

# **DR NKOSAZANA DLAMINI ZUMA MUNICIPALITY**



## **RECORDS MANAGEMENT PROCEDURE MANUAL**

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**“FUNCTIONAL AREA: CORPORATE SERVICES”**

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## 1. DEFINITIONS

- 1.1. **ARCHIVES REPOSITORY:** The building in which records with archival value are preserved permanently.
- 1.2. **AUTHENTIC RECORDS:** Are records that can be proven what they supposed to be. They are records that are considered by the creators to be their official records.
- 1.3. **CORRESPONDENCE SYSTEM:** A set of paper-based, electronic communications, associated documents, sent received, generated processed and stored during the conduct of business.
- 1.4. **CUSTODY:** The control of records based upon their physical possession.
- 1.5. **DISPOSAL:** The action of destroying /deleting a record or transferring it to an archives repository.
- 1.6. **DISPOSAL AUTHORITY:** A written authority issued by the Provincial Archivist specifying which records should be transferred into archival custody or specifying which records can be destroyed/deleted or otherwise disposed of
- 1.7. **DISPOSAL AUTHORITY NUMBER:** A unique number identifying each disposal authority issued to a specific office.
- 1.8. **ELECTRONIC RECORDS:** Information which is generated electronically and stored by means of computer technology. Electronic records can consist of an electronic correspondence system and electronic record system other than the correspondence system.
- 1.9. **FILE PLAN:** A pre-determined classification plan by which records are filed and or electronically indexed to facilitate efficient retrieval and disposal of records.
- 1.10. **FILE SYSTEM:** The collective noun for storage (files, boxes, shelves, or electronic applications and storage systems) in which records are stored in a systematic manner according to a file plan.
- 1.11. **NON –ARCHIVAL RECORDS:** Records with a short-lived interest or usefulness.
- 1.12. **PUBLIC RECORD:** A record created or received by governmental body in pursuance of its activities, regardless of form or medium.
- 1.13. **RECORDS OTHER THAN CORRESPONDANCE SYSTEM:** Records that do not form part of a correspondence file or a case file e.g. maps plans electronic records audio –visual records, registers etc.
- 1.14. **RECORD:** A) Recorded information regardless of form or medium

- B) evidence of a transaction, preserved for the evidential information.
- 1.15 **RECORDS CLASSIFICATION SYSTEM:** A plan for systematic identification and arrangement of business activities and /or records into categories according to logically structured conventions, methods and rules represented in the classification system.
- 1.16. **RECORDING:** Anything on which sounds and images or both are fixed and from which sounds or images or both are capable of being reproduced, regardless of form.
- 1.17. **RECORDS KEEPING:** Making and maintaining complete, accurate and reliable evidence of official business in the form of recorded information
- 1.18. **RECORDS MANAGEMENT:** is a process of ensuring the proper creation, maintenance, use and disposal of records throughout their life cycle to achieve efficient, transparent and accountable governance.
- 1.19. **RETENTION PERIOD:** The length of time that records should be retained in the office before they are either transferred into archival custody or destroy.
- 1.20. **SCHEDULE FOR RECORDS OTHER THAN A CORRESPONDENCE SYSTEMS:**  
A control mechanism for record other than correspondence files which contain a description and the disposal instructions and retention period of all records. It consists of the following parts:  
Schedule for paper- based records other than correspondence files  
Schedule for electronic records system other than the electronic correspondence system.  
Schedule for microfilm records  
Schedule for audio-visual records

## 2. REGISTRY PROCEDURE MANUAL

### 2.1. INTRODUCTION

- 2.1.1. Every governmental body which falls under the stipulations of the KZN Archives of South Africa Act (No. 08 of 2011) is required to compile a Registry Procedure Manual and submit it to the Provincial Archivist for approval.
- 2.1.2. The attached procedure manual is designed to serve as a detailed basis for compiling a manual for the **Dr Nkosazana Dlamini Zuma Local Municipality**. This manual has been specifically tailor made to suit the needs and requirements of the Dr Nkosazana Dlamini Zuma Local Municipality.

