



KZN-DEPARTMENT OF EDUCATION

REGISTRY PROCEDURE MANUAL

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Purpose

Section 13 of the National Archives and Records Service of South Africa Act, 1996 requires the KZN Department of Education to manage its records in a well-structured record keeping system, and to put the necessary policies and procedures in place to ensure that its record keeping and records management practices comply with the requirements of the Act.

Information is a resource of the same importance to good management as other standard resources like people, money and facilities. The information resources of the Department of Education must therefore be managed as a valuable asset. Appropriate records management is a vital aspect of maintaining and enhancing the value of this asset. The Department of Education considers its records to be a valuable asset to:

- enable the Department of Education to find the right information easily and comprehensively;
- enable the Department of Education to perform its functions successfully and efficiently and in an accountable manner;
- support the business, legal and accountability requirements of the Department of Education;
- ensure the conduct of business in an orderly, efficient and accountable manner;
- ensure the consistent delivery of services;
- support and document policy formation and administrative decision-making;
- provide continuity in the event of a disaster;
- protect the interests of the Department of Education and the rights of employees, clients and present and future stakeholders;
- support and document the Department of Education's activities, development and achievements;
- provide evidence of business in the context of cultural activity and contribute to the cultural identity and collective memory.

Records management, through the proper control of the content, storage and volume of records, reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater co-ordination of information and storage systems.

1. SUPERVISORY OFFICIALS

1.1. RECORDS MANAGER

- 1.1.1 The overall control, preservation and care of the Department of Education's correspondence files and records other than correspondence. Files rest with the Departmental Records Manager. The concept "records" includes all documents and papers that are received or created in the process of running an office.
- 1.1.2 The Records Manager also exercises overall control of all the activities performed at Registry Offices. No procedural amendments concerning any records management practices should be implemented without the knowledge and/ or consent of this official.
The various Directorates, sections and Regional Offices which use the records other than correspondence files may store them in the central registry, however the Records Manager is responsible for control over those records and should have access to them at all times.
- 1.1.3. The Records Manager is solely responsible for the following non-delegatable duties:
- a) Control the maintenance and application of the filing system and the Records Control Schedule.
 - b) Disposal of all records.
 - c) Control over the preservation of all records.
 - d) Training of Registry Heads.
 - e) The application of a policy of document economy.

If any of the duties mentioned above need to be delegated during the absence of the Records Manager, it should be assigned to an official with a similar or higher rank, but under no circumstances be delegated to the Chief Registry Clerk.

1.2. CHIEF REGISTRY CLERK (REGISTRY HEAD)

- 1.2.1 The duties of the Chief Registry Clerk rest with the officials residing at Head Office, and the registry function at Service Centres and at District Level resides under the Chief Administration Clerk.
- 1.2.2 The Chief Registry officials are responsible for the administration of, and supervising the administration of all registry procedures as stipulated in par.2.1 to 2.9 below as well as the direct supervision and training of all Registry Personnel. Furthermore these officials are responsible for all the tasks related to records management which are entrusted to them by the Records Manager.

2. REGISTRY PROCEDURES

2.1. Procedures regarding the mailbag

- 2.1.1 There are three mailbags used by the Department of Education at Head Office. These bags are used interchangeable during the day. The outgoing post is dispatched with mailbag "A" to the Post Office at 9am in the morning and at the same time collecting mailbag "B" with incoming mail. Mailbag "C" is collected at 3pm. Please note that the post collection time differs from office to office depending on the volume of mail.
- 2.1.2 The key for the mailbag is stored safely in a lockable place by the Chief Registry Clerk. Duplicate keys are kept by the Care Taker.

2.2. Private Mail

- 2.2.1 Officials and employees must be informed that the office address may only be used for private correspondence, if it is unavoidable. Preferably no private post should be handled by the Registry.
- 2.2.2 Private letters that are received are placed unopened in a box marked for this purpose. It is the duty of the addressee to collect the post by him/herself. If this mail is not collected for the period of 3 months it is then returned to the sender.
- 2.2.3 The Registry accepts no responsibility for private post.

