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LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA
DEPARTMENT OF AGRICULTURE

REGISTRY PROCEDURE MANUAL

Version 3

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1. SUPERVISORY OFFICIALS

1.1 Records Manager

The overall control, preservation and care of the body's office's correspondence files and records other than correspondence files, personnel records rest with the Records Managers both at Head Office and Districts. The concept "records" includes all documents and papers that are received or created in the process of running an office.

The officials also exercise overall control of all activities of the general registry and personnel records. No procedures amendments concerning any records management practices should be implemented without the knowledge and/or consent of these officials. The various sections that use the records other than correspondence files (case files) may store them in their respective offices. However, the Records Managers at Head Office, districts and municipalities are responsible for control over them and should have access to them at all times.

Records Managers at Districts and municipalities are solely responsible for the following non-delegatable duties:

- 1.1 Control, maintenance and implementation of the File plan and the Records Control Schedule;
- 1.2 Manage and monitor disposal of all Records;
- 1.3 Control over and safe preservation of all records;
- 1.4. Coordinate training of records management staff and users;
- 1.5 Implement a records management policy and registry procedure manual.

1.2 Sub-Records Manager

Sub- Records Managers/Heads of Registries are responsible for the administration of, and supervising the administration of all registry procedures, as stipulated in par.2.1 to 2.11 below, as well as the direct supervision and training of registry personnel. Furthermore, he/she and his/her staff are responsible for all tasks entrusted to them by the Records Manager(s) as in par. 3.1 to 5.6 hereafter. No other task should be entrusted to the Sub - Records Managers without the permission/knowledge of the Records Manager(s).

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 messenger collects the mailbag in the morning at 9H30 from the Post Office. The post is sorted and appropriately dispatched, while outgoing post is sealed, stamped and delivered in the following morning by messenger at 09H30.

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2.1.1.2 The Chief Registry Officer stores the key for the mailbag.

2.1.2 Private post

Officials / employees should adhere to the following rules: -

- 2.1.2.1 Officials/employees must take note that the office address may not be used for private correspondence.
- 2.1.2.2 Private letters that are received are placed unopened in relevant sub-branches pigeonholes for the purpose at the Registry entrance. It is the duty of the addressee to collect the post him/herself.
- 2.1.2.3 The Registry Office accepts no responsibility for private post. (i.e. it is **not** the responsibility of the Registry to notify clients (officials) of private post, but the duty of the client to **check** the “**Sub - branch Pigeonhole**” regularly.

2.1.3 Receipt, sorting and opening of post

2.1.3.1 Receipt of mailbag

- 2.1.3.1.1 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 Registry Clerk in the presence of the Chief Registry Clerk.
- 2.1.3.1.3 These officials must receive written instructions from the Head of Department entitling them to receive and open post, and to note details of all remittances or negotiable in the remittances register, received by post or otherwise. These written instructions should be filed on the personal files of the relevant official.
- 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, or for any reason cannot open the post, permission for this task must be delegated, in writing, by the office head to other records officials.
- 2.1.3.1.5 Under no circumstances may only one person open the post. Messengers are not permitted to help with the opening of post.
- 2.1.3.1.6 Incoming post (collected mailbag) is opened once a day, from 10H30-11H30. During this period the office will partially be closed. All official post and letters received while post is not being opened are locked away unopened in a cabinet or safe until the post is opened again. However, post which is urgent, as well as telegrams, and express letters should be attended to immediately on receipt as indicated in paragraphs 2.1.3.2, 2.1.3.3, 2.2.1 and 2.2.2.
- 2.1.3.1.7 Hand delivered mail from various Districts and other institutions would be attended to upon receipt.

2.1.3.2 Sorting of post

Official letters addressed to persons **by name e.g. Mahlulo E.M** 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 personnel and dealt with in the

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usual manner i.e. it would be placed on the relevant file and be referred to the client.

Secret and confidential envelopes are delivered unopened to the official concerned. After these items have been handed over to the relevant official, the Records Office accepts no further responsibility for them.

2.1.3.3 Procedure for opening post

2.1.3.3.1 The Records Office is closed from 10h30 to 11h30. During this period, post is opened, sorted and referenced and placed on files for distribution. All other registry activities are suspended. Telephone enquiries and requests for files during this period must be limited to urgent cases. Incoming parcels are opened and dealt with in the same manner as incoming post.

2.1.3.3.2 Incorrectly delivered post is returned to the post office through the mailbag.

2.1.3.3.3 Incoming telegrams and express letters should immediately be opened by the Registry officials appointed to open the post, and delivered to the official concerned, in the relevant file. If the file is not immediately available, the article must be taken to the official concerned and his/her further instructions be obtained thereon. If the relevant file is available, the file 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 (payments) / Transferable items.

2.1.4.1 Letters enclosed with money or transferable items (e.g. postal orders) must immediately be separated from the other post. Once opened such post must be handed to the Registry Head who notes in the Remittance Register before referring to the relevant division.

2.1.4.2 Officials receiving hand delivered remittances (payments) must verify the letter or packet's contents. When 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.

2.1.4.3 All monies or other transferable items such as postal orders received through the post must be handed over immediately to the officials responsible for accounting (cashier) at finance division and acknowledgement should be made thereof in the relevant column of the remittance register.

2.1.4.4 In addition, the following extract from financial regulation chapters Q and J must be adhered to.

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

- The date of receipt.
Whether received by ordinary or registered post;
- From whom received;
- The nature of remittance;

- The amount of remittance (where applicable);
- The signature of the officials present at the opening of the mail;
- The reference of the receipt issued and the method of disposal and ;
The signature of the controlling official and the date of the cheque.

