

DEPARTMENT OF ECONOMIC AFFAIRS



REGISTRY PROCEDURE MANUAL

DEPARTMENT OF ECONOMIC AFFAIRS

NORTHERN CAPE PROVINCIAL GOVERNMENT

1. SUPERVISORY OFFICIALS

1.1 Records Manager

1.1.1 The overall control, preservation and care of the department's correspondence files and records other than correspondence files rest with the Record Manager.

1.1.2 No procedural amendments concerning any records management practises should be implemented without the knowledge and/or consent of said official.

1.1.3 The Record Manager is solely accountable for the following non-delegatable duties:

- Control of the maintenance of the File Plan and the Record Control Schedules
- Disposal of records
- Control over and safe preservation of all departmental records
- The application of a system of document economy

1.1.4 If any of the above duties mentioned in paragraph 1.1.3 need to be delegated during the absence of the Record Manager, they must be assigned to the Chief Registry Clerk.

1.2 Chief Registry Clerk

1.2.1 The Chief Registry Clerk is responsible for the administration of, and supervising the administration of, all registry procedures, as stipulated in paragraphs 2.1 to 2.6 below, as well as the direct supervision and training of all registry personnel. Furthermore, he/she and his/her staff are responsible for all tasks entrusted to them by the Record Manager under par. 3.1 to 5.6 hereafter.

2. Registry procedures

2.1 Receipt of post, parcels and remittances /transferable items

2.1.1 The mailbag is collected unopened at the Post Office in the morning at 07h30 by the Messenger or in case of his/her absence by a Registry staff member. Post is sorted and appropriately dispatched, while outgoing post is sealed and stamped. The mail bag is returned to the post office not later than 14:30 with the outgoing post. Two registry

officials ensures that the mail is opened and recorded in the register book before it is delivered to relevant officials. Registered and certified post for the Liquor Board and Gambling Board is also despatched on file.

2.1.2 The Chief Registry Clerk is responsible for the safekeeping of the keys to the Registry and the mailbag.

2.2 **Private post**

2.2.1 Staff members are advised not to use the official postal address for private business as this may lead to their private correspondence being opened. The registry accepts no responsibility for private post. In order to ensure that public resources are used exclusively for the purposes for which they were intended, the following procedures pertain to private mail:

- A staff member newly appointed in the department shall be given the privilege of using the Department's Private Bag as his/her postal address for a period not exceeding three months.
- Once the three month period has passed, all private mail of the official concerned shall be placed in the cardboard box intended for this purpose outside the Registry door. The official concerned is responsible him/herself for going through the box to determine which of its contents belong to him/her.

2.2.2 Private post that is received, is placed unopened in a pigeon hole set at the Registry marked for this purpose. It is the duty of the addressee to collect the post.

2.2.3 No private post may be despatched via the Registry. Persons who are guilty of this practise will receive an instruction to comply with registry procedures. Failing to comply will lead to action.

2.3 **Receipt, sorting and opening of post**

2.3.1 **Receipt of mailbag**

2.3.1.1 The official who collects the mail bag at the post office must ensure that the mailbag is sealed. Mailbags are always sealed by the post office prior to their delivery.

2.3.1.2 When the mailbag is received in Registry, it is opened by the Chief Registry Clerk in the presence of another registry staff member who has been appointed in writing for this purpose.

- 2.3.1.3 In the event that one or both of the persons mentioned in paragraph 2.3.1.2 are not present for any reason, the Record Manager can delegate in writing this task to other registry officials.
- 2.3.1.4 Incoming post is opened between 08:00 and 09:00. During this time the Registry will be closed and only matters of an urgent nature will be attended to. In this case a request from a Senior Manager is regarded as urgent. All official post and letters received after these times are locked away; unopened until the post is opened the following day.
- 2.3.2 **Sorting of post**
- 2.3.2.1 Any official letter marked for the attention of a particular official, is opened by the registry personnel, date stamped, recorded and forwarded to the relevant official as per relevant file.
- 2.3.2.2 Item marked secret and confidential are handled by the designated/authorised person. After it has been handed over the Registry accepts no responsibility thereof.
- 2.3.2.3 Human resources matters, follow the same procedure as the ordinary post.
- 2.3.3 **Procedure for opening post**
- 2.3.3.1 Post are sorted and filed between 08H00 – 08H30. Only matters of urgency will be dealt with during this period.
- 2.3.3.2 Post are only opened in the area dedicated for this purpose.
- 2.3.3.3 Envelopes are slit open on two sides to ensure that all the contents of the envelope have been removed and, once emptied, the envelopes are immediately disposed of in the waste bin. Envelopes of unclaimed /undeliverable articles are attached to the correspondence.
- 2.3.3.4 After removing the letters from the envelopes they are read to ensure that any attached annexures and monies referred to are enclosed. If any items are missing this must be neatly noted in the margin of the letter in pencil and initialed. In cases where money is missing, or the amount differs from what is specified in the letter, both officials must

initial the note on the letter. Loose annexures must be attached to the accompanying letter and bulky annexures, tied with string. Care must be taken that original documents such as educational qualifications which are valuable to the sender are not damaged by pins or anything else.