2.3. RECEIPT, SORTING, AND OPENING OF POST

2.3.1. Receipt of Mailbag

- 2.3.1.1. It is a requirement that mail collected from the Post Office has to be carried in a sealed bag. Thus, mailbags are always sealed by the post office prior to their delivery.
- 2.3.1.2 The mail bag must be opened by the Chief Registry Clerk and one or more Registry Clerks must witness the opening of the mail bag.
- 2.3.1.3 Further more the post/mail must be opened by more than one Registry official. Both of these officials must receive written instructions from the Office Head entitling them to receive and open post, and to note details of all remittances in the remittance register, received by post or otherwise. These written instructions should be filed on the personnel files of the relevant officials.
- 2.3.1.4 Under no circumstances may only one person open post. Messengers are not permitted to help with the opening of post.

2.3.1.5 INCOMING POST

Incoming post is opened twice a day, the times may vary from office to office. All official post and letters received while post is not being opened are locked away unopened in a safe until the post is opened again. However, post which is marked urgent, as well as messages and courier letters should be attended to immediately on receipt.

2.3.1.6 SORTING OF POST

2.3.1.6.1 Official letters addressed to the relevant directorate are delivered to them unopened. However, if an official envelope is only marked for the attention of a particular person, it is opened by the Registry officials and dealt with in the usual manner.

2.3.1.6.2 Secret and confidential envelopes are delivered unopened to the Manager of the relevant component who has been assigned for this purpose. After these items have been handed over to the above-mentioned official, the registry accepts no further responsibility for them. All envelopes which indicate that the correspondence concerns staff matters are delivered unopened to Human Resource.

2.3.1.7 PROCEDURE FOR OPENING POST

2.3.1.7.1 Post is opened, sorted and filed in the morning and as and when Necessary; by the nominated officials and only one official is assigned to attend to normal day to day duties.

2.3.1.7.2. Post is opened only on the post sorting table and should be moved as little as possible from one table to another.

2.3.1.7.3 Envelopes are slit open on two sides to ensure that all the contents have been removed and, once emptied; the envelopes are immediately disposed of in the waste bin. Envelopes in which Bid documents are received are dealt with by SCM.

2.3.1.7.4 After the letters have been removed from the envelopes, they must be opened immediately and read to ensure that any annexure and monies referred to have actually been enclosed. If such items are missing, this must be neatly noted in the margin of the letter and initialed. In cases where money is missing or the amount differs from that mentioned in the letter, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter or, in the case of bulky annexures, tied with string. When attaching documents care must be taken with original documents that are valuable to the sender.

2.3.1.8 REGISTERED POSTAL ARTICLES

Registered postal articles should be recorded in the register before forwarding to the Post Office. There is a form called list of registered letters issued by the Post Office together with stickers bearing the tracing no. All registered postal articles are recorded in the above

mentioned list indicating the sender, name and address of the addressee, insured amount and postal amount. There is one sticker for each registered article bearing three tracing no's. The first one is affixed on the registered article, the second one on the customer's copy and the third one to the book copy which will be left in the Post Office. When the Post Office receives the registered article they check whether the registered articles are registered correctly on the list. Thereafter they sign and stamp the list acknowledging the receipt of the articles. They keep their book copy and we retain the customer copy for our records.

2.3.1.9 INCOMING REGISTERED MAIL

When the articles are received they are opened and all relevant information is recorded in the register, the letters are further forwarded to the relevant Directorates' and the letters are signed for.

N.B All registers used in the Registry are checked every afternoon by the Registry Head and once a week by the Records Manager. Incorrect delivery post is returned to the mail-bag.

2.4 RECEIPT AND HANDLING OF REMITTANCE/TRANSFERABLE ITEMS:

- 2.4.1 Letters enclosed with money or transferable items must immediately be separated from the other post once it has been opened and handed to the Registry Clerk assigned for this job who notes it in the remittance register.
- 2.4.2 As already mentioned above, money which is either not enclosed or does not correspond with the amount mentioned in the letter, must be noted in the margin and initialed by both officials opening the post.

THE REMITTANCE

In the remittance the following should be recorded:

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

- 2.4.2.1 The Chief Registry Clerk, must examine the prescribed register at least once a week to ensure that all instructions are being complied with, and that all the valuables recorded therein, have been promptly accounted for. He must sign the register in the last column to indicate that this has been done.
- 2.4.2.2 Before a remittance register is brought into use, Chief Registry Clerk must ensure that all the pages have been numbered consecutively throughout. The official is responsible for checking the register, during the course of his/her check must verify that no pages have been removed from the register.
- 2.4.2.3 In the case of registered and certified mail, the date of receipt and number of the advice slip of the relevant articles must be recorded in a separate register. The advice slip, issued by the post office, should be signed in order for the article to be cleared. Once the articles have been collected, the officials responsible for opening the mail must compare them with the entries in the register. Each article prior to opening must be carefully examined for evidence of tampering. If they contain remittances or transferable items, these must be recorded in the remittance register.
- 2.4.2.4 Officials receiving remittances hand delivered must verify the letters or packet's contents. If it has been entered in a "letter delivery book", the entry in that book must be signed in acknowledgement of receipt, after which the remittance should then be recorded in the register.
- 2.4.2.5 All postal matters collected from the post office must be carried in a sealed bag and, wherever possible, arrangements should be made to ensure that the bag is sealed by a post office official.
- 2.4.2.6 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 Department of Education, whether made payable to him/her in his official capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words "not negotiable" across the face of the item. This instruction does not apply to the case of warrant vouchers specially drawn for encashment.
- 2.4.2.7 All monies or other transferable items received through the post must be handed over immediately to the officials responsible for accounting and an acknowledgement should be made thereof in the relevant column of the remittance register.

2.5 FILING OF POST

2.5.1 Application of date stamp and reference number

2.5.1.1 The date stamp is only applied to the first page of a letter. No annexures and/or certificates are stamped. Under no circumstances must any written or printed part of the letter be stamped as it could make important information illegible.

2.5.1.2 Cheques are stamped on the back.

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

2.5.1.4 The following items receive no file numbers: Invoices, statements, leave forms, certificates etc.

2.5.1.5 When a file number is allocated to a particular letter, it is written in the top right hand corner, with a led pencil and the letter is given to the official responsible for drawing or locating the files.

2.5.1.6 Letters to which reference numbers must be allocated are dealt with as follows:

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

2.5.1.7 If more than one subject is dealt with in a letter, the references should be identified for each subject and copies of the letter should be made for the relevant files.

2.5.1.8 Officials working with correspondence must also ensure that the correspondence they deal with is placed on the correct files. In cases where there is disagreement about the allocation of a file number, or the correctness of a given number, it should immediately be discussed with the Chief Registry Clerk who in turn will consult with the Records Manager for additions if necessary.

2.6 CORRECT FILING

- 2.6.1 Once the reference numbers have been allocated to the incoming post, the relevant files are determined and drawn according to the procedures explained. The correspondence is filed using file fasteners in the files and the control sheets completed. Under no circumstances may loose papers be circulated either in the file cover or pinned to the front of the file, since correspondence can be damaged and soiled in this way.
- 2.6.2 Documents which must be sent back to a person, e.g. certificates, wills, copies of deeds, etc. should be placed in an envelope, clearly marked and placed in a lockable cabinet.
- 2.6.3 If a file on which correspondence must be sent out is not available within a reasonable time, or after the first search for it, the documents should be taken to the relevant department or section. If the matter cannot be dealt with without the file, the registry officials must search for it. If the file cannot be found after repeated attempts, a duplicate file is opened by the Chief Registry Clerk and entered in pencil in the Register of files opened. Meanwhile, attempts must still be made to trace the original file and when found, the contents of the temporary file must be amalgamated to it.
- 2.6.4 Care must be taken to ensure that papers are neatly filed on the file fasteners. Attention must be paid to the correspondence which should be kept neat and tidy in the file covers. No papers should protrude from the files.

2.7 APPLICATION OF A POLICY OF DOCUMENT ECONOMY

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

2.8 **NUMBERING OF ITEMS IN FILES**

- 2.8.1 Each individual item placed on a file is numbered consecutively. The item is seen as an entity and receives only one number.

2.9 **SYSTEM OF COMPLETING CORRESPONDENCE ON FILES**

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

2.10 **CIRCULATION OF AND SEARCH FOR FILES**

- 2.10.1 Once incoming mail is placed on the files, the files are then placed in the pigeon holes indicating various components of the department. They are then delivered by the messengers.
- 2.10.2 Only in exceptional cases should the registry official be given the instruction to search for a file urgently.
- 2.10.3 Once the registry officials have drawn and dealt with the files in registry a search list is compiled. On this list, file numbers of all unfiled documents are given in numerical order. This procedure simplifies and speeds up the search for files.
- 2.10.4 The offices are then systematically searched by Registry personnel, the correspondence is placed on the files and the control sheets are completed. The officials dealing with correspondence should be informed of the new correspondence being added to the file. If the official is not in his/ her office at the time, the file on which the new correspondence has been filed is simply replaced in his/her "in" tray.
- 2.10.5 Files should not be removed from an official's table without his/her Knowledge. If the official is absent a note must be left on his/her desk stating where the file has been taken.

