



Registry Manual for the John Taolo Gaetsewe District Municipality

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Speaker: _____

Municipal Manager: _____

JOHN TAOLO GAETSEWE DISTRICT MUNICIPALITY



THE REGISTRY MANUAL

Reviewed 2014/2015



1 SUPERVISORY OFFICIALS

1.1 Records Manager

1.1.1 The overall management, preservation and care of the body's/office's correspondence files and records other than correspondence files rest with Record Manager or designated official. The concept "records" includes all information regardless of form or medium that is received or created in the process of running an office.

1.1.2 The official also exercises overall control of all the activities of the registry and personnel. No procedural amendments concerning any records management practices should be implemented without the knowledge and/ or consent of this official. The various departments and sections which use records other than correspondence files may store them in their respective offices, however the Records Manager is responsible for control over them 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 of the maintenance and application of the filing system and the records control schedule (see Ch.3);
- b) Disposal of all records (see Ch.4);
- c) Control over and safe preservation of all records (see Ch.5);
- d) Training of Registry Head (see Ch.6); and
- e) The application of a policy of document economy (see par. 2.2.3).

1.1.4 If any of the duties mentioned in par. 1.1.3 need to be delegated during the absence of the official, it should be assigned to a person with a similar or higher rank, but under no circumstances to the Registry Head.

1.2 Chief Registry Head

1.2.1 The duties of the Chief Registry Official rest with the Record Manager.

The Chief Registry Official is 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, he/she and his/her staff are responsible for all tasks entrusted to them by the Records Manager under par. 3.1 to 5.8 hereafter. No

other task may be entrusted to the Chief Registry Official or registry personnel without the permission/knowledge of the Records Manager.

2 REGISTRY PROCEDURES

2.1 Receipt of post, parcels and remittances/transferable items

2.1.1 Procedures regarding the mailbag

2.1.1.1 The mailbag is collected in the morning at 08:00 by the Messenger or Registry Official from the post office. Once the post is sorted and appropriately dispatched. Outgoing post is closed and stamped at **11h00**. The mailbag is with the outgoing post is returned to the post office at **11h15**, where it remains until the following morning.

2.1.1.2 The key for the mailbag is stored safely in the registry.

2.1.2 Private post

2.1.2.1 Officials and employees were informed that the office address may not be used by them. If they use the address of the council, the post will be opened.

2.1.2.2 It is not the responsibility of the registry to deliver private letters, it is the duty of the addressee to collect the post him/herself.

2.1.2.3 The registry accepts no responsibility for private post.

2.1.3 Receipt, sorting and opening of post

2.1.3.1 Receipt of mailbag

2.1.3.1.1 Under the regulations of Financial Manual Chapter Q, par Q4.1.1 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.

2.1.3.1.2 When the mailbag is received in registry, it must be opened and emptied by the Chief Registry Official in the presence of the Registry Clerk.

2.1.3.1.3 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 or negotiable in the remittance register, received by post or otherwise. These written instructions should be filed on the personal files of the relevant officials.

2.1.3.1.4 In cases where one or both of the officials mentioned in par. 2.1.3.1.2 are not present to, or for any reason cannot open the post, permission for this task must be delegated, in writing, by the office head to other registry officials.

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

2.1.3.1.6 Incoming post is opened once a day, at 09:30. All official post and letters received while post is not being opened are locked away unopened in registry until the post is opened the next day. However, post which is marked urgent, as well as telegrams, facsimile messages and express letters should be attended to immediately on receipt.

2.1.3.2 Sorting of post

2.1.3.2.1 Official letter addressed to persons by name are delivered to them unopened. However if an official envelope is only marked for a particular person that uses the address of council it will be opened, to prevent fraud.

2.1.3.2.2 All post is opened by the Chief Registry Official and Registry Clerk, including the post of personnel who use the address of the Municipality, secret and confidential envelopes. After the necessary steps for the handling of the post, the secret and confidential post is sent in a sealed envelope to the specific persons for their attention. (Also see par. 2.4.4.1 and 2.4.4.2.)

2.1.3.3 Procedure for opening post

2.1.3.3.1 The registry is closed from 09:30 to 10:00. During these periods, post is opened, sorted and filed and all other activities are suspended. Telephone enquiries and requests for files during these periods must be limited to urgent cases only and should be the exception.

2.1.3.3.2 Post is opened only on the table of the Chief Registry Official and should be moved as little as possible from one table to another.