#### a. MANUAL COMPILATION

- b. The records management procedure Manual deals with the procedures and methods that apply to Dr Nkosazana Dlamini Zuma Municipality. In compiling this manual, the NDZ Municipality would have considered its own needs, and broaden, alter or even digress from the stipulated procedures when necessary.
  - c. The registry manual describes in detail the registry and records management procedures that are applicable to the NDZ Local Municipality and has been compiled in a manner that will be used for the training of registry staff.
  - d. Once completed the Records Manager will submit their draft records procedure manuals to KZN Archives for approval.
- The Head : Pietermaritzburg Archives Repository  
Private Bag X9012  
PIETERMARITZBURG  
3200
- e. All deviations from the procedures included in the KZN Archives prototype will be thoroughly motivated when submitted.
  - f. A copy of the final approved Records Procedure Manual will be submitted for preservation to the Provincial Archivist and must be updated with additions and amendments.
  - g. The Records Manager and the Senior Admin Officer keep an updated copy of the manual in his /her possession at all times.

### **3. SUPERVISORY OFFICIAL**

#### **3.1. Records Manager**

3.1.1. The overall control, preservation and care of the municipalities/office's correspondence files and records other than correspondence files rest with the Records Manager. The concept "records" includes all documents and papers that are received or created in the process of running an office.

#### **3.1.2. Official Mayoral Correspondence**

3.1.3. The Records Manager also exercises overall control of all the activities of the registry and junior personnel in the office. No procedural amendments concerning any records management practices will be implemented without the knowledge and/ or consent of the Records Manager. The various departments and sections which use the records other than correspondence files may store them in their respective offices, however the Records Manager is responsible for control over them and should have access to them at all times.

3.1.4. The Records Manager is solely responsible for the following non-delegable duties:

- a) Control of the maintenance and application of the filing system and the Records Control Schedule;
- b) Disposal of all records;
- c) Control over and safe preservation of all records;
- d) Training of Registry staff; and
- e) The application of Records Management policy of document
- f) Conducting internal inspections and submitting a Bi monthly report to archives
- g) Implementation of the filing system

3.1.5. If any of the duties mentioned in par. 3.1.4 need to be delegated during the absence of the official, it should be assigned to a person with a similar or higher rank, but under no circumstances to the Senior Records Officer

#### **3.2. The duties of the Chief Registry Official rest with the Senior Admin Officer**

3.2.1. The **Senior Records Officer/Senior Admin Officer** is responsible for the administration of, and supervising the administration of, all registry procedures, as stipulated in **par. 2.1.1** 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**. No other task should be entrusted to the Senior Records Officer or Registry Officer without the permission/knowledge of the Records Manager.

#### **4. REGISTRY PROCEDURES**

##### **4.1. Receipt of post, parcels and remittances/transferable items**

###### **4.1.1. Procedures regarding the mailbag**

4.1.1.1. The mailbag is collected in the morning at 11a.m by the Messenger Driver from the post office. Post is sorted and appropriately dispatched, while outgoing post is sealed and stamped. The mailbag is returned to the post office at 12:00. a.m. with the outgoing post. Due to the size of the municipality the post is collected for a second time at 14:30 p.m. and the post is sorted again. At 15:30 it is returned for the last time to the post office with the outgoing post, where it remains until the following morning.

4.1.1.2. The key for the mailbag is stored safely in the Central Registry by the **Records Officer / Registry Clerk**

###### **4.1.2. Private post**

4.1.2.1. Officials and employees must be informed that the office address may only be used for official correspondence, if it is avoidable. Preferably, no private post should be handled by the registry.

4.1.2.2. 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.

