DEPARTMENT OF PROVINCIAL TREASURY

GENERAL FILE PLAN

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GENERAL INSTRUCTION TO FILE PLAN

NAME OF OFFICE

1.   This file plan is for the use of Provincial Treasury and it may not be applied to any other bodies/offices without the prior approval of the Provincial Archivist.

REPORTING

2.   All amendments and additions (the omission or insertion of an underling is an amendment as well) should be submitted regularly to the provincial Archivist for notification and formal approval. In case where the amendments/additions are circulated by means of circulars, it will suffice if a copy thereof is forwarded to the Provincial Archivist. For easy reference and effective control the notifications should be numbered each year starting at number one, e.g 1/...., 2/...., etc. It is advisable that in case where major amendments and /or additions are required, the prior approval of the Provincial Archivist should be obtained before covers for new files are opened. (For unclassified correspondence see par.16 of these instructions. For secret files see par.22).

CONTROL OF FILE PLAN

3.   control of the file plan is assigned to Mr E V N Xulu: Director: Auxiliary Services. No amendments/additions to the file plan may find may be made, without the approval of this official. The duries of this official comprise inter-alia the following:

   a)   He/she should scrutinize the body's/office daily file regularly to ensure that all correspondence is dealt with on the correct files.

   b)   He/she must ensure that paragraph 5 and 6 of the instructions are strictly adhere to by scrutinizing the relevant files regularly to ensure that they are used correctly

   c)   He/she must keep the master copy up to date. (see also par 9).

   d)   The efficiency of the file plan shouold be examined regularly to ensure that the necessary amendments are provided. When new functions are acquired, new files should be created and when necessary, existing files should be broken up or combined as the case may be. Parent files (i.e. headings which are subdivided but also used as file) should be examined regularly to prevent them from becoming general files and where necessary further sub-files should be created.

   e)   Attention should be paid to cases where correspondence starts on one file and where the emphasis then passes on to another aspect, that the matter be dealt with on the appropriate file.

   f)   For duties i.r.o. description on file covers and unclassified correspondence, see paragraphs 13 and 16 further on.

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

ACCURATE FILING OF CORRESPONDENCE

4)   All officials conducting correspondence should be supplied with a copy of the file plan. Officials must be conversant with the series with which they work and should ensure that valuable material is not destroyed and to prevent the retention of ephemeral documents.

POLICY FILES

5.   Provision has been made for policy files. These files are identified by the "P" symbol as the last component for the reference number, e.g. 1/P, 1/1/P, etc. All the matters concerning policy, instructions, procedures and directions, should be dealt with on these files to ensure easier reference. It must be noted that the term "instructions", as used above, indicates instructions regarding the work of a section and not instruction to officials.

     Until such time as disposal authority is issued on the file plan and a case arises where a policy matter is decided on a subject file, the Records Manager will decide whether copies of the correspondence as a whole or a copy of the decision only, should be placed on the relevant policy file. Once disposal authority has been issued, copies of the final decision taken on an A20 file shouold be placed on the policy file with a cross-reference to the file on which the case was finalized. If a decision is taken on a D file, copies of all revelant documents should be placed on the relevant policy file. Where a bulky document, e.g. a report, contains a policy decision or ruling, only an extract of the relevant section of the report should be placed on the policy file.

     Correspondence fealt with on policy files should be limited to that relating to the formulation and/or revision of policy.

THE FOLLOWING CORRESPONDENCE SHOULD 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)   Dealing with individual cases which do not result in the formulation of new policy or amendments to existing policy.

iii)   Cases concerning the main or sub-series as a whole, but which are not policy matters, as well as individual aspects of the particular subject for which no file exists. In such cases suitable files should be opened.

ROUTINE ENQUIRIES

6.   At appropriate places in the file plan files for routine enquiries have been provided. These files are identifies by the symbol "R" as the last component of the refence number, e.g.1/R, 1/1/R etc. These files are for enquiries of an aphemeral nature which require no further action subsequent to the normal reply. UNDER NO CIRCUMSTANCE MAY IMPORTANT MATTERS BE FILES HERE.

REPORTS AND RETURNS

7.   In the main series for REPORTS AND RETURNS provision has been made only for those reports and returns which cannot be dealt with pther main series. Where files and returns have been provided in the other main series.

ASPECTS NOT SEPERATELY PROVIDED FOR

8.   Sometimes it is necessary to provide files subjects about which in the beginning sufficient correspondence is not received to warrant seperate files being opened for each subject. These files may, however, not be used as general files. When the Records Manager notices that a specific subject file, such a file must be provided for in the file plan.

MASTER COPY

9.   The master copy is that copy of the file plan which contains all approved subject and which indicates how files are to be opened and filed. 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.10). The Records Manager must ensure that all amendments and/or additions are recorded in the mater copy immediately.

REGISTER OF FILES OPENED

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

DESTRUCTION REGISTER

11)   A register of closed D files should be drawn up as soon as disposal instructions have been obtained. This register is divided into years, e.g. 2005, 2006, 2007, etc. When a volume is closed, its reference number should be entered under the year in which it will be destroyed. A volume which is closed in 2002 and for which the disposal instruction is D3 will therefore be entered under the year 2005, this making it easily apparent which files

are to be destroyed in any particular year. The use of a loose-leaf binder is recommended as it is not determined the number of pages needed per year beforehand. (For disposal see par,18).

IMPLEMENTATION

12. The file plan will be implemented on **01 March 2004.......**and after no correspondence may be dealt with on the files of the old file plan with the exception of current case files of written approval was obtained from the provincial Archivist. All old files should be closed on the date of implementation, and no original correspondence should be transferred from the old to the new file plan.

OPENING OF FILES AND DESCRIPTION ON FILE COVERS

13. Files should be opened only when required. Care should be taken that the numbering and description of the files, as indicated in the file plan are strictly addhered to. In cases where file descriptions are too lengthy, certain components which do not form an essential part of the file description, may be omitted, Where, for instance, the complete file description reads as follows: Publications and publicity, publications, Own publications, Sale and Distribution, fee Distribution List, the following may be omitted, the title of the main series must always be given and the file description must be sufficiently complete to describe the content of the file. In oder to assist the registry staff, the records Manager should indicate which components may be omitted in such cases. Titles should be printed in indelible ink. The date of the first and last correspondence as well as applicable disposal instructions, when available, should be indicatred on the file cover. Worn covers should be replaced regularly.

UNDERLINED DESCRIPTIONS

14. All underlined descriptions indicate subject headings only. Sub-divisions must be made under these subject descriptions BUT NO FILES MAY BE OPENED FOR ANY UNDERLINED DESCRIPTIONS.

EXPLANATION IN BRACKETS

15. The explanations in brackets under the subject heading of file description are intended as a guide and should not be entered on file covers.

UNCLASSIFIED CORRESPONDENCE : PROCEDURE

Head Office

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

Regional/sub-offices.

When correspondence is received for which no file is provided, such Correspondence should be dealt with provisionally on file...... An application should then be submitted to Head Office on file...... For approval for the opening of a suitable file. Full information in respect of the nature of the correspondence, as well as recommendations regarding the placing and despcription of the file required, should be submitted. As soon as approval for the opening of the new file is obtained, all regional/sub-offices will be informed and their file plans should be changed accordingly. The correspondence on file..... should then be transferred to the new file.

ANNEXURE FILE COVERS

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

DISPOSAL OF FILE

18. Once disposal authority has been issued such instructions are reflected opposite each file in the disposal column provided in the file plan. The disposal symbol indicates the following.

A20: Keep for eventual transfer to the appropriate Archives Repository if a period of 20 years has elapsed since the end of the year in which the record came into existance.

D : Destroy (after the lapse of number of years which is indicated by the number following the D) after closure of the record.

