BERGRIVIER MUNICIPALITY

REGISTRY PROCEDURES MANUAL

APPROVED COUNCIL RESOLUTION 4117 DATED 18 JUNE 2013

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1.   THE SUPERVISORY OFFICIALS

1.1   Records Manager (TASK Senior Administrative Officer Records)

1.1.1   The overall control, preservation and care of Council's official iles and records other than correspondence files rest with the Records Manager (TASK Senior Administrative Officer Records). The concept "records" includes all documents and papers that are 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 the records other than correspondence files may store them in their respective offices, however the Records Manager (TASK Senior Administrative Officer Records) is responsible for control over them and should have access to them at all times.

1.1.3   The Records Manager (TASK Senior Administrative Officer Records) 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 (TASK Assistantr Administrative Officer Records) (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.

1.2   Registry Head (TASK Assistant Administrative Officer Records)

1.2.1   The duties of the Registry Head (TASK Assistant Administrative Officer Records) rest with the Records Manager (TASK Senior Administrative Officer Records).

1.2.2   The Registry Head (TASK Assistant Administrative Officer Records) 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 (TASK Senior Administrative Officer Records) under par. 3.1 to 5.8 hereafter. No other task should be entrusted to the Registry Head (TASK Assistant Administrative Officer Records) or registry personnel without the permission/knowledge of the Record Manager (TASK Senior Administrative Officer Records).

2. REGISTRY PROCEDURES

GENERAL

Since April 2013 an electronic document management information system was introduced. The name of this system is IMIS – Integrated Municipal Information Systems - supplied by the company TGIS -Total Geo-spatial Information Solutions.

Where applicable the hard copy procedure as well as the electronic procedure will be addressed.

2.1 Receipt of post, parcels and remittances/transferable items

2.1.1 Procedures regarding the mailbag

2.1.1.1 The sealed mailbag is collected in the morning, at 09:00 by the Service Officer/Messenger from the Post Office. Post is sorted and appropriately dispatched, while outgoing post is sealed and stamped. The sealed mailbag is returned to the Post Office at 14:00 with the outgoing post, where it remains until the following morning.

2.1.1.2 The key for the mailbag is stored safely by the Registry Clerk (TASK Clerk Filing and Archives).

2.1.2 Private Post

2.1.2.1 Officials and employees must be informed that the office address may only be used for official correspondence. No private post should be handled by the registry.

2.1.2.2 Private letters that are received are placed unopened in a pigeonhole marked for this purpose. It is the duty of the addressee to collect the post him/herself. The registry reserves the right to open all letters to ascertain whether they are indeed private or official.

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 Registry Head (TASK Assistant Administrative Officer Records) in the presence of the Registry Clerk (TASK Clerk Filing and Archives) or any other designated officials.

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 opens 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 10:00. All official post and letters received while post is not being opened are kept unopened in a cabinet in the Registry. However, post which is marked urgent, as well as faxes, email messages and express letters should be attended to immediately on receipt.

2.1.3.2   Sorting of post

2.1.3.2.1   All official letters are opened by the registry staff and dealt with in the usual manner.

2.1.3.2.2   Secret and confidential envelopes are dealt with in the usual manner by registry workers. However, should, the registry workers not be in possession of secret/top secret security clearances, all Top Secret, Secret and Confidential mail should be delivered unopened to the Records Manager (TASK Senior Administrative Officer Records) who has been assigned this purpose. After these items have been handed over to the above-mentioned official, the registry accepts no further responsibility for them. (Also see par. 2.4.4.1 and 2.4.4.2)

2.1.3.2.3   All envelopes, which indicate that the correspondence concerns staff matters, are dealt with by the registry staff in the normal manner.

2.1.3.3   <u>Procedure for opening post</u>

2.1.3.3.1   The registry is closed from ± 10:00 till ± 11:00. 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 desk in the office of the Registry Clerk (TASK Clerk Filing and Archives) 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:

Envelopes clearly marked "TENDER" on the outside are not opened and put unopened in the tender box where it stays until closing date. Those not marked on the outside are closed again, reason and persons responsible written on the envelope and then put in the tender box.

Unclaimed/undelivered letters are handed back to the relevant department if known, or else it is opened, to determine the origin, the envelope attached to it and then handed to the relevant department.

2.1.3.3.4   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 initialled. 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 annexure, 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.) Preferably it should be put in a plastic PVC Pocket.

2.1.3.3.5   Registered and certified postal articles are treated in the same manner as ordinary post. Bearing in mind the regulations in the Financial Manual Chapter Q (par. Q4.1.2 – Q4.1.6), these articles should be recorded in the register kept for this purpose.

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 mailbag.

2.1.3.3.8   Incoming faxes, e-mail and incoming correspondence (e.g. Express mail, registered mail, courier letters, etc.) should be opened immediately by the Registry Head (TASK Assistant Administrative Officer Records) and the Registry Clerk (TASK Clerk Filing and Archives) or any other designated officials. File numbers must be allocated as soon as possible.

2.1.3.3.8.1   Hard copy

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 file to which such items are attached must be delivered immediately by hand to the official for whom it is meant.

2.1.3.3.8.2   Electronic procedure

The urgent document must be scanned, indexed and distributed electronically as soon as possible to the official for whom it is meant. (Detailed description of these processes will be done later on in the manual.)

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 and handed to the Registry Clerk (TASK Clerk Filing and Archives) who notes it in the remittance register.

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 initialled by both officials opening the post.

2.1.4.3   In addition, the following extracts from Financial Manual Chapters J and Q must be strictly adhered to:

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

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

Q4.2.5.   The controlling officer, the Head of Finance 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.

Q4.2.2.   Before a remittance register is brought into use, the Head of Finance must ensure that all the pages have been numbered consecutively throughout; during the course of his/her check 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 insured mail, the date of receipt and number of the advice slip of the relevant articles must be recorded in a separate register. The advice slip, issued by the post office, should be signed in order for the article to be cleared. Once the articles have been collected, the officials responsible for opening the mail must compare them with the entries in the register. Each article prior to opening must be carefully examined for evidence of tampering. If they contain remittances or transferable items, these must be recorded in the remittance register.

4.2.9.   Officials receiving remittance hand delivered must verify the letter's or packet's contents. If it has been entered in a "letter delivery book", the entry in that book must be signed in acknowledgement of receipt, after which the remittance should then be recorded in the register.

Q4.1.1.   All postal matters collected from the post office must be carried in a sealed bag and, wherever possible, arrangements should be made to ensure that the bag is sealed by a post office official.

J.5.2.   Warrant vouchers, cheques, bank drafts, money orders, postal orders, transfer orders or other items of payment, excluding stamps and bank notes, received by an official on behalf of the State, whether made payable to him/her in his/her official capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words

"non-negotiable" across the face of the item. This instruction does not apply to the case of warrant vouchers specially drawn for encashment.

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.

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 a letter. No annexure and/or remittance 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. A separate stamp is also applied to the front of the letter e.g.

Leêr
Afhandel
Kennisname

2.2.1.2.1   This "file number" stamp is utilised for convenience only, and in no way replaces the prescribed control sheet.

2.2.1.3   Cheques are stamped on the back by the Financial Department.

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 which a reference number must be allocated.

2.2.1.5   The following items receive no file numbers: Accounts, brochures, magazines, etc.

2.2.1.6   When a file number is allocated to a particular letter, it is written next to the appropriate blank space on the "file no" stamp, as well as the abbreviation of the job title of the official who will be responsible for dealing with the file. The letter is given to the officials 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 Registry Head (TASK Assistant Administrative Officer Records) 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 the filing system should be used to determine file numbers;

　　　　　　c)　　　To determine the correct number, the list of main series should first be consulted and the most suitable series selected. Then the different sub-series should be consulted to eventually identify the correct file reference; and

　　　　　　d)　　　If there is still disagreement over the correct reference the Records Manager (TASK Senior Administrative Officer Records) should be consulted.

2.2.1.8　　　　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.

2.2.1.9　　　　Officials working with correspondence must also ensure that the correspondence they deal with is placed on the correct files. In case 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 Records Manager (TASK Senior Administrative Officer Records).

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

　　　　　　P.- Surname and Initials

2.2.2　Correct and neat filing

2.2.2.1　Electronic Procedure

All records stored in electronic format through IMIS shall, until further notice, also be stored in the correct subject files in hard paper format.

2.2.2.1.1　　　Once the reference numbers have been allocated to the incoming post, the following steps need to be done to ensure that all items received by mail, whether from the Post Office, hand delivered, by fax or e-mail, are also captured electronically before being filed on the hard copy files. This is the responsibility of the Registry Clerk (TASK Clerk Filing and Archives) trained and tasked to do the job of the "Postmaster".

2.2.2.1.1.1　　All staples, pins or other objects are to be removed from all incoming documents.

2.2.2.1.1.2　SCANNING

　　　　　　Each document must be scanned on the scanner as one entity, irrespective of how many pages it contains. Bulky or too large documents are to be reduced to size A4 to be able to be scanned.