2.1.3.3.3 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 tender documents are received are dealt with as follows:

Two employees from the Supply Chain Management Unit of the Budget and Treasury Office in the presence of the tenderers open it, but one employee of BTO and one employee from Corporate Services Department or Registry. All tenders/bids received are entered into the Tender/Bid Register. All tenders/bids are signed by both employees and stamped with the official stamp of the Municipality. Immediately after the tenders were opened and entered into the register, both the tender documents and the register are returned to the registry and normal records management procedures continue.

Envelopes of unclaimed/undeliverable letters are attached to the letter and filed on the specific file.

After the letters have been removed from the envelopes, they must be opened immediately and read to ensure that any annexures and monies referred to have actually been enclosed. If such items are missing, this must be neatly noted in the margin of the letter and initialed. In cases where money is missing, or the amount differs from that mentioned in the letter, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter or, in the case of bulky annexures, tied with string. When attaching documents care must be taken with original documents that are valuable to the sender, e.g. educational certificates, that they are not damaged by pins or anything else. (See also par. 2.2.2.2 in this respect.)

2.1.3.3.5 Registered and certified postal articles are treated in the same manner as ordinary post. Registered postal articles should be recorded in the register kept for this purpose in the registry.

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

2.1.3.3.7 Incorrectly delivered post is returned to the mail-bag.

2.1.3.3.8 Incoming telegrams, facsimile and express letters should immediately be opened by the Chief Registry Official and Registry Clerk. It must then be decided whether the article should be delivered with or without the relevant file. If the file is not immediately available, the article must be shown to the official concerned and his/her further instructions be obtained thereon. The files to which such items are attached must be delivered immediately by hand to the official for whom it is meant.

2.1.4 Receipt and handling of remittances/transferable items

2.1.4.1 Letters enclosed with money or transferable items must be immediately separated from the other post once it has been opened. This is noted in the remittance register and the original letter is kept in registry and a copy of the letter is then stapled to the cheque and handed to the Cashier, who acknowledges it by making a receipt for money received, where after the copy is stapled to the receipt.

2.1.4.2 As already mentioned in par. 2.1.3.3.4, money which is either not enclosed or does not correspond with the amount mentioned in the letter, must be noted in the margin and initialed by both officials opening the post.

2.1.4.3 The following must be recorded in the remittance register:

- a) the date of receipt;
- b) from whom received;
- c) slip number;

- d) the nature of emittance;
- e) date of cheque, money orders, e.g. ;
- f) the amount of remittance (where applicable);
- g) the signatures of the officials present at the opening of the mail;
- h) the receipt number; and the date of the cheque;
- i) the signatures of officials to whom handed over;
- j) the signature of the Senior Accountant : Income.

The Senior Accountant : Income 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/she must sign the register in the last column to indicate that this has been done.

Before a remittance register is brought in to use, the **CFO**: Budget and Treasury Office, must ensure that all the pages have been numbered consecutively throughout; and the Senior Accountant : Income responsible for checking the register, during the course of his check must verify that no pages have been removed from the register.

Registered mail is recorded in the registered mail register. The advice slip, issued by the post office, should be stamped and 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 and must be recorded in the registered mail register.

All hand deliveries are taken to the Registry where officials receiving remittances hand delivered verify the letter or packet 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 be recorded in the remittance register.

All postal items 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.

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 Municipality, 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.

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.

2.2 Filing of post

2.2.1 Application of date stamp and reference number

2.2.1.1 The date stamp is only applied to the first page of an incoming letter/document. No annexures and or accompanying records are stamped.

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

2.2.1.3 Cheques are stamped on the back.

2.2.1.4 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.

2.2.1.5 The following items receive no file numbers:

Newsletters, Brochures of other institutions.

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

- a) The Chief Registry Official the letters thoroughly and carefully to determine precisely what they deal with. Under no circumstances should the subject be determined simply from the letter heading. The latter can be misleading.
- b) Only the file plan 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.
- d) If there is still disagreement over the correct reference the Records Manager should be consulted.

2.2.1.7 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.

2.2.1.8 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 Registry Head.

2.2.1.9 Reference numbers i.r.o. personal papers of staff are allocated as follows:

SP, The surname. Then the initials of the employee and also the personnel numbers. Letters concerning an employee is send to Typist/Clerk Gr. I, who files it according to their personnel number. When the file is described on the outside of the cover only the personnel numbers is written on the outside of the cover in the spaces provided, the surname and initials is written in the inside of the file cover.