4.1.2.3. The Registry accepts no responsibility for private post.

###### **4.1.3. Receipt, sorting and opening of post**

###### **4.1.3.1. Receipt of mailbag**

4.1.3.1.1. It is a requirement that mail collected from the post office has to be carried in a sealed bag. Thus, mailbags are always sealed by the post office prior to being handed over.



- 4.1.3.1.2. When the mailbag is received in registry, it must be opened and emptied by the Senior Registry, Records Officer and Registry Clerk.
- 4.1.3.1.3. 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 official.
- 4.1.3.1.4. In cases where one or all of the officials mentioned in par. 4.1.3.1.3 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.
- 4.1.3.1.5. Under no circumstances may only one person open post and messengers are not permitted to help with the opening of post.
- 4.1.3.1.6. Incoming post is opened two time(s) a day, at 11:30 a.m. and 14:30 p.m. All official post and letters received while post is not being opened are locked away unopened in Registry until the post is opened again. However, post which is marked urgent, as **well as faxes/fax to emails messages and express letters** should be attended to immediately on receipt.

#### **4.1.3.1.2. Sorting of post**

- 4.1.3.1.2.1. Official letters addressed to persons by name are delivered to them unopened. However, if an official envelope is only marked for the attention of a particular person, it is opened by the registry personnel and dealt with in the usual manner.
- 4.1.3.1.2.2. Secret and confidential envelopes are delivered unopened to the Records Manager who has been assigned this purpose. After these items have been handed over to the abovementioned official, the registry accepts no further responsibility for them.
- 4.1.3.1.2.3. All envelopes which indicate that the correspondence concerns staff matters are delivered unopened to Human Resource Officer.

#### **4.1.3.1.3. Procedure for opening post**

- 4.1.3.1.3.1. The registry is closed from 11:30 a.m. to 11:45 a.m. and again from 14:30 p.m. to 14:45 p.m. 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.

- 4.1.3.1.3.2. Post is opened only on the Senior Registry Officer/ Senior Admin Officer's desk and should be moved as little as possible from one table to another.
- 4.1.3.1.3.3. 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:
- Tenders are placed in the tender box at Reception which is locked at all times
  - SCM Manager collects the tenders
  - Tenders are then opened in the presence of the tenderers
  - All opened tenders are recorded in the tender register
  - Following the completion tender processes (evaluation and adjudication) the tender documentation is submitted to registry for filing.
  - All the tender documents are filed numerically according to the tender numbers.
- 4.1.3.1.3.4. Envelopes of unclaimed/undeliverable and incorrect letters are attached to the letter and submitted back to the post office daily.
- 4.1.3.1.3.5. After the letters have been removed from the envelopes, they must be opened immediately and read to ensure that any annexures and monies referred to have actually been enclosed. If such items are missing, this must be neatly noted in the margin of the letter and initialed. In cases where money is missing or the amount differs from that mentioned in the letter, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter or, in the case of bulky annexures, tied with string. When attaching documents care must be taken with original documents that are valuable to the sender, e.g. educational certificates, to ensure that they are not damaged by pins or anything else.
- 4.1.3.1.3.6. Registered and certified postal articles are treated in the same manner as ordinary post. These articles should be recorded in the register kept for this purpose.
- 4.1.3.1.3.7. Incoming parcels are opened and dealt with in the same manner as incoming post.
- 4.1.3.1.3.8. Incorrectly delivered post is returned to the mail-bag.
- 4.1.3.1.3.9. Incoming telegrams, telex messages and express letters should immediately be opened by the **Registry Clerk, Records Officer** and **Senior Registry Officer**. It must then be decided whether the article should be delivered with or without the relevant file. If the file is not

immediately available, the article must be shown to the official concerned and his/her further instructions be obtained thereon. The files to which such items are attached must be delivered immediately by hand to the Manager.

