



**treasury**

Department

Treasury

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## KZN PROVINCIAL TREASURY

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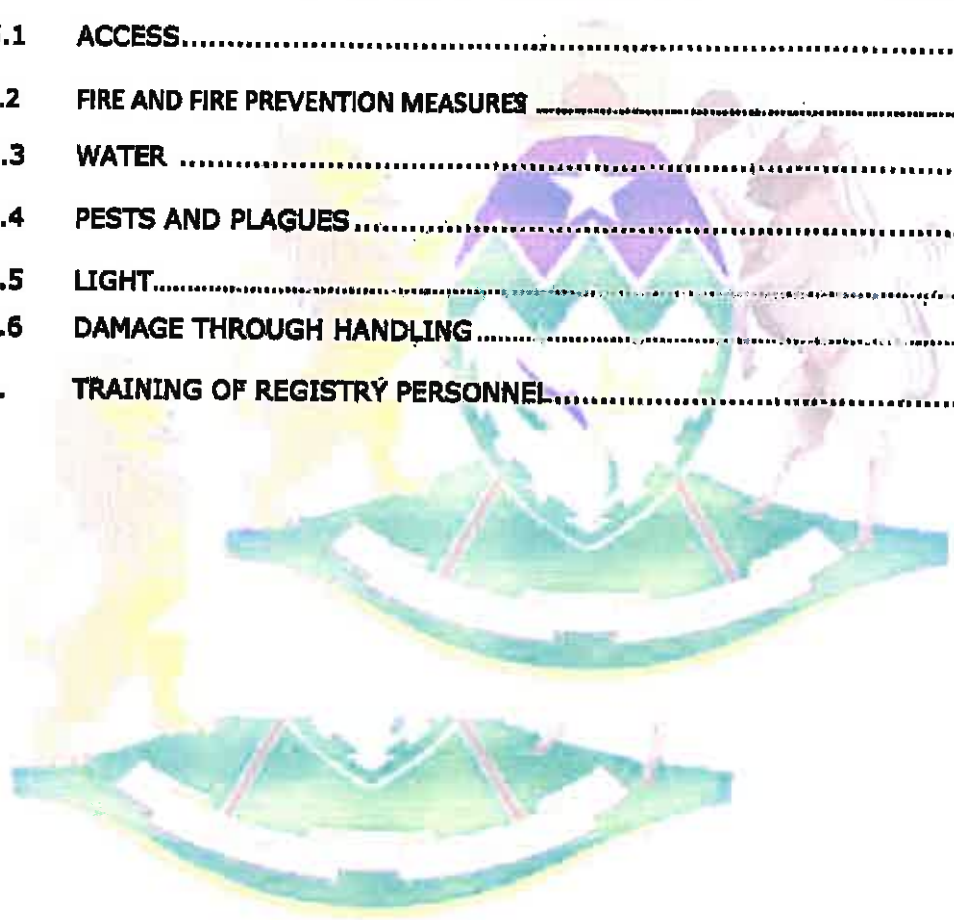
#### REGISTRY PROCEDURE MANUAL

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## REGISTRY PROCEDURES

### **1. Receipt of post, parcels and remittances/transerable items**

#### **1.1 Procedures regarding the mailbag**

The mailbag is collected in the morning at 8.30 a.m. by the Messenger from the Post Office and appropriately dispatched.

##### **1.1.1 Private letters that are received are placed unopened in pigeon holes.**

### **2. Receipt, sorting and opening of post**

#### **2.1 Receipt of mailbag**

The post is received in a locked bag from the Post Office. The bag is then opened and emptied by two officers. These officials must receive written instructions entitling them to receive and open post, and to note details of all remittances or negotiable in the remittance register, received by post or otherwise. These written instructions should be filed on the personal files of the relevant official. In cases where one or both of the officials are not present to, or for any reason cannot open the post, permission for this task must be delegated, in writing, by the office head to other registry officials.

Under no circumstances may only one person open post. Messengers are not permitted to help with the opening of post.

Incoming post is opened once a day, at 09h00. All official post and letters received while post is not being opened are locked away unopened in the safe until the post is opened again.

##### **2.1.1 Sorting of post**

Official letters addressed to persons by name are delivered to them unopened. Confidential envelopes are delivered unopened to the Head of Department who has been assigned this purpose. After these items have been handed over to the above-mentioned official, the registry accepts no further responsibility for them.

##### **2.1.1.1 All envelopes which indicate that the correspondence concerns staff matters are delivered unopened to the Human Resource Department.**

#### **2.1.2 Procedure for opening post**

##### **2.1.2.1 The post is divided into two groups, one for Provincial Treasury and the other for Supply Chain Management. Post is opened and date stamped. Post is distributed according to sections and put into the relevant pigeon holes.**

Envelopes are slit open on two sides to ensure that all the contents have been removed and, once emptied, the envelopes are immediately disposed of in the waste bin.