2.11 **OUTGOING POST**

2.11.1 **Instructions contained in the Postal Guide and Financial Manual:-**

- 2.11.1.1 Registry officials follow the instructions included in the Postal Guide and the Financial Manual regarding matters like postal money, weight, measurements, packaging, registered post, etc. which are dealt with thoroughly in the Postal Guide.
- 2.11.1.2 Dispatch Procedure
- 2.11.1.2.1 All files that contain post for dispatch must be placed in his/her tray for "post files" by the correspondence official. From here it is taken by the Messenger and brought directly to the incoming tray in the registry.

- 2.11.1.2.2 Officials must ensure that all post to be dispatched reaches the registry before 15h00 and 16h00. Post received after the given times will only be dispatched the next time that mail is posted. In cases where post must be dispatched urgently, but is not ready at the correct time, the Chief Registry clerk should be informed. Such post will be received and dispatched later.
- 2.11.1.2.3 Letters and papers for dispatch should neither be placed on top of files, nor attached in front with a paperclip, but should be folded neatly in the file cover. This prevents outgoing papers from being soiled, detached from the relevant file or torn while being handled.
- 2.11.1.2.4 The dispatch of all post occurs from 15h00 in the registry and is carried out by the Messenger who acts as a dispatch clerk. Files with post for dispatch are placed in a pigeon hole by the messengers so that it is within reach of the dispatch clerk.
- 2.11.1.2.5 After the dispatch official has stamped the post, he/she checks whether all stamps and signatures have been added, as well as whether all annexures mentioned have been enclosed.
- 2.11.1.2.6 The date of dispatch should not be typed on the letters, as the correspondence may not be posted on the same day, and alterations will then have to be made. The date of dispatch is stamped in the registry.
- 2.11.1.2.7 Post ready for placing in envelopes is dispatched while files are forwarded to Registry where they can be removed and filed by the filing clerk.
- 2.11.1.2.8 Post should be placed for dispatch in separate groups, viz:
- a) Ordinary post to be sent to Post Office.
 - b) Registered post;
 - c) Ordinary post which reaches its destination by means of messenger deliveries.
- 2.11.1.2.9 To prevent the wasting of envelopes, post intended for dispatch to Post Office should be placed in separate trays. In this way several items can be placed together in one envelope.
- 2.11.1.2.10 Correspondence clerks who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) and address stamps (for organizations and offices with whom they correspond frequently) should be used.
- 2.12 **SPECIAL DISPATCHES**
- 2.12.1 The regulations contained in the Postal Guide should be adhered to strictly when dealing with all of the under-mentioned dispatches. Furthermore, the following applies,

- 2.12.2 Only important documents and correspondence which, for specific reasons, the addressee must sign should be sent by registered post.
- 2.12.3 **The official who sends registered post should:**
- a) Ensure that special registered post envelopes are used and properly sealed;
 - b) Stick a registry label on the top left corner of the addressed face;
 - c) A list of the registered post is compiled in a control sheet. The control sheet should accompany the post to the post office where it will be stamped and returned back to the office for filing.
- 2.12.4 All registered post should be handed over at the post office counter and must not be placed in the mailbag.
- 2.12.5 Labels for registered post are locked in a safe by the Chief Registry Clerk and are only issued by her/him when required.
- 2.12.6 Only in very urgent cases will letters be sent by express or preferential post. Such letters are handed in at the counter of the post office and must not be placed in the mailbag. This post must be addressed to a street address and not to a post box or private bag.
- 2.12.7 The posting Directorate makes up the parcels and the registry personnel attach only the necessary stamps, postage stamps, etc. Ordinary parcels are placed together with the other post in the mail bag. For certified parcels the same procedure applies as with certified letters, while insured parcels are handed in at the post office counter. The delivery receipt received for such a parcel is glued on the file copy of the covering letter. This controls the dispatch of the parcel.
- 2.13 **HANDLING OF SECRET/CONFIDENTIAL POSTAL ARTICLES**
- 2.13.1 Registry personnel do not deal with secret/confidential documents in their normal day to day work. If a registry official should be given the task, all the precautions contained in the "Guide for Security Measures for the Protection of Department of Education should be followed and the head of the office should issue the instruction personally, and in writing.
- 2.13.2 Secret files are protected and managed by Component Managers and the registry carries no responsibility for them.
- 2.14 **PENDING OF FILES**
- 2.14.1 It is not the function of the registry officials to decide for how long a document should be pending; they only carry out an instruction.
- 2.14.2 The dispatch of reminders in respect of pending items is the responsibility of the official dealing with the correspondence.

