should liaise with the archives services in the relevant province. (See Annexure A for the relevant addresses).

PROTOTYPE FILE PLAN: MINISTERS AND DEPUTY MINISTERS

INFORMATION FOR THE COMPILER OF THE FILE PLAN

GENERAL REMARKS

- 1.1 File plans of ministerial offices should be submitted to the National Archivist for approval. The attached prototype file plan attached is intended to serve as a guideline when compiling new file plans. It may be adapted and expanded according to the needs of the office.
- 1.2 It should be borne in mind that file plans compiled according to this prototype system should nevertheless be submitted to the National Archivist, National Archives and Records Service, Private Bag X236, Pretoria, 0001 for formal approval. Under no circumstances may a new file plan be implemented before formal approval has been obtained.

2. COMPILATION AND LAY-OUT OF FILE PLAN

2.1 TABLE OF CONTENTS

The full name of the office should be indicated in the space above the 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.

2.2 GENERAL INSTRUCTIONS TO THE FILE PLAN

The general instructions form an integral part of the file plan and should be adapted only in the following cases:

Paragraph 2

The official title of the person in charge of the file plan should be indicated here. According to regulation 12 of the National Archives 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 the 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 all other relevant legislation.

Paragraph 6

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

2.3 SUBJECT CLASSIFICATION

This is only a prototype file plan and ministries should make the necessary adaptations 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 contents of the file. The classification should furthermore be made in such a way that documents with temporary value 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 ministry to another. When compiling a file plan the finer subdivisions required by the office should be determined and the file plan adapted accordingly. In main series 3 in particular, it will be necessary for a ministry to provide files in accordance with its own particular needs. The particular department's file plan may serve as a guide.

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 THE FILE PLAN

REPORTING

All amendments and additions (the omission or insertion of an underlining is an amendment as well) should be reported regularly to the National Archivist for notification and formal approval. It is advisable that in cases where major amendments and/or additions are required, the prior approval of the National Archivist be obtained before any new files are opened.

2. CONTROL OF FILE PLAN

ACCURATE FILING OF CORRESPONDENCE

All officials conducting correspondence should be supplied with a copy of the file plan. Officials should ensure that they are conversant with the file plan 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 or to prevent the retention of ephemeral documents.

MASTER COPY

The master copy is the 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. They should be recorded in a register of files opened (see par. 5). The Records Manager must ensure that all amendments and additions are recorded in the master copy immediately.

REGISTER OF FILES OPENED.

The purpose of this register is to keep a complete record of all volumes of files opened. A loose-leaf binder is recommended as it facilitates the insertion of extra pages which are usually required for case files. 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 description. The first page of the register should indicate the name of the office to which the system is applicable as well as the date of implementation. A register for opened secret files should be maintained similarly.

6. IMPLEMENTATION

This file plan was implemented on

7. OPENING OF FILES AND DESCRIPTION OF FILE COVERS

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. Descriptions should be printed in indelible ink. The dates of first and last correspondence should be indicated on the file cover. Worn covers should be replaced regularly.

8. UNDERLINED DESCRIPTIONS

All <u>underlined</u> descriptions indicate subject headings only. They are not in themselves file descriptions, but serve as headings for further subdivision. No file may be opened for any underlined description.

9. EXPLANATIONS IN BRACKETS

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

10. ANNEXURE FILE COVERS

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, however, may be filed in such a cover. The cover should be marked clearly with the correspondence file reference number as well as "Annexure File". Every document contained in the Annexure file should bear a cross-reference to the related correspondence.

11. THICKNESS OF FILES

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.

12. POLICY FILES

Provision has been made for policy files in a few cases. These files are identified by 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 eg. procedures and not instructions to officials. 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 the 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.

13. DISPOSAL

N.B. NO FILES IN MAIN SERIES 1, 2 OR 3 MAY BE DESTROYED WITHOUT DISPOSAL AUTHORITY HAVING BEEN ISSUED BY THE NATIONAL ARCHIVIST.