2.3.3.5 Registered and certified postal articles are treated the same as ordinary post. These articles should be recorded in the register kept for them. Incoming parcels are opened and dealt with in the same manner as in-coming post.

2.3.3.6 Incorrectly delivered post is returned to the mailbag.

2.3.3.7 Incoming express letters are opened immediately by the Chief Registry Clerk and submitted to the official concerned preferably with the relevant file. The official must sign for these letters and indicate what further action need be taken by the Messenger.

2.3.4 **Receipt and Handling of Remittances/Transferable Items**

2.3.4.1 Letters enclosed with monies or transferable items are immediately separated from the other post once it has been opened and handed to the Chief Registry Clerk who notes it in the Remittance Register and completes the following information:

- The date of the receipt,
- Whether received by ordinary, or registered post,
- From whom received,
- The nature of remittance,
- The amount of remittance,
- The signatures of the officials present when opening the mail,
- Signature of the official to whom handed over,
- The reference of the receipt, issued and method of disposal, and
- The signature of the controlling official and the date of the cheque.

2.3.4.2 The Records Manager and Chief Registry Clerk must examine all prescribed Registry registers at least once a week to ensure compliance with instructions and accountability for all registered items. They must sign the register in the last column to indicate that this has been done.

- 2.3.4.3 Before the remittance register is brought into use, the Records Manager and Chief Registry Clerk, as supervising officers, must ensure that all the pages have been numbered consecutively throughout and is also responsible for checking it, during the course of his/her check must verify that no pages have been removed from the register.
- 2.3.4.4 For registered mail and certified mail, the date of receipt and advice slip number 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 the parcel contains remittances or transferable items, these must be recorded in the remittance register.
- 2.3.4.5 Officials receiving remittances hand delivered must verify the contents of the letter or package. If the remittance or parcel 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 be recorded in the register.
- 2.3.4.6 All postal items/matters collected from the post office must be carried in a sealed bag and where possible, sealed by a post office official.
- 2.3.4.7 All other items of payment like: 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/her 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.
- 2.3.4.8 All monies or other transferable items received through the post must be handed over immediately to the official/s responsible for accounting, and an acknowledgement should be made thereof in the relevant column of the remittance register.
- 2.3.5 **Filing of post**
- 2.3.5.1 The date stamp is applied to the first page of received postal items. No annexures, certificates, photographs or other material are stamped.
- 2.3.5.2 The date stamp must be applied to an open space on the letter, and only if there is insufficient space in front must the stamp 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.

2.3.5.3 Cheques are stamped on the back.

2.3.5.4 Opened post should be immediately be divided into three groups, namely,

- Those on which the office reference number already appears
- Those that do not need any reference number
- Those to which reference number must be allocated.

2.3.5.5 The following articles receive no reference numbers:
Cheques, cash, annexures and Remittances.

2.3.5.6 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.

2.3.5.7 Letters to which reference numbers must be located are dealt with as follows:

- (a) The registry officials read the letter thoroughly and carefully to determine precisely what it deals with . Under no circumstances should the subject be determined from letter heading, this can be misleading.
- (b) Only the filing system should be used to determine the file numbers.
- (c) To determine the correct number, the list of the main series should first be consulted, and the most suitable series selected. Then the sub-series should be consulted to eventually identify the correct file reference.
- (d) If there is still disagreement over the correct reference the Records Manager should be consulted.

2.3.5.8 If the letter deals with more than one subject, the reference must be identified for each subject and copies of the letter should be made for each relevant file. All the file references should be indicated on the original letter.

2.3.5.9 Officials dealing with correspondence must make sure that correspondence are allocated the correct reference number. If there is uncertainty or disagreement about the allocation of a file number, the Chief Registry Clerk must be engaged.

2.3.5.10 Reference numbers i.r.o personal papers of staff are allocated as follows:
Personal Confidential Files: SP, Surname and Initials