Files should be disposed of regularly, but at least once a year. The prescribed disposal certificate should be submitted to the National Archivist.

THICKNESS OF FILES

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

CLOSURE OF IMPORTANT FILES

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

(a) Every page of the correspondence should be examined in order to rule out any misfilings. A sheet of paper with the words "closed, see volume....." written on it, should then be filed as the last item in the file cover.

(b)   Worn file covers should be replaced.

(c)   The files should then be stored in the cartons especially used for this purpose.

CASE FILE

21.   Case files which form part of the file plan are to be opened in accordance with the instruction appearing at the appropriate places in the plan. In particular regarding case files which do not form part of the subject classification. See the LIST OF SERIES OF SEPERATE CASE FILES at the end of the subject classification. (see also paragraph 9).

SECRET FILES

22.   Regarding secret files the following procedure should be followed.

(a)   Secret files may be opened for any main series, sub-series or file appearing in the master copy of this system. These files are distinguished from the ordinary files by the additional of capital letter S to the existing reference number.

(b)   Should a secret file be needed for a subject for which a suitable main series, sub-series or file does not exist, an appropriate heading should be provided and should be reported in the usual way to the Provincial Archivist. It is not necessary, however, to indicate when the addition is reported, that it is intendent for secret correspondence.

(c)   Secret files are not indicated as such in the master copy and are also not recorded in the register of files opened for ordinary files. A seperate register of secret files opened should be kept along the same line as set out in paragraph 10 of these instructions.

(d)   Seperate arrangements for the safe-keeping of secret files must be made and should not be incorporated as a part of these instructions.

LIST OF MAIN SERIES

1. **LEGISLATION**

2. **ORGANISATION AND MANAGEMENT**

3. **FINANCE**

4. **SITES, BUILDINGS AND ACCOMMODATION**

5. **SUPPLY CHAIN MANAGEMENT**

6. **TRANSPORT AND JOURNEYS**

7. **PUBLICATIONS AND PUBLICITY**

8. **COMPOSITION AND MEETINGS OF COUNCILS, COMMITTEES, CONFERENCES AND OTHER BODIES**

9. **REPORTS, RETURNS AND INFORMATION**

10. **ADMINSTRATION**

11. **RESOURCE MANAGEMENT**

12. **FINANCIAL MANAGEMENT**

13. **INFORMATION TECHNOLOGY**

14. **PUBLIC PRIVATE PARTNERSHIP**

15. **INTERNAL AUDIT**

1. LEGISLATION

(Acts etc., will remain outside the system. Only correspondence relating to these will appear in the files to be created under the series)

FILE REF	DESCRIPTION	DISPOSAL
1/P	Policy and rulings	A20
1/R	Routine enquiries	D15
1/1	**Bills**	
1/1/1	**Name of Bill**	D15
1/1/1/R	Routine enquiries	D15
1/1/1/1	Composition and alterations	D15
1/1/1/2	Interpretation and legal opinions	A20
1/1/2	**Name of Next Bill** (Provide the same sub division as above.)	D10
1/2	**Acts**	
1/2/1	**Name of Act**	
1/2/1/R	Routine enquiries	D15
1/2/1/1	Composition and alterations	D15
1/2/1/2	Interpretation and legal opinions	A20
1/2//2	**Name of Next Act** (Provide the same sub division as above.)	
1/3	**Regulations**	
1/3/1	**Name of Regulation**	
1/3/1/R	Routine enquiries	D15
1/3/1/1	Composition and alterations	D15
1/3/1/2	Interpretation and legal opinions	A20

FILE REF	DESCRIPTION	DISPOSAL

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1/3/2	**Name of Next Regulation** (Provide the same sub division as above)	D15
1/4	**Ordinances**	
1/4/1	**Name of Ordinance**	
1/4/1/R	Routine enquiries	D15
1/4/1/1	Composition and alterations	D15
1/4/1/2	Interpretation and legal opinions	A20
1/4/2	**Name of Next Ordinance** (Provide the same sub division as above)	D15
1/5	**Parliamentary Matters**	
1/5/1	Agenda and minutes	A20
1/5/2	**Policy Speeches and Minutes**	
1/5/2/1	Budget speeches and minutes of Provincial Treasury	A20
1/5/2/2	Contributions to Minister's speeches	A20
1/5/3	Public resolutions	A20
1/5/4	Parliamentary questions	D15
1/5/5	**Annual Reports of Departments Tabled** (Open a file for each Department and file according to Annexure A)	A20

2.   ORGANISATION AND MANAGEMENT

FILE REF	DESCRIPTION	DISPOSAL

2/P	Policy	A20
2/R	Routine Enquiries	
2/1	**Organisation and Post Establishment Variations**	
2/1/1	Organisational structure	A20
2/1/2	**Functions**	
2/1/2/1	Acquired	A20
2/1/2/2	Surrendered/transferred to another department	A20
2/1/3	**Projects** (Open a file for each organisational component)	A20
2/2	**Delegation of Authority**	
2/2/1	**By Minister**	
2/2/1/1	Delegation of a permanent nature	A20
2/2/1/2	Arrangements of a temporary absence	D15
2/2/2	**By Director-General**	
2/2/2/1	Delegations of a permanent nature	A20
2/2/2/2	Arrangements of a temporary absence	D15
2/2/3	**By Head of Department**	
2/2/3/1	Delegation of a permanent nature	A20
2/2/3/2	Arrangement of temporary absence	D15
2/2/4	**By Accounting Officer**	
2/2/4/1	Delegation of a permanent nature	A20
2/2/4/2	Arrangement of a temporary absence	D15

FILE REF	DESCRIPTION	DISPOSAL

2/3	**Office Procedure and Instructions**	
2/3/1	Standing instructions	A20
2/4	**Efficiency Research**	
2/4/P	Policy	A20
2/4/1	Programming	D15
2/4/2	Technique	D15
2/4/3	**Progress Reports** (Open a file for each report and number consecutively)	A20
2/4/4	Implementation	A20
2/4/5	**Strategic Management**	
2/4/5/P	Policy	
2/4/5/R	Routine Enquiries	
2/4/5/1	Formulation and Development	
2/4/5/2	**Annual Performance Plan**	
2/4/5/2/R	Routine Enquiries	
2/4/5/2/1	Formulation and Development	
2/4/5/3	**Development of Annual Operational Plans** (Open a file for each Chief directorate and number consecutively)	
2/5	**Records Management**	
2/5/P	Policy	A20
2/5/R	Routine Enquiries	
2/5/1	**Disposal of Records**	
2/5/1/1	Application for disposal authority	A20

FILE REF	DESCRIPTION	DISPOSAL
2/5/1/2	Transfer to archives repository/record centre	A20
2/5/1/3	Transfer to other departments	A20
2/5/1/4	Destruction of records	A20
2/5/1/5	Re-direction of correspondence (i.e. Matters erroneously directed)	A20
2/5/1/6	Disposal of waste paper	D15
2/5/2	**Records Classification System**	
2/5/2/1	**File Plan**	
2/5/2/1/1	Compilation and Alterations	A20
2/5/2/1/2	Unclassified correspondence (see paragraph 16 of the General Instructions)	D15
2/5/2/2	**Records Control Schedule**	
2/5/2/2/1	Compilations and Alterations	
2/5/3	Records management inspections	A20
2/5/4	**Departmental Inspections**	
2/5/4/1	Arrangements	D15
2/5/4/2	Reports	A20
2/5/5	**Records Management Training**	
2/5/5/1	Arrangements	
2/5/5/2	Reports	
2/5/6	Safe Keeping of records	
2/5/7	Enterprise Content Management (ECM)	
2/6	**Security Measures**	
2/6/P	Policy	A20