#### 4.1.4. Receipt and handling of remittances/transferable items

- 4.1.4.1. Letters enclosed with money or transferable items must be immediately separated from the other post once it has been opened and handed to **Senior Registry Officer/ Senior Admin Officer** who notes it in the remittance register.
- 4.1.4.2. Money which is either not enclosed or does not correspond with the amount mentioned in the letter, must be noted in the margin and initialed by both officials opening the post.
- 4.1.4.3. 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.
- 4.1.4.4. The Records Manager 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. She must sign the register in the last column to indicate that this has been done.
- 4.1.4.5. Before a remittance register is brought into use the **Senior Registry Officer** being must ensure that all the pages have been numbered consecutively throughout; and **Records Manager** being responsible for checking the register, during the course of his check must verify that no pages have been removed from the register.
- 4.1.4.6. In the case of registered and certified mail, the date of receipt and number of the advice slip of the relevant articles must be recorded in a separate register. The advice slip, issued by the post office, should be signed in order for the article to be cleared. Once the articles have been collected, the officials responsible for opening the mail must compare them with the

entries in the register. Each article prior to opening must be carefully examined for evidence of tampering. If they contain remittances or transferable items, these must be recorded in the remittance register.

- 4.1.4.7. Officials receiving remittances that have been 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.
  - 4.1.4.8. 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.
  - 4.1.4.9. 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 official capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words "not negotiable" across the face of the item. This instruction does not apply to the case of warrant vouchers specially drawn for encashment.
  - 4.1.4.10. 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."
- 4.1.5. Filing of post**
- 4.1.5.1. Application of date stamp and reference number**
    - 4.1.5.1.1. The date stamp is only applied to the first page of a letter. No annexures and/or letter pages are stamped.
    - 4.1.5.1.2. 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 over as it could make important information illegible.
    - 4.1.5.1.3. Cheques are stamped on the back.
    - 4.1.5.1.4. Opened post should immediately be divided into three groups, namely those on which the office reference number already appears, those that do not need any reference number, and those to which a reference number must be allocated.
    - 4.1.5.1.5. The following items receive no file numbers:

- 4.1.5.1.5.1 When a file number is allocated to a particular letter, it is written in the top right hand corner, and the letter is given to the officials responsible for drawing or locating the files.
- 4.1.5.1.5.2 Letters to which reference numbers must be allocated are dealt with as follows:
- a) The Records Officer/Registry Clerk reads the letters thoroughly and carefully to determine precisely what it deals with. Under no circumstances should the subject be determined simply from the letter heading. The latter can be misleading.
  - b) Only 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 Senior Registry Officer and Records Manager should be consulted.
- 4.1.5.1.6 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.
- 4.1.5.1.7 Officials working with correspondence must also ensure that the correspondence they deal with is placed on the correct files. In cases where there is disagreement about the allocation of a file number, or the correctness of a given number, it should immediately be discussed with the Senior Registry Officials.
- 4.1.5.1.8 Reference numbers in respect of personal papers of staff are allocated as follows:
- a) All personal papers of staff are submitted to the HR Office.
  - b) The HR Office will accordingly distribute to the respective department and staff members
- 4.1.6 Correct and neat filing**
- 4.1.6.1 Once the reference numbers have been allocated to the incoming post, the relevant files are determined and drawn according to the procedures explained hereunder. The papers in question are filed on the split pin in the files and the control sheets completed. Under no circumstances may loose papers be circulated either in the file cover or pinned to the front of the file, since correspondence can be damaged and soiled in this way.
- 4.1.6.2 Documents which must be sent back to a person, e.g. certificates, wills, copies of deeds, etc., should be placed in an envelope and pinned to the right hand side (flyleaf) of the file cover. 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 **Senior Registry Officer** 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.

4.1.6.3 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.

#### **4.1.7. Application of a policy of document economy**

4.1.7.1. The Records Manager and Senior Registry Officer must ensure that the following policy of document economy is carried out:

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

#### **4.1.8. Folio numbers in files**

4.1.8.1. Each individual item placed on a file should have the folio numbers. The item is seen as an entity and receives only one folio 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.