2.3.6 **Correct and neat Filing**

- 2.3.6.1 After allocating reference numbers to incoming post, the relevant files must be drawn and papers pinned in the files and the control sheet completed. No loose papers may be circulated in file covers or pinned to the front cover of the file, since correspondence can be damaged and soiled in this way.
- 2.3.6.2 Valuable documents such as certificates, wills, copies of deeds, etc which must be returned to the sender should be placed in an envelope and pinned to the right hand side (flyleaf) of the file cover.
- 2.3.6.3 If a file on which correspondence must be sent out is not available in 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 without the file, a second search is launched. If the original file still cannot be located, a duplicate file is opened by the Chief Registry Clerk and entered in pencil in the Register of Opened Files. After this special attempts are made to locate the file and when found the contents of the temporary file must be amalgamated with the original file. If the original file cannot be found despite numerous attempts to locate it, the Records Manager must inform the Provincial Archivist in writing.
- 2.3.6.4 All received correspondence items will be sent through to the relevant officials on the files. Corresponding officials needing to consult relevant files to finalise the matter must themselves request the files, either in writing, via e-mail or personal request at the registry office. The registry officials will note the details of officials requesting files in a register. The following information will be recorded: name of person, name of component, date issued, reference number and description of file, date returned. On a monthly basis, registry officials will carry out investigations to find out the locations of all outstanding files. A report of all outstanding files will be compiled by registry who in turn will inform the Records Manager who will be required to liaise with programme managers. It is thus imperative for all corresponding officials to keep registry informed on the movement of files and to ensure that files are returned to registry within 48 hours.

2.3.6.5 Care must be taken to ensure that papers are neatly filed on the split pin. Attention must be paid to the correspondences which should be kept neat and tidy in the file covers. No papers should protrude from the file.

2.3.6.6 Until such time as the DEA has an Archives-approved electronic records management system in place, all incoming and outgoing e-mail messages of an official nature shall be printed out and filed on the appropriate file in the Registry.

2.3.7 Application of a policy of document economy

2.3.7.1 Both the Records Manager and Assistant Records Manager 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 file must be avoided. Where duplicates of an item are made for any reason, those unused should be shredded and disposed of.
- (c) In cases where identical letters are sent to more than one address, only one copy needs to be placed on the file, together with a list of addresses to which similar letters are sent; and
- (d) Where a duplicate dispatch is made for purpose of acknowledgement of receipt, the returned copy with the acknowledgement must be filed in the same file as the previous copy.

2.3.8 Numbering of items on a file

2.3.8.1 Each individual item placed on a file is numbered consecutively. Every item is seen as an entity and receives only one number. The pages of any one item must not be numbered separately.

2.3.9 **System of completing Correspondence of Files**

- 2.3.9.1 The Chief Registry Clerk must regularly ensure that all incoming post and instructions on the files receive attention. It is the duty of the Registry Officials to ensure that an instruction to **pend** is noted of every item before the particular file is replaced.

2.3.10 **Circulation of and Search for Files**

- 2.3.10.1 Files that have been requested by corresponding officials by means of a note, an e-mail message or where the information has been recorded in a register for this purpose should be drawn by the registry officials and circulated to the various officials.
- 2.3.10.2 When incoming mail that needs to be filed reaches registry, the registry officials must check that all of these items have file reference numbers; if not these need to be allocated and the corresponding official informed of the correct file number. The relevant files are then drawn from the shelves and the correspondence filed. Once the incoming mail is placed on the files, the enclosure is marked to the corresponding official/s, the files will be placed in the pigeon hole set where the said official collect it.
- 2.3.10.3 Only in exceptional cases can Registry staff be instructed to look for a file urgently.
- 2.3.10.4 Once the registry staff has finished dealing with files in the registry, a search list is compiled. The search list is made-up of file numbers of all files outstanding where new correspondence needs to be filed on.
- 2.3.10.5 The offices are then systematically searched by registry clerks; the correspondence is placed on the files and the control sheets are completed. The official dealing 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 correspondence has been filed is simply replaced in his/her "in" tray.
- 2.3.10.6 Files should not be removed from an official's table without his/her knowledge. If he/she is absent, a note should be left stating where the file has been taken.

2.3.11 Rules for Dispatch

2.3.11.1 Officials must make sure that all post to be dispatched, reaches the Registry before 14h00 every working day. Post received after these times will be dispatched the following day. Urgent dispatches will be accommodated by arrangement with the Chief Registry Clerk.

2.3.11.2 Letters and documents for dispatch should neither be placed on top of files, nor attached in front with paper clips, but should be marked with pencil "ordinary post", "registered post" or "courier post" and folded neatly in the file covers. This prevent the outgoing mail from being soiled, detached from the relevant file or torn while being handled.

2.3.11.3 The dispatch of all posts occur from 14h00 in the Registry and is carried out by Registry officials who act as dispatch clerks. Post for dispatch is placed in relevant dispatch post trays by the messenger. From there the dispatch clerks prepare it for franking.

2.3.11.4 After the dispatching official has stamped/franked the post he/she checks whether all stamps and signatures have added, as well as all Annexures mentioned have been enclosed.

2.3.11.5 The date of dispatch should not be typed on the letters, as correspondence may not be posted on the same day. The date of dispatched is stamped in the Dispatch Register.

2.3.11.6 Post ready for placing in envelopes is placed in relevant table while the files are placed in relevant trays where they can be removed and filed by Registry officials.

2.3.11.7 Post is grouped in four separate groups:

- Ordinary post: sent by Post Office
- Registered Post,
- Speed Service,
- Ordinary post: hand – delivery by messenger

This information should be recorded in the Dispatch Register.