Envelopes of unclaimed/undeliverable letters are attached to the letter.



After the letters have been removed from the envelopes, they must be opened immediately and read to ensure that any annexures and monies referred to have actually been enclosed. If such items are missing, this must be neatly noted in the margin of the letter and initialed. In cases where money is missing or the amount differs from that mentioned in the letter, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter or, in the case of bulky annexures, tied with string. When attaching documents care must be taken with original documents that are valuable to the sender, e.g. certificates that are not damaged by pins or anything else.

2.1.2.2 Registered postal articles are treated in the same manner as ordinary post. Bearing in mind the regulations in the Financial Manual Chapter Q (par. Q4.1.2 – Q4.1.6), these articles should be recorded in the register kept for this purpose.

2.1.2.2 Incoming parcels are opened and dealt with in same manner as incoming post.

2.1.2.3 Incorrectly delivered post is returned to the mail bag.

2.1.2.4 Incoming express letters should immediately be opened by the Registry and entered into a Register and delivered to the section concerned.

2.1.3 Receipt and handling of remittances/transferable items

2.1.3.1 Letters enclosed with money or transferable items must be immediately separated from the other post once it has been opened and noted in the remittance register.

2.1.3.2 As already mentioned in par. 2.1.3 money which is either not enclosed or does not correspond with the amount mentioned in the letter, must be noted in the margin and initialed by both officials opening the post.

2.1.3.3 In addition, the following extracts from Financial Manual Chapters J and Q must be strictly adhered to:

**"Q4.2.3 In the 'remittance register' the following should be recorded:**

- a) the date of receipt;
- b) whether received by ordinary or registered post;
- c) from whom received
- d) the nature of remittance;
- e) the amount of remittance (where applicable);
- f) the signatures of the officials present at the opening of the mail;
- g) the signatures of officials to whom handed over;
- h) the reference of the receipt, issued and the method of disposal; and
- i) the signature of the controlling official and the date of the cheque.

**Q4.2.5** The controlling officer, must examine the prescribed register at least once a week to ensure that all instructions are being complied with, and that all the valuables recorded therein, have been promptly accounted for. He must sign the register in the last column to indicate that this has been done.

**Q4.2.2.** Before a remittance register is brought into use, the supervising official, must ensure that all the pages have been numbered consecutively

throughout; and the person responsible for checking the register, during the course of his check must verify that no pages have been removed from the register.

Q4.1.3 – Q4.1.6 In the case of registered mail, the date of receipt and number of the advice slip of the relevant articles must be recorded in a separate register. The advice slip, issued by the post office, should be signed in order for the article to be cleared. Once the articles have been collected, the officials responsible for opening the mail must compare them with the entries in the register. Each article prior to opening must be carefully examined for evidence of tampering. If they contain remittances or transferable items, these must be recorded in the remittance register.

4.2.9. Officials receiving remittances hand delivered must verify the letter's or packet's contents. If it has been entered in a "letter delivery book", the entry in that book must be signed in acknowledgement of receipt, after which the remittance should then be recorded in the register.

Q4.1.1 All postal matters collected from the post office must be carried in a sealed bag and, wherever possible, arrangements should be made to ensure that the bag is sealed by a post office official.

J.5.2. Warrant vouchers, cheques, bank drafts, money orders, postal orders, transfer orders or other items of payment, excluding stamps and bank notes, received by an official on behalf of the State, whether made payable to him/her in his official capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words "not negotiable" across the face of the item. This instruction does not apply to the case of warrant vouchers specially drawn for encashment.

Q4.1.7. All monies or other transferable items received through the post must be handed immediately to the officials responsible for accounting, and an acknowledgement should be made thereof in the relevant column of the remittance register."

## **2.1.4 Filing of post**

### **2.1.4.1 Application of date stamp and reference number**

2.1.4.2 The date stamp is only applied to the first page of a letter. No annexures and/or letter. No annexures are stamped.

2.1.4.3 The date stamp must be applied to an open space on the letter. If the front of the letter has insufficient space, the date stamp should be applied to the back. Under no circumstances must any written or printed part of the letter be stamped as it could make important information illegible.

2.1.4.4 Cheques are stamped on the back.

2.1.4.5 Opened post should immediately be divided into three groups, namely those on which the office reference number already appears, those that do not need any reference number, and those to which a reference number must be allocated.