- 2.14.3 The relevant official keeps a diary according to which the pending of papers is managed. When an official wishes to pend an item, he/she carries out the following procedures:
- a) Record the file and item number in the relevant date column of his/her diary/pending register.
 - b) Complete the control sheet in the relevant file in the prescribed manner;
 - c) Ensure that the pending inscription in his/ her diary/pending register is cancelled if a response is received before the due date thus, preventing unnecessary requests for a file; and
- 2.14.4 Similarly the registry personnel must record under the appropriate dates in their diaries/ pending register which files have been pended for that day. These details are obtained by checking the control sheets of all files before they are replaced. Files pended for a particular day are drawn each day by Registry official at 8h00 in the morning. The messengers must ensure that the files are taken from registry to reach the relevant clerks before 9h00 in the morning.
- 2.15 **FILING OF DOCUMENTS AND REPLACING OF FILES**
- 2.15.1 **Before a file is replaced, the registry officer must first ensure that:**
- a) All correspondence has received attention and that the instructions to file or pend have been complied with. This is ascertained from the control sheet in every file;
 - b) The cover of the file is neat and intact, that the correspondence is placed neatly on the file, and the file fastener is in one piece. All of these shortcomings must be corrected before a file is replaced
 - c) Pins and paper-clips are removed, as they can rust and thus damage the documents
 - d) A file must not be thicker than 3cm. When a file reaches this thickness, it should be closed and the next volume opened
- 2.15.2 Filing of incoming post as well as file copies of outgoing letters must be attended to in registry, but correspondence clerks must file their submissions themselves.
- 2.15.3 When all papers intended for filing have been placed on the file, care must be taken to ensure that the paper-washer is placed on top. The washer protects the correspondence and holds it firmly in place.
- 2.15.4 Documents must be filed in chronological order with the most recent date on top. An annexure or enclosure always forms part of the document with which it was received, regardless of the date thereon. The date of receipt, and not the date of dispatch, is used to file incoming papers.

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

2.15.6 Correspondence files of the filing system are placed on the shelves numerically, according to the sequence of the Master-copy. Personal files with reference to staff are filed using reference numbers according to the filing system.

2.16 **MOVEMENT OF FILES**

2.16.1 **The procedure for the movement of files is as follows:**

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

2.16.2 The movement of all files in the Department is monitored by the Chief Registry clerk. Files returned from other sections must immediately be brought to the attention of the Registry Officials so that the card may be removed. Specially prepared cards are available in registry for this purpose. (Movement cards)

2.17 **CLOSURE AT 3CM THICKNESS**

2.17.1 Files must not be allowed to become more than 3cm thick.

2.17.2 When a volume is closed, the date of the most recent correspondence is noted on the file cover. The date when the correspondence began is noted on the cover once the first item is placed on the file after opening. A sheet of paper is placed as the last item in the closed volume containing the words "Closed, see vol.2" which is also on the file cover. The volumes are numbered consecutively. Letters and roman numerals must not be used.

2.17.2.1 **THE CLOSING PROCEDURE IS AS FOLLOWS:**

- a) The correspondence is meticulously checked to ensure that each item is in place, and that no misplaced items appear on the file. The items in the

file are then placed on top of the cardboard strip. A clean sheet of paper is placed on the file with the words "Closed, see vol. 2" thereon;

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

2.17.2.2 **TERMINATION DURING TRANSFER FROM ONE OFFICE TO ANOTHER**

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

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

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

- 2.17.2.6 All other items of records other than correspondence files, except maps, collections plans, etc which, by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity.

2.18 **FILING OF CLOSED AND TERMINATED RECORDS**

- 2.18.1 All closed volumes or items from the approved filing system or Records Control Schedule are preserved in General Registry. This can lead to correspondence being accidentally placed on a closed volume, and not being finalised.

- 2.18.2 Terminated correspondence files can be filed in cardboard boxes specifically designed for protection against light, dust and disintegration.