- 2.3.11.8 To prevent waste of envelopes, post intended for dispatch to units within the department or same units outside the department should be placed in separate earmarked relevant trays for groupings where possible.
- 2.3.11.9 Correspondence officials must always use window envelopes to save time in writing of relevant addresses and use address stamps where possible to frequent contacts.
- 2.3.12 **Special Dispatches**
- 2.3.12.1 The Postal Guide must be adhered to at all times. Only important official documents must be sent by registered post.
- 2.3.12.2 The Official sending registered post must:
- Ensure that special registered post envelopes are used, and letters are properly sealed.
 - Ensure registry labels are placed in the correct place/corner of addressed face.
 - Ensure that a list is compiled for all post dispatched as registered mail in duplicate on Z. 209, the list should accompany the post to the post office where the original list is removed and proof of receipt applied to the copy.
- 2.3.12.3 All registered post must be handed over the counter at the post office, and not be placed in the mailbag.
- 2.3.12.4 Registered post labels should be locked in the Chief Registry Clerk's desk and must only be issued out by him/her for use in official registered mail.
- 2.3.12.5 The certified post label must be glued on the address face of the letter/ envelope, and the duplicate attached to the file copy of the letter/s. Certified mail is placed in the mailbag with ordinary mail and not recorded in a register. Certified post should be used for those items that the recipient/s must sign to acknowledge receipt. However, the post office is not required to provide a receipt for these items.
- 2.3.12.6 Express or preferential post must only be used in very urgent cases. These letters must be handed in over the counter of the post office and must not be placed in the mailbag. **Such mail must be addressed to street address** and not post box or private bag.

- 2.3.12.7 Regarding posting parcels, the Registry staff, do not make up parcels. They only attach necessary stamps, postage stamps, etc.
- Ordinary parcels are placed with ordinary post in the mailbag.
 - Certified parcels: same procedure applies as with certified letters (see par. 2.4.3.6 to 2.4.3.7) while insured parcels are handed over the post office counter with delivery receipt received for such a parcel is attached on the file copy for controlling dispatch of the parcels.

2.3.13 **Handling of secret/confidential postal articles**

- 2.3.13.1 Registry staff do not deal with secret or confidential papers in their day to day activities. If task involving these is assigned to one of them, precaution contained in the Minimum Information Security Standards (MISS) should be followed and issued by Records Manager in writing.

2.3.14 **Pending of Papers**

- 2.3.14.1 Registry staff do not decide for how long a document should be pended. It is not their function, they only carry out instructions.
- 2.3.14.2 The dispatch of reminders i.r.o. pended items is the responsibility of the relevant correspondence official. Registry may follow the matter up with the relevant person. When an official wishes to pend an item, the following procedure is followed:
- Complete the control sheet in the relevant file in the prescribed manner,
 - Request the Registry staff to send the relevant file to him/her on the pended day if it has not yet been received by her/him.

Registry staff are required to record the relevant information in a dairy set aside solely for this purpose. The details are obtained by checking the control sheets of all files before they are replaced. Files drawn for a particular day are drawn the previous day between 15H00 and 16H00.

2.3.15

Filing of Papers, Replacing and Closure of Files.

2.3.15.1

Before a file is replaced, the Registry staff must first ensure that:

- All correspondence has received attention and that the instructions to file or pend have been complied with (examined the control sheets).
- All correspondence is neatly placed on the file, split pin is in one piece, and the cover is neat and in tact,
- Pins and paper clips are removed to avoid rust and spoil the documents
- A file is not thicker than 3 cm. When a file reaches this thickness it must be removed and the next volume opened.

2.3.15.2

Closed volumes of files should not be filed with current/active files as they could accidentally be used to place correspondence. Closed volumes should be placed in boxes to protect the records against dust, light and general deterioration.

2.3.15.3

Filing of the incoming post as well as file copies of outstanding letters must be attended to in the Registry, but correspondence clerks must file their submissions themselves.

2.3.15.4

Documents must be filed in a chronological order with most recent date on top.

- The date of receipt and not of dispatch is used to file incoming post,
- Annexures or enclosures always form part of the document with which it was received, regardless of the date thereon.

2.3.15.5

Bulky documents like 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 label "Annexure Cover".
- No correspondence may be placed in this file.

2.3.15.6

Files of the file plan are placed in a numerical order on the shelves according to the sequence of the Master copy.

2.3.15.7

Personal files with reference to staff are filed alphabetically according to series SP, SL.

2.3.16 Movement of Files

2.3.16.1 The movement of files must be effectively controlled.

Officials who need a file from the Registry must use the following procedure:

- Files are requested and returned at the counter at the Registry. No file may be personally removed from or replaced on the shelves.
- Only the file number is used when requesting a file, not subject content or description of the file.
- Files should be returned within 48 hours to the Registry. Periodic control checks will be carried out by registry to determine the location of outstanding files.
- Files may not be removed from the building or sent out to Archives or another department without the consent of the Records Manager or Chief Registry Clerk.