- 2.1.4.6 When a file number is allocated to a particular letter, it is written in the top right hand corner, and the letter is given to the officials responsible for drawing or locating the files.
- 2.1.4.8 Letters to which reference numbers must be allocated are dealt with as follows:
- a) The Chief Registry official reads the letters thoroughly and carefully to determine precisely what it deals with. Under no circumstances should the subject be determined simply from the letter heading. The latter can be misleading;
  - b) Only the filing system should be used to determine file numbers;
  - c) To determine the correct number, the list of main series should first be consulted and the most suitable series selected. Then the different sub-series should be consulted to eventually identify the correct file reference; and
  - d) If there is still disagreement over the correct reference the Records Manager should be consulted.
- 2.1.4.9 If more than one subject is dealt with in a letter, the references should be identified for each subject and copies of the letter should be made for the relevant files.
- 2.1.4.10 Officials working with correspondence must also ensure that the correspondence they deal with is placed on the correct files. In the cases where there is disagreement about the allocation of a file number, or the correctness of a given number, it should immediately be discussed with the Chief Registry official.
- 2.2 Correct and neat filing
- 2.2.1 Once the reference numbers have been allocated to the incoming post, the relevant files are determined and drawn according to the procedures explained hereunder. The papers in question are filed in the files and the control sheets completed. Under no circumstances may loose papers be circulated either in the file cover or pinned to the front of the file, since correspondence can be damaged and soiled in this way.
- 2.2.2 Documents which must be sent back to a person, e.g. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned to the right hand side (flyleaf) of the file cover.
- 2.2.3 If a file on which correspondence must be sent out is not available within a reasonable time, or after the first search for it the documents should be taken to the relevant department or section. If the matter cannot be dealt with without the file, the registry officials must search for it. If the file cannot be found after repeated attempts, a duplicate file is opened by the Chief Registry official and entered in pencil in the Register of Opened Files. Meanwhile, attempts must still be made to trace the original file and when found, the contents of the temporary file must be amalgamated to it.
- 2.2.4 The following papers are always sent through for attention without files:
- 2.2.4.1 Invoices and Statements



**2.2.4.2 ZNT 31 Application Forms**

**2.2.5** Care must be taken to ensure that papers are neatly filed on the file fasteners. Attention must be paid to the correspondence which should be kept neat and tidy in the file covers. No papers should protrude from the files.

**2.2.5.1** The Checklist form should be completed and filed in each and every file by the Records Officer and Chief Registry Clerk on monthly basis to ensure correct and neat filing.

**2.3 Application of a policy of document economy**

**2.3.1** Both the Records Manager and the Chief Registry official must ensure that the following policy of document economy is carried out:

- a) Copies of reminders are not placed on files. Only the particular letter to which the reminder applies is endorsed;
- b) Excessive cross-filing and duplication of papers on files must be regularly guarded against. Where duplicates of an item are made for any reason, those unused should be filed separately in a folder and not on the file;
- c) Where identical letters are directed to more than one address, only one copy needs to be placed on the file, together with a list of the other addresses to which similar letters are sent; and
- d) Where a duplicate dispatch is made for the purpose of acknowledgement of receipt, the returned copy with the acknowledgement must be placed in the same file as the previous copy.

**2.4 Numbering of items in files**

**2.4.1** Each individual item placed on a file is numbered consecutively. The item is seen as an entity and receives only one number. Since the pages of any one item are not separately numbered, it is not necessary for the item's pages to be placed in the file in reverse order.

**2.5 System of completing correspondence on files**

It must be regularly ensured that all incoming post and instructions on the files receive attention. It is the duty of the registry officials to ensure that an instruction on the last column of the control sheet to file or pend is noted of every item before the particular file is replaced. If this is not given, the file must be returned.

**2.5.1** In order to make these controls as effective as possible, the following procedures are followed:

- a) Control sheets are pasted in the front of every file cover;
- b) The date on which the item is placed on the file is written in the first column of the control sheet.
- c) The item is then marked out to the official who will receive it in the second column.
- d) The registry personnel allocate the following item (folio) number on the file and enter the number in the third column.



- e) The registry personnel that placed/filed the correspondence/documents will sign off on the fourth column of the control sheet.
- f) The Chief Registry Clerk and Records Officer signs off the fifth and sixth column respectively, to ascertain correctness of the correspondence/documents filed.
- g) If the correspondence clerk makes a submission to his seniors, it is written on a new page with the following item number, and the details are written on the control sheet;
- h) When the original document is dealt with, in whatever manner, it is marked "file" with the correspondence clerk's signature, and date in the relevant column of the control sheet;
- i) Submissions which must circulate to various officials should be marked with only the following person's rank, or initials, or rank, in order to avoid confusion; and
- j) If the incoming correspondence resulted in a letter being dispatched, the copy for filing must be marked "file", the outgoing copy must be signed, and instructions should be given to Registry in the relevant column of the control sheet, whether the letter should be pending or filed.