<div style="border:1px solid">

(Begin : Extract from IMIS procedure manual)

(Please note that this section is dependant on the version of IMIS and can be outdated as the software is updated and new methods and user interaction introduced. For more information, please refer to the relevant section in your IMIS manual.)

</div>

IMIS-doc administrators and sub-module administrators is the only user able to access this section.

4.1   Scanning Methods

There are two methods for scanning documents:

- Scan Documents using a Photocopier / Fax
- Scan Documents using a Scanner

a. The documents must be scanned and saved in black and white at a resolution of 300dpi

b. The new scanned images must be saved in the shared folder ScanStations on the IMIS Server inthe Mapped drive s:\ in subfolder \1\Current\Tiff\

c. Recommended Scanning Process:

- Scan documents as they arrive and proceed with normal filling of the hardcopy in the archive

- Documents scanned via a photocopier is usually not OCR'ed and need to be OCR'ed either via IMIS with TiffSurfer installed at the Scanning Station PC this is software available from theinternet which allows you to OCR via the browser or it is recommended to use the batch OCRoption in the IMISScan software as explained in 3

d. Please note that the scanning via any other means but a scanner is not supported by TGIS, and the communication between the hardware and the IMIS server is to be setup by the client and the supplier of the hardware.

4.2   Scanning a document using a scanner

Many software options are available to interact between the scanner and the Scanning Station PC. It is possible to use all of the options but it is recommended to use the IMISScan software as it was developed for IMIS. The other options will not be supported by TGIS. IMISScan will display as follow when selected.

4.3   OCR Scanned Documents

1.   Once the documents were scanned proceed to the Scanning Station PC and open the program IMIScan.
2.   A once off setup needs to be done to set the upload folder to where the OCR-ed documents will be saved.

3. Select the Source – Existing file. Note the change in the available options in the left hand pane.

4. Select the icon📁and navigate to s:\1\current\tiff\ and open all the files you want to OCR and click the"Open" button.

5. Once files are selected click the Acquire button.

6. To start the OCR process, click the Upload button.

7. Wait for the following notification once it is complete
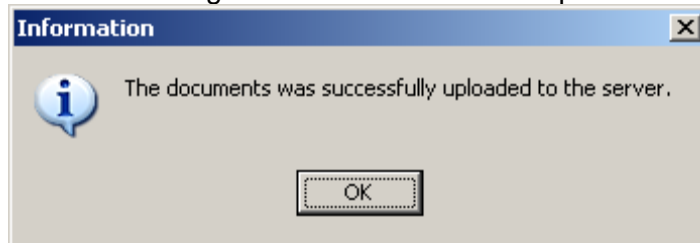
8. Click the "OK" button. Close the program IMISScan"
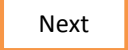
2.2.2.1.1.3 INDEXING

4.4 Document Index – Current Scanned

The option to index all scanned documents is available from the Document Index submenu within the Document Management menu, found in the **IMIS-doc** section of the **IMIS** Navigation bar. Normally, only the records clerk will do the indexing of all scanned incoming post.

1. If you are not in IMIS, log in on IMIS.

2. Select the Document Management option in the IMIS-doc section of the IMIS Navigation Bar.

3. Select the "Document Index" option from the sub-menu.

4. Select the "Current Scanned" option. The top frame shows a list of all the scanned documents.

5. Select the row displaying information about the document you want to index.

    On selecting a specific document, IMIS-doc will open the scanned document in the bottom frame.

    If the scanned document is not readable, the Delete button can be selected to remove the scanned document. The records clerk will then have to rescan the specific document.

    If the quality of the scanned document is acceptable, clicking on the Next button will start the indexing process. The indexing process ensures that the document is stored in the correct file within the municipal File Plan.

6. Click on the ⬚Next⬚ button. The top frame is now used for the indexing process. The following metadata must be complete: "The document stays in the bottom frame so that the Records Clerk (TASK Clerk Filing and Archives) can read the information necessary to select the correct Index. You will now be required to complete the File Plan selection and provide further information

about the document. Completing the following screen is the first step in this process:

7. Select the Leading Department from the dropdown.
    Required information on this screen, in addition to the Leading Department, is the following:
    ➢ The Action – To, From or In-house
    ➢ The name of the Organisation
    ➢ The File Plan name
    The other fields are optional, but should be completed if you have sufficient information to do so.

8. Select the File Reference. You will now be able to browse to and select the Sub-Series from the folder structure, as illustrated in the following image A single click on an underlined folder name will expand that folder to show you the contents of that Series.

9. You will now be able to browse to and select the Sub-Series from the folder. A single click on an underlined folder name will expand that folder to show you the contents of that Series.

    Metadata, or additional information regarding the message, is also entered on this screen.

    ➔ **Back Log**: When indexing old scanned documents, the option is available to directly index the document instead of sending it to the postmaster.
    ➔ **Vital Record**: Vital records are seen as documents which are vital to the existence of the organisation and are usually not disposed of.
    ➔ **Classification**: Classification of type of content. Options include Complaint, Query, Application or Other.
    ➔ **Status**: Select the Document Status. Options include Final, Revised, Draft and Concept.
    ➔ **Type**: Select Document Format. Options include Report, Memo, Letter, Fax, Email and Other.
    ➔ **Language**: Select the language that the document was written in.
    ➔ **Subject**: Type in the heading or the subject line of the document.
    ➔ **Document Ref**.: The reference number placed on the document by the sender, if it was a received document.
    ➔ **Own Ref**.: Automatically completed with the relevant municipal file plan number, based on the selections made on the previous screens.
    ➔ **Farm/Town, Erf no., portion no**.: If the document is related to a property, the property description must be typed in here. If nor, leave these fields blank.
    ➔ **Receive Date**: Select the date the document was received by the municipality.
    ➔ **Document Date**: The date on the document itself.

    Required information on this screen is the following:
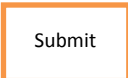
    ➢ The Subject of the document;
    ➢ the Document Date;
    ➢ the Received Date;
    ➢ any fields specific to your municipality regulations are also be required.

Backlog scanning option is used if the document is not needed to be distributed to users and only needs to be filed, if check the Postmaster will not have it as a document to be disturbed in the Incoming Post Box.

Vital records is seen as documents which are vital to the existence of the organisation and is usually not disposed of, note that these documents are subject to reviews these review schedules are setup by the document administrator and will remind the records office of any documents that need to be reviewed.

The File Privileges section of this screen is used to exclude users from viewing this fax, if necessary, and to establish a link with any other documents already in the file structure that are related to this fax.

Documents which has been marked as not visible to certain user has a security classification and is also subject to reviews these review schedules are setup by the document administrator and will remind the records office of any documents that need to be reviewed.

10. To keep any specific user from being able to see this document, click on the 👥 users button.
Select the users who should not be able to see this email in the same manner as you select a recipient for a message or task.

11. To keep link this document to any other document already in IMIS-doc, click on the 🗋 button.

12. When done, click on the [Submit] button.

The document has been indexed successfully and can now be extracted from the File Plan by the other users with the privileges to view the document. On selecting Submit, the user will be taken back to start indexing the next document." (For more information, please refer to the relevant sections in your IMIS manual.

(Close extracts from IMIS manual)

2.2.2.2   Hard Copy procedure

2.2.2.2.1   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 split pin in the files and the control sheets completed. Under no circumstances may lose 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.

2.2.2.2.2   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.

2.2.2.2.3   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 it. If the file cannot be

found after repeated attempts, a duplicate file is opened by the Registry Clerk (TASK Clerk Filing and Archives) 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 to it.

2.2.2.2.4   The following papers are always sent through for attention without files: accounts, invoices, brochures, magazines and Government Gazettes.

2.2.2.2.5   Care must be taken to ensure that papers are neatly filed on the split pin. 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 (TASK Senior Administrative Officer Records) and the Chief Registry Clerk (TASK Clerk Filing and Archives) must ensure that the following policy of documents economy is carried out:

a)   Copies of reminders are not placed on files. Only the particular letter to which the reminder applies is endorsed;

b)   Excessive cross-filing and duplication of papers on files must be regularly guarded against. Where duplicates of an item are made for any reason, those unused should be filed separately in a folder and not on the file;

c)   Where identical letters are directed to more than one address, only one copy needs to be placed on the file, together with a list of the other addresses to which similar letters are sent; and

d)   Where a duplicate dispatch is made for the purpose of acknowledgement of receipt, the returned copy with the acknowledgement must be placed in the file and the previous copy is to be removed.

2.2.4   Numbering of items in files

2.2.4.1   **Electronic**

Each individual item is seen as an entity and is as such scanned as one document. Items are not numbered individually in electronic version.

2.2.4.2   **Hard Copy**

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.

2.2.5   **System of completing correspondence on files**

2.2.5.1   **Electronic**

(Begin : Extract from IMIS procedure manual)

(Please note that this section is dependant on the version of IMIS and can be outdated as the software is updated and new methods and user interaction introduced. For more information, please refer to the relevant section in your IMIS manual.)