2.19 **KEEPING OF ESSENTIAL REGISTERS/SCHEDULES**

2.19.1 **Records Manager**

- 2.19.1.1 The following essential registers/schedules are kept by the Records Manager

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

2.19.2 **CHIEF REGISTRY CLERK**

2.19.2.1 **The following essential registers are kept by the Chief Registry Official:**

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

3. PREPARATION AND OPENING OF FILE COVERS

- 3.1 File descriptions and reference numbers be printed neatly and legibly with black ink or pen.
- 3.2 The description of the subject on the files must agree with the description of the subject in the filing system. Paragraph 12 of the General Instructions to the filing system must be strictly adhered to. The main series description must in all cases be indicated on the cover. Where there is uncertainty as to the correct description, or where registry officials are unsure which components can be omitted, the final decision must be made by the Records Manager. At all times, correct spelling must be emphasized.
- 3.3 It should be indicated on the cover which volume of the file it is and, as soon as the first volume is opened, it should be marked Vol. 1. Only Arabic numbers may be used for this purpose.
- 3.4 The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instructions that have not yet been

approved by the KZN Provincial Archives should not be recorded on these files.

- 3.5 Every file cover used must be provided with a backing board (cardboard), a self-piercing type of paper fastener, 5cm long, and a cardboard washer. Control sheets are available in registry and should also be attached inside the front of every cover.

4. USE OF DAILY FILES

- 4.1. Only copies of important letters, excluding confidential letters, are placed on the daily file.
- 4.2. Once the daily file has been prepared for circulation, it is immediately sent to the Records Manager, who then checks that the correct file numbers have been allocated in all cases. Thereafter, it is circulated to all interested officials.
- 4.3. Officials must note that they may only keep daily files for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official, and be requested for further study later.
- 4.4. As soon as the daily file has been circulated amongst all interested personnel, and returned again to the registry, it is filed for twelve months and then disposed of under Authority D1.

5. MAINTENANCE OF THE FILING SYSTEM AND RECORDS CONTROL SCHEDULE.

5.1 FILING SYSTEM

- 5.1.1 The Records Manager is responsible for the maintenance of the filing system. This includes:
- a) Careful control over amendments and additions to the system to prevent its degeneration. The Records Manager should approve all such amendments and additions himself/herself and should add them personally to the Master Copy of the filing system; and
 - b) Ensuring that correspondence is placed correctly prevents the subsequent deterioration of the system. The official exercises this control by means of the daily file, regular inspections and spot checks on the files in registry.
- 5.1.2 With regard to amendments and additions, special attention must be paid to the following:
- a) Documents originating from new activities must not be forced into inappropriate files in the existing system. In such cases, new files, subjects or even main series must be created;
 - b) Faulty additions through which existing files are duplicated, or which overlap with existing subjects, or additions at incorrect places; and
 - c) The assurance that new descriptions satisfy the set requirements

5.1.3 As soon as the Records Manager has approved an addition or amendment, it must be immediately inserted in the Master Copy and thereafter, reported to the KZN Provincial Archivist. This reporting occurs, in the case of minor amendments and additions.

5.1.4 In the event of wide-reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. Actual file covers can be opened in pencil and the task continued.

In the meantime, the amendment is reported to the KZN Provincial Archives and, as soon as approval is received, the provisions in the Master Copy and on the file covers may be finalised.

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

- a) Over loading of files not sufficiently subdivided, a too fine subdivision of files which could be combined, or a need for the division of files, should be brought to the attention of the Records Manager in good time, and be corrected;
- b) The tendency to add correspondence, in circumstances where a subject began on a specific file long after the nature of the correspondence justifies the continuation of the subject on another file;
- c) The correct use of policy files to prevent non-policy items from accumulating on them, yet simultaneously ensuring that copies of items containing policy decisions are actually placed on the relevant policy file (see also par. 5 of the General Instructions to the Filing System about the use of policy files); and
- d) The placing of ephemeral items on A20 files and valuable items on D files after disposal authority has been issued to the system.

6. **RECORDS CONTROL SCHEDULE**

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

7. **SEPARATE CASE FILES**

7.1. The following series of separate case files are kept in HR Registry Personal, Leave, Housing etc.

7.2. The registry officials are responsible for full control and care of these files. Their existence is reflected in the Register of files opened and the Chief Registry Official is responsible for ensuring that the Register of files opened is updated. All procedures and instructions which apply to the files in the filing system, also apply to all case files.