FILE REF	DESCRIPTION	DISPOSAL
2/6/1	Emergency planning	A20
2/6/2	Security arrangements	A20
2/7	**Registry Procedure Manual**	
2/7/1	Compilation and Alterations	
2/8	**Standard Operating Procedures**	
2/8/1	Compilations and Alterations	
2/9	Safekeeping of records	

3. <u>FINANCE</u>

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FILE REF	DESCRIPTION	DISPOSAL

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FILE REF	DESCRIPTION	DISPOSAL
3/P	Policy	A20
3/R	Routine Enquiries	
3/1	**<u>Budget</u>**	
3/2	Estimates	D10
3/2/1	Contributions to the Minister's speech	D10
3/2/2	**<u>Composition</u>**	
3/2/2/1	General estimates	D15
3/2/2/2	Capital estimates	D15
3/2/2/2/1	Major works	A20
3/2/2/2/2	Minor works	D15
3/2/2/2/3	Additional estimates	D15
3/2/2/2/4	Virements and approvals	D15
3/2/3	**<u>Multi-Year Planning</u>** (Open a file for each directorates)	
3/2/3/1	**<u>Banking Revenue and Asset Management</u>**	
3/2/3/1/1	**<u>Banking and Revenue</u>**	
3/2/3/1/1/P	Policy	A20
3/2/3/1/1/R	Routine enquiries	D15
3/2/3/1/1/1	Planning	D15
3/2/3/1/1/2	Annual report	A2

FILE REF	DESCRIPTION	DISPOSAL
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3/2/3/1/1/3	**Imprest/Petty Cash**	
3/2/3/1/1/3/P	Policy	A20
3/2/3/1/1/3/R	Routine enquiries	D15
3/2/3/1/1/3/1	**Individual Departments** (Open a file for each Department and file according to Annexure A)	D15
3/2/3/1/1/4	**Banking of Public Monies**	
3/2/3/1/1/4/P	Policy	A20
3/2/3/1/1/4/R	Routine	D10
3/2/3/1/1/4/1	Authorities for custody	D10
3/2/3/1/1/5	**Official Banking Accounts**	
3/2/3/1/1/5/P	Policy	A20
3/2/3/1/1/5/R	Routine enquiries	D15
3/2/3/1/1/5/1	Individual Departments (Open afile for each Department and file according to Annexure A)	D15
3/2/3/1/1/5/2	**Municipal Banking Accounts**	
3/2/3/1/1/5/2/P	Policy	A20
3/2/3/1/1/5/2/R	Routine enquiries	D15
3/2/3/1/1/5/2/1	Individual Municipalities (Open a file for each Municipality and file according to Annexure B)	D15
3/2/3/1/1/6	**Exchequer Account**	
3/2/3/1/1/6/P	Policy	A20
3/2/3/1/1/6/R	Routine enquiries	D15
3/2/3/1/1/6/1	**Individual Departments** (Open a file for each Department and file according to Annexure A)	D15

FILE	DESCRIPTION	DISPOSAL
3/2/3/1/2	**Salaries Administration**	
3/2/3/1/2/R	Routine enquiries	D15
3/2/3/1/2/1	Tax matters	D15
3/2/3/1/2/2	Persal matters	D10
3/2/3/1/2/3	PAYE (Pay As You Earn)	D10
3/2/3/1/2/4	**Reconciliation Matters** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/2/5	**Special Tax System** (Open a file for each Department and file according to Annexure A)	D15
3/2/3/1/3	**Deductions/Recalls**	
3/2/3/1/3/P	Policy	A20
3/2/3/1/3/R	Routine enquiries	D10
3/2/3/1/3/1	**Pension Fund** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/3/2	**Insurance** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/3/3	**Emolument Attachment Orders** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/3/4	**Housing Loans/Guarantees** (Open a file for each Department and file according to Annexure A)	A20
3/2/3/1/3/5	**Staff Association** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/3/6	**Unemployment Funds** (Open a file for each Department and file according to Annexure A)	D10
3/2/3/1/3/7	**Stop Orders** (Open a file for each Department and file according to Annexure A)	D10

FILE REF	DESCRIPTION	DISPOSAL
3/2/3/3	**Cheque Fraud** (Open a file for each Department and file according to Annexure A)	D15
3/2/3/3/P	Policy	A20
3/2/3/3/R	Routine enquiries	D10
3/3/3	**Payment of Accounts** (Open a file for each supplier and file alphabetically)	
3/3/3/R	Routine enquiries	D10
3/3/3/1	Outstanding accounts	D15
3/3/3/2	Writing off of fruitless expenditure	D15
3/3/4	**Accounting Responsibility**	
3/3/4/1	Audit matters	A20
3/3/4/2	Queries	D15
3/3/4/3	Investigations and reports	A20
3/3/4/4	Control of surplus and deficiencies	D15
3/3/5	**Reports from**	
3/3/5/1	The Chief Financial Officer	A20
3/3/5/2	The Auditor-General	A20
3/3/6	**Reports to**	
3/3/6/1	The Minister	A20
3/3/6/2	The standing committee on public accounts	A20
3/3/6/3	The portfolio committee on finance	A20
3/3/7	**Authorities**	
3/3/7/1	Treasury	D15

FILE REF	DESCRIPTION	DISPOSAL
3/3/7/2	Chief Accountant	D15
3/3/7/3	Banking arrangements	D15
3/3/7/4	Authorities to sign	D15
3/3/7/5	Stop payments of warranty-voucher payments	D15
3/3/8	**By the Administration**	
3/3/8/P	Policy	A20
3/3/8/R	Routine enquiries	D15
3/3/8/1	Against the administrative	D15
3/3/8/2	For damage to government property	D15
3/3/9	**Claims and Compensation**	
3/3/9/P	Policy	A20
3/3/9/1	Payments	D15
3/3/10	**Voucher Control**	
3/3/10/R	Routine enquiries	D10
3/3/11	**Payroll Control**	
3/3/11/R	Routine enquiries	D10
3/3/12	**Inter-Departmental Accounts**	
3/3/12/P	Policy	A20
3/3/12/R	Routine enquiries	D10
3/3/12/1	**Individual Departments** (Open a file for each Department and file according to Annexure A)	D10
3/3/13	Loss control	D10
3/3/14	Recovery of debts	

4. SITES, BUILDINGS AND ACCOMMODATION

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FILE REF	DESCRIPTION	DISPOSAL
4/P	Policy	A20
4/R	Routine enquiries	D15
4/1	Cleaning services	D15
4/2	Embellishment of sites	D15
4/3	**Acquisition of Sites and Erection of Building**	
4/3/1	Head office	A20
4/4	**Alteration and Repair of Buildings**	
4/4/1	Offices	D15
4/4/2	Official residence	D15
4/5	**Application and allocation**	
4/5/1	Office accommodation (Open a file for each building and file consecutively)	D15
4/5/2	Official residence	D15
4/6	**Garaging and Parking**	
4/6/P	Policy	A20
4/6/R	Routine enquiries	D15
4/6/1	Application and Allocation	
4/7	**Occupational Health and Safety**	
4/7/P	Policy	
4/7/R	Routine Enquiries	
4/7/1	**Programs**	
4/7/1/2	Inspections	

4/7/1/3	Fire Drills	
4/7/1/4	Campaigns and awareness	
4/7/2	**Committees and Forums**	
4/7/2/1	Formation and Appointments (Open a file for each Committee or Forum and file consecutively)	
4/7/2/2	Arrangements and Agenda	
4/7/2/3	Minutes and Reports	
4/7/3	Occupational Health and Safety Reports	
4/8	**Business Continuity Plan**	
4/8/P	Policy	
4/8/R	Routine Enquiries	
4/8/1	**Business Continuity Plan Programs**	
4/8/1/1	Emergency Response	
4/8/1/2	Crisis Management	
4/8/1/3	Business Continuity	
4/8/1/4	IT Disaster Recovery	
4/8/1/5	Communication	
4/8/1/6	Simulation Exercises	
4/8/2	**Committees and Forums**	
4/8/2/1	Formation and Appointments (Open a file for each Committee or Forum and file consecutively)	
4/8/2/2	Arrangements and Agenda	
4/8/2/3	Minutes and Reports	