## **2.6      Circulation of and search for files**

- 2.6.1      Once incoming mail is placed on the files, they are taken by the messengers and circulated amongst the various officials and sections.
- 2.6.1.2    All files dispatched and requested by officials are allowed a maximum time of 10 (ten) working days.
- 2.6.2      Only in exceptional cases should the registry personnel be given the instruction to search for a file urgently.
- 2.6.3      Once the registry personnel have drawn and dealt with the files in registry, as mentioned, a search list of files is compiled. On this list, file numbers of all unfiled papers are given in numerical order. This procedure simplifies and speeds up the search for files.
- 2.6.4      The offices are then systematically searched by Registry Clerks, the correspondence is placed on the files and the control sheets are completed. The officials dealing with correspondence should be informed of the new correspondence being added to the file. If the official is not in his/her office at the time, the file on which the new correspondence has been filed is simply replaced in his/her "in" tray.
- 2.6.5      Files should not be removed from an official's table without his knowledge. If he is absent, a note should be left stating where the file has been taken.

**2.7        Outgoing post**

**2.7.1        Instructions contained in the Postal Guide and Financial Manual**

**2.7.1.1        Registry officials follow the instructions included in the Postal Guide and the Financial Manual regarding matters like postal money, weight, measurements, packaging, registered post, etc. which are dealt with thoroughly in the Postal Guide.**

**2.7.2        Rules for dispatch**

**2.7.2.1        All files that contain post for dispatch must be placed in his/her tray for "post files" by the correspondence official. From here it is taken by the messenger and brought directly to Registry.**

**2.7.2.2.        Officials must ensure that all post to be dispatched, reaches the registry before 10h00. Post received after the given times will only be dispatched the next time that mail is posted. In cases where post must be dispatched urgently, but is not ready at the correct time, the Chief Registry official should be informed. Such post will be received and dispatched later.**

**2.7.2.3        Letters and papers for dispatch should neither be placed on top of files, nor attached in front with a paperclip, but should be folded neatly in the file cover. This prevents outgoing papers from being soiled, detached from the relevant file or torn while being handled.**

**2.7.2.4        The dispatch of all post occurs from the Registry and is carried out by the Registry Clerk. Files with post for dispatch are placed in the trolley by the messengers so that it is within reach of the dispatch clerk.**

**2.7.2.5        After the registry clerk has stamped the post, he/she checks whether all stamps and signatures have been added, as well as whether all annexures mentioned have been enclosed.**

**2.7.2.6        The date of dispatch should not be typed on the letters, as the correspondence may not be posted on the same day, and alterations will then have to be made. The date of dispatch is stamped in the registry.**

**2.7.2.7        Post should be placed for dispatch in three separate groups, viz.:**

**a) Ordinary post which is sent by the post office;**

**b) Registered post;**

**c) Ordinary post that reaches its destination by means of messenger deliveries.**

**2.7.2.8        Officials who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) and address stamps (for organizations and offices with whom they correspond frequently) should be used.**

### **2.7.3      Special dispatches**

**2.7.3.1      The regulations contained in the Postal Guide should be adhered to strictly when dealing with all of the undermentioned dispatches. Furthermore, the following apply:**

**2.7.3.1.1      Only important documents and correspondence which, for specific reasons, the addressee must sign, should be sent by registered post.**

**2.7.3.1.2      The official who sends registered post should:**

**a) stick a registered label in the top left corner of the addressed face;**

**b) compile a list of the registered post in duplicate on form Z 209. The book should accompany the post to the post office where the original is removed and proof of receipt applied to the duplicate copy.**

**2.7.3.1.3      All registered post should be handed over at the post office counter and must not be placed in the mailbag**

**2.7.3.1.4      Only in very urgent cases is a letter sent by express or preferential post. Such letters are handed in at the counter of the post office and must not be placed in the mailbag. This post must be addressed to a street address and not to a post box or private bag.**

### **2.7.4.      Handling of secret/confidential postal articles**

**2.7.4.1      Registry personnel do not deal with secret/confidential papers in their normal day to day work. If a registry official should be given the task, all the precautions contained in the "Guide for Security Measures for the Protection of State Secrets" (EM 9/12) should be followed and the head of the office should issue the instruction personally, and in writing.**

**2.7.4.2      Secret files are protected and managed by the Security Manager and the registry carries no responsibility for them.**

### **2.7.5      Pending of papers**

**2.7.5.1      It is not the function of the registry staff to decide for how long a document should be pending; they only carry out an instruction.**

**2.7.5.2      The dispatch of reminders i.r.o. pending items is the responsibility of the relevant correspondence official.**

**2.7.5.3      The registry, as well as every official, keeps a diary according to which the pending of papers is managed. When an official wishes to pend an item, he/she carries out the following procedures:**

**a) Record the file and item number in the relevant date column of his/her diary;**

**b) Complete the control sheet in the relevant file in the prescribed manner;**



c) Ensure that the pending inscription in his/her diary is cancelled if an answer arrives before the due date thus, preventing unnecessary requests for a file; and

d) Request registry to send the relevant file to him/her on the pended day if it has not reached him/her by 11h00.