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

Q4.2.2 Before a remittance register is brought into use, the Chief Records Clerk, the supervising official, must ensure that all the pages have been numbered consecutively throughout; and the Controlling Officer, responsible for checking the register, during the process he/she must verify that no pages have been removed from the register.

Q4.1.3 – Q4.1.6. In the case of registered and signature on delivery 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 remittance or transferable items, these must be recorded in the remittance register.

Q4.2.9 Officials receiving hand delivered remittances must verify the letter's/ package'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.

Q41.1 All postal matters collected from the post office must be carried in a sealed bag and, however possible, arrangements should be made to ensure that the bag is sealed by a post office official.

Q4.1.7 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.

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

2.2 **Filing of post**

Filing is the sole responsibility of the Records Offices. Line-functional officials should not perform filing at all.

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 a letter. No annexures are stamped.

2.2.1.2 The date stamp must be applied to an open space on the letter/correspondence. If the front of the letter has insufficient space, the date stamp should be applied to the back of the letter/correspondence (e.g. leave forms). 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 reference number already appears those that do not have any reference number, and those to which a reference number must be allocated.

2.2.1.5 The following items should not be referenced at all:

- a) Packages
- b) Brochures/pamphlets/leaflets/news letters
- c) Reports (without a covering letter)
- d) Maps

2.2.1.6 When a reference number is allocated to a particular letter/correspondence, it is written in the top right hand corner, and the letter is given to the official responsible for drawing or locating the files.

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

- a) The Chief Records Clerk reads the letters thoroughly and carefully to determine precisely what it deals with. Under no circumstances should the subject be determined simply from the letter heading. The latter can be misleading;
- b) Only approved departmental file plans should be used to determine file numbers;
- b) To determine the correct reference 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
- c) If there is still disagreement over the correct reference the Sub records Managers should be consulted.

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

- 2.2.1.9 Officials working with correspondences should ensure that they are placed in the correct files. In cases where there is disagreement about the allocation of a reference number, or the correctness of a given reference number, it should immediately be discussed with the relevant **Sub- Records Manager/Heads of Registries**.
- 2.2.1.10 Reference numbers i.r.o personal records of staff are allocated in terms of the Staff File Plan.
- 2.2.1.11 Both Departmental General and Staff file plans approved by the National/Provincial Archives should be implemented accordingly.

2.2.2 Correct and neat filing

- 2.2.2.1 Registry officers will file all papers in question on the split pin in the files and complete control sheets. Under no circumstances will loose papers be circulated either in file cover or pinned to the front of the file, since no correspondence can be damaged and soiled in this way.
- 2.2.2.2 Registry personnel must ensure that papers are neatly filed on the split pin, and should pay attention to the correspondence, which should be kept neat and tidy in the file covers. No papers should protrude from files.
- 2.2.2.3 Departmental circulars are distributed to all staff members through email/intranet by various divisions.

2.3 Numbering of items in files

The Registry personnel numbers an/a item/document placed on a file consecutively. All folios of a document/item must be numbered. It is not necessary for the item's pages to be placed in the file in reverse order.

2.4 System of completing correspondence on files

2.4.1 System used in General registry

- 2.4.1.1 In order to ensure the system is controlled as effective as possible; the Records Office follows the following procedures;
- 2.4.1.2 Control sheets (Annexure A) are pasted in the front of every file cover;
- 2.4.1.3 The Records office personnel place 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:
- 2.4.1.4 The date on which the item is placed is written in the second column by Records Office;
- 2.4.1.5 The item is then marked out, by the Records Office, to the official who will receive it;

2.4.1.6 When the original document is dealt with, in whatever manner, it is marked “file” with the relevant official’s signature who dealt with the file, and affix date in the relevant column of the control sheet;

2.4.1.7 If the client/ official wishes to make a submission, which must circulate to various officials, it should be marked with only the following person’s rank or initials in the third column. Officials who have already consulted the file should delete their initials, or rank in order to avoid confusion; and

2.4.1.8 If the incoming correspondence resulted in a letter being dispatched, the copy for filing must be marked ‘file’, by the client (the author of the letter) the outgoing copy must be signed, and instructions should be given by the client to Records office in the relevant column of the control sheet, whether the letter should be pending or filed.

2.4.2 System used in Human Resource Registry

2.4.2.1 The following procedures are used in Human Resource Registry:

2.4.2.2. Audit trail form is placed inside each file (See Annexure F) to help establish an institutional memory on who consulted the file of an employee.

2.4.2.3 The Records office personnel place documents received on the file, record details in the control register (See Annexure D) and refer the file to the relevant HR personnel, who must sign for receipt.

2.4.2.4 When the original document is dealt with, in whatever manner, it is marked “file” with the relevant official’s signature who dealt with the file, and affix date in the relevant column of the control sheet;

2.4.3.6 If the incoming correspondence resulted in a letter being dispatched, the copy for filing must be marked ‘file’ by the client (the author of the letter), the outgoing copy must be signed, and instructions should be given by the client to Records office of the action to be taken.

2.4.4 REQUESTS OF DOCUMENTS FROM PERSONAL FILE

Any official who needs copies of documents (such as proof of appointment and other relevant documents) from his/her records kept by the Department, he/she must fill in a form (available in HR registry), and submit to HR Records for attention. Identification of such an official on submission of such a request is compulsory for security reasons.