5. SUPPLY CHAIN MANAGEMENT

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FILE REF	DESCRIPTION	DISPOSAL

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5/P	Policy	
5/R	Routine Enquiries	
5/1	**Supplies**	
5/1/P	Policy	A20
5/1/R	Routine enquiries	D10
5/1/1	Specification	D10
5/1/2	**Acquisition of Supplies**	
5/1/2/P	Policy	A20
5/1/2/1	**Furniture and Fittings** (Open a file for each directorate)	
5/1/2/2	Computers	D10
5/1/2/3	Firearms	D10
5/1/2/4	**Stationery**	
5/1/2/4/1	Requisition and Purchase	D10
5/1/2/4/2	Rubber stamps	D10
5/1/2/4/3	Diaries	D10
5/1/2/5	Safes and strong rooms	D10
5/1/2/6	Fans and heaters	D10
5/1/2/7	Sports equipment	D10
5/1/2/8	**Supply of Protective Clothing**	
5/1/2/8/1	**Uniform**	
5/1/2/8/2	Messengers, handyman, official drivers	D10

FILE REF	DESCRIPTION	DISPOSAL
5/1/2/8/3	Safety and protective attire	D10
5/1/3	**Stores**	
5/1/3/P	Policy	
5/1/3/R	Routine Enquiries	
5/1/3/1	Request for stores catalogue	
5/1/3/2	Handing over certificates	
5/1/3/3	Transfer of surplus stock	
5/1/3/4	**Computerised Stores Control System**	
5/1/3/4/1	Logistical Information System	
5/1/3/4/2	Stores requisitions	
5/1/3/4/3	Stock counts / audits and reports	
5/1/3/5	**Inventory Control**	
5/1/3/5/1	Stocktaking	
5/1/3/5/2	Losses, Damages and Theft	
5/1/3/5/3	Disposal of Surplus/Obsolete	
5/1/3/5/4	Inspection	
5/2	**Services**	
5/2/P	Policy	A20
5/2/R	Routine enquiries	D10
5/2/1	**Post Office and Communication**	
5/2/1/1	Postal Matters	D10
5/2/2	**Telephone Services**	
5/2/2/P	Policy	A20

5/2/2/1	Installation	D10
5/2/2/2	Maintenance	D10
5/2/2/3	Distribution of telephone directories	D10
5/2/2/4	Telephones	D10
5/2/2/5	Cellular phones	D10
5/2/2/6	Telephone accounts	D10
5/2//2/7	Transfer of extensions	D10
5/2/2/8	Faults	D10
5/2/2/9	Lease cost routing	D10
5/2/3	**Domestic Services**	
5/2/3/1	Catering	D10
5/2/3/2	Cleaning of offices``	D10
5/2/3/3	Fumigation	D10
5/2/3/4	Waste removal	D10
5/2/3/5	Office automation	D1
5/2/3/6	Blood transfusion services	D10
5/2/3/7	Travel agency services	D10
5/2/3/8	**Boardroom Management**	
5/2/3/8/P	Policy	
5/2/3/8/R	Routine Enquiries	
5/2/3/8/1	Bookings	
5/2/4	**Service Agreements** (Open a file for each service agreement)	D15
5/2/5	**Appointment of Consultants** (Open a file for each consultant appointed)	D10
5/2/6	Facsimile services	D10

FILE REF	DESCRIPTION	DISPOSAL
5/2/7	Maintenance	D10
5/2/8	Radio communication services	D10
5/2/9	Television and video	D10
5/2/10	Public address system services	D10
5/2/13	**Library Services**	
5/2/13/P	Policy	A20
5/2/13/R	Routine Enquiries	
5/2/13/1	Stocktaking (Only reading matters)	D10
5/2/13/2	Disposal of surplus and worthless reading matters	D10
5/2/13/3	**Acquisition of Reading Material**	
5/2/13/3/1	Purchases	D10
5/2/13/3/2	Donations	D10
5/2/13/3/3	Subscriptions	D10
5/2/13/4	Classification and indexing	D10
5/2/13/5	Repair and binding	D10
5/2/13/6	Reminders and Payments	
5/2/14	Translation services	D10
5/2/15	**Asset Management**	
5/2/15/R	Routine Enquiries	
5/2/15/1	**Implementation and use of Asset Management System**	
5/2/15/1/1	Hard-Cat	
5/2/15/1/2	Verification and Valuation of Assets Management System	

FILE REF	DESCRIPTION	DISPOSAL
5/2/15/1/3	Appointment of Asset Controller	
5/2/16	Reports	

6. <u>**TRANSPORT AND JOURNEYS**</u>

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FILE REF   DESCRIPTION   DISPOSAL
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FILE REF	DESCRIPTION	DISPOSAL
6/P	Policy	
6/R	Routine Enquiries	
6/1	**<u>Government Motor Transport</u>**	
6/1/1	Acquisition	
6/1/2	Allocation and Utilization (Open a file for each vehicle according to Registration number, e.g 6/1/2 – KZN76000)	
6/1/3	**<u>Authority to drive</u>**	
6/1/3/1	Requests and authorization	
6/1/4	**<u>Professional Driving Permits (PDP)</u>**	
6/1/4/R	Routine Enquiries	
6/1/4/1	Applications and Renewals	
6/1/5	**<u>Returns</u>** (Open a file for each vehicle and file according to their registration number, e.g. 6/1/6-KZN 76000)	
6/1/6	**<u>Irregular Use</u>**	
6/16/1	Investigation and Reports	
6/1/6/2	Traffic Violations	
6/1/7	**<u>Accident, Incident and Theft</u>** (Open a file for each vehicle and number as follows: 6/1/6 –KZN76000)	
6/1/8	Request for Police clearance	
6/1/9	Renewal of license discs	

FILE REF	DESCRIPTION	DISPOSAL
6/1/10	**Fleet Cards**	
6/1/10/1	Renewals	
6/1/10/2	Cancellation, loss and theft	
6/1/11	**Report**	
6/1/11/1	Inspections	
6/1/11/2	Fleet transactions	
6/1/11/13	Monthly Utilization	
6/1/12	Registration and Deregistration	
6//1/13	Disposal	
6/2	**Subsidized Transport**	
6/2/1	**Applications** (Open a file jacket for each applicant. As soon as the applicant is approved and the vehicle delivered documents are transferred to a new file opened in terms of subsidized vehicle owner's surname e.g. 6/2/2 – Smith S.N)	
6/2/2	**Utilization** (Open a file for each vehicle and file according to owner's surname e.g 6/2/2 – Smith S.N)	
6/2/3	Inspection Reports	
6/3	**Use of private vehicles for official purposes**	
6/3/P	Policy	
6/3/R	Routine Enquiries	
6/3/1	Request and Authorisation (Open a file jacket for each request. As soon as the request is approved documents are transferred to a new file opened in terms of vehicle owner's surname e.g. 6/3/1 – Smith S.N)	

FILE REF	DESCRIPTION	DISPOSAL
6/3/2	**Utilizatiion** (Open a file for each vehicle and file according to owner's surname e.g. 6/3/2 – Smith S.N)	
6/4	**Transport Committees**	
6/4/1	**Departmental Motor Transport Advisory Committee**	
6/4/1/1	Appointment of members	
6/4/1/2	Arrangements and Agendas	
6/4/1/3	Minutes and Reports	
6/4/2	**Departmental Transport Officer's Forum**	
6/4/2/1	Arrangements and Agendas	
6/5	**Vehicle Finance Scheme for Senior Officials**	
6/5/R	Routine Enquiries	
6/6	**Hired Transport**	
6/6/R	Hired Transport	