**2.7.5.4** Similarly the registry personnel must record under the appropriate dates in their diaries which files have been pended for that day. These details are obtained by checking the control sheets of all files before they are replaced. Files pended for a particular day are drawn each day by the registry official at 08h00. The messengers must ensure that the files are taken from registry to reach the officials before 11h00.

**2.7.6** Filing of papers and replacing of files

**2.7.6.1** Before a file is replaced, the registry personnel must first ensure that:

a) All correspondence has received attention and that the instructions to file or pend have been complied with. This is ascertained from the control sheet in every file;

b) The cover of the file is neat and in tact, that the correspondence is placed neatly on the file, and the file fastener is secured. All of these shortcomings must be corrected before a file is replaced;

c) Pins and paper-clips are removed, as they can rust and thus damage the documents; and

d) A file is not thicker than 3cm. When a file reaches this thickness, it should be closed and the next volume opened. (See par. 19 of General instructions of file plan)

**2.7.6.2** Filing of incoming post as well as file copies of outgoing letters must be attended to in registry, but officials must file their submissions themselves.

**2.7.6.3** When all papers intended for filing have been placed on the file spikes, care must be taken to ensure that the fastener is placed on top. The fastener protects the correspondence and holds it firmly in place.

**2.7.6.4** Documents must be filed in chronological order with the most recent date on top. An annexure or enclosure always forms part of the document with which it was received, regardless of the date thereon. The date of receipt, and not the date of dispatch, is used to file incoming papers. (see also par. 2.2)

**2.7.6.5** Bulky documents, such as reports and minutes, are not filed with other documents, but are placed in annexure file covers. An indication of this must be given on the corresponding file. The annexure cover must supply the file reference number as well as the words "Annexure Cover". No correspondence may be placed on this file.

**2.7.6.6** The files of the filing system are placed on the shelves numerically, according to the sequence of the Mastercopy. Personal files with reference to staff are filed alphabetically according to series (SP,ST,SV). Loose case files are filed behind personal files.

## **2.8            Movement of files**

**2.8.1            The movement of files within the directorates is not controlled. Officials who need files from registry must use the following procedure:**

- a) No file may be personally removed from or replaced in the cabinets. Files are requested and returned at the counter in the registry and are supplied, and replaced again only by the registry personnel;**
- b) Files should be requested by providing the file number only, and not the description of the subject content or the file description;**
- c) Files should not be held up unnecessarily in offices, but should be returned to the registry as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the registry until it is needed again; and**
- d) Files may not be removed from the building or sent through to other directorates without the consent of the Chief Registry official.**

**2.8.2            Only the movements of files leaving the building or being sent through to other directorates are monitored. For this purpose, a card with the following information is placed in the usual space of the file:**

- a)        File number**
- b)        Where sent to**
- c)        Date of dispatch**

**Files returned from other sections must immediately be brought to the attention of the registry personnel so that the card may be removed. Specially prepared cards are available in registry for this purpose.**

## **2.9            Closure and termination of files and records other than correspondence files**

### **2.9.1            Closure at 3 cm thickness**

**2.9.1.1        Files should not be allowed to become more than 3cm thick.**

**2.9.1.2        When a volume is closed, the date of the most recent correspondence is noted on the file cover. The date when the correspondence began is noted on the cover once the first item is placed on the file after opening. A sheet of paper is placed as the last item in the closed volume containing the words "Closed, see vol. \_\_\_\_", which is also written on the file cover. The volumes are numbered consecutively. Letters and roman numerals must not be used.**

**2.9.1.3        The closing procedure is as follows:**

- a)        A strip of cardboard, wide enough to fit in the file and long enough to wrap around both sides is cut from file covers and placed beneath the correspondence in the file;**
- b)        The correspondence is then meticulously checked to ensure that each item is in place, and that no misplaced items appear on the file. The items in the file are then replaced on top of the cardboard strip. A**

clean sheet of paper is placed on the file with the words "Closed, see vol. \_\_\_\_" thereon;

- c) The cardboard strip is closed from the top and bottom covering the correspondence while the file is closed in the usual manner; and
- d) If the file cover is damaged or not presentable, it must be replaced with a new one.

## **2.9.2      Termination during transfer from one office to another**

**2.9.2.1**      Policy and subject files received from another institution when functions are transferred should be terminated immediately. No further correspondence may be added to these transferred files. These files may not be incorporated into the filing system and must be preserved as a separate entity

**2.9.2.2**      However, when case files are received during the transfer of functions, they may with written consent of the Provincial Archives be incorporated in the filing system. They may be renumbered and further correspondence filed on them, provided that the file is still required for existing correspondence. In cases where the file is no longer needed, it should be terminated and preserved as a separate entity.