2.5 Circulation of and search for files

2.5.1 Once incoming mail is placed on files, they are placed in the pigeonholes in the **Registry Office**. From the Records Office, files are taken by the **Messengers** and circulated amongst the various officials and sections concerned.

- 2.5.2 Only in exceptional cases should the Registry personnel be given the instruction to search for a file urgently.
- 2.5.3 Once the Records personnel have drawn and dealt with the files in the Records office, as mentioned, a search list is compiled. On the list, file reference numbers of all unattended correspondence are sorted in a numerical order. This procedure simplifies and speeds up the search for files.
- 2.5.4 The Registry Clerk then systematically searches through the offices. Once the files are found, correspondences are placed in the files and control sheets are completed. The official dealing with correspondence should be informed of the new correspondence being added to the file.
- 2.5.5 Records personnel should not remove files from an official's desk without his /her knowledge.

2.6 Outgoing post

2.6.1 Instructions included in the Postal Guide and Financial Manual.

- 2.6.1.1 Registry officials follow the instructions contained in the Postal Guide and the Financial Manual regarding matters like postal money, weight, measurements, packing, registered post, etc. which are dealt with thoroughly in the Postal Guide.

2.6.2 Rules for dispatch

- 2.6.2.1 Relevant official(s) must place post for dispatch in the out tray. From the out tray it is taken by the Messenger and brought directly to the counter in the Registry. Trays will be cleared thrice a day.
- 2.6.2.2 Officials must ensure that all post to be dispatched reaches the Records Office before 15H30. Only urgent mails will be dispatched upon receipt.
- 2.6.2.3 After the Registry Dispatch Clerk has franked the post (prepared the post for mailing), he/she checks whether all stamps and signatures have been added, as well as whether all annexures mentioned have been enclosed.
- 2.6.2.4 Post ready for placing in envelopes is placed in the Records box, while files are placed on the Records Counter where they can be removed and filed by the Registry Clerks.,

2.6.3 Special dispatches

- 2.6.3.1 The regulations contained in the Postal Guide should strictly be adhered to when dealing with all of the under-mentioned dispatches. Furthermore, the following apply:
 - 2.6.3.1.1 Only important documents and correspondences, which, for specific reasons, the addressee must sign, should be sent by registered post.

2.6.3.1.2 The Records Official who sends registered post should: -

Ensure that special registered post envelopes are used and properly sealed;
Stick a "Registered" label on the top left corner of the address face;
Compile a list of the registered post in duplicate on form *Z.209. The book should accompany the post to the Post Office where the original list is removed and proof of receipt applied to the duplicate copy.

2.6.3.2 The procedure followed by Records office in this regard is as follows:

2.6.3.2.1 All registered post should be handed over at the Post Office counter and must not be placed in the mailbag.

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

2.6.3.2.3 Certified post is placed in the mailbag with ordinary post and not recorded in a register.

2.6.3.2.3 Only in very urgent cases is a letter sent by express, courier service or preferential post. Such letters (express and preferential post) are handed in at the counter of the Post Office and must not be placed in the mailbag. In cases of courier service the collection point is the Registry Office. This post must be addressed to a street address and not to a Post Box or Private Bag.

2.6.3.3 It should further be noted that:

2.6.3.3.1 The line-functional official wishing to send a parcel makes up the parcel and the Records personnel only franks the parcel. Ordinary parcels are placed together with the mailbag. 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.

2.6.4 Pending of papers

2.6.4.1 It is not the function of the Registry staff to decide for how long a document should be pended; they only carry out the client's instruction however the message will be left in the relevant extension for the official to contact registry as soon as he/she is available.

2.6.4.2 The Registry official on "counter duty" keeps a diary according to which the pending of papers is managed.

2.6.4.3 When the client wishes to pend an item, he/ she carries out the following procedure, namely to:

2.6.4.3.1 Complete the control sheet in the relevant file in the prescribed manner-requesting Registry Office to send the relevant file to him/her on the pended day.

2.6.4.4 The Registry Clerk at 15H00 draws files pended for a particular day each previous day. The Registry Office must ensure that files are taken from the Registry Office by the messenger to reach the relevant official on the next day.

2.6.5. Filing of documents and replacing files

2.6.5.1 Before a file is returned to the Records Filing Cabinets, Registry personnel must first ensure that:

2.6.5.1.1 All correspondences have received attention and that the instructions to “file” or “pend” have been complied with. Registry office ascertains this from the control sheet in every file.

2.6.5.1.2 A file should not be thicker than 3cm i.e. 150 - 200 pages. When a file reaches this thickness, it must be closed and the next volume opened.

2.6.5.1.3 All **filing** of incoming post as well as **file copies** of outgoing letters and submissions must be done by the **Registry personnel**- i.e. filing may not be done by clients (officials).

2.6.5.1.4 Documents are filed in chronological order according to the date of receipt in the registry and the item 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.

2.6.5.1.5 Bulky documents, such as maps and plans, are not filed with other documents, but are placed in annexure file covers. An indication of this is given on the corresponding file. The annexure cover supplies the file reference as well as the words “Annexure Cover”. No correspondence may be placed on this file.

2.6.5.1.6 Files must always be neat and care should be taken to ensure that their covers are intact.

2.6.5.1.7 Correspondences must be arranged neatly in the cover (no protruding folios) and all pins and paper clips must be removed.

2.6.5.1.8 Notes made on a message/note pad must be photocopied and original note attached to A4 sized copy and then filed.

2.6.5.1.9 Only one copy of the outgoing correspondence must be placed on a file (more than one copy on the same file serves no purpose).