7. <u>PUBLICATIONS AND PUBLICITY</u>

FILE REF	DESCRIPTION	DISPOSAL
7/1	**<u>Publications</u>**	
7/1/P	Policy	A20
7/1/R	Routine enquiries	D15
7/1/1	**<u>Own Publications</u>**	
7/1/1/1	Drafting of (If necessary, open a file for each publication and number consecutively)	D10
7/1/1/2	Printing of (For printing annual report see 9/1/1/4)	A20
7/1/1/3	**<u>Sale and distribution</u>**	
7/1/1/3/1	Free distribution list	D5
7/1/1/4	Reviews	D5
7/1/2	**<u>Publications of other bodies</u>**	
7/1/2/1	Contributions	D10
7/1/2/2	Reviews	D10
7/2	**<u>Publicity</u>**	
7/2/P	Policy	A20
7/2/R	Routine enquiries	D15
7/2/1	Participation in shows and exhibitions	D15

FILE REF	DESCRIPTION	DISPOSAL
7/2/2	**Radio Talks and Television Shows**	
7/2/2/1	Arrangements	D15
7/2/2/2	Copies of scripts	D15
7/2/3	**Media Interviews**	
7/2/3/1	Media statement and comments	A20
7/2/3/2	Media liaison and functions	D15
7/2/3/3	**Public Speeches**	
7/2/3/3/1	Provincial Director-General	A20
7/2/3/3/2	Provincial Ministers	A20
7/2/3/3/3	Accounting officers	A20
7/3	**Functions**	
7/3/1	Invitations	D15
7/3/2	Arrangements	D15
7/4	**Communication**	
7/4/P	Policy	A20
7/4/R	Routine enquiries	D15
7/4/1	Promotion of access to information act (Act No 2 of 2000)	A20

FILE REF	DESCRIPTION	DISPOSAL
7/5	**Departmental Communication Efforts**	
7/5/1	Initiation and co-ordination	D15
7/5/2	Liaison strategy	D15
7/5/3	Planning and implementation	D15
7/5/4	Value establishment and monitoring	D15
7/5/5	Website updating and maintenance	D15
7/6	**Public Programming**	
7/6/1	Client satisfaction	D15
7/6/2	Co-ordination	D15
7/6/3	Reception services to visitors	D15

8.COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS

1. Only correspondence which pertains to the composition, meetings and
    functioning of these bodies should be placed on the files in this main series.

2. Correspondence about other subjects concerning these bodies relevant to other
    main series, should be placed on the appropriate files of the relevant main series.
    If appropriate files do not exist, they should be provided.

FILE REF	DESCRIPTION	DISPOSAL
8/1	**Concerning Support Functions** (Support functions are those tasks which are performed to enable the office to carry out its line function)	D15
8/1/1	**Councils**	
8/1/1/P	Policy	A20
8/1/1/R	Routine enquiries	D15
8/1/1/1	**Name of Council**	
8/1/1/1/1	Appointment of Members	
8/1/1/1/2	Arrangements and Agendas	D15
8/1/1/1/3	Minutes & Reports	A20
8/1/1/2	**Name of the Next Council** (Provide the same sub-division as above)	
8/1/2	**Conferences**	
8/1/2/P	Policy	A20
8/1/2/1	Arrangements (Including compilation and distribution of agendas)	D15
8/1/2/2	Agendas	D15
8/1/ 2/3	**Minutes** (Open a file for each conference and number consecutively)	A20

FILE REF	DESCRIPTION	DISPOSAL
8/1/3	**<u>Committees</u>**	
8/1/3/P	Policy	A20
8/1/3/R	Routine enquiries	D15
8/1/3/1	**<u>Name of the Next Committee</u>** (Provide the same sub division as above)	
8/1/4	**<u>Congresses</u>**	
8/1/4/P	Policy	A20
8/1/4/1	Arrangements and distribution of agendas	D10
8/1/4/2	Agendas	D10
8/1/4/3	Minutes (Open a file for each congress and number consecutively)	A20
8/1/5	**<u>Internal Staff Forums</u>**	
8/1/5/P	Policy	A20
8/1/5/1	Arrangements	D10
8/1/5/2	Agenda	D10
8/1/5/3	Minutes (Open a separate file for each forum and numberconsecutively)	A20
8/2	**<u>Symposia and Workshops</u>**	
8/2/P	Policy	A20
8/2/R	Routine enquiries	D15

9. <u>REPORTS, RETURNS AND INFORMATION</u>

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FILE REF   DESCRIPTION   DISPOSAL

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File Ref	Description	Disposal
9/1	**<u>Reports and returns</u>** 1.This sub-series should only be used for annual, quarterly monthly and other reports and returns which cannot be placed under any other main series. (See also paragraph 7 of the general instructions) 2. Other reports and returns pertaining to subjects for which separate main series have been provided should be dealt with under the relevant main series.	
9/1/P	Policy	A20
9/1/1	**<u>Annual Report</u>**	
9/1/1/1	Joint report	A20
9/1/1/2	**<u>Contribution by Directorates</u>**	
9/1/1/2/1	Staff	D10
9/1/1/2/2	Accounts	D10
9/1/1/2/3	Management advisory services	D10
9/1/1/3	Contribution by regional office	D10
9/1/1/4	Printing of	D10
9/1/1/5	Distribution	D10
9/1/2	Incidental reports and returns	D10
9/2	**<u>Information</u>** (Only information on subjects which have no other main series should be dealt with here)	
9/2/P	Policy	A20
9/2/1	Contributions to Premier's opening speech	D15

10. <u>ADMINISTRATION</u>

FILE REF	DESCRIPTION	DISPOSAL

10/1	**<u>Ministry</u>**	
10/P	Policy	A20
10/1/R	Routine enquiries	D15
10/2	**<u>Office of the Head of Department</u>**	
10/2/1/P	Policy	A20
10/2/1/R	Routine enquiries	D15
10/3	**<u>Corporate Services</u>**	
10/3R	Routine enquiries	D10
10/3/1	**<u>Human Resource</u>**	
10/3/1/P	Policy	A20
10/3/1/R	Routine enquiries	D10
10/3/2	**<u>Chief Financial Office</u>**	
10/3/2/P	Policy	A20
10/3/2/R	Routine enquiries	D10
10/3/3	**<u>Auxiliary Services</u>**	
10/3/3/P	Policy	A20
10/3/3/R	Routine enquiries	D10

11. RESOURCE MANAGEMENT

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File Ref	Description	Disposal
11/1	**Program Support**	
11/1/P	Policy	A20
11/1/R	Routine enquiries	D10
11/2	**Economic Analysis and Infrastructure**	
11/2/P	Policy	A20
11/2/1	**Economic Analysis**	
11/2/1/1	Socio -Economic Review and Outlook (SERO)	D15
11/2/1/1/1	SERO (Work in progress)	
11/2/1/1/2	Data for SERO (Primary/Secondary data)	
11/2/1/2	**Research**	
11/2/1/2/1	Provincial research	A20
11/2/1/2/2	District municipalities research	A20
11/2/1/3	**Overview of Provincial Expenditure (OPRE)**	
11/2/1/3/1	OPRE (Work in progress)	D15
11/2/1/3/2	Data for OPRE (Primary/Secondary data)	D15
11/2/1/4	**District Municipalities (DM**)	
	(Open a file for each district municipality as per Annexure D)	
11/2/1/5	**Provincial Departmental Economic Reports**	
	(Open a file for each department as per Annexure A)	
11/2/1/6	**Database**	
11/2/1/6/1	Provincial database (Primary/Secondary data)	D10
11/2/1/6/2	District municipalities database (Primary/Secondary data)	D10