2.3.16.2 Only the movement of files leaving the building or being sent to Archives are monitored, using a card with the following information:

- File Number,
- Where sent to,
- Date of dispatch.

2.3.16.3 Files returned from other Departmental components or directorates must immediately be brought to the attention of registry staff and not left on the counter unattended, so that necessary card administration can be done.

2.3.17 Closure and Termination of Files and Records other than Correspondence Files.

2.3.17.1 Closure at 3 cm Thickness. Files should not be allowed to become more than 3 cm thick.

2.3.17.2 When file volume is closed, the date of the most recent correspondence is noted on the file cover, and 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 last item in the closed volume containing the words "Closed, see volume...." which is also written on the cover of the closed file.

The volumes are numbered consecutively; letters or roman numerals must not be used.

- 2.3.17.3 Closing procedure is as follows:
- A strip of cardboard could be placed beneath the correspondence in the file.
 - Correspondence must be checked meticulously to ensure if each item is in place, and no items are misplaced.
 - If the file cover is damaged or not presentable, it must be replaced by new one.
- 2.3.18 **Termination during transfer from one office to another.**
- 2.3.18.1 Policy and Subject files received from another institution or Department when functions are transferred should be terminated immediately.
- No further correspondence may be added to these transferred files.
 - These files may not be included in the Main Filing system and must be preserved as separate entities. These files may only be used for reference purposes.
- 2.3.18.2 Case files received during transfer of functions, may with consent of the Provincial Archivist be incorporated in the Filing System.
- They may be numbered and further correspondence filed on them provided the file is still needed.
 - In case the file is no longer needed, it should be terminated and preserved as a separate entity.
- 2.3.18.3 Minutes books received should be terminated and new ones opened.
- Financial books may be used until the end of the financial year and then terminated.
- 2.3.18.4 Financial books recording long term transactions like loans payments or appropriation of capital funds are excluded or exempted from this abovementioned condition.
- 2.3.18.5 All other items of records other than correspondence (except map collection or irreplaceable by nature cannot be terminated) must be terminated as soon as possible and be preserved as separate entities.
- 2.3.19 **Filing of Closed and Terminated Records**
- 2.3.19.1 All closed items or volumes from approved file plan or records control schedule are preserved separately in prescribed cardboard boxes in demarcated place in the filing room to avoid accidental filing.

2.3.19.2 Closed and terminated correspondence files can be filed in corrugated cardboard boxes for:

- Protection against light, dust and disintegration
- Specification: 368mm X 267 mm (outside measurement) with a 152 mm lid.

2.4 Keeping of Essential Registers/ Schedules.

2.4.1 Records Manager's Responsibilities.

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

- The Master Copy of the File Plan – in which all approved subjects are correctly and neatly reflected;
- A schedule of records other than correspondence system – on which every type of item, which is not part of the file plan, is indicated and approved by the Provincial Archivist; and
- An electronic record keeping system – system that has been approved by the Provincial Archivist and SITA to store all electronic records.

2.4.2 Chief Registry Clerk

2.4.2.1 The following essential registers are kept by the Chief Registry Clerk:

- Remittances received by post – which records all remittances received by post (ordinary, registered or certified post).
- Documents and correspondence received by registered and certified post – in which the number of each registered or certified item and place of origin are noted. After the items are received, they are opened and details of the items are entered in the register next to the relevant slip number. If remittances are received, the details of the reference are entered into the remittance register.

- Items sent by registered post.
- Register of Files Opened – which accurately reflect what files are already opened according to the Master Copy of the file plan.
- Destruction Register – a register which records details of all records which must be destroyed.
- Disposal Authorities – in which details of all disposal authorities received from National Archivist are recorded.
- A Stamp Register.

2.5 Preparation of Opening of File Covers.

- 2.5.1 File Description and File Numbers must be printed neatly and legibly in black ink on file covers.
- 2.5.2 The reference number and description of the subject on the file must agree with the description of the subject in the File Plan.
- The instructions from the General Instructions to the File Plan must be strictly adhered to.
 - The Main Series must all the time be indicated on the cover.
 - When Registry officials are not sure which section or component can be omitted, the Records Manager must make the decision.
 - At all times correct spelling must be emphasised.
 - The number of the volume must be indicated on the file cover. Only Arabic numbers should be used.
- 2.5.3 Disposal instruction for each file must be recorded as soon as the file is opened. Disposal instructions not yet approved by National Archivist should not be recorded on the files.
- 2.5.4 Every file used must be provided with:
- Self piercing paper fastener 5 cm long,
 - Cardboard washer

- Control sheet

The dates of the first and last items on the file should be indicated on the file cover.