2.6.5.1.10 Cross referencing must be practiced where necessary but one reference number must appear on the outgoing correspondence/letter.

- 2.6.5.1.11 Facsimile copies made on heat sensitive glazed paper are inclined to fade and become illegible over time. A photocopy must be made of the received fax and placed on the file.
- 2.6.5.1.12 Files are stored in bulk filing cabinets, ordinary cabinets and/or shelves.
- 2.6.5.1.13 Files are either arranged alphabetically, numerically and /or alphanumerically.

2.7 Movement of files

- 2.7.1 Officials who need files from the Registry office should adhere to the following procedure(s):
 - 2.7.1.1 No file may be personally removed from or placed back on the shelves by clients. Files are requested and returned at the counter in the Registry Office and are supplied, and placed back only by registry personnel;
 - 2.7.1.2 Clients should request for files by providing the file reference number. It is not necessary to provide the description of the subject content or the file description.
 - 2.7.1.3 Clients should not hold up files unnecessarily in offices, but should return files to the Records Office within five working days or as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the Registry Office until it is needed again; and
 - 2.7.1.4 Files may not be removed from the Departmental buildings.
- 2.7.2 Movement of files from the Registry is monitored and controlled by the Records Office. For this purpose, the Records Office places a route card with the following information in the usual space of the file:
 - 2.7.2.1 File number
 - 2.7.2.2 Description of the contents
 - 2.7.2.3 Destination(where sent to)
 - 2.7.2.4 Date of dispatch
- 2.7.3 Access to Human Resource files is limited to Human Resource personnel and line managers (See Annexure D). Identification will be compulsory when such requests are processed.
- 2.7.4 No document or folio may be removed or destroyed except for written warnings that must be destroyed after a specific period.
- 2.7.5 Before files are given to an authorised official and when a file is returned, number of folios on files vis-à-vis registered in control register will be checked.



2.8 Preparation and opening of file covers

The Registry Office follows the following procedures in the preparation and opening of file covers:

- 2.8.1 File descriptions and reference numbers on files must be printed neatly and legibly with black marking pen. The use of stencil ruler is a prerequisite.
- 2.8.2 A brown 50mm thickness masking tape should be applied on the spine of the file to protect its lifespan.
- 2.8.3 A hard cover should be placed at the back of the file to protect file from bending.
- 2.8.4 The description of the subject on the files should always agree with the description of the subject in the file plan. The main series description will in all cases be indicated on the cover.
- 2.8.5 The volume of the file must be indicated on the cover and, as soon as the first volume is opened, it is marked Vol. 1. Arabic numbers can also be used for this purpose.
- 2.8.6 Should a file carry a security classification, it must be indicated on the file cover (See Annexure B to C).

2.9 Use of daily files

- 2.9.1 Only copies of important letters, excluding personnel records and confidential letters, are placed in the daily file. Copies of a) acknowledgement of receipt, b) routine enquiries, c) follow-up letters, do not appear in the daily file. Deputy Records Managers or Heads of the Records Offices in all cases has the final decision on what appears on the daily file.
- 2.9.2 Once the daily file has been prepared for circulation, it is immediately sent to the Deputy Records Manager or Head of the Records Office who then checks that correct file numbers have been allocated in all cases. Thereafter, it is circulated to all interested staff as per the prescribed route-form.
- 2.9.3 Officials must note that they may only keep daily file(s) for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official and be requested for further study later.
- 2.9.4 As soon as the daily file has been circulated amongst all interested personnel and returned again to the Records Office, it is filed for six months and then disposed of under General Disposal Authority No. AD1

2.10 Sending of faxes

- 2.10.1 The purpose of the Registry Office fax machine is to receive incoming official faxes as well as transmission of official messages. It serves also as a **supplement** to fax machines of Sub- Branches (Faxes allocated to offices of General

Managers and Senior Managers etc.) for sending faxes under the following circumstances.

- 2.10.1.1 If the Sub-branch fax machine is out of order maximum of 10 pages can be faxed from the Registry Office.
- 2.10.1.2 If the Branch/ sub-branch have extra pages – ordinary high load of pages (100 pages or more) to send in a limited period of time – a shared responsibility is required in terms of manpower and time and must be negotiated within the Registry Office.

2.11 Distribution of files from the registry

2.11.1 Distribution of files

- 2.11.1.1 Files are brought to a specific place in the registry. They are distributed to the various officials, sections and districts once they have been sorted into clearly marked pigeon holes/cabinets.
- 2.11.1.2 Sorting is carried out regularly by registry personnel who note the files' Conditions.

2.11.2 Tracing files

- 2.11.2.1 If a file is unavailable after the first search, or after a reasonable period of time (service standards must be use as a gauge), the document should be sent to the appropriate section for noting and instructions. If the matter cannot be attended to without the file, registry should be requested to continue looking for it.
- 2.11.2.2 After repeated unsuccessful attempts to locate the file, the registry head should open a duplicate file and in pencil, note this fact in the register of files opened.

2.12 MAINTENANCE OF DEPARTMENTAL FILES

2.12.1 Replacement of worn out file covers

Registry staff should always check the condition of the file cover before dispatching. If the file cover is worn out a replacement need to be made as and when necessary.

- 2.12.2 Clients are not allowed to make notes on the file cover as well as to avoid expose files from food and others for neatness.

(3) MAINTENANCE OF THE DEPARTMENTAL FILE PLANS

3.1 File plan

- 3.1.1 The Sub Records Managers, Heads of Registries are responsible for the maintenance of the file plan.