FILE REF	DESCRIPTION	DISPOSAL
11/2/2	**Infrastructure**	
11/2/2/1	Infrastructure Delivery Improvement Programme Progress Report (IDIP)	
11/2/2/1/1	Monthly progress report	D15
11/2/2/1/2	TA time sheets	D15
11/2/2/2	**Infrastructure Delivery Management System (IDMS)**	
11/2/2/2/1	Steering Committee	D15
11/2/2/2/2	Focus Group Meeting	D15
11/2/2/3	**Provincial Infrastructure Coordination Working Group (PICWG)**	
11/2/2/3/1	Minutes and reports	A20
11/2/2/4	**Technical Management Committee (TMC)**	
11/2/2/4/1	Minutes and reports	A20
11/2/2/5	**Provincial Infrastructure Delivery Committee (PIDC)**	
11/2/2/5/1	Department of Health minutes and reports	A20
11/2/2/5/2	Department of Education minutes and reports	A20
11/2/2/5/3	Department of Public Works minutes and reports	A20
11/2/2/6	**Infrastructre Reporting Model (IRM)**	
11/2/2/6/1	IRM data files	D15
11/2/2/6/2	Department of Health	D15
11/2/2/6/3	Department of Education	D15
11/2/2/6/4	Department of Public Works	D15
11/2/2/6/5	Department of Transport	D15
11/2/2/6/6	IRM monthly analysis report	D15
11/2/2/7	**Crack Team**	
11/2/2/7/1	Allocations and terms of reference	D15
11/2/2/7/2	Progress reports	D15
11/2/2/7/3	Payments	D15

FILE REF	DESCRIPTION	DISPOSAL
11/2/2/8	**User Asset Management Plan (U-AMP)**	
11/2/2/8/1	Assessment Reports	D15
11/2/2/8/2	Government Immovable Asset Management Act (GIAMA) Forum	D15
11/3	**Fiscal Policy**	
11/3/P	Policy	A20
11/3/R	Routine enquiries	D15
11/4	**Public Finance**	
11/4/P	Policy	A20
11/4/R	Routine enquiries	D15
11/5	**Budget Management**	
11/5/P	Policy	A20
11/5/1	Estimates	D15
11/5/2	Additional estimates	D15
11/5/3	Allocation	D15
11/5/4	Contribution to the Ministers' speech	A20
11/5/5	Virements and approval	D15
11/5/6	Cash flow reports	D15
11/5/7	**Statistical Information**	
11/5/7/P	Policy	A20
11/5/8	**Departmental Management**	
11/5/8/R	Routine enquiries	D15
11/5/8/1	**Financial Year** (Open a file for each department and each successive financial year and filechronologically)	D15

FILE REF	DESCRIPTION	DISPOSAL

11/5/8/1/1	Vote 1 - Office of the Premier
	    Amafa AkwaZulu Natali
	    KwaZulu-Natal Gambling Board
		A20

11/5/8/1/2	Vote 2 - Provincial Legislature	A20

11/5/8/1/3	Vote 3 – Agriculture Environmental Affairs and Rural Development
	    Mjindi Farming
	    Ezemvelo KwaZulu-Natal Wildlife
		A20

11/5/8/1/4	Vote 4 – Economic Development and Tourism
	
	    KwaZulu-Natal Tourism Authority
	    KwaZulu-Natal Sharks Board
	    Ithala Finance Development Corporation
	        KZN Growth Fund
	    Agri-Business Development Agency
	    Dube Trade Port Corporation
	    Moses Kotane
	    Richards Bay IDZ
		A20

11/5/8/1/5	Vote 5 – Education	A20
11/5/8/1/6	Vote 6 – Provincial Treasury	A20
11/5/8/1/7	Vote 7 – Health	A20
11/5/8/1/8	Vote 8 – Human Settlements	A20
11/5/8/1/9	Vote 9 – Community Safety and Liaison	A20
11/5/8/1/10	Vote 10 – The Royal Household Royal trust	A20
11/5/8/1/11	Vote 11 - Co-operative Governance and Traditional Affairs	A20
11/5/8/1/12	Vote 12 – Transport	A20
11/5/8/1/13	Vote 13 – Social Development	A20
11/5/8/1/14	Vote 14 –Public Works	A20
11/5/8/1/15	Vote 15 – Arts and Culture	A20
11/5/8/1/16	Vote 16 – Sport and Recreation	A20

FILE REF	DESCRIPTION	DISPOSAL

11/6   **Provincial Own Revenue**

11/6/R   Routine Enquiries   D15

11/6/9/1   **Financial Year**
(Open a file for each department and each successive
financial year and file chronologically) Listed Below:-

11/6/9/1/1   Vote 1 - Office of the Premier   A20
            Amafa AkwaZulu Natali
            KwaZulu-Natal Gambling Board

11/6/9/1/2   Vote 2 - Provincial Legislature   A20

11/6/9/1/3   Vote 3 – Agriculture Environmental Affairs and Rural Development   A20
            Mjindi Farming
            Ezemvelo KwaZulu-Natal Wildlife

11/6/9/1/4   Vote 4 – Economic Development and Tourism   A20
            KwaZulu-Natal Tourism Authority
            KwaZulu-Natal Sharks Board
            Ithala Finance Development Corporation
                KZN Growth Fund
            Agri-Business Development Agency
            Dube Trade Port Corporation
            Moses Kotane
            Richards Bay IDZ

11/6/9/1/5   Vote 5 – Education   A20

11/6/9/1/6   Vote 6 – Provincial Treasury   A20

11/6/9/1/7   Vote 7 – Health   A20

11/6/9/1/8   Vote 8 – Human Settlements   A20

11/6/9/1/9   Vote 9 – Community Safety and Liaison   A20

11/6/9/1/10   Vote 10 – The Royal Household   A20
            Royal trust

11/6/9/1/11   Vote 11 - Co-operative Governance and Traditional Affairs   A20

11/6/9/1/12   Vote 12 – Transport   A20

FILE REF	DESCRIPTION	DISPOSAL
11/6/9/1/13	Vote 13 – Social Development	A20
11/6/9/1/14	Vote 14 –Public Works	A20
11/6/9/1/15	Vote 15 – Arts and Culture	A20
11/6/9/1/16	Vote 16 – Sport and Recreation	A20

FILE REF	DESCRIPTION	DISPOSAL
11/6/13	**<u>Municipal Finance</u>**	
11//6/13/P	Policy	A20
11/6/13/1	<u>Budget and Related Documents</u>	
11/6/13/1/1	Open a file for related documents according to Annexure B as per municipal financial year	A20
11/6/13/2	<u>In-Year Monitoring (IYM</u> (Open a file for related matters according to Annexure B as per municipal financial year	A20
11/6/13/3	<u>Section 71 and 72 Reports</u> Open a file for related matters according to Annexure B as per municipal financial year.	A20
11/6/13/4	<u>Special Reports</u> Open a file for section 41 reports, bulk resources according to Annexure B for each municipal financial year	A20
11/6/13/5	<u>Annual Financial Statements and Annual Reports</u> Open a file for oversight reports according to Annexure B for each financial year	A20
11/6/13/6	<u>Provincial Treasury Circulars (Municipal Finance)</u> Open a file for Municipal Finance Circulars per municipal financial year	A20
11/6/13/7	<u>National Treasury MFMA Circulars</u> Open a file for National Treasury Circulars per municipal financial year	A20
11/6/13/8	MFMA Reforms (Major Projects) (Open a file per project per municipal financial year)	A20
11/6/13/9	<u>Municipal Finance – Administration</u> Open a file per municipal financial year/provincial financial year	A20
11/6/13/10	<u>National Treasury MFMA Meetings</u> Open a file per municipal financial year	A20
11/6/13/11	<u>CFO Forum</u> Open a file per municipal financial year	A20
11/6/13/12	<u>Auditor –General</u> Open a file for each municipality according to Annexure B as per municipal financial year	A20
11/6/13/13	<u>Municipal Support Programme</u> Open a file per municipal financial year	A20
11/6/13/14	<u>Municipal Finance Library (Resource Center)</u> Open a file per municipal financial year	