2.2.2 Correct and neat filing

2.2.2.1 Once the reference numbers have been allocated to the incoming post, the relevant files are determined and drawn according to the procedures explained hereunder. The papers in question are filed on the paper binder in the files and the control sheets completed. Under no circumstances may loose papers be circulated either in the file cover or pinned to the front of the file, since correspondence can be damaged and soiled in this way.

2.2.2.2 Documents which must be sent back to a person, e.g. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned to the right hand side (flyleaf) of the file cover.

2.2.2.3 If a file on which correspondence must be sent out is not available within a reasonable time, or after the first search for it, the documents should be taken to the relevant department or section. If the matter cannot be dealt with without the file, the registry officials must search for the file. If the file cannot be found after repeated attempts, a duplicate file is opened by the Registry Head and entered in pencil in the Register of Opened Files. Meanwhile, attempts must still be made to trace the original file and when found, the contents of the temporary file must be amalgamated with it.

2.2.2.4 The following papers are always sent through for attention without files:

Newsletter, Gazettes, Brochures of other institutions.

Secret and confidential correspondence is sent on secret or confidential files to the specific official by the Chief Registry Official. Secret/confidential records may only be provided to officials who have the relevant security clearance.

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

2.2.3 Application of a policy of document economy

2.2.3.1 Both the Records Manager and the Chief Registry Official must ensure that the following policy of document economy is carried out:

- a) Copies of reminders are not placed on files. Only the particular letter to which the reminder applies is endorsed;
- b) Excessive cross-filing and duplication of papers on files must be regularly guarded against. Where duplicates of an item are made for any reason, those unused should be filed separately in a folder and not on the file. Disposal authority must be asked from the Provincial Archivist for these records to be destroyed;
- 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. The previous copy is removed and disposal authority must be asked from the Provincial Archivist for such a record to be destroyed. Duplicates can be disposed of by using the General Disposal Authority and a Destruction Certificate be submitted to the Provincial Archives

2.2.4 Numbering of items in files

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

2.2.5 System of completing correspondence on files

2.2.5.1 It must regularly be 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 of every item before the particular file is replaced in the relevant cabinet. If this is not given, the file must be returned to the official concerned.

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

- a) Control sheets are pasted in the front of every file cover;
- b) The registry personnel place the documents received on the file, allocate the following item number on the file and enter the number in the first column on the control sheet;

- c) The number of pages is written in the second column;
- d) The date on which the item is placed on the file is written in the third column;
- e) The item is then marked out to the official who will receive in the fourth column;
- f) If the item refers to previous correspondence, the relevant item number of that correspondence is placed in the fifth column;
- f) If an official drafts a submission to his/her seniors, it is written on a new page with the following item number, and the details are entered on the control sheet;
- g) When the original document is dealt with, in what-ever manner, it is marked "file" with the author's signature, and date in the relevant column of the control sheet;
- h) Submissions which must circulate to various officials should be marked with only the following person's rank, or initials, in the fourth column. Officials who have already consulted the file should delete their initials, or rank, in order to avoid confusion; and
- i) If the incoming correspondence resulted in a letter being dispatched, the copy for filing must be marked "file", the outgoing copy must be signed, and instructions should be given to Registry in the relevant column of the control sheet, whether the letter should be pended or filed.

2.3 Circulation of and search for files

- 2.3.1 Once incoming mail is placed on files, the files are placed in the internal out tray for the Messengers and then from here they are taken by the Messengers and circulated amongst the various officials and sections.
- 2.3.2 Only in exceptional cases should the registry personnel be given instructions to search for a file urgently.
- 2.3.3 Once the registry personnel have drawn and dealt with the files in registry, as mentioned, a search list is compiled. On this list, file numbers of all unfiled papers are given in numerical order. This procedure simplifies and speeds up the search for files.
- 2.3.4 The offices are then systematically searched by the Chief Registry Official for the files. 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.

2.3.5 Files should not be removed from an official's table without his knowledge. If he is absent, a note should be left stating where the file has been taken.

2.4 Outgoing post

2.4.1 Instructions contained in the Postal Guide and Financial regulations

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

2.4.2 Rules for dispatch

2.4.2.1 All files that contain post for dispatch must be placed in his/her tray for "post files" by the concerned official. From here they are taken by the messenger and brought directly to the registry.