2.6 Use of Daily Files

2.6.1 Only copies of important letters, excluding confidential letters, are placed on the daily file. The Records Manager has the final decision on what appears on the daily file.

2.6.2 After preparing the Daily File, it is sent to the Records Manager for inspection to ensure that the items and correct numbers have been allocated. Thereafter it is circulated to programme managers and responsibility managers.

2.6.3 Daily file may be kept by officials for a period of 24 hours, not more. If they have not finished studying it by then, it must be requested for further study.

2.6.4 Once it has been circulated to all interested parties/ personnel, the daily file is filed for a period of six months and then disposed under Archivist authority.

3. MANTAINENCE OF FILING SYSTEM AND RECORDS CONTROL SCHEDULE

3.1 File Plan

3.1.1 The Records Manager is responsible for the maintenance of the filing system. This includes:

- Exercising control over additions and alterations to the filing system to prevent deterioration. These changes must be approved by the Provincial Archivist and indicated in the Master Copy of the filing system.
- Periodic spot checks to ensure that items are placed on the correct files.

3.1.2 Concerning amendments and additions, attention should be paid to the following:

- 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.
- Avoid faulty additions which may lead to duplication or overlapping,
- The assurance that new descriptions satisfy requirements.

- 3.1.3 Approved amendments or additions must be immediately inserted in the Master Copy by the Records Manager, and thereafter be reported to the Provincial Archivist.
- 3.1.4 In the case of wide- reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. File covers may 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 covers may be finalised.
- 3.1.5 With regard to the placing of correspondence on files, special attention should be paid to the following:
- Avoid overloading of files not sufficiently sub-divided or too fine subdivision of files which could be combined. If this happens it should be brought to the attention of the Records Manager in time and be corrected.
 - The tendency to add correspondence where a subject began on a specific file long after the nature of the correspondence justifies the continuation of the subject on another file.
 - Correct use of policy files to prevent non-policy items from accumulating in them should be adhere to while ensuring that copies of items containing policy decisions are actually placed in relevant policy files. Policy files indicated by means of a "P" in the file reference number should only contain information relating to standards, rulings, procedures, work instructions to components and directives.
 - The letter "R" in the file reference number identifies routine enquiries files. Only records where no further actions are required should be filed here. Under no circumstances should important matters be filed on these files.
 - The incorrect placement of items on A20 files and ephemeral files after disposal authority has been issued.
 - Correct use of files to make sure no misfilings occur.
 - Facsimiles made on heat sensitive glazed paper are inclined to fade and become illegible over time. To ensure good record keeping, photocopies should be made of these faxes and placed on the files.

3.1.6

All correspondence concerning the Filing System must be directed to:

The Provincial Archivist
Provincial Archives and Records Service
Private Bag X5004
Kimberley
8300

3.2

Schedule of Records other than Correspondence System (Records Control Schedule)

3.2.1

The Records Manager for the Department is responsible for:

- Ensuring that all new types of records other than correspondence files used in the office are recorded and accounted for in the records control schedule. This schedule must be submitted to the Provincial Archivist for approval and the issuing of disposal authority.

3.3

Separate Case Files

The following series of separate case files are kept:

- Individual personal files

Designated staff are responsible for the full control and care of these files. Their existence is reflected in the register of files opened. All procedures and instructions that apply to files in the filing system, also apply to all case files.

DISPOSAL OF RECORDS.

4.1 Disposal program and Destruction

4.1.1 Standing Disposal Authority (-----) applies to the current File Plan of the Department of Economic Development and Tourism, and
Standing Disposal Authority (-----) applies to schedule of all records other than correspondence systems.

(a) A20: Keep for transfer to archives repository after a period of 20 years has elapsed since the end of the year in which the record came into existence.

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

4.1.2 The Chief Registry Clerk must keep the Destruction Register. As soon as the file is closed its file number is written under the year in which it must be destroyed.

At the end of December of every year, the Registry personnel consults the Destruction Register and remove all the files which can be destroyed, and make arrangement for their destruction/ removal.

Files for destruction are removed by:

4.1.3 The instruction and procedure for destruction of records other than correspondence must come from the Records Manager.

4.1.4 No files or records other than correspondence files of any sort, may be destroyed without the written authority of the Provincial Archivist.
Details of these records must be recorded in the Disposal Authorities Register by the Chief Registry Clerk.