**2.9.2.3**      Minute books that are received should be terminated and new ones opened. Financial books may be used until the end of the financial year in which they were received, and must then be terminated. Only financial books which are used for recording long term transactions such as the payment of loans, and the appropriation of capital funds are exempted from this condition.

**2.9.2.4**      All other items of records other than correspondence files, except map collections, which by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity.

## **2.9.3      Filing of closed and terminated records**

**2.9.3.1**      All closed volumes or items from the approved filing system or Records Control Schedule are preserved in the department's archives on the prescribed date. Under no circumstances should closed volumes of correspondence files be filed with current files on the shelves. This can lead to correspondence being accidentally placed on a closed volume, and not being finalised.

**2.9.3.2**      Closed and terminated correspondence files can be filed in corrugated cardboard boxes for protection against light, dust and disintegration. Containers of corrugated cardboard are used for the filing of files. Single walled simplex cardboard with B-corrugated construction used for this purpose should have the following measurements:

368mm x 267mm x 95mm (outside measurements) with a 152mm lid.



## 2.10 Keeping of Essential Registers/Schedules

### 2.10.1 Records Manager

2.10.1.1 The following essential registers/schedules are kept by the Records Manager:

- a) the Master Copy of the filing system – this is the copy of the system in which all approved subjects are correctly and indently reflected; and
- b) a Records Control Schedule – on which every type of item, which is not part of the filing system, is indicated.

### 2.10.2 Chief Registry Official

2.10.2.1 The following essential registers are kept by the Chief Registry official:

- a) Remittances received by post. This register must record all remittances received by post – whether by ordinary or registered post;
- b) Documents and correspondence received by registered post. In this register, the number of the registered item as well as the place of origin, is noted. After receipt of the items, they are opened and details of the contents are entered into the register opposite the relevant slip number. If remittances are received, the details of the reference are entered into the remittance register.
- c) Items sent by registered post;
- d) Register of Files Opened – this is a register which accurately reflects what files are already opened according to the Master Copy of the filing system;
- e) Destruction Register – this is a register which records details of all records which must be destroyed;
- f) Disposal Authorities Register – this is a register in which details of all disposal authorities received from the Provincial Archivist, are recorded.

2.10.2.2 The registers are checked and reviewed by Chief Registry official on daily basis and monthly by Assistant Director: GOSS (General Office Support Services)

### 2.11 Preparation and opening of file covers

2.11.1 File descriptions and numbers on files must be printed neatly and legibly with the aid of a Scriber.

2.11.2 The description of the subject on the files must agree with the subject in the filing system. Par. 13 of the General Instructions to the filing system must be strictly adhered to. The main series description must in all cases be indicated on the cover. Where there is uncertainty as to the correct description, or where registry officials are unsure which components can be omitted, the final decision must be made by the Records Manager. At all times, correct spelling must be emphasised.

- 2.11.3 It should be indicated on the cover which volume of the file it is and, as soon as the first volume is opened, it should be marked Vol. 1. Only Arabic numbers may be used for this purpose.
- 2.11.4 The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instructions that have not yet been approved by the National Archivist should not be recorded on these files.
- 2.11.5 Every file cover used must be provided with a cardboard file backing, a self-piercing type of paper fastener, 5cm long, and a cardboard washer. Control sheets are available in registry and should also be attached inside the front of every cover.
- 2.12 Use of daily files
- 2.12.1 Only copies of important letters, excluding confidential letters, are placed on the daily file. The Records Manager in all cases has the final decision on what appears on the daily file.
- 2.12.2 Once the daily file has been prepared for circulation, it is immediately sent to the Records Manager, who then checks that the correct file numbers have been allocated in all cases. Thereafter, it is circulated to all interested staff.
- 2.12.3 Officials must note that they may only keep daily files for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official, and be requested for further study later.
- 2.12.4 As soon as the daily file has been circulated amongst all interested personnel, and returned again to the Registry, it is filed for six months and then disposed of.

### **3. MAINTENANCE OF THE FILING SYSTEM AND RECORDS CONTROL SCHEDULE**

#### **3.1 Filing System**

- 3.1.1 The Records Manager is responsible for the maintenance of the filing system. This includes:
- a) Careful control over amendments and additions to the system to prevent its degeneration. The Records Manager should approve all such amendments and additions himself and should add them personally to the Master Copy of the system; and
  - b) Ensuring that correspondence is placed correctly as this prevents the subsequent deterioration of the system. The official exercises this control by means of the daily file, regular inspections and spot-checks on the files in registry.
- 3.1.2 With regard to amendments and additions, special attention must be paid to the following:

- a) Documents originating from new activities must not be forced into inappropriate files in the existing system. In such cases, new files, subjects or even main series must be created;
- b) Faulty additions through which existing files are duplicated, or which overlap with existing subjects, or additions at incorrect places; and
- c) The assurance that new descriptions satisfy the set requirements.