Incoming Post

With the **IMIS-doc** module in place, the handling of paper copies of correspondence is reduced to the bare minimum. The **IMIS** Postmaster is responsible for all paper correspondence being scanned and uploaded to **IMIS-doc**. These documents are then electronically forwarded to the appropriate recipients, who will then receive it as an item in their **IMIS** Inbox. The recipient's part in this process is discussed as part of the following exercise:

Use your preferred method to go to the IMIS Inbox. Click on the Incoming Post folder in the Taskssection of the IMIS folder list. A list of all active Incoming Post items will be displayed for you toselect from, as illustrated below:
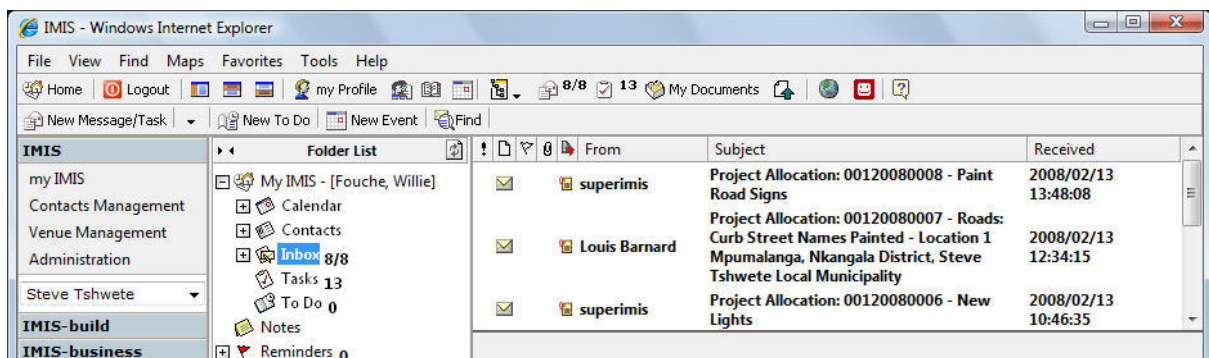
Click on the row displaying information about the Incoming Post item that you want to record progress on. The Incoming Post item will be displayed in the bottom frame on the right side of the screen.
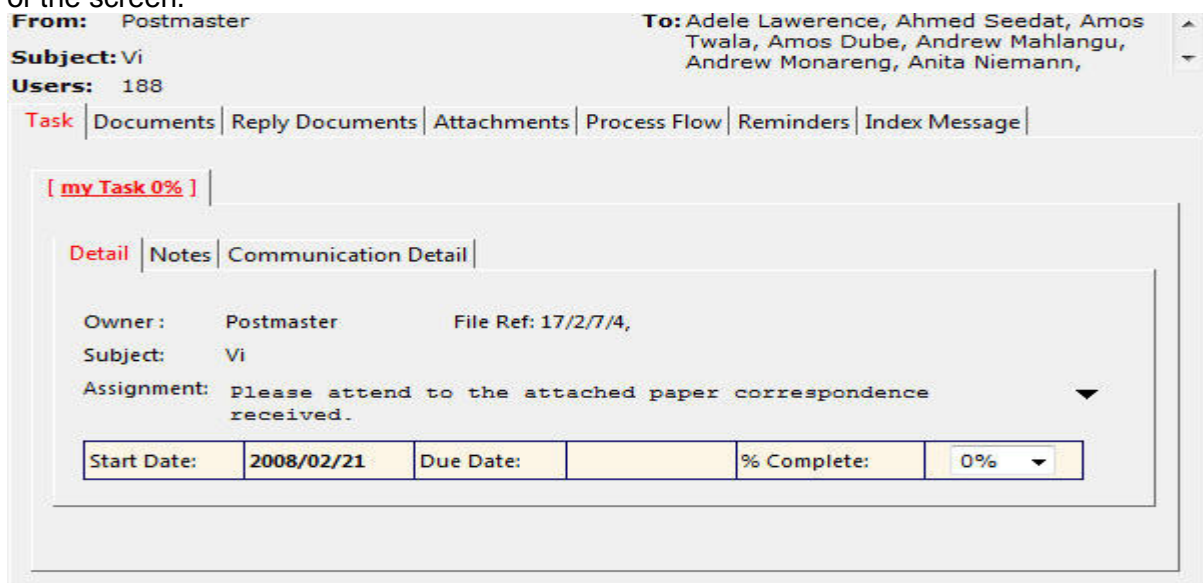
Click on the Task sub-tab. This tab displays information about the document-related task that was created when the Postmaster forwarded this document. It is dealt with in exactly the same manner as a General Task.

Click on the Documents tab. Information about the document is displayed on four tabs. The first tab displays a scanned image of the document, as shown in the following illustration:
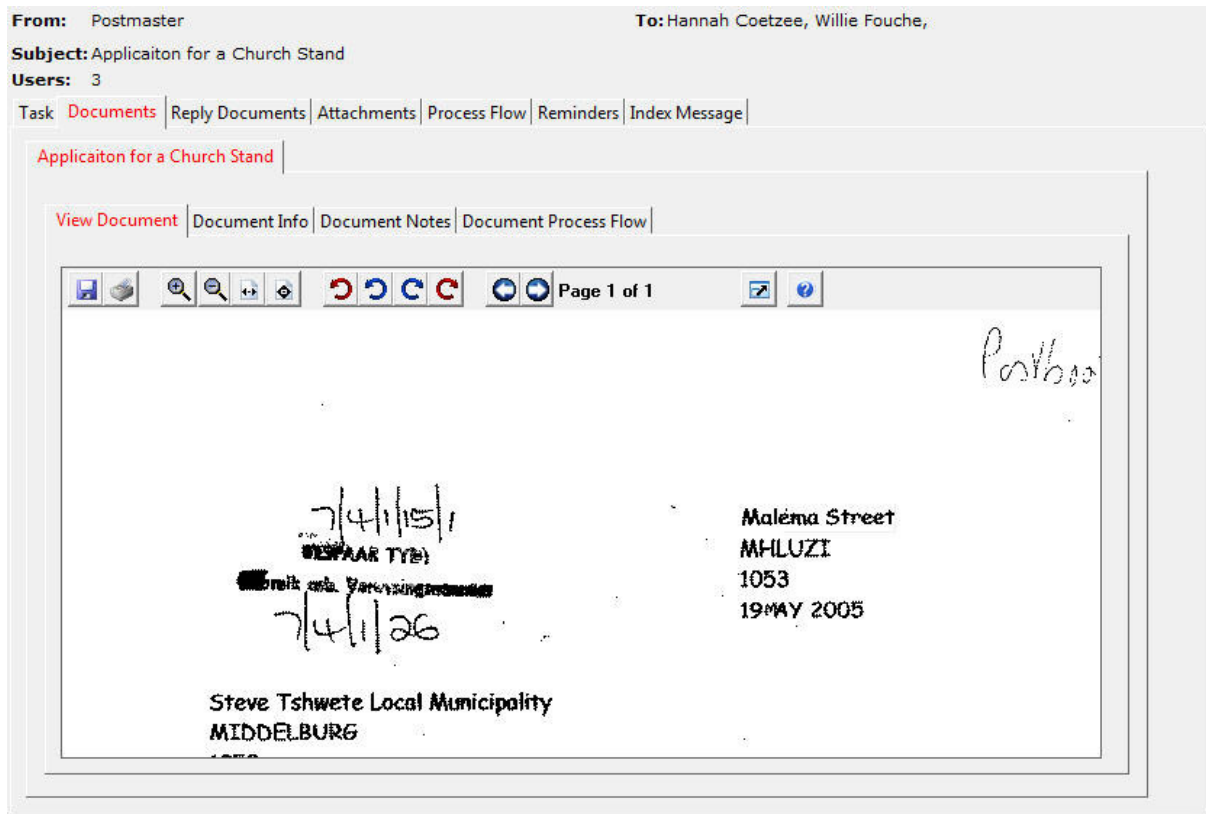
Click on the Document Info sub-tab. This tab displays what is referred to as the meta-data about the document. This includes information such as how the document was indexed, when it was written and when it was received, what type of document it is what language it was written in and all the other pieces of information relevant to that specific document, as shown in the following illustration:

From:	Postmaster		To: Hannah Coetzee, Willie Fouche,

Subject: Applicaiton for a Church Stand
Users: 3

Task | Documents | Reply Documents | Attachments | Process Flow | Reminders | Index Message |

Applicaiton for a Church Stand |

View Document | Document Info | Document Notes | Document Process Flow |

META DATA

Subject:		Applicaiton for a Church Stand		
Own Ref.:		7/4/1/15/1	Ref No.:	
Classification:		Application	Received:	15-07-2005
Type:		Letter	Doc Date	19-05-2005
Language:		English		
Origin:		From: SQ Lingwati: : SQ Lingwate		
File Plan:		BUILDINGS AND GROUNDS . Church Erven		
Capturer:		Eli Matji (EliM)		
Who may not View/Modify:		None		
Related Documents:		None		
Document Status:		Final Document		

Click on the Document Notes sub-tab. This tab allows you to record notes about the document. These notes can be classified as either private (for the user's eyes only) or public (anyone that has access to the document will be able to read the note). These notes are different from task notes and should only relate to the document itself.