The following procedures should be followed regarding the disposal of files in this file plan:

(i) Main series 1 and 2.

Disposal instructions will be issued by the National Archivist on application.

(ii) Main series 3.

When a Minister/Deputy Minister vacates his/her portfolio or when the administration of a particular department is transferred to another ministry, the files remain with the office that continues to carry out the function. They are incorporated into the file plan of the new ministry and further built upon. Closed volumes should be transferred to the appropriate archives repository when no longer required functionally.

(iii) Main series 4 and 5.

When a Minister/Deputy Minister changes portfolios, the files accompany him/her and are included in the file plan of the new ministry and are further built upon. When a Minister/Deputy Minister vacates his/her office, these files may be donated to the National Archives and Records Service to supplement the official records in the interests of completeness.

LIST OF MAIN SERIES

- 01. DOMESTIC MATTERS
- 02. MATTERS CONCERNING PARLIAMENT/PROVINCIAL LEGISLATURE AND CABINET
- 03. DEPARTMENTAL MATTERS
- 04. PARTY POLITICAL MATTERS
- 05. PRIVATE MATTERS

01. <u>DOMESTIC MATTERS</u>

	DECORIDATION	
NUMBER	DESCRIPTION	DISPOSAL
01/01	Finance	
01/01/P	(For staff finance see sub-series 1/2.) Policy	
01/01/01	Budget (1. For departmental budget see 3/1/9. 2. Open a file for each financial year, eg. 1/1/1-2000/01; 1/1/1-2001/02.)	
01/01/02	Settlement of accounts	
01/01/02/01 01/01/02/02	Official functions Hiring of office accommodation	
01/01/02/03	Hiring and maintenance of equipment	
01/01/03	Travel and subsistence claims	
01/02	Human Resources (For general human resources matters only.	
	Correspondence in connection with	
	a particular person is placed on the personal files. See list of	
	series of separate case files.)	
01/02/P	Policy	
01/02/01 01/02/02	Conditions of service Vacancies and appointments	
01/02/02	Training	
01/02/04	Salaries and allowances	
01/03	<u>Accommodation</u>	
01/03/01	<u>Offices</u>	
01/03/01/01 01/03/01/02	Cape Town Pretoria	
01/03/01/02	Official residences	
01/03/02/01	Cape Town	
01/03/02/02	Pretoria	
01/04	Supplies	
01/04/01 01/04/02	Not separately specified	
01/04/02	Office equipment Stationery	
01/05	Services	
01/05/01	Not separately specified	
01/05/02	Newspapers, periodicals and publications	
01/05/03 01/05/04	Telephone and fax facilities Postal and courier	
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NUMBER	DESCRIPTION	DISPOSAL
01/05/05	Printing	
01/06 01/06/01 01/06/02 01/06/03	Travel and transport Temporary accommodation arrangements Official transport Travel reservations	
01/07 01/07/01 01/07/02	Official invitations and interviews Arrangements Programmes and related documentation	
01/08	Official speeches, messages and forewords	
01/08/01 01/08/02 01/08/02/01 01/08/02/02 01/08/02/03	(For political speeches see 4/3.) Arrangements Copies Minister President, Deputy President and other Ministers Other Departments, institutions and persons	
01/09	Press conferences, press releases	
01/09/01 01/09/02 01/09/02/01 01/09/02/02 01/09/02/03	and statements Arrangements Copies Minister President, Deputy Presidents and other Ministers Other Departments, institution and persons	
01/10	Circulars, notices and annual	
01/10/01 01/10/02 01/10/03	reports Minister President, Deputy President and other Ministers Other Departments, institutions and	
01/11	persons Congratulations and expressions of thanks and sympathy	

NUMBER	DESCRIPTION	DISPOSAL
01/12 01/12/01 01/12/02 01/12/03	Records management File plan: compilation and amendment Application for disposal authority Forwarding of items received in error	

02. <u>MATTERS CONCERNING PARLIAMENT/PROVINCIAL</u> <u>LEGISLATURE AND CABINET</u>

(For travel and transport see sub-series 1/6.)