This includes-

- 3.1.1.1 Careful control over amendments and additions to the plan to prevent its degeneration. The Records Manager in consultation with Work study unit, should approve all such amendments and additions and should add them personally to the

Master Copy of the plan (major amendments must be approved by the National Archivist before adding them to the Master Copy); and

- 3.1.1.2 Ensuring that correspondence is placed correctly to prevent the subsequent deterioration of the plan. The official exercises this control by means of the daily file, regular inspections and spot checks on the files in the Records Office.
- 3.1.2 With regard to amendments and additions, special attention must be paid to the following:
 - 3.1.2.1 Documents originating from new activities must not be forced into inappropriate files in the existing plan. In such cases, new files, subjects or even main series must be created;
 - 3.1.2.2 Faulty additions through which existing files are duplicated, or which overlap with existing subjects, or additions at incorrect places; and
 - 3.1.2.3 The assurance that new descriptions satisfy the set requirements.
- 3.1.3 As soon as the Records Manager has approved an addition or amendment, it must immediately be inserted in the Master Copy and thereafter, reported to the National Archivist.
- 3.1.4 The reporting occurs in the case of minor amendments and additions, every 6 months by means of amendment slips.
- 3.1.5 With regard to the correct placing of correspondence, special attention must be paid to the following:
 - 3.1.5.1 Overloading of files not sufficiently subdivided, a too fine sub-division of files, which could be combined, or a need for re-division of files should be brought to the attention of the Records Manager in good time and be corrected.
 - 3.1.5.2 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;
 - 3.1.5.3 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 (refer also to General Instructions to File plan about the use of policy files);
- 3.1.6 All correspondence concerning the file plan must be directed to the Provincial Archives/National Archives and Records Service of SA at the following address;

Provincial Archivist
Department of Sport Arts and Culture
Private Bag X9549
Polokwane
0700

and/or

National Archivist
National Archives and Records Service of South Africa
Private Bag X236
PRETORIA
0001

3.2 Separate Case Files

- 3.2.1 The series of separate case files, which are managed in the HR Registry Office, have an approved Staff file plan.
- 3.2.2 The HR Registry personnel is responsible for full control and care of these files. The Sub Records Manager/Heads of Registries are responsible for ensuring that these files are updated on a regular basis. All procedures and instructions which apply to the files in the file plan, also apply to case files.

4. DISPOSAL OF RECORDS

4.1 Disposal programme and destruction

- 4.1.1 The following are used in disposal authorities to show the disposal for files and records other than correspondence files:
 - 4.1.1.1 **A20** – for valuable records which must be transferred to the Limpopo Provincial 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; i.e. 20 years after the creation of the records.
 - 4.1.1.2 **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 Deputy Records Manager keeps a Destruction Register. As soon as a file or part of a file is closed, the number of the file is written under the year in which it must be destroyed. At the end of every year, by consulting the Destruction Register, all files, which can be destroyed, must be removed, and arrangements made for their destruction/removal. The Deputy Records Manager removes the files for destruction. All instructions and procedures concerning the removal of waste paper must be completed with care.
- 4.1.3 The Registry Personnel must also ensure that destructible records other than correspondence files are disposed of when instructed by the **Sub Records Manager/the Head of Records Offices**. Nevertheless, it is the responsibility of the Sub Records Manager / the Head of Records Office to ensure that records other than correspondence files, which can be destroyed, are brought to the attention of the Records 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 National/ Provincial Archivist. All authorities received from the National/Provincial Archivist, and details of the records to which they refer, must be recorded in the Disposal Authorities Register by the Deputy Records Manager.

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

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

Signature: _____

Capacity: _____

Date: _____

No.	Description	Authority

- 4.1.5 Records must be recorded in numerical order on the above-mentioned form. 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.
- 4.1.6 The Sub Records Manager/ the Head of Records must sign the certificates after he/she has ascertained that the records in question have actually been destroyed.
- 4.1.7 Copies of these lists of destroyed records are preserved by the Sub Records Manager and should serve as proof in connection with any enquiries concerning the records at all times.
- 4.1.8 In order to keep the Standing Disposal Authorities up to date, the Sub Records Manager /the Head of Records Office 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 revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the Provincial Archivist.
- 4.1.9 All correspondence concerning the disposal and destruction of records must be directed to the Provincial Archivist.

4.2 TRANSFER TO ARCHIVES RESPOSITORY/RECORDS CENTRE

- 4.2.1 Records that are marked for permanent preservation must, in accordance with the Northern Province Archives Act (Act No. 5 of 2001) and National Archives and Records Service Act (Act 43 of 1996), be transferred to the Provincial Archives



Repository if a period of 20 years has elapsed from the year in which the record came into existence. The Deputy Records Manager/ the Head of Registry Office must personally liaise with the head of the repository to make transfer arrangements.

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

4.2.3.1 Only the Sub Records Manager is authorised to request on loan and only his/her signature will be accepted for loan requests;

4.2.3.2 **Correspondence officials** who request files on loan must hand their written requests to the Registry Office every day before 10:00 and 14:00. The requests must be filled on the forms of the records centre, which are available in the Registry Office. However, the form must not be signed. That will be done by the Sub Records Manager/Heads of Registries;

4.2.3.3 When requesting a loan, the transfer list must be referred to and the particulars of the list must be clearly indicated, e.g volume number, date, etc.;

4.2.3.4 The messenger then takes the request to the records centre, from where the files can be collected. Files requested will be available in the Registry Office at 12:00 and 15:30.