The Task notes are only visible to the user who created them and the task originator and are only available on the Notes tab of the Task itself, whereas public notes recorded on the Document Notes tab will be visible to any user who is able to view the document.

Click on the Document Process Flow tab. This tab shows the progress of the document in the same manner as the Process Flow tabs on items such as General Tasks or Internal Messages.

(Close extracts from IMIS manual)

2.2.5.2   Hard Copy

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

2.2.5.2.2   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 each document to be filed consists of must be entered into the relevant column of the control sheet.

d.   The date on which the item is received, is written in the relevant column;

e.   The item is then marked out to the official who will receive it;

f.   If the item refers to previous correspondence, the relevant item number of that correspondence is placed in the relevant column;

g.   If the correspondence official makes a submission to his seniors, it is written on a new page with the following item number, and the details are written on the control sheet;

h.   When the original document is dealt with, in whatever manner, it is marked "file" with the correspondence official's signature, and date in the relevant column of the control sheet;

i.   Submissions which must circulate to various officials should be marked with only the following person's rank, or initials, in the relevant column. Officials who have already consulted the file must write their initials in the appropriate column, sign it off and put the date of completion in the relevant column.

j.   If the incoming correspondence resulted in a letter being dispatched, TWO signed and date stamped copies of the outgoing letter, must be sent to Registry for filing. One will be filed on the hard copy file (it must be marked "file") the other one will be filed on the Daily file, marked DF (Daily file)t.

2.3   Circulation of and search of files

2.3.1   Electronic

(Begin : Extract from IMIS procedure manual)

(Please note that this section is dependant on the version of IMIS and can be outdated as the software is updated and new methods and user interaction introduced. For more information, please refer to the relevant section in your IMIS manual.)

Distribute Post

This option is only available for the Postmaster. The Postmaster receives an electronic copy of all incoming paper correspondence, which is then listed in the Incoming Post folder of the **IMIS** – [Postmaster] section until it has been processed.

The documents reflected in the top frame are those that were scanned and indexed. The Postmaster must select the document, read the contents to see who should actually receive this post and then forward the post to the right recipient.

On submission, the recipient will receive a task with special reference to incoming post (see the section on the Inbox)

Upload Documents

IMIS-doc also provides the ability for users to upload documents, created on the user's own

computer, to the corporate database. The user needs sufficient knowledge of the corporate File Plan to be able to correctly determine where in the File Plan the document must be stored.

Compose Documents

Users have the ability to compose new documents via this features which is not linked to a Incoming Post Task, the method to do this is the same as discussed in the earlier Exercise except for the Task view to start the document, all draft and saved documents composed is located in My Documents.

2.3.1.1 Electronic

Content Search

The Content Search function allows you to search for a document on the system based on the content of the document.

File Plan Search

If you know where a document is located according to the File Plan, you can use the File Plan Search to locate and view that document.

Date Search

If you know what the subject recorded for a document is, and have a good idea of when it was received or what the date on the document is, you can use this facility to find the document.

Content Management Portal

Documents Portal

The document portal is located on the home page of IMIS. If the documents are set, the home page will display additional tabs containing the documents specified.

(For more information, please refer to the relevant sections in your **IMIS** manual).

(Close extracts from IMIS manual)

2.3.2 Hard copy

2.3.2.1   Once incoming mail is placed on files, they are placed in the internal out tray (Mailboxes). From here they are taken by the messengers and circulated amongst the various officials and sections.

2.3.2.2   Only in exceptional cases should the registry personnel be given the instruction to search for a file urgently.

2.3.2.3   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.

2.3.2.4 The offices are then systematically searched by the Registry Head (TASK Assistant Administrative Officer Records)/Registry Clerk (TASK Clerk Filing and Archives), and on finding the files the correspondence is placed on the files and the control sheets are completed. The officials dealing with the correspondence should be informed of the new correspondence 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 placed in his/her "in" tray.

2.3.2.5 Files should not be removed from an official's office without his/her knowledge. If he/she is absent, a note should be left stating where the files have been taken.

2.4   Outgoing Post

2.4.1 Registry officials should follow the instructions as contained in the Postal Guide and Financial Manual regarding matters such as postal tariffs, weight, measurement, packaging, registered post tariffs, etc, which are dealt with thoroughly in the Postal Guide.

2.4.2   Rules for Despatch

2.4.2.1 All files that contain post for despatch must be placed in his/her tray for "Post Files" by the correspondence official. From here it is taken by the Messenger/Service Officer and brought directly to a Registry Clerk (TASK Clerk Filing and Archives) in the Registry.

2.4.2.2 Officials must ensure that all post to be despatched reaches the registry before 11:00 daily. Post received after the given times will only be despatched the next time mail is posted. In cases where mail must be despatched urgently, but is not ready at the correct time the Chief Registry Clerk (TASK Clerk Filing and Archives) must be informed. Such post will be received and despatched later.

2.4.2.3 Letters and papers for despatch should neither be placed on top of files, nor attached in front of files with a paper clip, but should be folded neatly inside the file cover. This prevents outgoing post from being soiled, detached from the relevant file or torn while being handled.

2.4.2.4 The despatch of all post occurs from the despatch table in the registry and is carried out by the Registry Clerk (TASK Clerk Filing and Archives) or any other designated official who acts as despatch clerk. Files with post for despatch are placed in the despatch file tray by the messengers so that it is within reach of the despatch clerk.

2.4.2.5 After the despatch clerk 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 despatch 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 despatch is stamped in the registry.

2.4.2.7 Post ready for placing in envelopes is placed in the outgoing mail tray, while files are placed in the trolley/tray where they can be removed and filed by the Registry Clerk (TASK Clerk Filing and Archives).

2.4.2.8 Post should be placed for despatch in five (5) separate groups, viz.:

- Ordinary post which is delivered by the post office;
- Registered Post;
- Certified Post;
- Ordinary Post that reaches its destination by means of messenger deliveries;
- Ordinary post that reaches its destination by means of Courier Service.

2.4.2.9 To prevent the wasting of envelopes, post intended for despatch to individual institutions should be placed in separate trays. In this way several items can be placed in one envelope.

2.4.2.10 Correspondence officials who send letters through for despatch should note that, to save time with the writing of addresses on envelopes, window envelopes should be used.

2.4.3 Special despatches

2.4.3.1 The regulations contained in the postal guide should be adhered to strictly when dealing with all of the under-mentioned despatches. The following should apply:

2.4.3.2 Only important documents and correspondence which, for specific reasons, the addressee must sign receipt, should be sent by registered mail or courier service.

2.4.3.3 The official who wishes to have their mail registered should inform the registry accordingly and the Registry Clerk (TASK Clerk Filing and Archives) should:

- Ensure that the Registered mail label is placed on the envelope and that the envelope is properly sealed.

- Compile a list of the registered post in duplicate on the prescribed form. The form, the original and the duplicate should accompany the post to the post office where the original is removed and proof of receipt applied to the duplicate copy. The duplicate copy is pasted in the Registered Letter Register.

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 cupboard in the office of the Switchboard Operator and are only issued by the Switchboard Operator.

2.4.3.6   Post of 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 insured post.

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

2.4.3.8   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 in the case of door to door delivery. In the case of counter to counter delivery a post box or private bag no. is used.

2.4.3.9   Telegrams are only sent in very urgent cases. The length of the telegram must be kept to the absolute minimum and sent to a telegraphic address. No register is kept of telegrams despatched.

2.4.3.10   The sender makes up the parcels and the registry personnel attach only the necessary stamps, postage stamps etc. Ordinary parcels are placed together with the other post in the mailbag. For insured parcels, the same procedure applies as with insured letters (see par. 2.4.3.6 to 2.4.3.7), while insured parcels are handed in at the post office counter. The delivery receipt received for such a parcel is pasted on the file copy of the covering letter. This controls the despatch of the parcel.

2.4.4   Handling of secret/confidential postal articles

2.4.4.1   Electronic

Confidential documents are being blocked from view by the Postmaster before sending it out and only the officials who need to work on this will be able to open these documents.

2.4.4.2   Hard copy

2.4.4.2.1   Registry personnel without top/secret security clearance do not deal with secret/confidential papers in their normal day to day work. If a registry official should be given the task, all the precautions contained in the "Minimum Information Security Standard (MISS)" should be followed and the head of the office should issue the instruction personally, and in writing.

2.4.4.2.2   Secret files are protected and managed by the Municipal 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 for how long a document should be pended; they only carry out an instruction.

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 the due date.

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 the cabinets. Files pended for a particular day are drawn each day by the Registry Clerk (TASK Clerk Filing and Archives) at 14:45 just a day before the pended date. The messenger must ensure that the files are taken from registry before 08:30 on the day it was pended for.