8. **DISPOSAL OF RECORDS**

8.1 Disposal programme and destruction

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

- a) A20 – for valuable records which must be transferred to the nearest Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the record came into existence;
- b) D – for records of an ephemeral nature which can be destroyed after the number of years indicated alongside the “D”.

8.1.2 In order to facilitate the destruction of files, the Chief Registry Clerk keeps a Destruction Register. As soon as a file or part of a file is closed, the number of the file is written under the year in which it must be destroyed. Records must be destroyed by the Records Manager at least once a year.

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

8.1.3 The registry personnel must also ensure that destructible records other than correspondence files are disposed of when instructed by the Records Manager. Nevertheless, it is the responsibility of the Records Manager to ensure that records other than correspondence files which can be destroyed are brought to the attention of the registry officials regularly.

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

8.1.5 When any records are destroyed the Records Manager must ensure that a destruction certificate, in the form specified hereunder, must be submitted to the KZN Provincial Archives:

"I certify herewith that the records appearing on the following list, which consisted of _____linier meters of shelf space, were destroyed today.

Signature: _____
Capacity: _____
Date: _____

NO.	Description	Authority

- 8.1.6 Records must be indicated in alphabetical or numerical order on the above-mentioned list. With regard to case files, it is sufficient to mention the subject under which the files are opened, e.g. 1/1 -1/2000 Cases: Application for permits.
- 8.1.7 The certificate must be signed by the Records Manager after he has ascertained that the records in question have actually been destroyed.
- 8.1.8 The copies of these lists of destroyed records are preserved by Chief Registry Clerk in the Registry and should serve as proof in connection with any enquiries concerning the records at all times.
- 8.1.9 In order to keep the Standing Disposal Authorities up to date as mentioned in par. 4.1.1, the Records Manager should approach the KZN Provincial Archivist regularly to approve disposal instructions regarding the new additions to the filing system and Records Control Schedule. All authorities that have been issued must be examined periodically by the Records Manager and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the KZN Provincial Archives.
- 8.1.10 All correspondence concerning the disposal and destruction of records must be directed to the KZN Provincial Archives.

9. **Transfer to Archives Repository/Records Centre**

- 9.1 Records which are marked for permanent preservation (A20 archives) must, in accordance with the National Archives Act be transferred to the nearest Archives Repository if a period of 20 years has lapsed since the year in which the record came into existence. The Records Manager must personally liaise with the head of the repository/records centre to make transfer arrangements.
- 9.2 On the other hand, A20 records which have not yet reached the age of 20 years may be transferred to the authorized records centre. In this case the Records Manager must personally liaise with the head of the records centre to make the transfer arrangements.
- 9.3 **Archives transferred to the records centre, can be returned on loan. The procedure to follow is given below:**
- a) Officials, the Records Manager, Regional Managers are authorised to request files on loan and only their ID, Persal number and signature will be accepted for loan requests;
- b) Officials who request files on loan must hand their written requests to registry everyday. The requests must be filled in on the request forms of the records centre, which are available in registry. However, the form must not be signed. That will be done by relevant officials mentioned above.

- c) When requesting a loan, the transfer list must be referred to and the particulars of the item on the list must be clearly indicated, e.g. volume number, etc.
 - d) The messenger then takes the requests to the records centre, from where the files can be collected.
 - e) Officials should note that files must be returned to the records centre within 60 days. Files earmarked for return to the records centre, must be left in registry. The messenger returns these files to the records centre when he/she makes requests. The files which are returned must be recorded. The person who receives them at the record centre must sign a receipt for every file in the register.
 - f) In emergencies files can be requested telephonically from the records centre, but the request must then be confirmed in writing when the files are collected. Such requests, however, must be kept to the minimum and should only be made in really urgent cases.
- 9.4 Records used regularly for administrative research and reference purposes should not be transferred to the records centre, as it can result in delays with consultation.
- 9.5 When transferring to the archives repository/records centre the following procedure is followed:
- a) The Records Manager informs the head of the repository/records centre beforehand of the nature of the records he/she intends to transfer by submitting a list of the records. The linear meters shelf space of the records must be provided;
 - b) The head of the relevant depot will then indicate if he/she can receive them;
 - c) The records to be transferred are accompanied by a list in duplicate which contains the following information:

"I certify herewith that the under-mentioned records were transferred today to the archives repository/records centre:

Name of Dept/office: Department of Works

Street Address: _____

Extent in linear meters: _____

Name of official transferring the records:

Capacity: _____

Telephone number: _____

Date: _____

Item, box Or parcel Number	File, register or form number	Description	Period covered

- d) Records are listed alphabetically or numerically;
- e) Unbound records are either packed neatly and securely with the parcels clearly marked in order, or boxed and numbered
- f) Except where the KZN Provincial Archives instructs otherwise, registers and indexes relating to the records are transferred too;
- g) Registers are stamped on the inside of the flyleaf with the office stamp, while the nature of the register is indicated on the cover; and
- h) The head of the relevant repository/records centre will compare the records with the list and acknowledge receipt on the duplicate copy which will be returned to this Department.