2.4.2.2 Officials must ensure that all post to be dispatched, reaches the registry before 11:00. Post received after the given time will only be dispatched the next day when mail is posted. In cases where post must be dispatched urgently, but is not ready at the correct time, the Chief Registry Official should be informed. Such post will be received and dispatched later. The messengers may not enter the Registry.

2.4.2.3 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, falling from the relevant file or torn while being handled.

2.4.2.4 The dispatch of all post occurs from the registry and is carried out by one of the registry personnel who acts as dispatch clerk. Files with post for dispatch are placed in the registry by the messengers so that it is within reach of one of the registry personnel.

2.4.2.5 After one of the registry personnel 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.

2.4.2.6 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.

- 2.4.2.7 Post ready for placing in envelopes is placed in the registry in the outgoing mail tray, while files are placed where they can be removed and filed by the Registry clerk
- 2.4.2.8 Post should be placed for dispatch in four separate groups, viz.:
- a) Ordinary post which is sent by the post office;
 - b) Registered post;
 - c) Certified post; and
 - d) Ordinary post which reaches its destination by means of messenger deliveries.
- 2.4.2.9 To prevent the wasting of envelopes, all post items intended for dispatch to the same individual or institution should be placed in a separate tray for dispatch. In this way several items can be placed together in one envelope.
- 2.4.2.10 Officials who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) should be used or typed on envelopes.
- 2.4.3 Special dispatches
- 2.4.3.1 The regulations contained in the Postal Guide should be adhered to strictly when dealing with all of the under-mentioned dispatches. Furthermore, the following apply:
- 2.4.3.2 Only important documents and correspondence which, for specific reasons, the addressee must sign, should be sent by registered post.
- 2.4.3.3 The official who wishes to send registered post should indicate to Registry that this is the case, so that the Registry personnel can ensure the following:
- a) that special registered post envelopes are used or otherwise an ordinary envelope may be used but must be crossed on both sides of the envelope and properly sealed;
 - b) stick a registered mail label in the top left corner of the addressed face;
 - c) a book from the post office, the registered mail register should accompany the post to the post office. The duplicate copy is removed by the Post Office and the original stays in the book as proof the letter was registered.
- 2.4.3.4 All registered post should be handed over at the post office counter and must not be placed in the mailbag.

2.4.3.5 Labels for registered post are locked in the registry in cabinets and are only issued by the Chief Registry Official and in his/her absence one of the other registry personnel.

2.4.3.6 Only in very urgent cases is a letter sent by express or preferential post. Such letters are handed in at the counter of the Post Office and must not be placed in the mailbag. This post must be addressed to a street address and not to a post box or Private Bag. A priority mail register, along the lines of the register mail registry, is to be opened for this purpose.

2.4.3.7 The certified post label is glued in the left upper corner of the address face of the envelope, while the duplicate is glued to the file copy of the letter. Certified post is placed in the mailbag with ordinary post and not recorded in a register.

2.4.3.8 Post with value also requiring the addressee's signature of receipt but are not so important that the Post Office has to give a receipt, are sent by certified post.

2.4.4 Handling of secret/confidential postal articles

2.4.4.1 Registry personnel do not open and deal with secret/confidential mail/documents in their normal day to day work unless they have been vetted authorised same procedures as ordinary mail/documents.

2.4.4.2 If there are secret files it will be protected and managed by Records Manager and the registry carries no responsibility for them.

2.4.5 Pending of papers

2.4.5.1 It is not the function of the registry staff to decide if and for how long a document should be pended;

2.4.5.2 The dispatch of reminders i.r.o. pended items is the responsibility of the relevant correspondence official.

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

- a) Record the file and item number in the relevant date column of his/her diary;
- b) Complete the control sheet in the relevant file in the prescribed manner;
- c) Ensure that the pending inscription in his/her diary is cancelled if an answer arrives before the due date, thus preventing unnecessary requests for a file; and

- d) Request registry to send the relevant file to him/ her on the pended day if it has not reached him/her by 10:30.

Step 2.4.5.3-4 only applies where a paper based file is needed. Pending should as far as possible be done on the Munadmin System.

2.4.5.4 Similarly the registry personnel must record under the appropriate dates in their diaries which files have been pended for that day. These details are obtained by checking the control sheets of all files before they are replaced in cabinets. Files pended for a particular day are drawn each day by the Registry Clerk at 08:00. The messengers must ensure that the files are taken from registry to reach the correspondence officials before 9h00.