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 intact, that the correspondence is placed neatly in the file, and the split pin correctly used. 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   Filing of incoming post as well as file copies of outgoing letters must be attended to in registry, but correspondence clerks must file their submissions themselves.

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

2.4.6.4   Documents must be filed in chronological order with the most recent date on top. An annexure or enclosure always forms part of the document with which it was received, regardless of the date thereon. The date of receipt, and not the date of dispatch, is used to file incoming papers. (See also par. 2.2.4.1.)

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

2.4.6.6   The files of the file plan are placed on the shelves numerically, according to the sequence of the Master copy. Personal files with reference to staff are filed numerically, according to the Personal number given to them by the Personnel Officer on date of appointment, e.g. SP – Salary Personnel, WP – Wages Personnel, in a locked cupboard in the safe. Loose Case Files are also filed numerically according to the Register of Files Opened.

2.5   Movement of files

2.5.1   The movement of files within the Department / Municipality is not controlled. Officials who need files from registry must use the following procedure:

     a.   No file may be personally removed from or replaced 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 ascription of the subject content or the file description;

     c.   Files should not be held up unnecessarily in offices, but should be returned to the registry as soon as possible. In cases where the matter cannot be attended to immediately, the file should be sent back to the registry until it is needed again; and

     d.   Files may not be removed from the building or sent through to another department / section without the consent of the Chief Registry Clerk (TASK Clerk Filing and Archives).

     e.   No file must be taken to another department without notifying the Registry Clerk (TASK Clerk Filing and Archives).

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.   A strip of cardboard, wide enough to fit in the file and long enough to wrap around both sides, is cut from file covers and placed beneath the

> correspondence in the file;

> b. The correspondence is then meticulously checked to ensure that each item is in place, and that no misplaced items appear on the file. The items in the file are then replaced on top of the cardboard strip. A clean sheet of paper is placed on the file with the words "Closed", see vol. 2" thereon;

> c. The cardboard strip is closed from the top and bottom covering the correspondence while the file is closed in the usual manner; 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 However, when case files are received during the transfer of functions, they may with written consent of the National Archives be incorporated in the filing system. They may be renumbered and further correspondence filed on them, provided that the file is still required for existing correspondence.
In cases where the file is no longer needed, it should be terminated and preserved as a separate entity.

2.6.2.3 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 are exempted from this condition.

2.6.2.4 All other items of records other than correspondence files, except map collections and 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 filing system or Record Control Schedule are preserved in a separate strong room. Under no circumstances should closed volumes of correspondence files be filed with current files on the shelves. This can lead to correspondence being accidentally placed on a closed volume, and not being finalised.

2.6.3.2 Closed and terminated correspondence files can be filed in corrugated cardboard boxes for protection against light, dust and disintegration. Containers of corrugated cardboard are used for the filing of files.

2.7 Keeping of Essential Registers/Schedules

2.7.1 Records Manager (TASK Senior Administrative Officer Records)

2.7.1.1   **The following essential registers/schedules are kept by the Records Manager (TASK Senior Administrative Officer Records)**:

    a.   The Master Copy of the file plan – this is the copy of the 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.

    c.   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;

    d.   Destruction Register – this is a register which records details of all records which must be destroyed; and

    e.   Disposal Authorities register – this is a register in which details of all disposal authorities received from the National Archivist are recorded.

2.7.2   Chief Registry Clerk (TASK Clerk Filing and Archives)

2.7.2.1 **The following essential registers are kept by the Registry Head (TASK Assistant Administrative Officer Records) I**:

    a.   Remittances received by post. This register must record all remittances received by post – whether by ordinary, registered of certified post;

    b.   Documents and correspondence received by registered and insured post. In this register, the number of the registered and/or insured item as well as the place of origin is noted. After receipt of the items, they are opened and details of the contents are entered into the register opposite the relevant slip number. If remittances are received, the details of the reference are entered into the remittance register;

    c. Items sent by registered post; and

    d. A Stamp Register / Franking Register.

2.8   Preparation and opening of file covers

2.8.1   Electronic

> (Begin : Extract from IMIS procedure manual)
>
> (Please note that this section is dependant on the version of IMIS and can be outdated as the software is updated and new methods and user interaction introduced. For more information, please refer to the relevant section in your IMIS manual.)

File Classification

New File Plan

All the actions taken in this section is only available to records authorized users. Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:

Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration will be displayed:
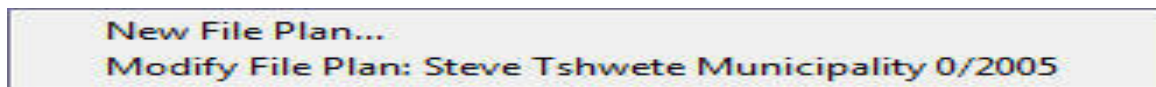
Select the "New File Plan ..." option from the sub menu. The following screen will be displayed:

Complete the form in full:
- Office: the name of the organization or if different file plans for other offices, the name of that office.
- Year: the year in which the file plan is started.
- Responsible person: being the Records Manager (TASK Senior Administrative Officer Records) or the System Administrator or another user who was mandated by a policy to execute certain actions on records within IMIS doc.
- Implementation date: the date from when the file plan will be in use.

Click the Submit button to complete the action.

Modify File Plan

Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:

Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:
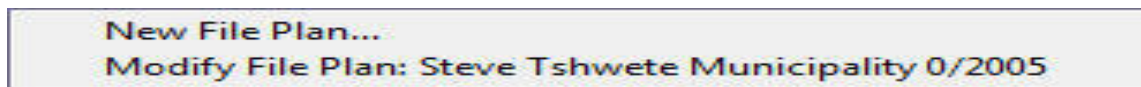
Select the "Modify File Plan: …" option from the sub menu. The following screen will be displayed if no File Plan was initially imported:

If the implementer did import a File Plan, the window will display as follows:
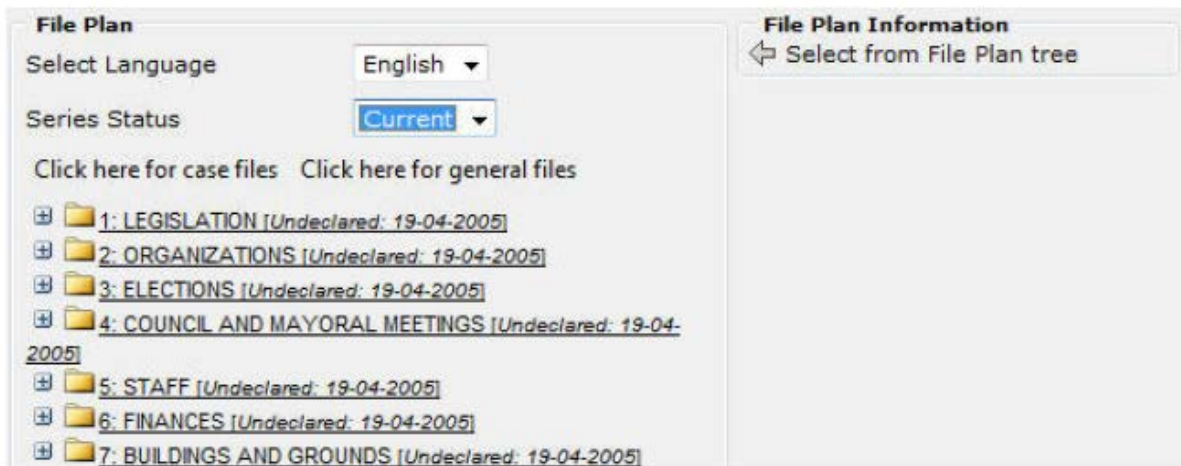
New Series Data

To start creating the file plan click the ![New Series Data] button in the toolbar. Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:

Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:
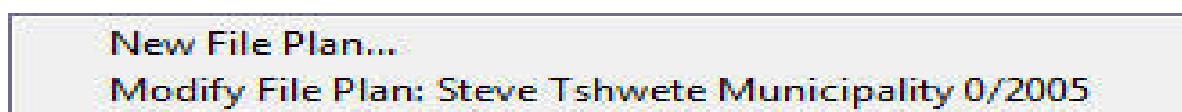
Select the "Modify File Plan: …" option from the sub menu. If the implementer did import a File Plan, the window will display as follows:

Select the option from the module toolbar. The screen will display as follows:

- o Type: Select the type of the main series

    - General: Files related to the functions of the office and not to individuals or institutions.
    - Case files: Files, which are kept for individual persons and institutions (see case file section for details on creation of these files).
    - Secret files: Files not viewable by any user other than the Records Manager (TASK Senior Administrative Officer Records).

- o **Number/Ref**: The consecutive number of the file.
- o **Title**: The subject of the file.
- o **Description**: Additional explanation of the file or general instruction related to the file.
   - o **Access Groups**: Groups set in section Administration are displayed here, select one or more groups who will have access to the contents of the file. To select more than one select the first and hold down the ctrl key and select another.
    - o **Disposal Issued**: If no disposal authorities have been issued and added in section Retention and Disposal only the unscheduled option will be available to select, otherwise a scheduled option will be additionally available (this option is used when disposal settings are set on the different series and sub-series).