**3.1.3** As soon as the Records Manager has approved an addition or amendment, it must be immediately inserted in the Master Copy and thereafter, reported to the Provincial Archivist. This reporting occurs, in the case of minor amendments and additions, every 6 months by means of amendment slips. These are numbered consecutively for every year (e.g. 3/1999, 4/1999) and are in stock in the registry. As soon as an amendment or addition is approved by the Records Manager, the Chief Registry Official completes amendment slips for each official who deals with correspondence and has a copy of the system at his/her disposal. The slips are then supplied to these officials to make the amendments to their systems. A copy of each slip is kept together and sent collectively to the Provincial Archivist.

**3.1.4** In the event of wide-reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. Actual file covers can be opened in pencil and the task continued. In the meantime, the amendment is reported to the Provincial Archivist and, as soon as approval is received, the provisions in the Master Copy and on the file cover may be finalized.

**3.1.5** With regard to the correct placing of correspondence, special attention must be paid to the following:

- a) Over loading of files not sufficiently subdivided, a too fine subdivision of files which could be combined, or a need for the redivision of files, should be brought to the attention of the Records Manager in good time, and be corrected;
- b) The tendency to add correspondence, in circumstance where a subject began on a specific file long after the nature of the correspondence justifies the continuation of the subject on another file;
- c) The correct use of policy files to prevent non-policy items from accumulating on them, yet simultaneously ensuring that copies of items containing policy decisions are actually placed on the relevant policy file (see also par. 5 of the General Instructions to the Filing system about the use of policy files); and



- d) The placing of ephemeral items on A20 files and valuable items on D files after disposal authority has been issued to the system.

3.1.6 For the time being, all correspondence concerning the filing system must be directed to the following address:

The Head, Kwazulu-Natal Archives Repository  
Private Bag X9012  
PIETERMARITZBURG  
3200

## 3.2 Records Control Schedule

3.2.1 The Records Manager is responsible for ensuring that all new types of records other than correspondence files used in the office are immediately added to the list and reported to the Provincial Archivist along with the proposed disposal instructions.

## 4 DISPOSAL OF RECORDS

### 4.1 Disposal programme and destruction

4.1.1 Standing Disposal Authority applies to the current filing system and Standing Disposal Authority applies to the Records Control Schedule. The following symbols are used in these authorities to show the disposal for files and records other than correspondence files:

- a) A20 – for valuable which must be transferred to the Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the record came into existence;
- b) D? – order of an ephemeral nature which can be destroyed after the number of years indicated alongside the "D". This date is calculated from the date of the youngest item on the file.

4.1.2 In order to facilitate the destruction of files, the Chief Registry Official keeps a Destruction Register. As soon as a file or part of a file is closed, the number of the file is written under the year, in which it must be destroyed. At the end of every year, by consulting the Destruction Register, the Records Officer must remove all files which can be destroyed, and make arrangements for their destruction/removal.

All instructions and procedures concerning the removal of waste paper must be complied with carefully.

- Nevertheless, it is the responsibility of the Records Manager to ensure that records other than correspondence files which can be destroyed are brought to the attention of the registry personnel regularly.

- No files, or records other than correspondence files of any sort, may be destroyed without the written authority of the Provincial Archivist. All authorities received from the Provincial Archivist, and details of the records to which they refer, must be recorded in the Disposal Authorities Register by the Chief Registry Official.

- When any records are destroyed, a destruction certificate, in the form specified hereunder, must be submitted to Provincial Archivist:**

"I certify herewith that the records appearing on the following list, which consisted of \_\_\_\_\_ lin. metres shelf space, were destroyed today.

**Signature:** \_\_\_\_\_

**Capacity :** \_\_\_\_\_

Date \_\_\_\_\_

No.	Description	Authority

- Records must be given in alphabetical or numerical order on the above-mentioned list.**

4.1.7 The certificate must be signed by the Records Manager after he has ascertained that the records in question have actually been destroyed.

4.1.8 The copies of these lists of destroyed records are preserved by the Records Manager in registry and should serve as proof in connection with any enquiries concerning the records at all times.

4.1.9 In order to keep the Standing Disposal Authorities mentioned in par. 4.1.1 up to date, the Records Manager should approach the Provincial Archivist regularly to approve disposal instructions regarding the new additions to the filing system and Records Control Schedule. All authorities that have been issued must be examined periodically by the Records Manager and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the Provincial Archivist.

4.1.10 All correspondence concerning the disposal and destruction of records must be directed to the Provincial Archivist (see par. 3.1.6 for address).