4.2.3.5 Correspondence 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 at the Registry Office. A messenger returns these files to the records office when the Department is through using them. The files which are returned are accompanied by a B. 17 book in which they are entered. The person who receives them at the records centre must sign a receipt for every file in the book. This serves as the body's /office's proof that the loaned files were actually returned and receipt acknowledged by the records centre; and

4.2.3.6 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.

4.2.3.7 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.

4.2.4 When transferring files/records to the Archives Repository the following procedure is followed:

4.2.4.1 The Sub Records Manager/ the Head of Registry Office 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 below. The linear metres shelf space of the records must be provided;

4.2.4.2 The Head of the relevant depot will then indicate if he/she can receive them;

4.2.4.3 The records to be transferred are accompanied by a list in duplicate which contains the following:

I certify herewith that the under-mentioned records were transferred today to the archives repository in Polokwane

Name of body/office _____

Street Address _____

Extent in linear metres : _____

Name of official transferring the Records _____

Capacity _____

Telephone number _____

Date _____

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

4.2.4.4 Records are listed numerically;

4.2.4.5 **Unbound records are either packed neatly and securely with the parcels clearly marked in order, or boxed and numbered;**

4.2.4.6 Except where the Provincial Archivist instructs otherwise, registers and indexes relating to the records are transferred too;

- 4.2.4.7 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
- 4.2.4.8 The Head of the relevant repository will compare the records with the list acknowledge receipt on the duplicate copy which will be returned to the body/office.
- 4.2.5 Transfer occurs by messenger(s) and the necessary transport arrangements must be made timeously.

4.3 Transfer from one office to another

- 4.3.1 If records are transferred permanently to another body/office the Sub Records Manager/ the Head of Registry Office must inform the Provincial Archivist thereof, and a complete alphabetical numerical list of the relevant records must be submitted.
- 4.3.2 No records may be given, donated or transferred to a person, library, and museum of any institution other than a government body without the approval of the Provincial Archivist.

5. CONTROL AND PROTECTION OF RECORDS

5.1 Access

- 5.1.1 Access to records in the office not normally open to the public is controlled by the Deputy Information Officer in agreement with section 12 of the Northern Province Archives (Act No. 5 of 2001).
- 5.1.2 All requests from researchers and persons who wish to consult records must be submitted in writing. The Deputy Information Officer must personally make a through investigation as to the bona fides of the applicant to ensure that his/her perusal will not be detrimental to the office.
- 5.1.3 Persons consulting records must do it in the Registry Office under the supervision of the Sub Records Manager. In this manner the supervisor must note that:
 - 5.1.3.1 The greatest care must be exercised in the handling of the records, especially when turning pages;
 - 5.1.3.2 Pages are not folded;
 - 5.1.3.3 The researchers 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;
 - 5.1.3.4 The researcher must not use a pencil or ballpoint pen to copy items;
 - 5.1.3.5 The researcher must not disturb the order of the paper;

- 5.1.3.6. The researcher must not make any mark on the item or remove it;
- 5.1.3.7 If the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of the Deputy Information Officer who must also ensure that the relevant items are not damaged in the process; and
- 5.1.3.8. No researcher may remove items from the office for any reason at all.
- 5.1.4 The Deputy Information Officer must first inspect and approve any researcher's research work before it is published or in any way duplicated. He/she may consult with line/staff function Managers as deemed fit in the process. Such a researcher must also be requested beforehand to donate two annotated copies to the Head of the office. One copy of this must be sent to the Provincial Archivist.
- 5.1.5 Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their official duties.
- 5.1.6 The Sub Records Manager/ Heads of Registries must ensure that no unauthorised person may, or is able to gain access to the Registry Office, or records storerooms during or after office hours. The following rules apply:
 - 5.1.6.1 The Registry Offices are closed during lunch and after office hours;
 - 5.1.6.2 During office hours, the Registry Office should not be left unattended. If this does happen, the door must be locked;
 - 5.1.6.3 The Sub Records Manager/Heads of Registries exercises control over all the keys of the Registry Office and complies with Departmental key security policy.

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 Offices are strictly forbidden. The Registry Personnel may under no circumstances smoke amongst the shelves where files are stored. The smoking policy of the relevant office must also be adhered to.
- 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 installed (where not available) and must be inspected regularly. On their appointment, all registry personnel must learn to handle fire extinguishers.

5.3 Water

- 5.3.1 The Head of Registry must regularly inspect the Registry Office and other areas where records are held, and the Sub Records Manager / Head of Registry to ensure that roof 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 Offices and other areas where records are stored must be regularly examined by the Records Manager and Sub Records Manager / the Head of Registry Office to avoid the occurrence of pests and plaques. Officials who notice fishmoths, cockroaches, etc. in these areas must immediately report it to the Records/Sub Records Managers/ the Head of Registry Office.
- 5.4.2 Fumigation is done regularly (at least every six months) against fishmoths and other pests. It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records. 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 light in the Registry Offices must be switched off whenever nobody is present in the area. The light between the shelves in the Registry Offices must similarly be switched off whenever files are not being filed or withdrawn. (in cases where officials are allocated separate office.
- 5.5.2 No direct sunlight must be allowed to shine on any records.

5.6 Damage through handling

- 5.6.1 All officials must be aware that it is considered to be a violation of the Northern Province Archives Act (Act No. 5 of 2001) 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 drinks may be consumed at a table or desk where records are placed. Glasses of water, bottles of cool drinks etc. must not be placed on cabinets or on shelves where files and records are stored.