Complete the form, click the ⬚ Submit ⬚ button and wait for the window to refresh to its original state. The new main series will now be available in the file plan.

Case Files

Case files are not numbered in the same manner as general and secret files and not displayed within the file plan. Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:

Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:

Select the "Modify File Plan: …" option from the sub menu. If the implementer did import a File Plan, the window will display as follows:

Select the option from the module toolbar. The screen will display as follows.

On selection of the "Case File" type in the main series, the window will display as follows:

Case files are not numbered in the same manner as general and secret files and not displayed within the file plan. It is numbered with a C behind the main number, which will by default start at 1 e.g. 01C. The title of the case file will be the type selection e.g. 01C Personal files. After creation of the case file a sub-series can be added to the main case file e.g. 01C/01 Anton du Preez, 01C/01/01 Correspondence (see new case file sub-series creation).

New Sub Series

This option allows you to add a new sub-series to the file plan. Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:
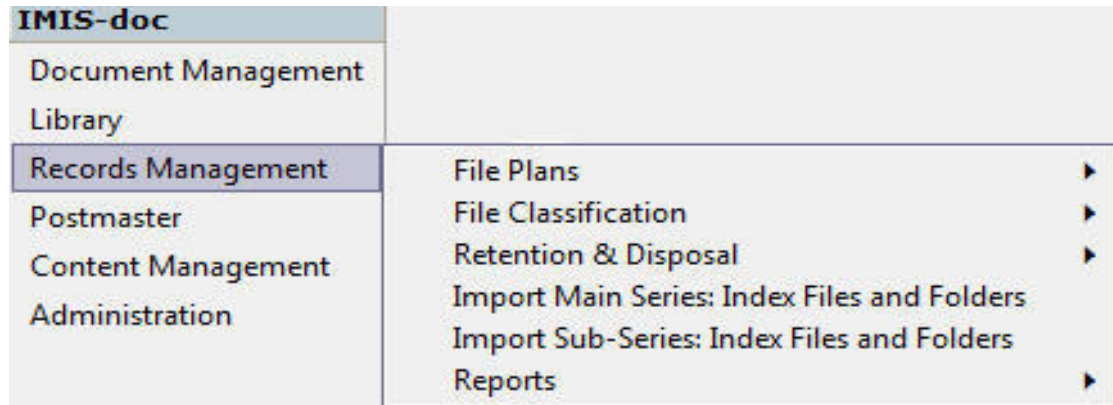
Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:
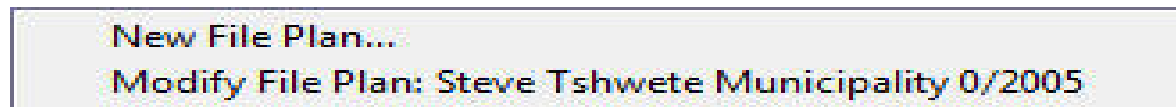
Select the "Modify File Plan: …" option from the sub menu. If the implementer did import a File Plan, the window will display as follows:
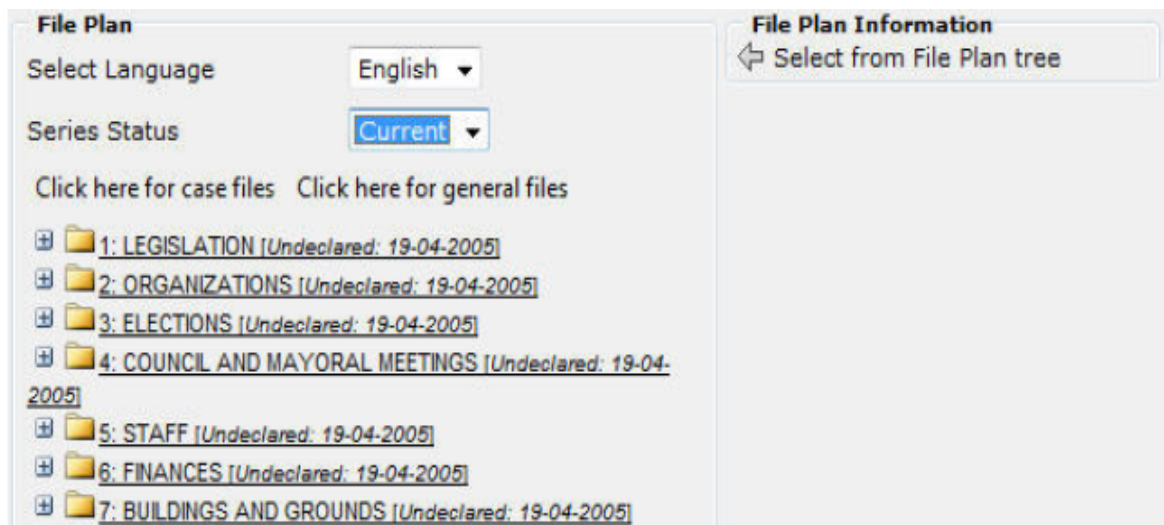
Select the **New Series Data** option from the module toolbar. The screen will display as follows:

Select the file that will be the parent for the new sub-series from the file plan displayed on the left side of the new series data window. The window will be refreshed as follows:

- Type: Select the type of the sub-series:
  - *General*: Files related to the functions of the office and not to individuals or institutions.
  - *Secret files*: Files not viewable by any user other than the Records Manager (TASK Senior Administrative Officer Records).
  - *Special files*: Files, whose numbering differs from the consecutive numbering of the general files, these include files for Policy, Routine Enquiries etc. number format e.g. 01/P and 01/R.

- Title/Heading: All underlined descriptions indicate subject headings only. Subdivisions must be made under these subject descriptions but NO FILE/VOLUME WILL BEOPENED FOR ANY UNDERLINED DESCRIPTION.

- Main Series: The number of the parent series selected from the file plan, this number is only for display purpose and will not be available to edit.

- Number: The consecutive number of the file. Note that if type special is selected the user will need to replace the ?? with the appropriate letter e.g. 01/?? Change to 01/R.

- Title: The subject of the file.

- Description: Additional explanation of the file or general instruction related to the file.

- Access Groups: Groups set in section Administration are displayed here; select one or more groups who will have access to the contents of the file. To select more than one select the first and hold down the ctrl key and select the other.

- Disposal Issued: If no disposal authorities have been issued and added in section Retention and Disposal only the unscheduled option will be available to select, otherwise a scheduled option will be additionally available (this option is used when disposal settings are set on the different series and sub-series).

Complete the form, click the [Submit] button and wait for the window to refresh to its original state. The new sub- series will now be available in the file plan

(For more information, please refer to the relevant sections in your IMIS manual).

Volume Cut-Off

Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:
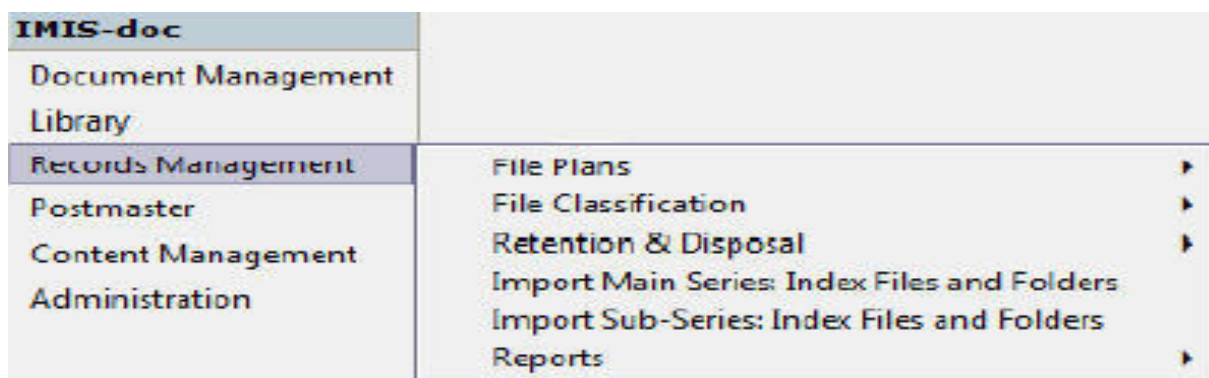
Select the "File Classification" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:
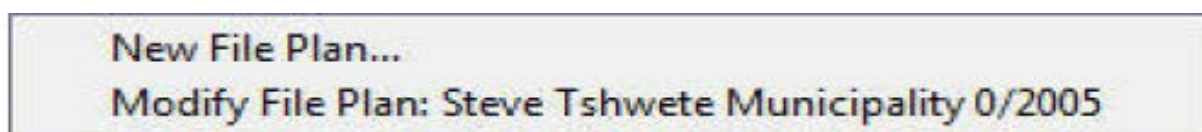
Select the "Modify File Plan: …" option from the sub menu. If the implementer did import a File Plan, the window will display as follows:
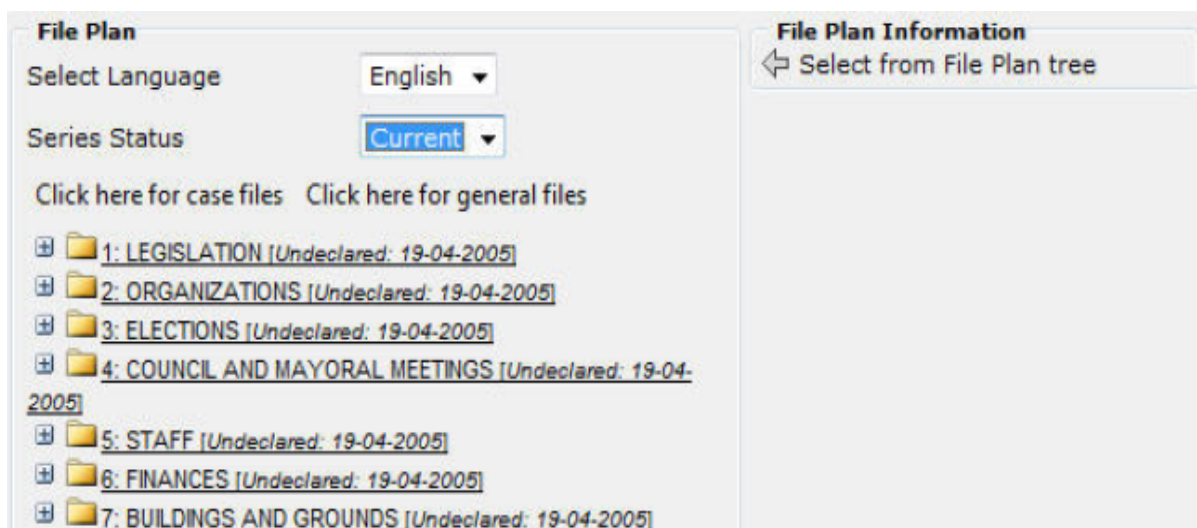
Browse through the series to view the applicable volume by clicking on the applicable series lines. The screen will display as follows:

To modify a volume cut-off, select the volume by clicking on it and click on the

 button in the module toolbar. The screen will be refreshed as follows:

o   Number: The number of the volume will increment according to the settings set in this section.

o   Status: The current status.

Select one of the following:

o   Date: The specified date to close the current volume and start a new volume.

o   Time Laps: Weekly, Monthly or annually close the current volume and create a new volume.

o   Number of Records: The number of physical records in the volume, the default cut-off setting is 255 records per volume.

Once cut-off instructions are set on a volume by clicking the button, the volume status will change to open; this volume will now be seen as a declared volume.

Close Volume

To close an open volume, select

(For more information, please refer to the relevant sections in your IMIS manual.)

(Close extracts from IMIS manual)

2.8.2   Hard Copy

2.8.2.1   File descriptions and numbers on files must be printed neatly and legibly with the aid of a stencil and a black ballpoint pen.

2.8.2.2   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. Where there is uncertainty as to the correct description, or where registry officials are unsure which components can be omitted, the final decision must be made by the Records Manager (TASK Senior Administrative Officer Records). At all times, correct spelling must be emphasized.

2.8.2.3   It should be indicated on the cover which volume of the file it is and, as soon as the second volume is opened, the first should be marked Vol. 1. Only Arabic numbers may be used for this purpose.

2.8.2.4   The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instruction that have not yet been approved by the National Archivist should not be recorded on these files.

2.8.2.5   Every file cover must be provided with a cardboard file backing and file 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, excluding confidential letters, are placed on the daily file. Copies of Notices of Salary Increases, personal confidential items do not appear on the daily file. The Records Manager (TASK Senior Administrative Officer Records) 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 Records Manager (TASK Senior Administrative Officer Records), who then checks that the correct file numbers have been allocated in all cases.

2.9.3   Officials must note that they may only keep daily files for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official and requested for further study later.

2.9.4   When the daily file is returned to Registry, it is filed for six months and then disposed of under Authority AD1.

3. MAINTANANCE OF THE FILING SYSTEMAND RECORDS CONTROL SCHEDULE

3.1 File Plan

3.1.1 The Records Manager (TASK Senior Administrative Officer Records) is responsible for the maintenance of the file plan. This includes:

a. Careful control over amendments and additions to the system to the plan to prevent its degeneration. The Records Manager (TASK Senior Administrative Officer Records) should approve all such amendments and additions him/herself and should add them personally to the Master Copy of the plan; and

b. Ensuring that correspondence is placed correctly prevents 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 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 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 incorrectly placed; and

c. The assurance that new descriptions satisfy the set requirements.

3.1.3 As soon as the Records Manager (TASK Senior Administrative Officer Records) has approved an addition or amendment, it must provisionally be inserted in the Master Copy and thereafter, reported to the Provincial Archivist. This reporting occurs, in the case of minor amendments and additions, every 2 months by means of a memorandum. These are numbered consecutively for every year (e.g. 3/2009; 4/2009) and are in stock in the registry. As soon as an amendment or addition is approved by the Records Manager (TASK Senior Administrative Officer Records), the Registry Official completes official amendments memorandums for each official who deals with correspondence and has a copy of the system at his/her disposal. The memos are then supplied to these officials to make the amendments to their systems. A copy of each memo is kept together and sent collectively to the Provincial Archivist.

3.1.4 In the event of wide-reaching amendments, the Records Manager (TASK Senior Administrative Officer Records) 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 (TASK Senior Administrative Officer Records) 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 to the system.

3.1.6 All correspondence concerning the file plan must be directed to the following address:

The Provincial Archivist
Private Bag X 9025
Cape Town
8000

3.2 **Records Control Schedule**

3.2.1 The Records Manager (TASK Senior Administrative Officer Records) 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. 3.1.6 for address).

3.3 **Separate Case Files**

3.3.1 All human resources related records are housed in the Department Human Resources.

3.3.2 All erf files related to the undermentioned towns are housed in the Department Planning and Development at the Velddrif Offices:

- Velddrif
- Dwarskersbos
- Laaiplek
- Redelinghuys
- Aurora

3.3.3 All erf files related to the undermentioned townsand contract regarding alienation of municipal property are housed in the Department Planning and Development at the Piketberg Offices:

- Piketberg
- Porterville
- Eendekuil

3.3.4 The registry personnel are responsible for full control and care of these files. Their existence is reflected in Register of Files Opened under the heading series of separate case files and the Registry Clerk (TASK Clerk Filing and Archives) is

responsible for ensuring that the list is updated regularly. All procedures and instructions which apply to the files in the filing system, also apply to all case files.

## 4.   DISPOSAL OF RECORDS

RETENTION AND DISPOSAL

A fundamental aspect of records management is the use of retention schedules to manage the disposal of records from operational systems. Disposal schedules define how long the records have to be kept by the system and how they may be disposed of. The disposal instructions and retention periods are applied to each subject file within the file plan. This means that all documents within that subject file carry the same disposal instruction and retention period. It also means that the disposal instruction and retention period apply to records in all formats relating to a subject.

> (Begin : Extract from IMIS procedure manual)
>
> (Please note that this section is dependent on the version of IMIS and can be outdated as the software is updated and new methods and user interaction introduced. For more information, please refer to the relevant section in your IMIS manual.)

Disposal Authorities

This option will allow you to create disposal authorities. Select the "Records Management" option in the IMIS-doc section of the IMIS Navigation Bar. The following sub-menu will be displayed:
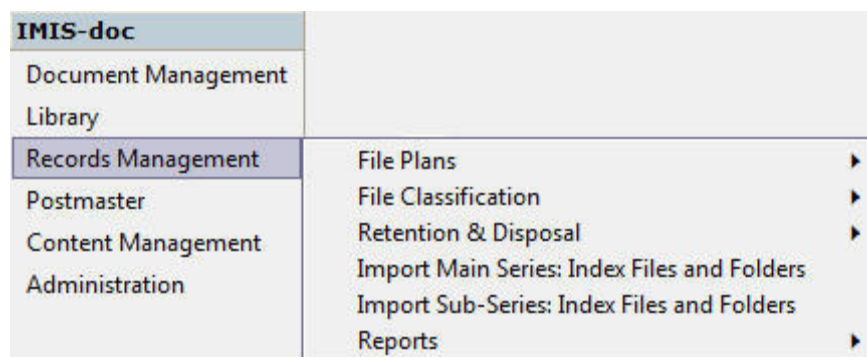
Select the "Retention & Disposal" option from the sub-menu. A sub menu, similar to the following illustration, listing the available File Plans will be displayed:
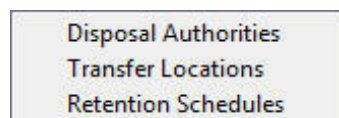
Select the "Disposal Authorities" option from the sub menu. The following screen will display:

To create new Disposal Authority complete form and click the [Submit] button.

- Authority: Title of the authority supplied by the NARS.
- Description: Additional information and instructions about the disposal of records classified within the disposal authority.
- Number: Official supplied authority number.

To Update a Disposal Authority select from list of created disposal authorities, update the form and click the [Submit] button.