NUMBER	DESCRIPTION	DISPOSAL
02/01	Parliament/Provincial Legislature	
02/01/01	Main files	
02/01/01/01	Not separately specified	
02/01/01/02	Standing orders	
02/01/01/03	Notices	
02/01/01/04	Proclamations	
02/01/01/05	Opening of Parliament/Provincial legislature	
02/01/01/06	No confidence debate	
02/01/01/07	Tabling of items	
02/01/01/08	Pairing and programme	
02/01/01/09	Order papers	
02/01/01/10	Questions and answers	
02/01/01/11	Legislation	
02/01/01/12	Application for tickets of admission	
02/01/02	Individual parliamentary bodies/	
	Provincial legislature bodies	
02/01/02/01	Arrangements	
02/01/02/02	Minutes, reports and related documentation	
02/01/02/02/01	Not separately specified	
02/01/02/02/02	Caucus	
02/01/02/02/03	Study groups	
02/01/02/02/04	Standing committees	
02/01/02/02/05	Select committees	
02/01/02/02/06	Parliamentary/Provincial Legislature	
00/04/00/00/07	Commissions	
02/01/02/02/07	Committee on Standing Orders	
02/01/02/02/08	Joint committees	
02/02	Cabinet	
00/00/04	(For cabinet committees see sub-series 2/2/4.)	
02/02/01	Meetings	
02/02/01/01	Arrangements	
02/02/01/02	Agendas, minutes and memoranda	
02/02/02	Privileges	
02/02/03	Movement of ministers	
02/02/04	Committees Arrangements for mostings	
02/02/04/01	Arrangements for meetings	
02/02/04/02	Agendas, minutes and memoranda	
02/02/04/02/01	Economic Affairs	

03. <u>DEPARTMENTAL MATTERS</u>

NUMBER	DESCRIPTION	DISPOSAL
03/01 03/01/01 03/01/02 03/01/02/01 03/01/02/02 03/01/02/03 03/01/02/04 03/01/03 03/01/04 03/01/05 03/01/06 03/01/07	Departmental administrative matters Matters not separately provided Legislation and regulations Environmental management Sea Fisheries National Botanical Institute Council for the Environment Recruitment, selection and placement of staff Evaluation of staff Approval of overseas trips Training Office support systems Delegation of authority	
03/01/09 03/01/10	Budget (For domestic budget see 1/1/1.) Media matters	
03/02 03/02/P 03/02/01 03/02/02 03/02/03 03/02/04 03/02/05 03/02/06 03/02/07 03/02/07/01 03/02/07/01 03/02/07/02 03/02/07/02/01 03/02/07/02/02 03/02/08 03/02/09 03/02/10 03/02/11	Environmental management Policy Matters not separately provided Education and World Environment Day Environmental impact studies Urbanization and squatting Population explosion Rezonings Damage to the environment Interior Coal mining Coastal area St. Lucia False Bay Water pollution Sea pollution Littering Recovery of waste material	
03/03 03/03/P 03/03/01 03/03/02 03/03/03 03/03/04 03/03/05 03/04 03/04/P 03/04/01 03/04/02 03/04/02/01	Sea Fisheries Policy Matters not separately provided Marine sources Control over fishing harbours Oil pollution Protection of sea animals SA National Parks Policy Matters not separately provided Specific Parks Kruger National Park	