2.4.6 Filing of papers and replacing of files

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

- a) All correspondence has received attention and that the instructions to file or pend have been complied with. This is ascertained from the control sheet in every file;
- b) The cover of the file is neat and in tact, that the correspondence is placed neatly on the file, and the paper binder 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; and
- d) A file is not thicker than 3cm. When a file reaches this thickness, it should be closed and the next volume opened. (See par. 2.6.)

2.4.6.2 Before filing a fax received on a fax-roll, a copy must be made to be placed on file.

2.4.6.3 Filing of incoming post as well as file copies of outgoing letters must be attended to in registry.

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

2.4.6.5 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.

2.4.6.6 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.

- 2.4.6.7 The files opened in terms of the file plan are placed in cabinets numerically, according to the sequence of the Master copy. Closed files are placed on shelves, also numerically and according to the closed file's volume number.

Personal files with reference to staff, filed according to series SP,ST,SV, and their salary number. The surname and initials of the employees are written in the inside of the file cover. These are separate case files that are filed in the Human Resource division. The Records Manager is responsible for these files and also to conduct regular inspection of these records.

2.5 Movement of files

- 2.5.1 Movement of files within John Taolo Gaetsewe District Municipality is controlled. Officials who need files from registry must use the following procedure:

- a) No file may be personally removed from or replaced in the cabinets or on the shelves. Files are requested and returned at the counter in the registry and are supplied, and replaced again only by the registry personnel;
- b) Files should be requested by providing the file number only, and not the description of the subject content or the file description;
- c) Files should not be held up unnecessarily in offices, but should be returned to the registry as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the registry until it is needed again; (Also see 2.4.5.3 for the pending of files)
- d) Files may not be removed from the building or sent through to the Basic Services and Infrastructure Department and Disaster Management or any other section or building without the consent of the Chief Registry Clerk.

- 2.5.2 Files leaving the building, or being sent through to the Basic Services and Infrastructure Department or Disaster Management or any other section or building are monitored. For this purpose, a card with the following information is placed in the usual space of the file:

- a) File number
- b) To whom the file is sent to
- c) Date of dispatch

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

2.6 Closure and termination of files and records other than correspondence files

2.6.1 Closure at 3cm thickness

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

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

2.6.1.3 The closing procedure is as follows:

- a) The correspondence is then meticulously checked to ensure that each item is in place, and that no misplaced items appear on the file. A clean sheet of paper is placed on the file with the words "Closed, see vol. 2" thereon;
- b) The file is then fastened with rope;
- c) The number is then typed in the destruction register or in the A20 register for transfer to the Provincial Archives under the year when the file must be destroyed or transferred; and
- d) If the file cover is damaged or not presentable, it must be replaced with a new one.

2.6.2 Termination during transfer from one office to another

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

2.6.2.2 If case files are received during the transfer of functions, they may with written consent of the Provincial Archivist 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.

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

2.6.2.4 All other items of records other than correspondence files, except map collections which, by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity. (See also par. 4.3 to 4.3.2.)

2.6.3 Filing of closed and terminated records

2.6.3.1 All closed volumes or items from the approved file plan or records control schedule are preserved in a strong room in registry and ground floor. Under no circumstances should closed volumes of correspondence files be filed with current files in the cabinets. This can lead to correspondence being accidentally placed on a closed volume, and not being finalized.

2.7 Keeping of Essential Registers/Schedules

2.7.1 Records Manager

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

- a) the Master Copy of the file plan - this is the copy of the file plan in which all approved subjects are correctly and neatly reflected; and
- b) a records control schedule - on which every type of item, which is not part of the file plan, is indicated.

2.7.2 Chief Registry Official

2.7.2.1 The following essential registers are kept by the Registry Head:

- a) Remittances received by post or hand deliveries which were received during the day in a sealed envelop. This register must record all remittances received by post or hand deliveries - whether by ordinary, registered or fast mail;
- b) Documents and correspondence received by registered post is recorded in the registered mail register. In this register, the number of the registered item, 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.
- c) Items sent by registered post;

- d) Register of Files Opened - this is a register which accurately reflects what files are already opened according to the Master Copy of the file plan;
- e) Destruction Register - this is a register which records details of all records which must be destroyed;
- f) Disposal Authorities Register - this is a register in which details of all disposal authorities received Archives, are recorded;
- g) Register for transfer of A20 files to the Provincial Archives repository.