#### **4.1.9. System of completing correspondence on files**

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

4.1.9.2. 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 item number on the file and enter the number in the first column on the control sheet;



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

#### **4.1.10. Circulation of and search for files**

- 4.1.10.1 Once incoming mail is placed on the files, they are placed in the Registry outgoing tray from here they are taken by the messengers and to the Manager's office
- 4.1.10.2. Only in exceptional cases should the registry personnel be given the instruction to search for a file urgently.
- 4.1.10.3. Once the registry personnel have drawn and dealt with the files in registry, as mentioned, a search 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.
- 4.1.10.4. There should be a turnaround time within which the correspondence is addressed
- 4.1.10.5. All correspondence responded to must be returned to the original registry file.
- 4.1.10.6. Files moving inter-departmentally must be dealt with via registry
- 4.1.10.7. The offices are then systematically searched by the Registry Clerk, the correspondence is placed on the files and the control sheets are completed. The officials dealing with correspondence should be informed of the new correspondence being added to the file. If the official is not in his/ her office at the time, the file on which the new correspondence has been filed is simply replaced in his/her "in" tray.

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

## **4.2. Outgoing post**

### **4.2.1. Instructions contained in the Postal Guide and Financial Manual**

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

### **4.2.2. Rules for dispatch**

- 4.2.2.1. All files that contain post for dispatch must be placed in her tray for "post files" by the correspondence official. From here it is taken by the **Messenger** and brought directly to the **Registry Official** in the registry.
- 4.2.2.2. Officials must ensure that all post to be dispatched, reaches the registry before 10:30 a.m. Post received after the given times will only be dispatched the next time that mail is posted. In cases where post must be dispatched urgently, but is not ready at the correct time, the Records Officer should be informed. Such post will be received and dispatched later.
- 4.2.2.3. Letters and papers for dispatch should neither be placed on top of files, nor attached in front with a paperclip, but should be folded neatly in the file cover. This prevents outgoing papers from being soiled, detached from the relevant file or torn while being handled.
- 4.2.2.4. The dispatch of all post occurs from 11: a.m. in the registry and is carried out by registry officer/clerk who acts as dispatch officer. Files with post for dispatch are placed at registry by the messengers so that it is within reach of the dispatch clerk.
- 4.2.2.5. The back of the envelopes should be stamped with the official stamp for all outgoing letters.
- 4.2.2.6. After the dispatch 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.
- 4.2.2.7. The date of dispatch should not be typed on the letters, as the correspondence may not be posted on the same day, and alterations will then have to be made. The date of dispatch is stamped in the registry.



- 4.2.2.8. Post ready for placing in envelopes is placed on the outgoing tray, while files are placed on filling tray where they can be removed and filed by Registry Officer
- 4.2.2.9. Post should be placed for dispatch in four separate groups, viz.:
- a) Ordinary post which is sent by the post office;
  - b) Registered post;
  - c) Certified post; and
  - d) Ordinary post which reaches its destination by means of messenger deliveries.
- 4.2.2.10. To prevent the wasting of envelopes, post intended for dispatch to post should be placed in separate trays. In this way several items can be placed together in one envelope.
- 4.2.2.11. Correspondence clerks who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) and address stamps (for organizations and offices with whom they correspond frequently) should be used.
- 4.2.3. Special dispatches**
- 4.2.3.1. The regulations contained in the Postal Guide should be adhered to strictly when dealing with all of the under mentioned dispatches. Furthermore, the following apply.
- 4.2.3.2. Only important documents and correspondence which, for specific reasons, the addressee must sign should be sent by registered post.
- 4.2.3.3. The official who sends registered post should:
- a) ensure that special registered post envelopes are used and properly sealed;
  - b) stick a registry label in the top left corner of the addressed face;
  - c) Compile a list of the registered post in duplicate on form Z.209. The book should accompany the post to the post office where the original list is removed and proof of receipt applied to the duplicate copy.
- 4.2.3.4. All registered post should be handed over at the post office counter and must not be placed in the mailbag.
- 4.2.3.5. Labels for registered post are locked in Central Registry and are only issued by **Senior Registry Officer/Registry officer**.
- 4.2.3.6. 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 certified post.