NUMBER	DESCRIPTION	DISPOSAL
03/05	National Botanical Institute	
03/05/P	Policy	
03/05/01	Matters not separately provided	
03/05/02	Specific Botanical Gardens	
03/06	Council for the Environment	
03/06/P	Policy	
03/06/01	Matters not separately provided	
03/06/02	Appointment of members	
03/07	Weather Bureau	
03/07/P	Policy	
03/07/01	Matters not separately provided	
03/07/02	Weather administration	
03/07/02/01	Antarctic	
03/07/02/02	Islands	
03/08	Matters referred to other institutions	
03/08/01	State Departments	
03/08/01/01	Presidency	
03/08/01/02	Department of Agriculture	
03/08/01/03	Department of Arts and Culture,	
03/08/01/04	Department of Constitutional Development	
03/08/01/05	Department of Correctional Services	
03/08/01/06	Department of Education	
03/08/01/07	Department of Environmental Affairs and Tourism	
03/08/01/08	National Treasury	
03/08/01/09	Department of Foreign Affairs	
03/08/01/10	Department of Health	
03/08/01/11	Department of Home Affairs	
03/08/01/12	Department of Housing	
03/08/01/13	Department of Justice	
03/08/01/14	Department of Labour	
03/08/01/15	Department of Land Affairs	
03/08/01/16	Department of Minerals and Energy	
03/08/01/17	National Intelligence Agency	
03/08/01/18	Department of Public Works	
03/08/01/19	Department of Sport and Recreation	
03/08/01/21	Department of Trade and Industry	
03/08/01/22	Department of Water Affairs and Forestry	
03/08/01/23 03/08/01/24	Department of Water Affairs and Forestry South African National Defence Force	
03/08/01/25	Office of the Public Service	
00/00/01/20	Commission	
03/08/01/26	South African Police Service	
03/08/01/27	Department of Social Services	
03/08/01/28	Department of Science and Technology	

NUMBER	DESCRIPTION	DISPOSAL
03/08/02	Other state institutions	
03/08/02/01	SA Broadcasting Corporation	
03/08/02/02	Statistics SA	
03/08/02/03	Auditor General	
03/08/02/05	Public Protector	
03/08/03	Provincial administrations	
03/08/03/01	Eastern Cape	
03/08/03/02	Mpumalanga	
03/08/03/03	KwaZulu/Natal	
03/08/03/04	Northern Cape	
03/08/03/05	Limpopo	
03/08/03/06	North West	
03/08/03/07	Free State	
03/08/03/08	Gauteng	
03/08/03/09	Western Cape	

04. PARTY POLITICAL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
04/01 04/01/01 04/01/02	Congresses and conferences Notices and arrangements Resolutions, agendas and minutes	
04/02	Party information and promotional material	
04/03 04/03/01 04/03/02	Speeches (For official speeches see 1/8.) Arrangements Copies	
04/04	Opposition parties	
04/05 04/05/01 04/05/02	General elections Nomination of candidates Rallies (For speeches see 4/3.)	
04/06	Problems and needs of voters	

05. PRIVATE MATTERS

NUMBER	DESCRIPTION	DISPOSAL
05/01 05/01/01 05/01/02 05/01/03 05/01/04 05/01/05 05/01/06 05/01/07 05/01/08 05/01/09	Business and financial matters Directorships Shares and other investments Fixed property Banking account Income Tax Payment of accounts Donations Licences Medical fund	
05/02 05/02/01 05/02/02 05/02/03 05/02/04 05/02/04/01 05/02/04/02	Social matters Expressions of congratulations, and thanks Expressions of sympathy Greetings on special occasions Receptions Arrangements for own receptions Invitations to other receptions	
05/03 05/03/01 05/03/02 05/03/03 05/03/04 05/03/04/01	Honorary awards Doctoral degrees Chancellorships Patrons Honorary memberships Sporting bodies	
05/04	Sport (For honorary membership see 5/3/4/1.)	
05/05	Holiday arrangements	
05/06	Medical matters (For medical fund see 5/1/9.)	
05/07	Biographical details and photographs	
05/08	Will	

LIST OF SERIES OF SEPARATE CASE FILES

NUMBER	DESCRIPTION	DISPOSAL
	Personal files	
SP, surname	Personal confidential file and initials (This file contains personal matters of a confidential nature.)	
SL, surname	Leave file and initials (This file contains routine matters regarding the subject.)	

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: 6th 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