10. TRANSFERS FROM ONE OFFICE TO ANOTHER

- 10.1 If records are transferred permanently to another office the Records Manager must inform the KZN Provincial Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted.
- 10.2 No records may be given, donated or transferred to a person, library, museum or any institution other than a governmental body without the approval of the KZN Provincial Archives.

11. CONTROL AND PROTECTION OF RECORDS

11.1 Access

- 11.1.1 Access to records in the office not normally open to members of the public is controlled by the Records Manager in agreement with Provincial Archives.
- 11.1.2 All requests from researchers and persons who wish to consult records must be submitted in writing. The Information Officer must personally make a thorough investigation as to the bona fides of the applicant to ensure that his/her perusal will not be detrimental to the office.

- 11.2 Persons consulting records must do it in the Office under the supervision of the Officer. In this manner the supervisor must note that:
- a) the greatest care must be exercised in the handling of the records, especially when turning pages;
 - b) Pages are not folded;
 - c) the researcher must place a piece of paper under his/her hand if he/she wishes to follow the section he/she is copying with his/her finger, so that his/her bare hand does not rest on the page;
 - d) the researcher must only use a pencil or ball point pen to copy items;
 - e) the researcher must not disturb the order of the papers;
 - f) the researcher must not make any mark on the item or remove it;
 - g) if the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of Records Manager and the Information Officer, who must also ensure that the relevant items are not damaged in the process; and
 - h) no researcher may remove items from the office for any reason at all.
- 11.3 The Records Manager/ Information Officer must first inspect and approve any researcher's work before it is published or in any way duplicated. Such a researcher must also be requested beforehand to donate two annotated copies to the head of the office. One copy of this must be sent to the KZN Provincial Archivist.
- 11.4 Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties.
- 11.5 The Records Manager must ensure that no unauthorized person may, or is able to gain access to the registry, or records store rooms during or after office hours. The following rules apply:
- a) The registry and Records Room are closed during lunch and after office hours;
 - b) During office hours the registry should not be left unattended. If this does happen, the door must be locked;
 - c) Chief Registry Clerk exercises control over all the keys; and
 - d) The Registry and Records Room may only be cleaned by cleaners while one or more registry personnel are present.
12. **FIRE AND FIRE PREVENTION MEASURES**
- 12.1 The lighting of matches, smoking and the storage of inflammable material or cleaning solutions in Registry is strictly forbidden.

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

12.3 Fire extinguishers must be inspected every 72 months and Registry Clerks must ensure that it is actually done. On their appointment, all registry personnel must be trained to handle fire extinguishers.

13. **WATER**

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

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

14. **PESTS AND PLAGUES**

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

14.2 Areas where records are stored must be fumigated quarterly against fish moths and other pests. It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records. Sprays with a high acid content or which release acid, should be avoided. The safety of personnel must also be taken into account.

15. **LIGHT**

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

15.2 No direct sunlight must be allowed to shine on any records and for this reason the blinds in Registry and Records Room must be kept rolled down when direct sunlight is evident.

16. DAMAGE THROUGH HANDLING

- 16.1 All officials must be aware that it is considered to be a violation of the National Archives Act no. 43 of 1996 to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible. Careful handling also saves time and money because damaged file covers do not have to be changed as regularly.
- 16.2 No food or drink may be consumed at a table or desk where records are placed. Glasses of water, bottles of cool drink, etc. must not be placed on cabinets or on shelves where files and records are stored.

17. TRAINING OF REGISTRY PERSONNEL

- 17.1 All officials must attend the Records Management Course conducted by the KZN Provincial Archives to receive the correct training for their various tasks.
- 17.2 In-service training under the Chief Registry Official occurs during the normal execution of duties and is conducted along the lines of the Registry Manual. Officials undergoing training are to write tests every six months to test their knowledge.



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