## 5 CONTROL AND PROTECTION OF RECORDS

### 5.1 Access

5.1.1 Access to records in the office not normally open to members of the public is controlled by the Information Officer and the Records Manager in agreement with the following prescripts: Part 3 Chapter 1 of Promotion of Access to Information Act (Act 2 of 2000). Section 12 of the National Archives Act of South Africa (Act no. 43 of 1996) and the National Archivist's Circular 1 of 1969.

5.1.2 All requests from researchers and persons who wish to consult records must be submitted in writing. The Records Manager must personally make a thorough investigation as to the bona fides of the applicant to ensure that his/her perusal will not be detrimental to the office.

5.1.3 Persons consulting records must do it in the Registry under the supervision of the Records Officer. In this manner the supervisor must note that:

- a) the greatest care must be exercised in the handling of the records, especially when turning pages;



- b) pages are folded;
- c) the researcher must place a piece of paper under his/her hand if he/she wishes to follow the section he/she is copying with his/her finger, so that his/her bare hand does not rest on the page;
- d) the researcher must only use a pencil or ballpoint pen to copy items;
- e) the researcher must not disturb the order of the papers;
- f) the researcher must not make any mark on the item or remove it;
- g) if the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of the Records Manager who must also ensure that the relevant items are not damaged in the process; and
- h) no researcher may remove items from the office for any reason at all.

**5.1.4** The Records Manager must first inspect and approve any researcher's research work before it is published or in any way duplicated. Such a researcher must also be requested beforehand to donate two annotated copies to the head of the office. One copy of this must be sent to the Provincial Archivist.

**5.1.5** Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties.

**5.1.6** The Records Manager must ensure that no unauthorized person may, or is able to gain access to the registry, or records store rooms during or after office hours. The following rules apply:

- a) The registry is closed during lunch and after office hours;
- b) During office hours the registry should not be left unattended. If this does happen, the door must be locked;
- c) The Chief Registry Clerk exercises control over all the keys; and
- d) The Records Officer keeps the key register to control access to archives centres.
- e) The registry may only be cleaned by cleaners while one or more registry personnel are present.

**5.2**            **Fire and fire prevention measures**

**5.2.1**            The lighting of matches, smoking and the storage of inflammable material or cleaning solutions in Registry is strictly forbidden.

**5.2.2**            Only CO2 fire extinguishers may be used to extinguish a fire in a location where records are stored. Water, in all instances, must only be considered as a last resort.

**5.2.3**            Fire extinguishers must be inspected every 12 months and the Facility Manager \_ must ensure that it is actually done. On their appointment, all registry personnel must learn to handle fire extinguishers.

**5.3**            **Water**

**5.3.1**            Registry and other areas where records are held, must be regularly inspected by the Chief Registry Official and the Records Manager to ensure that roof leaks, leak in water pipes, etc. are traced in time and repaired before damage can be done to the records.

**5.3.2**            When records become wet for whatever reason, efforts to dry them must be made as soon as possible. The documents should be separated carefully and dried between sheets of blotting paper. Warm air is then blown over them with a fan or hairdryer. Under no circumstances should wet documents be spread out to dry in direct sunlight.

**5.4**            **Pests and plagues**

**5.4.1**            The registry, and other areas where records are stored, must be regularly examined by the Chief Registry Official and Records Manager to avoid the occurrence of pests and plagues. Officials who notice fishmoths, cockroaches, etc. in any of these areas must immediately report it to the Chief Registry Official.

**5.4.2**            Areas where records are stored must be fumigated every 6 months against fishmoths and other pests. It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records.

5.5 Light

5.5.1 The lights in Registry must be switched off whenever nobody is present in the area. The lights between the shelves in registry must similarly be switched off whenever files are not being filed or withdrawn.

5.5.2 No direct sunlight must be allowed to shine on any records and for this reason the blinds in Registry must be kept rolled down when the sun shines in.

5.6 Damage through handling

5.6.1 All officials must be aware that it is considered to be a violation of the National Archives of South Africa Act (Act No 43 of 1996) to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible.

5.6.2 No food or drink may be consumed at a table or desk where records are placed. Glasses of water or bottles of cool drink etc. must not be placed on cabinets or on shelves where files and records are stored.

6. TRAINING OF REGISTRY PERSONNEL

6.1 Records Manager, Chief Registry Official and Records Officer must attend the Records Management Course presented by the Provincial Archives to receive the correct training for their various tasks. Registry personnel should attend the Registry Management Training.

6.2 In-service training under the Chief Registry Official occurs during the normal execution of duties and is conducted along the lines of the Registry Manual.

Approved.

  
MR L.S MAGAGULA

HEAD OF DEPARTMENT

03/06/2019  
DATE