- 4.2.3.7. The certified post label is glued in the left upper corner of the address face of the envelope, while the duplicate is glued to the file copy of the letter. Certified post is placed in the mailbag with ordinary post and not recorded in a register.
- 4.2.3.8. 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.
- 4.2.3.9. Telegrams are only sent in very urgent cases. The length of a telegram must be kept to the absolute minimum and sent to a telegraphic address. No register is kept for telegrams dispatched.
- 4.2.3.10. The Municipal staff 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 certified parcels, the same procedure applies as with certified letters, while insured parcels are handed in at the post office counter. The delivery receipt received for such a parcel is glued on the file copy of the covering letter. This controls the dispatch of the parcel.
- 4.2.4. Handling of secret/ confidential postal articles**
- 4.2.4.1. Registry personnel 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 "Guide for Security Measures for the Protection of State Secrets" (EM 9/12) should be followed and the head of the office should issue the instruction personally, and in writing.
- 4.2.4.2. Secret files are protected and managed by Security Manager and the registry carries no responsibility for them.
- 4.2.5. Pending of papers**
- 4.2.5.1. 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.
- 4.2.5.2. The dispatch of reminders i.r.o. pended items is the responsibility of the relevant correspondence official.
- 4.2.5.3. 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 pending 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 16:00.

4.2.5.4. 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. Files pended for a particular day are drawn each day by Senior Records Officer at Central Registry. The messengers must ensure that the files are taken from registry to reach the correspondence clerks before

#### **4.2.6. Filing of correspondences and replacing of files**

- 4.2.6.1. 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 on the file, and the split pin is in one piece. All of these shortcomings must be corrected before a file is replaced;
  - c) Pins and paper-clips are removed, as they can rust and thus damage the documents; and
  - d) A file is not thicker than 3cm and not more than 200 pages. When a file reaches this thickness, it should be closed and the next volume opened.
- 4.2.6.2. 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.
- 4.2.6.3. 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.
- 4.2.6.4. 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.
- 4.2.6.5. 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 as the words "Annexure file". No correspondence may be placed on this file.

- 4.2.6.6. The files of the filing system are placed on the shelves numerically, according to the sequence of the Master Copy. Personal files with reference to staff are filed alphabetically according to series (SP, ST, and SV). Loose case files are filed in the Human Resources Office.

### **4.3. Movement of Files**

- 4.3.1. The movement of files within the different departments 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
- b) returned at the counter in the registry and are supplied, and replaced again only by the registry personnel;
- c) Files should be requested by providing the file number only, and not the description of the subject content or the file description;
- d) 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
- e) Files may not be removed from the building or sent through to the satellite offices without the consent of the Records Manager.
- f) Files may not be taken home.

- 4.3.2. Only the movement of files leaving the building or being sent through to satellite offices is monitored. For this purpose, a card with the following information is placed in the usual space of the file with the following:

- a) File number
- b) Where sent to
- c) Date of dispatch Files returned from other sections must immediately be brought to the attention of the registry personnel so that the card may be removed. Specially prepared cards are available in registry for this purpose.

### **4.4. Closure and termination of files and records other than correspondence files**

#### **4.4.1. Closure at 3cm thickness**

- 4.4.1.1. Files should not be allowed to become more than **3cm** thick.

- 4.4.1.2. 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 17 vol. "2", which is also written on the file cover. The volumes are numbered consecutively. Letters and roman numerals must not be used

4.4.1.3. 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.