12. FINANCIAL MANAGEMENT

FILE REF	DESCRIPTION	DISPOSAL
12/1	**Norms and Standards**	
12/1/P	Policy	A20
12/1/R	Routine enquiries	D10
12/2	**Financial Reporting**	
12/2/P	Policy	A20
12/2/R	Routine enquiries	D10
12/3	**Supporting and Inter-Linked Financial Systems**	
12/3/P	Policy	A20
12/3/R	Routine enquiries	D10
12/3/1	**Biometrics Access Control System**	
12/3/1/P	Policy	A20
12/3/1/R	Routine enquiries	D10
12/3/2/1/1	**Issue of Smart Cards** (A file to be opened for each Department according to Annexure A)	D10
12/3/2	**Responsibilities**	
12/3/2/P	Policy	A20
12/3/2/R	Routine enquiries	D10
12/3/3	**Codes**	
12/3/3/P	Policy	A20
12/3/3/R	Routine enquiries	D10

FILE REF	DESCRIPTION	DISPOSAL
12/3/4	**Training**	
12/3/4/P	Policy	A20
12/3/4/R	Routine enquiries	D10
12/3/5	**Metanet**	
12/3/5/P	Policy	A20
12/3/5/R	Routine enquiries	D10
12/3/6	**Equipment**	
12/3/6/P	Policy	A20
12/3/6/R	Routine enquiries	D10
12/3/7	**Stores**	
12/3/7/P	Policy	A20
12/3/7/R	Routine enquiries	D10
12/3/8	**Debtors**	
12/3/8/P	Policy	A20
12/3//R	Routine enquiries	D10
12/3/9	**FMS11 Users**	
12/3/9/P	Policy	A20
12/3/9/R	Routine enquiries	D10
12/3/10	**PersalInterface**	
12/3/10/P	Policy	A20
12/3/10/R	Routine enquiries	D10

12/3/11   **Track-it Work Orders**

12/3/11/P	Policy	A20
12/3/11/R	Routine enquiries	D10
12/3/11/1	Correspondence relating to Track-it Work Orders (A file to be opened for each individual)	D10

12/3/12   **Persal Queries**

12/3/12/P	Policy	A20
12/3/12/R	Routine enquiries	D10

12/3/13   **Form Codes**

12/3/13/P	Policy	A20
12/3/13/R	Routine enquiries	D10

12/3/14   **Basic Accounting Systems (BAS)**

12/3/14/P	Policy	A20
12/3/14/R	Routine enquiries	D10

12/4   Provincial Supply Chain Management Unit

12/4/P	Policy (to include National Treasury directives)	A20
12/4/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	D15

12/4/1   Tribunal

12/4/1/P	Policy (to include National Treasury directives)	A20
12/4/1/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	D15
12/4/1/2	Appointment of members	D10
12/4/1/3	Appeals lodged for Provincial Bids Appeals Tribunal (Open a file per appellant. To include minutes and judgements, recommendations and Ministerial confirmation)	D10

12/4/1/4	Agenda	D10
12/4/1/5	Schedule of hearings	D10
12/4/1/6	Appeals lodged for Municipal Bids Appeals Tribunal (Open a file for each Municipal. To include minutes and judgements, recommendations And Ministerial confirmation)	
12/4/2	Departmental and Municipal Support	
12/4/2/P	Policy (to include National Treasury directives)	A20
12/4/2/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	D10
12/4/2/1	Training / Workshops / Information Sessions (Open a file per Department / Municipality or Public entity)	D10
12/4/2/2	Support interventions (Open a file per Department / Municipality / Public entity)	D10
12/4/3	Contract Management	
12/4/3/P	Policy (to include National Treasury directives)	A20
12/4/3/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	D10
12/4/3/1	Provincial Tenders / Contract (Open a file per Department or Municipality)	A20
12/4/4	Suppliers Database	
12/4/4/P	Policy (to include National Treasury directives)	A20
12/4/4/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD Suppliers and Auditors)	D10

12/4/4/1	Contract Registration Application (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	A20
12/4/4/2	Database Enhancement	D10
12/4/4/3	Support	D10
12/4/4/4	Training manuals	D10
12/4/5	<u>Information Analysis and Monitoring</u>	
12/4/5/P	Policy (to include National Treasury directives)	A20
12/4/5/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry/ HOD / Suppliers and Auditors)	D15
12/4/5/1	Reports and recommendations (Open a file per category of report, using the prefix 12/4/7/2 followed by a / and the name of the report)	A20
12/4/6	<u>Ombudsman</u> REMOVE	
12/4/6/P	Policy (to include National Treasury directives)	A20
12/4/6/1	Agenda	D15
12/4/6/2	Minutes of Ombudsman forum	A20
12/4/6/3	Routine enquiries (Open a file using the prefix 12/4/8/2 followed by a / and the name of the Department / Municipality / National Treasury/ Ministry / HOD / Suppliers and Auditors)	D15
12/4/6/4	Reports and recommendations (Open a file using the prefix 12/4/8/3 followed by a / and the name of the Department / Municipality / National Treasury/Ministry / HOD / Suppliers and Auditors)	A20
12/4/6/5	Information Sessions	D15

FILE REF	DESCRIPTION	DISPOSAL
12/4/6/6	User registration	D15
12/4/7	Compliance Monitoring	
12/4/7/P	Policy	A20
12/4/7/R	Routine enquiries	D10
12/4/7/1	Reports and assessments (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	A20
12/4/8	Projects (File numbers are made up of Project name followed by the file number)	D15
12/4/8/P	Policy	A20
12/4/8/R	Routine enquiries (Open a file per Department / Municipality / National Treasury/ Ministry / HOD)	
12/4/8/1	Project initiation (Includes project planning)	D15
12/4/8/2	Consultants / contractors (Open a file for each consultant or contractor number consecutively)	A20
12/4/8/3	Project administration	D15
12/4/8/4	Project liaison / meetings (Includes agenda and minutes of meetings)	A20
12/4/8/5	Financial monitoring	D15
12/4/8/6	Technical information	D15

FILE REF	DESCRIPTION	DISPOSAL
12/4/8/7	Audit and review	D15
12/4/8/8	Reports / Submissions / Deliverables	A20
12/4/9	**Cash Management**	
12/4/9/P	Policy	A20
12/4/9/R	Routine Enquiries	D15
12/4/10	**Liabilities Management**	
12/4/10/P	Policy	A20
12/4/10/R	Routine Enquiries	D15
12/4/11	**Asset Management**	
12/4/11/1	Asset management system	D10
12/4/11/2	Fixed asset register	D10

13. INFORMATION TECHNOLOGY

FILE REF	DESCRIPTION	DISPOSAL
13/1	**IT Management & Administration**	
13/1/P	Policy	A20
13/1/R	Routine Enquiry	D10
13/1/1	Agenda	D10
13/1/2	Minutes	A20
13/1/3	Reports	A20
13/1/4	Software Licenses	A20
13/1/5	Contract and Agreements	D10
13/1/6	Audit and Risk	A20
13/1/7	IT Infrastructure Architecture	D10
13/2	**SITA**	
13/2/P	Policy	A20
13/2/R	Routine enquiry	D10
13/2/1	Agenda	D10
13/2/2	Minutes	A20
13/2/3	Reports	A20