- 4.1.5 For any Department of Economic Affairs records destroyed, a destruction certificate must be submitted to the Provincial Archivist eg,

I certify that the Records listed below which occupied shelves number -----

Linear meters of shelving were destroyed today in terms of disposal authority number/s-----

Name of the Official-----

Name of Records Manager-----

Telephone number-----

Cell-----

Fax-----

E-mail-----

Signature-----

Date-----

- 4.1.6 The certificate must be signed by Records Manager after making sure that the records in question have been actually destroyed.
- 4.1.7 The copies of the list/s of all destroyed records must be preserved by the Chief Registry Clerk in order to serve as a proof in connection with any enquiries concerning these records.
- 4.1.8 The Records Manager must approach Provincial Archivist regularly for approval of disposal instructions regarding records other than correspondence in order to keep the Standing Disposal Authorities up to date. He/She needs to examine all authorities as requirements and circumstances change.
All proposals for amendment of instructions must be reported to the Provincial Archivist.
- 4.1.9 All correspondence concerning disposal and destruction of Department records must be directed to the Provincial Archivist.

4.2 Transfer to Archives Repository/ Records Centre.

- 4.2.1 The records marked for permanent preservation (A20 archives) must as regulated by National Archives and Records Services of South Africa Act (Act no. 43 of 1996 as amended) be transferred to Provincial Archives Repository when the period of 20 years has lapsed since the year in which the record came into existence. It is the responsibility

of the Department to liaise with the head of Provincial repository/records center to make transfer arrangements.

4.2.2 A20 records not yet reached the age of 20 years can be transferred to Provincial records centre. The Records Manager must liaise directly with the head of the Provincial Repository/ Records centre.

4.2.3 Archives transferred to the Records Centre, can be returned on loan, but the following procedure must be adhere-to:

- Only the Records Manager or his/her designate is authorised to request files on loan and only his/her signature will be accepted for loan requests.
- All correspondence officials who want to request files on loan must hand their request to the Registry Office every day between 08H30 and 09H00 in the centre request form available in Registry. The forms must not be signed.
- Only Records Manager of the Department of Economic Affairs must sign these forms.
- When requesting the files, the transfer list must be consulted and particulars of the file must be clearly indicated viz: file number, volume, etc.
- Messenger from the Registry office collect the file from Records centre during her/his rounds same day and the file should be available at Registry same day.
- Files must be returned to records centre within 60 days and files earmarked for return must be left at Registry office a day before delivery and not on the 60th day or due date.
- Return files must be accompanied by a B. 17 book in which they are entered. The receiver must sign the receipt for every file in the book
- In emergencies, files can be requested telephonically, but request must be confirmed in writing when files are collected.

4.2.4 Records used regularly (administrative, research, and references purposes) should not be transferred to avoid delays with consultations.

4.2.5 When transferring records to the Archives Repository/ records centre the following procedure must be followed:

- Records Manager must inform the Repository head about the nature of records to be transferred by submitting list of the records.

- The Records Manager must get confirmation from the head of Repository or records center indicating if he/she can accommodate records in question.
- The records to be transferred must be accompanied by list in duplicate containing the following information:

*I certify herewith that the under mentioned records were transferred today-----
to the Provincial archives repository/records centre in Kimberley, Private Bag X5004
Kimberley, 22 Abattoir Road, Kimberley 8300.*

Name of Department: Economic Affairs.

Street Address: -----

Extent of records in linear meters-----

Disposal authority number-----

Official responsible for transfer-----

Telephone-----

Fax -----

Cell/ E-mail -----

- Records must be listed alphabetically or numerically,
- Loose unbound records should be packed securely and neatly in clearly marked boxes or parcels,
- Registers and indexes of transferred records are transferred too unless Provincial Archivist instructed otherwise,
- Registers must be stamped on the flyleaf with the office stamp, while the nature of the register is indicated on the cover, and
- The head of the relevant repository/ records centre must acknowledge the receipt of transferred records on the duplicate copy which must be returned to the Department of Economic Affairs.

- 4.2.6 The Records Manager determines when and how the transfer occurs including transport arrangement.

4.3 Transfer from one office to another.

- 4.3.1 If the records are transferred permanently to another department or organisation, the Records Manager must inform the Provincial Archivist and submit a list of those records arranged alphabetically or numerically.
- 4.3.2 No records may be donated or transferred to any person, library, or museum, or any other institution other than government institution or department without the approval of the Provincial Archivist.

5. CONTROL AND PROTECTION OF RECORDS

5.1 Access

- 5.1.1 Access is controlled by the Records Manager in agreement with section 12 of National Archives and Records Services of South Africa Act (Act no 43 of 1996 as amended and the National Archivist' s Circular 1 of 1969).
- 5.1.2 All requests from persons or researchers who wish to consult Department's records must be submitted in writing to the Records Manager who will make a thorough investigation to ensure that the application will not be detrimental to the Department.
- 5.1.3 Persons consulting Department's records, after permission from the Records Manager, must do it in earmarked/demarcated area under the supervision of the Records Manager or Chief Registry Clerk.
The Records Manager/Chief Registry Clerk make sure that:

- The greatest care is exercised when handling the records especially when turning the pages.
- Pages must not be folded.
- 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.
- The researched must only use a pencil not a ballpoint pen to copy the items.
- The researcher must not disturb the order of the pages.
- The researcher must not make any mark on the item or remove it.
- If the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain permission from the Records Manager. The Records Manager/Chief Registry Clerk must also ensure that the relevant items are not damaged in the process.
- No researcher may remove any items from the office for whatever reason.