6 EQUIPMENT

6.1 Introduction

- 6.1.1 The basic function of the Registry Office, namely classifying, flow control and direction, safe custody and care all demand that effective equipment and techniques be used. The file plan is the chief instrument used in classification of correspondence files whilst specialised techniques are employed for determining the most efficient records procedures. It is therefore appropriate

that the equipment to be used by the records office should also meet with the same high standards.

6.2 Specific equipment

6.2.1 File covers

Refer to paragraph 2.8

6.2.2 Shelves

6.2.2.1 The shelving requirements for the storing of current files should be such that they can:

6.2.2.1.1 Allow files to be easily put away and withdrawn;

6.2.2.1.2 Provide sufficient protection; and

6.2.2.1.3. Take up the minimum amount of space.

6.2.2.2 The shelves available can be grouped into three types:

6.2.2.2.1 The cabinet types in which files can be placed horizontally, one after the other.

6.2.2.2.2 The upright or standing types which allow files to be stored vertically, alongside each other.

6.2.2.2.3 The lateral hanging shelves type in which files are suspended on their sides in little holders.

6.2.3 The lateral hanging type meets all three of the requirements stipulated above. It is preferable to the cabinet type, which though offering first-rate protection, takes up to 50% more space than the others when its drawers are opened. The standing or up-right type shelves do not offer sufficient support to files, which fall over easily or shift out of position when the frequency rate of file use is high. However, aspects such as present stock available and the cost of new shelves/replacing old shelves will probably dictate the type of shelves to be used at least in the interim.

6.2.3.1 The shelves used for dormant or non-current files should conform especially to the requirements for protection and space saving. As a result of the low frequent rate in their use, the accent, naturally, will not fall so strongly on the accessibility of these files. Accordingly, the standing type of shelves made of wood or steel, using cardboard containers will best meet with these requirements.

6.2.3.2 Either flat cabinets or hanging cabinets can be used for filing maps, plans and diagrams. In a cabinet such material is placed one on top of the other in reasonably shallow drawers each of which can take from 25 to 50 maps,

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plans, etc. This method of storing requires considerable space for opening drawers so that removal or replacement of documents usually brings problems. The method of the hanging cabinets by attaching special strips to them is most suitable in which maps are suspended in a cabinet especially when there are a considerable number of maps. The reference to the chart or map is endorsed on the strip and when removing or replacing maps those remaining in the cabinet are not touched. This method demands preparation and, at times, a pre-strengthening of the map as well. Moreover, a high frequency rate of use will mean regular repair work and replacement of the strips. A standard hanging cabinet takes about 1500 maps depending on their sizes.

6.2.3 Reprographic acids

6.2.3.1 Bodies undertake the reproduction of documents, either for the duplication of copies or the reduction of the formal of forms, etc.

6.2.3.2 The first is carried out either by the use of duplicating apparatus for making large number of copies such as for circulars, etc. or by means of copying machines to make single copies. In both instances, there are literally dozens of process and apparatus, each with its particular characteristic, and the choice is determined by the needs of the body concerned. However, the permanency of copies should play an important role in such a decision.

6.2.3.3 For the reduction of printed matter, the procedure is usually the photographic replacement of enormous collections of documents with 35mm or 16mm microfilm, microfiche or micro cards. In this, consideration may be the destruction of the original material to save space and other storage costs, the mere withdrawal of original items from use or it may be for reasons of security.

6.2.3.4 Microfilming for the first-named consideration demands an in-depth investigation into such matters as the costs of preparation, special storage requirements, i.e. temperature and humidity control; retrieval facility which means the provision of viewers (consultation should be as quick and as satisfactory as direct access to the original material) – and, last but not least, the question of the legal validity of photographic copies. These must all be thoroughly borne in mind. A further important consideration is that filming the original gives no automatic right for its destruction. Disposal instructions for this must still be obtained from the Provincial Archivist. Microfilming should be submitted to the Provincial Archivist. Microfilming should not be undertaken without prior consultation with the Provincial Archivist, and all micrographic utilizations should be submitted to the Provincial Archivist for approval. In this way the retention periods for all groups of records can be decided on, and the microfilming of material of only transient value thereby eliminated. Regarding the rest of the consideration for microfilming, namely, withdrawal of the originals from use and withdrawal for security reasons, the necessity in each case for a copy other than the original is self-evident. The only consideration, therefore, is whether or not equivalent size reproduction

is preferable to micro-reproduction. The availability of storage space and the nature of consultation will determine this.

- 6.2.3.5 Photocopying facilities easily lend itself to abuse and it is important that it be managed effectively. For this purpose it is advisable that the photocopy machine be placed at the Registry. The Photocopy Register must be used by the Registry to ensure effective control.

6.2.4 Fax Machines

- 6.2.4.1 As the office increasingly make use of fax machines, it is essential to note the following:

6.2.4.1.1 There are currently no specifications which can ensure a permanent fax paper made on heat sensitive glazed paper (fax rolls). Exposure to heat and light of the fax rolls make them inclined to become difficult to read in time.

6.2.4.1.2 To ensure proper record keeping, for few faxes still using the fax rolls, it is essential that original fax printouts made on such paper should not be placed on files. Instead, photocopies should be made thereof as file copies.

6.2.4.2 Fax machines should be placed at a central location to ensure access and control. The Registry will be such a place and should seriously be considered for that purpose. Control must be exercised by utilising the Register of faxes sent and the incoming faxes register.