FILE REF	DESCRIPTION	DISPOSAL
13/3	**IT Projects** (Open a file for each project number consecutively)	
13/3/P	Policy and Ruling	A20
13/3/R	Routine Enquires	D10
13/4	**IT Governance**	
13/4/P	Policy and Ruling	A20
13/4/R	Routine Enquires	D10
13/4/1	IT Governance Project Documentation	A20
13/5	**Biometric User Enrolment Forms** (Open a file for each department and file consecutively)	D10
13/6	**Biometric Smart Card Re-Issue Forms** (Open a file for each department and file consecutively)	D10
13/7	**IT Special Projects** (Open a file for each project and number consecutively)	D10
13/8	**IT Service Forms** (Open a file for each service and number consecutively)	D10

14. PUBLIC PRIVATE PARTNERSHIP

FILE REF	DESCRIPTION	DISPOSAL
14	**Public Private Partnership (PPP)**	
14//1/P	Policy	A20
14/1/R	Routine enquiries	D10
14/1/1	Projects (Open a file for each Department and file according to Annexure A)	D10
14/1/2	Projects (Open a file for each municipality and file according to Annexure C)	D10

15. **INTERNAL AUDIT**

FILE REF	DESCRIPTION	DISPOSAL
15/P	Policy	A20
15/R	Routine enquiries	D10
15/2	Assurance Services	
15/2/1	Office of the Premier	D10
15/2/2	Provincial Parliament	D15
15/2/3	Agriculture and Environmental Affairs	D10
15/2/4	Economic Development and Tourism	D10
15/2/5	Education	D10
15/2/6	Provincial Treasury	D10
15/2/7	Health	D10
15/2/8	Housing	D10
15/2/9	Safety and Security	D10
15/2/10	The Royal Household	D10
15/2/11	Co-operative Governance and Traditional Affairs	D10
15/2/12	Transport	D10
15/2/13	Social Development	D10
15/2/14	Public Works	D10
15/2/15	Sports and Recreation	D10

15/3	Risk Management Services	
15/3/R	Routine enquiries	D15
15/3/1	Correspondence (Forensic Investigation Services should use this reference on all matters relating to investigations for all clients)	D15
15/4	Provincial Audit Committee	
15/4/1	Correspondence	D15

ANNEXURE A

ABBR	VOTE	PROVINCIAL DEPARTMENTS
K-PR	1	Premier
K-LEG	2	Legislature
-AGR	3	Agriculture, Environmental Affairs and Rural Development
K-ECO	4	Economic Development and Tourism
K-EDU	5	Education
K-TRE	6	Provincial Treasury
K-HEA	7	Health
K-HUM	8	Human Settlements
K-COM	9	Community Safety and Liaison
K-ROY	10	The Royal Household
K-COO	11	Co-operative Governance and Traditional Affairs
K-TRA	12	Transport
K-SOC	13	Social Development
K-WOR	14	Public Works
K-ART	15	Arts and Culture
K-SPO	16	Sports and Recreation

NAME OF MUNICIPALITIES

1	Abaqulusi
2	Amajuba
3	Dannhauser
4	Edumbe
5	Emnambithi
6	Endumeni
7	Ethekwini
8	Ezinqoleni
9	Greater Kokstad
10	Hibiscus Coast
11	Hlabisa
12	Ilembe
13	Imbabazane
14	Impendle
15	Indaka
16	Ingwe
17	Jozini
18	Kwa Dakuza
19	Kwa Sani
20	Maphumulo
21	Matatiele
22	Mbonambi
23	Mkhambathini
24	Mooi Mphofana
25	Msinga
26	Msunduzi
27	Mthonjaneni
28	Mtubatuba
29	Ndwedwe
30	Newcastle
31	Nkandla
32	Nongoma
33	Nquthu
34	Ntambanana
35	Okhahlamba
36	Richmond
37	Sisonke
38	The Big 5 False Bay
39	Ubuhlebezwe
40	Ugu
41	Ulundi
42	Umdoni
43	Umgungundlovu
44	Umhlabuyalingana
45	Umhlathuze
46	Umkhanyakude
47	Umlalazi

48	Umngeni
49	Umshwathi
50	Umtshezi
51	Umzinyathi
52	Umvoti
53	Umzinyathi
54	Umzumbe
55	Uphongolo
56	Uthukela
57	Uthungulu
58	Utrecht
59	Vulamehlo
60	Zululand
61	eNdondakusuka

ANNEXURE C

<u>NAMES OF DISTRICTS</u>

1.1   UGU DISTRICT
1.2   UMGUNGUNDLOVU DISTRICT
1.3   UTHUKELA DISTRICT
1.4   UMZINYATHI DISTRICT
1.5   AMAJUBA DISTRICT
1.6   ZULULAND DISTRICT
1.7   UMKHANYAKUDE DISTRICT
1.8   UTHUNGULU DISTRICT
1.9   ILEMBE DISTRICT
2.0   SISONKE DISTRICT

MUNICIPALITY CODE	MUNICIPALITY
METRO	ETHEKWINI METRO
DC21	UGU DISTRICT
UGU DISTRICT	METRO
KZN211	Vulamehlo
KZN212	Umndoni
KZN213	Umzumbe
KZN214	Umuziwabantu
KZN215	Ezinqoleni
KZN216	Hibiscus
DC22	UMGUNGUNDLOVU DISTRICT
KZN221	uMshwati
KZN222	uMngeni
KZN223	Mpofana
KZN224	Impendle
KZN225	Msunduzi
KZN226	Mkhambathini
KZN227	Richmond
DC23	UTHUKELA DISTRICT
KZN232	Emnambithi/Ladysmith
KZN233	Indaka
KZN234	uMtshezi
KZN235	Okhahlamba
KZN236	Imbabazane
DC24	UMZINYATHI DISTRICT
KZN241	Endumeni
KZN242	Nquthu
KZN244	Msinga
KZN245	Umvoti
DC25	AMAJUBA DISTRICT
KZN252	Newcastle
KZN253	eMadlangeni
KZN254	Dannhauser
DC26	ZULULAND DISTRICT
KZN261	eDumbe
KZN262	uPhongolo
KZN263	Abaqulusi
KZN265	Nongoma
KZN266	Ulundi
DC27	UMKHANYAKUDE DISTRICT
KZN271	Umhlabuyalingana
KZN272	Jozini
KZN273	The Big Five False Bay
KZN274	Hlabisa

NATIONAL DEPARTMENTS

N-AGR	Agriculture, Forestry & Fisheries
N-AR	Arts and Culture
N-COP	Cooperative Governance & Traditional Affairs
N-COR	Correctional Services
N-DEF	Defence
N-ECO	Economic Development
N-EDU	Education – Basic & Higher
N-ENE	Energy
N-ENV	Environmental Affairs
N-GCIS	Government Communications & Information System
N-FOR	Foreign Affairs
N-HEA	Health
N-HOM	Home Affairs
N-HOU	Human Settlements
N-INT	International Relations & Coperation
N-JUS	Justice and Constitutional Development
N-LAB	Labour
N-MIN	Mineral Resources
N-TRE	National Treasury
N-PUB	Public Enterprises
N-DPSA	Public Service & Administration
N-DPW	Public Works
N-RUR	Rural Development & Land Reform
N-SCI	Science and Technology
N-SOC	Social Development
N-SAPS	South African Police Services
N-SPO	Sport and Recreation
N-TRAD	Trade and Industry
N-TRAN	Transport
N-TOU	Tourism

PROVINCIAL ADMINISTRATION

P-EC   **EASTERN CAPE**

P-FS   **FREE STATE**

P-GAU   **GAUTENG**

P-KZN   **KWA ZULU NATAL**

P-LI   **LIMPOMPO**

P-MP   **MPUMALANGA**

P-NC   **NORTHERN CAPE**

P-NW   **NORTH WEST**

P-WC   **WESTERN CAPE**