2.8 Preparation and opening of file covers

2.8.1 File descriptions and numbers on files must be printed neatly and legibly with black ballpoint pen.

2.8.2 The description of the subject on the files must agree with the description of the subject in the file plan. Par. 12 of the General Instructions to the file plan must be strictly adhered to. The main series description must in all cases be indicated on the cover. At all times, correct spelling must be emphasized.

2.8.3 Volume numbers should not appear on the covers when files are opened, the volume number should only appear after the file is closed, it should then be marked Vol. 1. Only Arabic numbers may be used for this purpose.

2.8.4 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 Provincial Archivist should not be recorded on these files.

2.8.5 Every file cover used must be provided with a hardboard file backing, a paper binder, 5cm long, and a paper fastener. Control sheets are available in registry and should also be attached inside the front of every cover.

2.9 Use of daily files

2.9.1 Only copies of important letters sent, excluding confidential letters are filed on the daily file. Copies of letters to or about personnel do not appear on the daily file. The Records Manager is all; cases has the final decision on what appears on the daily files.

2.9.2 The daily file is prepared by the Registry Personnel. The Records Manager then check if the correct file numbers have been allocated in all cases. Officials asked for the file when necessary.

2.9.3 As soon as the daily file has been circulated amongst all interested personnel, and returned to the registry, it is filed for six month is and disposed of under authority No.AT2 by the Records Manager.

3. MAINTENANCE OF THE FILE PLAN AND RECORDS CONTROL SCHEDULE
- 3.1 File plan
- 3.1.1 The Records Manager is responsible for the maintenance of the file plan. This includes:
- a) Careful control over amendments and additions to the file plan to prevent its degeneration. The Records Manager should approve all such amendments and additions himself and should add them personally to the Master Copy of the file plan. The amendments and additions should then be approved by the Provincial Archivist; and
 - b) Ensuring that correspondence is placed correctly on files to prevent the subsequent deterioration of the file plan. The official exercises this control by means of the daily file, regular inspections and spot checks on the files in registry.
- 3.1.2 With regard to amendments and additions, special attention must be paid to the following:
- a) Documents originating from new activities must not be forced into inappropriate files in the existing file plan. 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 should be excluded; and
 - c) The assurance that new descriptions satisfy the set requirements.
- 3.1.3 When an addition or amendment is required, it must be immediately submitted to the Provincial Archivist and prior to approval it must be inserted in the Master Copy. This reporting occurs, in the case of minor amendments and additions, at least once a year by means of sending it electronically to the Provincial Archivist. The Chief Registry Official will every 1 month after the approval of the amendments and additions by means of a network system send a copy to the computer of each official who deals with correspondence.
- 3.1.4 In the event of wide-reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. Actual file covers can be opened in pencil and the task continued. In the meantime, the amendment is reported to the Provincial Archivist and, as soon as approval is received, the provisions in the Master Copy and on the file covers may be finalized.
- 3.1.5 With regard to the correct placing of correspondence, special attention must be paid to the following:

- a) Over loading of files not sufficiently subdivided, a too fine subdivision of files which could be combined, or a need for the re-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 File Plan 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 on the system.

3.2 Records control schedule

- 3.2.1 The Records Manager is responsible for ensuring that all new types of records other than correspondence files used in the office are immediately added to the list and reported to the Provincial Archivist along with the proposed disposal instructions (see par. 4.2.1 for address).

3.3 Separate Case Files

- 3.3.1 The following series of separate case files are kept in:

- 3.3.2 The personnel files at the Human Resource division with the Typist/Clerk: Gr. 1 and the levy files in the Budget and Treasury Office with the Senior Accountant Income. The Records Manager is responsible for these files and also to conduct regular inspection of these records. All procedures and instructions which apply to the files in the file plan, also apply to all case files.

- 3.3.2 The registry personnel are responsible for full control and care of these files. Their existence is reflected in the list of series of separate case files and the Chief Registry Official is responsible for ensuring that the list is updated. All procedures and instructions which apply to the files in the plan, also apply to all case files.

4 DISPOSAL OF RECORDS

4.1 Disposal programme and destruction

- 4.1.1 Standing Disposal Authority **PSK77KW** applies to the current file plan and Standing Disposal Authority _____ applies to the schedule of records other than correspondence systems. The following symbols are used in these

authorities to show the disposal for files and records other than correspondence files:

- a) A20 - for valuable records which must be transferred to the Northern Cape Provincial Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the most recent 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". This date is calculated from the date of the youngest item on the file.