(For more information, please refer to the relevant sections in your IMIS manual).

4.1   Disposal programme and destruction

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

A20 – for valuable records which must be transferred to the Western Cape 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;

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 (TASK Assistant Administrative Officer Records 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 the eleventh month of every year, by consulting the Destruction Register, the Records Manager (TASK Senior Administrative Officer Records) must remove all the files which can be destroyed, and make arrangements for their destruction / removal. 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 destructible records other than correspondence files are disposed of when instructed by the Records Manager (TASK Senior Administrative Officer Records). Nevertheless, it is the responsibility of the Records Manager (TASK Senior Administrative Officer Records) 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 Provincial Archivist. All authorities received from the Provincial Archivist, and details of the record to which they refer, must be recorded in the Disposal Authorities Register by the Registry Head (TASK Assistant Administrative Assistant Records).

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

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

Signature: _____

Capacity: _____

Date : _____

No.	Description	Authority

4.1.6 Records must be given 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 (TASK Senior Administrative Officer Records) after he has ascertained that the records in question have actually been destroyed.

4.1.8 The copies of these lists of destroyed records are preserved by Records Manager (TASK Senior Administrative Officer Records) 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 (TASK Senior Administrative Officer Records) 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 (TASK Senior Administrative Officer Records) and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the Provincial Archivist.

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 of South Africa Act (No. 43 of 1996) and "Wet op Provinsiale Argief en Rekorddiens van die Wes-Kaap (Wet no. 3 van 2003), be transferred to the Provincial Archives Repository if a period of 20 years has elapsed since the year in which the record came into existence.

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

Postal Address	**Street Address**
The Provincial Archivist	The Provincial Archivist
Private Bag X 9025	72 Roeland Street
Cape Town	Cape Town
8000	8001
Telephone: (021) 466 8100	

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

Only the Records Manager (TASK Senior Administrative Officer Records) is authorised to request files on loan and only his/her signature will be accepted for loan requests;

Correspondence officials who request files on loan must hand their written requests to registry. The requests must be filled in on the request forms of the Archives Repository, which are available in registry. However, the form mustnot be signed. That will be done by the Records Manager (TASK Senior Administrative Officer Records).

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. The messenger then takes the requests to the records centre from where the files can be collected. Files requested will be available in registry on the following week at 11:00 and 13:00.

Correspondence officials should note that files must be returned to the Archives Repository within 60 days. Files earmarked for return to the records centre, must be left in registry on the submission day. The messenger returns these files to the Archives Repository when he makes requests. The files which are returned are accompanied by a B.17 book in which they are entered. The person who receives them at the Archives repository 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 Archives repository; and

In emergencies files can be requested telephonically from the Archives Repository, 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   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 to the Archives Repository the following procedure is followed:

The Records Manager (TASK Senior Administrative Officer Records) 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;

The head of the relevant Repository will then indicate if he/she can receive them;

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

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

Name of body/office: _____

Street Address: _____

                       _____

Extent in linear meters: _____

Name of official transferring the records: _____

Capacity: _____

Telephone number: _____

Date: _____

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

Records are listed alphabetically or numerically;

Unbound records are either packed neatly and securely with the parcels clearly marked in order, or boxed (see par. 2.6.4.2) and numbered;

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

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

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.

4.2.5   Transfer occurs by road and the following procedure must be followed with regard to transport arrangements:

Call the Western Cape Provincial Archives for trunks for transporting the records if available.

Call for a courier service to transport the records to the Western Cape Provincial Archives and the costs borne by Bergrivier Municipality.

4.3   **Transfer from one office to another**

4.3.1   If records are transferred permanently to another body/office the Records Manager (TASK Senior Administrative Officer Records) must inform the Provincial Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted. (See also par. 2.6.3.1 – 2.6.3.3.)

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.

5.   **CONTROL AND PROTECTION OF RECORDS**

5.1   **Access**

5.1.1   Access to records in the office not normally open to members of the public is controlled by the Records Manager (TASK Senior Administrative Officer Records) in agreement with section 12 of the National Archives of South Africa Act (Act 43 of 1996) and the National Archivist's circular of 1969.

5.1.2 All requests from researchers and persons, who wish to consult records, must be submitted in writing. The Records Manager (TASK Senior Administrative Officer Records) 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 it in the libraries/any allocated office under the supervision of the Records Manager (TASK Senior Administrative Officer Records). In this manner the supervisor must note that:

a. the greatest care must be exercised in the handling of the records, especially when turning pages;

b. pages are not folded;

c. the researcher must place a piece of paper under his/her hand if he/she wishes to follow the section he/she is copying with his/her finger, so that his/her bare hand does not rest on the paper;

d. the researcher must only use a pencil to copy items;

e. the researcher must not disturb the order of the pages;

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 the Records Manager (TASK Senior Administrative Officer Records), who must also ensure that the relevant items are not damaged in the process; and

h. no researcher may remove any original items from the office for any reason at all.

5.1.4 Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties.

5.1.5 The Records Manager (TASK Senior Administrative Officer Records) must ensure that no unauthorised 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 strong rooms are locked during lunch and after office hours;

b. During office hours the registry must not be left unattended. If this does happen, the door must be locked;

c. The Records Manager (TASK Senior Administrative Officer Records) exercises control over all the keys; and

d. The registry and strong rooms may only be cleaned by cleaners while one or more 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 or strong rooms is strictly forbidden. Registry personnel may not smoke at their desks in the registry. And under no circumstances is smoking allowed amongst the shelves and cabinets where files are stored.

5.2.2   Only CO2 fire extinguishers may be used to extinguish a fire 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 12 months and the Records Manager (TASK Senior Administrative Officer Records) must ensure that it is actually done.

5.2.4   On appointment all registry staff 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 Records Manager (TASK Senior Administrative Officer Records) 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.

5.4   Pests and Plagues

5.4.1   The registry, and other areas where records are stored, must be regularly examined by the Records Manager (TASK Senior Administrative Officer Records) 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 Records Manager (TASK Senior Administrative Officer Records).

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. Spray with a high acid content or which releases acid should be avoided. The safety of personnel must also be taken into account. The Department of Agriculture should be consulted where uncertainty regarding the use of appropriate sprays is concerned.

5.5   Light

5.5.1   The lights in the registry or strong rooms must be switched off whenever nobody is present in the area. The lights between the shelves in the 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 or any other place where records are kept must be kept drawn 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 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 need to be replaced 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 cold drinks, etc. must not be placed on cabinets or on shelves where records are stored.

5.7 Electronic records systems

Electronic media needs special handling if electronic records are to be preserved for more than a short time. File custodians should know which files are permanent, what is to be done with them and when.

The following are general maintenance requirements.

5.7.1 Backup files onto disks often – preferably after every update. Systems administrators should perform periodic system-wide backups. Ideally, backups should be kept off site.

5.7.2 Do not use diskettes for long-term storage of permanent records.

5.7.3 Keep disk and tape drives clean and give them periodic preventative maintenance.

5.7.4 Keep diskettes and tapes away from strong electrical or magnetic fields.

5.7.5 Do not touch the recording surfaces of any diskettes; do not break open their outer shell.

5.7.6 Do not allow unauthorised persons to have access to the computer\server or to the diskettes or tape files and records. Even people with good intentions can enter commands that will delete files or reformat hard disks.

5.7.7 Keep food and drink away from storage media as well as equipment.

5.7.8 Store disks and tapes in a vertical position in a storage container.

5.7.9 Store diskettes under normal office conditions, taking care to avoid extreme fluctuations in temperature and humidity if possible. Data processing facilities storing magnetic tapes containing permanent or unscheduled records need to take account of the following points:

5.7.9.1 Store magnetic tapes in a dust-free environment at a constant temperature between 18-20 degrees Celsius and at a constant humidity between 35 and 45 percent.

5.7.9.2 Read annually a statistical sample of all permanent and unscheduled data sets stored on magnetic tape to detect any loss of data.

5.7.9.3 Periodically rewind tapes at constant tension, at normal tape speed.

5.7.9.4 Copy data on the tapes to new or re-certified tapes at least once every ten years or more frequently when necessary to prevent the physical loss of data or technological obsolescence of the medium.

6.   TRAINING OF REGISTRY PERSONNEL

6.1   The Records Manager (TASK Senior Administrative Officer Records) must attend the Records Management Course presented by the Provincial Archives to receive the correct training for his/ her various tasks. The other registry staff should, however, be trained by the Records Manager (TASK Senior Administrative Officer Records).

6.2   In-service training under the Records Manager (TASK Senior Administrative Officer Records) occurs during the normal execution of duties and is conducted along the lines of the Registry Manual on a daily basis. Officials undergoing training write tests whenever and if necessary to test their knowledge.

6.3   Training on the electronic records management system for the administrator and all users must be done by the Service Provider. New additions and versions of the systems must be relayed back to the Records Manager (TASK Senior Administrative Officer Records) and Registry Head (TASK Assistant Administrative officer Records) who will train/inform the other registry staff.