5.1.4 The Head of Department or Records Manager must first inspect and approve any researcher's research work before it is published or in any way duplicated. The researcher must also be requested beforehand to donate two annotated copies of the research to the Records Manager. One of these copies must be sent to the Provincial Archivist.

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

5.1.6 No person has access to the Registry or records store room/filing room. The following rules must be enforced:

- The Registry and Filing room are closed during lunch and after hours.
- During office hours the Registry must never be left unattended. If this does happen the door must be locked.
- Chief Registry Clerk exercise control of the keys with full set of keys master copy in possession of the Records Manager.
- The Registry and filing rooms must be cleaned in the presence of one or more Registry staff.
- No one is allowed inside the Registry office and filing rooms except Registry staff.

5.2 Fire and Fire Prevention Measures.

- 5.2.1 **No smoking, open flames, or storage of flame-able material** in both the Registry Office and Filing room,
- 5.2.2 **Only CO2 fire extinguishers** may be used to extinguish a fire Registry office and filing rooms. **Water may be used as last option.**
- 5.2.3 Fire extinguishers must be inspected every 3 months and the Records Manager must ensure that it is actually done.

All Registry Officials must be trained on how to use these fire extinguishers.

5.3 Water.

- 5.3.1 Registry and the filing rooms must be checked regularly by Records Manager and Chief Registry Clerk to ensure that there are no roof leaks, water pipe leaks, and ensure that if that happens these leaks are traced and repaired in time before any damage is done to the records.
- 5.3.2 When records become wet for whatever reasons, efforts to make them dry must be made as soon as possible by blowing warm air over them. Never spread out to dry in direct sunlight.

5.4 Pest and Plagues.

- 5.4.1 Records Manager and Chief Registry Clerk must regularly inspect the Registry and Filing rooms for occurrence of pests and plagues. Any notice of fishmoths, cockroaches, etc. must immediately be reported to Records Manager or Chief Registry Clerk.
- 5.4.2 Filing room must be fumigated every 6 months against the above mentioned fishmoths and pests. No lethal sprays may be used which could have damaging consequences for records.

Sprays with a high acid content or which release acid should be avoided. The safety of registry staff must also be taken into consideration.

5.5 **Light.**

5.5.1 The light in the Registry and Filing rooms must be switched off whenever no body is present or working in them.

5.5.2 No direct sunlight must be allowed to shine on any records.

5.6 **Damage Through Handling.**

5.6.1 Deliberate damage to Department's records is considered to be a violation of the National Archives and Records Services Act (Act no. 43 of 1996). This violation includes careless and indifferent handling of Department records.

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

6. **Training of Registry Staff**

6.1 Both the Records Manager and Chief Registry Clerk must attend the Records Management Course presented by the National or Provincial Archives to receive correct training for their various tasks. Other Registry Staff should be trained by the Records Manager, Chief Registry Clerk or registered service provider.

6.2 In-service training under the Records Manager or Chief Registry Clerk is conducted or occurs during the execution of duties and conducted along the lines of the Records Management Course Manuals on specified dates and times when necessary. Tests will be written after every training session to test the extent of absorbed knowledge.

7.

Registers in Use

The following registers are in use as of 11 November 2008:

- Register for Incoming Documents
- Register for Outgoing Documents
- Register for Incoming Faxes
- Register for Outgoing Faxes
- Register for Incoming Invoices
- Register for Opened Files
- Register for Closed Files

8.

Messenger Services/Schedule

The messenger service will be as follows:

- 09h00 – 10h00: Distribute outgoing and incoming documents from Perm Building, Kim Diamond Building, Hull Street (Gambling) and Premier's Office (if required).
- 12h00 – 13h00: Final distribution of outgoing and incoming documents from Perm Building, Kim Diamond Building, Hull Street (Gambling) and Premier's Office (if required).
- All messenger services will be managed through the Registry.
- No official will contact the messenger directly, but should forward their request to the Chief Registry Clerk, for control purposes. The messenger report to the Chief Registry Clerk.
- Any deliveries that are requested outside the specified times must obtain approval from the Chief Registry Clerk, including matters of urgency.

SIGNED ON BEHALF OF DEPARTMENT OF ECONOMIC AFFAIRS:

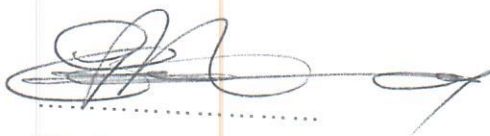


Mr PM Seboko
Head of Department

29.05.2009

Date

SIGNED ON BEHALF OF PROVINCIAL ARCHIVES:



Ms E Manong
Provincial Archivist

2009/06/02

Date