4.1.2 In order to facilitate the destruction of files, the Registry Head keeps a Destruction Register. As soon as a file is closed, the number of the file is written under the year in which it must be destroyed. At the end of June of every year, by consulting the Destruction Register, the Registry Head and Registry clerk must remove all the files which can be destroyed, and make arrangements for their destruction/removal. Files for destruction are removed by:

The Chief Registry Official
John Taolo Gaetsewe District Municipality
Kuruman
(tel. 053-712 8700)

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

4.1.3 The registry personnel must also ensure that records other than correspondence files qualifying for destruction are destroyed 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 personnel regularly.

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

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

I hereby certify that the records listed below which occupiedlinear meters of shelving/storage space were destroyed today in terms of disposal authority/authorities number(s)

Name of Office:

Name of Records Manager:

Telephone:

Fax:

Cell:

E-mail:

Signature:

Date:

NUMBER	DESCRIPTION	PERIOD

Where a series of case files is destroyed, e.g. personal staff files, files for institutions, or item files, the listing of individual files is not required, unless the body wishes to compile such a list for its own purposes:

In such a case, only the first and last file numbers and the period are indicated in the first and third columns, and a comprehensive description of the whole group is recorded in the second column.

- 4.1.6 Records must be recorded 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.
- 4.1.7 The certificate must be signed by the Records Manager after he/she has ascertained that the records in question have actually been destroyed.
- 4.1.8 The copies of these lists of destroyed records are preserved in the registry and should serve as proof in connection with any enquiries concerning the records at all times.
- 4.1.9 In order to keep the Standing Disposal Authorities mentioned in par. 4.1.1 up to date, the Records Manager should approach the Provincial Archivist regularly to approve disposal instructions regarding the new additions to the file plan and records control schedule. All authorities that have been issued must be examined periodically by the Records Manager and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the Provincial Archivist.

4.1.10 All correspondence concerning the disposal and destruction of records must be directed to the Provincial Archivist (see par. 4.2.1 for address).

4.2 Transfer to archives repository/records centre

4.2.1 Records which are marked for permanent preservation (A20 archives) must, in accordance with the National Archives and Records Service of South Africa Act (No. 43 of 1996 as amended), be transferred to the Northern Cape Provincial Archives Repository if a period of 20 years has elapsed since the year in which the most recent record came into existence.

The Records Manager must personally liaise with the head of the repository/records centre to make transfer arrangements. The addresses and telephone numbers are as follows:

Postal	Street	Tel. no.
Private Bag X5004 KIMBERLEY 8300	6 Floor Dutoitspan Building Dutoitspan Road KIMBERLEY 8301	053-807 4700

4.2.2 Archives transferred to Archives, can be returned on loan. The procedure to follow is given below:

- a) Only the Records Manager is authorized to request files on loan and only his/her signature will be accepted for loan requests;
- b) 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.;
- c) In emergencies files can be requested telephonically from the Archives, 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.
- d) Officials should note that files must be returned to the record centre within 60 days.

4.2.3 Records used regularly for administrative research and reference purposes should not be transferred to the Archives, as it can result in delays with consultation.

4.2.4 When transferring to the archives repository centre the following procedure is followed:

- a) The Records Manager informs the head of the repository beforehand of the nature of the records he/she intends to transfer by submitting a list of

the records as shown in (c) below. The linear meters shelf space of the records must be provided;

- b) The head of the relevant repository 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 undermentioned records were transferred today to the archives repository in Northern Cape Provincial Archive.

Name of the body/office:

Street address:

Extent of records in linear meters:

Disposal authority number:

Official dealing with transfer:

Telephone:

Fax:

Cell:

E-mail:

Item, Box or Package No.	File, Register or Form No.	Description	Period in years	Proposed Disposal

1. When a file consists of more than one volume, each individual volume must be listed.
2. Where records which have already been designated for permanent preservation by the National Archivist are transferred;
 - 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 (see par. 2.6.2.4) and numbered;
- f) Except where the Provincial Archivist 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 will compare the records with the list and acknowledge receipt on the duplicate copy which will be returned to the body/office.

4.2.6 Transfer occurs by Records Manager and the following procedure must be followed with regard to transport arrangements:

- 1) Call the Northern Cape Provincial Archives for trunks for transporting the records, if available
- 2) Call for a courier services to transport the records to the Northern Cape Provincial Archives and costs borne by John Taolo Gaetsewe District Municipality.