6.2.5 Computers

6.2.5.1 Electronic records and all documentation related to electronic information systems are also public records. This will include e-mail message/documents sent or received. No erasure of data or destruction of documentation may take place e.g. certain e-mail messages, without disposal authority being issued by the Provincial Archivist. The sole exception is data created only as an aid to make print-outs on paper, e.g. word processing programmes. It is required that a body should consult the Provincial Archivist about the design of computer utilisation so that arrangement about disposal may be made in advance. It is the department's own interest to give attention during the design phase to measure for the long-term preservation and use of electronic records.

7. TRAINING OF REGISTRY PERSONNEL

- 7.1. Both the Records Manager/Sub Records Managers and Heads of Registry must attend the Records Management Course presented by the National/Provincial Archives to receive the correct training for their various tasks. The other Registry Personnel should however, be trained by the Records Manager and/ or Head of Registry.

- 7.2 In-service training under the Registry Head occurs during the normal execution of duties and is conducted along the lines of the Registry Manual. Officials undergoing training may be required to write test to evaluate their knowledge.

8. ELECTRONIC RECORDS

- 8.1 The management of electronic records is a complex matter for which it is not possible to provide a simple set of guidelines application to all cases. However, the guidelines set out in “Managing Electronic Records in Governmental Bodies Policy Guidelines” issued by the National Archives and Records Services SA provides an approach that is applicable to most electronic records.
- 8.2 The purpose of the above-mentioned Guidelines is to provide practical guidance to governmental bodies to assist them to comply with legislative requirements regarding electronic records as an integral part of the strategic management of electronic systems (in other words it is not part of the Registry functions as such, but part of the information technology/management function). However, the Records Manager has the responsibility to ensure that the National/ Provincial Archivist is informed when a body intends to introduce electronic records systems and projects. The same applies to the possible microfilming of records.

9. REPRODUCTION (PHOTOCOPYING)

- 9.1 In order to ensure that the photocopy system is controlled as effectively as possible, the Photocopy Room follows the following procedures:
- 9.1.1 A request form for large documents is completed in advance with instructions in respect of the number of copies and binding (Client responsibility)
- 9.1.2 No photocopying of books is allowed.

FILE NUMBER / LEERNOMMERSUBJECT/ONDERWERP**RECORD CONTROL**

FILING SYSTEMS

COMPILATION & AMENDMENTS



REFERENCE /
VERWYSINGS
 PERIOD /
TYDPERK
1/6/2000
TO / TOT
.....
DISPOSAL
BESKIKKING**A 20**VOLUME**1**OFFICE / KANTOOR**WATERBERG**DEPARTMENT / DEPARTEMENTE**AGRICULTURE**

Standardised File Cover

ANNEXURE C

LEER FILE No.

Z.20 (81/30381)

VOL 5	S.4/2											
LEER●FILE No. S.4/2	ONDERWERP ● SUBJECT											
	STAFF RECRUITMENT AND LOSSES											
	APPLICATIONS AND APPOINTMENTS											
	<div>   </div>											
	VERWYSING ● REFERENCE				TYDPERK ● PERIOD				BESKIKKING ● DISPOSAL			
	CONFIDENTIAL				23.04.2001 TOT TO							
LEER●FILE No. S.4/2	KANTOOR ● OFFICE											
	HUMAN RESOURCES CAPRICORN											
	DEPARTEMENT ● DEPARTMENT											
	AGRICULTURE											
	LEER●FILE No.											
	VOL 5											

ANNEXURE D: AUTHORISED PERSONS/INSTITUTIONS TO ACCESS HUMAN RESOURCE FILES

TYPE OF FILE	AUTHORISED PERSONS/INSTITUTIONS
Personal File	<ul style="list-style-type: none"> • Relevant line manager • Employees in human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Leave File	<ul style="list-style-type: none"> • Relevant line manager • Employees in human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Development file and Bursary file	<ul style="list-style-type: none"> • Relevant line manager • Human resource management and/or • Human resource development • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit
Remuneration file	<ul style="list-style-type: none"> • Relevant line manager • Salary section • Human resource management • Labour relations unit
Disciplinary file	<ul style="list-style-type: none"> • Relevant line manager • Labour relations unit • Human resource unit
Injury on duty	<ul style="list-style-type: none"> • Relevant line manager • Human resource unit • Labour relations unit
Performance Management file	<ul style="list-style-type: none"> • Relevant line manager • Human resource units • Employees in the internal audit unit • Employees of external audit institutions • Labour relations unit

ANNEXURE E: CONTROL REGISTER

Date Dispatched	Subject	Courie r by Hand	Ref. No.	Vol. No.	Folios on file (when dispat ched)	Classifica tion		Dispatched To	Name & signature of receiver	Name & date returned	No. of folios (on return)	Attended by (Registry officer)
						R	C					



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CONFIDENTIAL

ANNEXURE F: DEPARTMENT OF AGRICULTURE: AUDIT TRAIL FORM

DATE	SURNAME AND INITIALS	SUBJECT AND FOLIOS (TO BE ATTENDED)	ATTENDED BY (SIGNATURE)	DATE BROUGHT BACK TO REGISTRY	FILE BROUGHT BACK BY

Audit Trail Form: Human Resource Registry

SIGNED AT POLOKWANE ON THIS 26 DAY OF August 2011


Prof Nesamvuni Azwihangwisi Edward
HEAD OF DEPARTMENT

SIGNED AT POLOKWANE ON THIS 26 DAY OF August 2011


Me Letsatsi Duba Dipuo Bertha
MEMBER OF EXECUTIVE COUNCIL FOR AGRICULTURE

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