4.3 Transfer from one office to another

4.3.1 If records are transferred permanently to another body/office the Records Manager must inform the Provincial Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted for approval. (See also par. 2.6.3.1.)

4.3.2 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 Provincial Archivist.

4.3.3 If records are transferred permanently to another body/office the Records Manager must inform the Provincial Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted for approval. (See also par. 2.6.3.1.)

4.3.4 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 Provincial Archivist.

5 CONTROL AND PROTECTION OF RECORDS

5.1 Access

5.1.1 Access to records in an office not normally open to members of the public is controlled by Records Manager in agreement with section 12 of the National

Archives and Records Service 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 researchers and persons who wish to consult records, must be submitted in writing. The Records Manager must personally make a thorough investigation as to the bona fides of the applicant to ensure that his/ her perusal will not be detrimental to the records.
- 5.1.3 Persons consulting records must do so under the supervision of the Records Manager. 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 to be 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 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, who must also ensure that the relevant items are not damaged in the process; and
 - h) no researcher may remove items from the office for any reason at all.
- 5.1.4 The Records Manager contradicts Promotion of Access to Information Act (PAIA). A researcher must also be requested beforehand to donate two annotated published copies to the head of the office. One copy of these must be sent to the Provincial Archivist.
- 5.1.5 Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties. The prescriptions of the Minimum Information Security Standard (MISS) as well as the "need to know" principle are applied.
- 5.1.6 The Records Manager must ensure that no unauthorized person may, or is able to gain access to the registry, or records store rooms during or after office hours. The following rules apply:
- a) The registry and other records store rooms are locked during lunch and after office hours;

- b) During office hours the registry and other records store rooms should not be left unattended. If this does happen, the door must be locked;
- c) Chief Registry Official exercises control over all the keys; and
- d) The registry and other records store rooms may only be cleaned by cleaners while one or more of the registry personnel are present.

5.2 Fire and fire prevention measures

- 5.2.1 The lighting of matches, smoking and the storage of inflammable material or cleaning solutions in the registry and other records store rooms is strictly forbidden.
- 5.2.2 Only CO2 fire extinguishers may be used to extinguish a fire in a location where records are stored. Water, in all instances, must only be considered as a last resort.
- 5.2.3 Fire extinguishers must be inspected every 3 months and the Records Manager must ensure that it is actually done. On their appointment, all registry personnel must learn to handle fire extinguishers.

5.3 Water

- 5.3.1 Registry, and other areas where records are held, must be regularly inspected by the Registry Head 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.
- 5.3.2 When records become wet for whatever reason, efforts to dry them must be made as soon as possible. The documents should be separated carefully and dried between sheets of blotting paper. Warm air is then blown over them with a fan or hairdryer. Under no circumstances should wet documents be spread out to dry in direct sunlight.

5.4 Pests and plaques

- 5.4.1 The registry, and other areas where records are stored, must be regularly examined by the Chief Registry Official and Records Manager to avoid the occurrence of pests and plaques. Officials who notice fish moths, cockroaches, etc. in any of these areas must immediately report it to the Registry Head.
- 5.4.2 Areas where records are stored, must be fumigated every 6 months 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.

5.5 Light

- 5.5.1 The lights in the strong rooms and registry office must be switched off whenever nobody is present in the area. The lights between the shelves in registry must similarly be switched off whenever files are not being filed or withdrawn.
- 5.5.2 No direct sunlight must be allowed to shine on any records and for this reason the blinds in the registry must be kept rolled down when the sun shines in.

5.6 Damage through handling

- 5.6.1 All officials must be aware that it is considered to be a violation of the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible. Careful handling also saves time and money because damaged file covers do not have to be changed as regularly.
- 5.6.2 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.

6 TRAINING OF REGISTRY PERSONNEL

- 6.1 The Records Manager must attend the Records Management Course presented by the Northern Cape Provincial Archives to receive the correct training for their various tasks. The other registry personnel should, however, be trained by the Chief Registry Official and must also attend a Registry Training Course presented by the Northern Cape Provincial Archives.
- 6.2 In-service training under the Registry Head occurs during the normal execution of duties and is conducted along the lines of the Registry Manual.

7. Authorization

This Registry Procedure Manual has been authorised by the Municipal Manager as well as the Provincial Archivist.

Approved by:

Municipal Manager: Date :.....

Provincial Archivist Date :.....