#### **4.4.2. Termination during transfer from one office to another**

- 4.4.2.1. 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.
- 4.4.2.2. However, when case files are received during the transfer of functions, they may with written consent of the Provincial Archives be incorporated in the filing system. They may be renumbered and further correspondence filed on them, provided that the file is still required for existing correspondence. In cases where the file is no longer needed, it should be terminated and preserved as a separate entity.
- 4.4.2.3. Minute books that are received should be terminated and new ones opened. Financial books may be used until the end of the financial year in which they were received, and must then be terminated. Only financial books which are used for recording long term transactions such as the payment of loans, appropriation of capital funds are exempted from this condition.
- 4.4.2.4. All other items of records other than correspondence files, except map collections which, by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity.

#### **4.4.3. Filing of closed and terminated records**

- 4.4.3.1. All closed volumes or items from the approved filing system or Records Control Schedule are preserved in strong room on boxes. 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 finalized.

- 4.4.3.2. 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. Single walled simplex cardboard with B-corrugated construction used for this purpose should have the following measurements: 368mm X 267mm X 95mm (outside measurements).

#### **4.5. Keeping of Essential Registers/Schedules**

##### **4.5.1. Records Manager**

- 4.5.1.1. The following essential registers/schedules are kept by the **Records Manager**

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

##### **4.5.2. Records/Registry Official**

- 4.5.2.1. The following essential registers are kept by the **Records Officer and Registry Clerk**:

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



#### 4.6. Preparation and opening of file covers

- 4.6.1. File descriptions and numbers on files must be printed neatly and legibly with the aid of black ink.
- 4.6.2. The description of the subject on the files must agree with the description of the subject in the filing system. The general Instructions to the filing system must be strictly adhered to.
- 4.6.3. The main series description must in all cases be indicated on the cover. Where there is uncertainty as to the correct description, or where registry officials are unsure which components can be omitted, the final decision must be made by the Records Manager at all times, correct spelling must be emphasized.
- 4.6.4. It should be indicated on the cover which volume of the file it is and, as soon as the first volume is opened, it should be marked Vol. 1. Only Arabic numbers may be used for this purpose.
- 4.6.5. The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instructions that have not yet been approved by the provincial Archivist should not be recorded on these files.
- 4.6.6. Every file cover used must be provided with a card board file backing, a self-piercing type of paper fastener, 5cm long, and a cardboard washer. Control sheets are available in registry and should also be attached inside the front of every cover.

#### 4.7. Use of daily files

- 4.7.1. Only copies of important letters, excluding confidential letters, are placed on the daily file.
- 4.7.2. Copies of the following do not appear on the daily file. The Records Manager in all cases has the final decision on what appears on the daily file.
  - a) \_\_\_\_\_,
  - b) \_\_\_\_\_,
  - c) \_\_\_\_\_,
  - d) \_\_\_\_\_,
  - e) \_\_\_\_\_
- 4.7.3. Once the daily file has been prepared for circulation, it is immediately sent to the **Records Manager** who may delegate this responsibility to the **Senior Registry/Senior Admin Officer** who then checks that the correct file numbers have been allocated in all cases. Thereafter, it is sent to the Manager
- 4.7.4. Officials must note that they may only keep daily files for a period of 24 hours. If they have not finished studying it by then, it must be sent to the next official, and be requested for further study later.

4.7.5. As soon as the daily file has been circulated amongst all interested personnel, and returned again to the registry, it is filed for six months and then disposed of under Authority of the Records Manager in consultation with the MM and the Provincial Archivist.

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

### **5.2. Filing System**

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

- a) Careful control over amendments and additions to the system to prevent its degeneration. The Records Manager should approve all such amendments and additions himself and should add them personally to the Master Copy of the system; and
- b) Ensuring that correspondence is placed correctly prevents the subsequent deterioration of the system. The official exercises this control by means of the daily file, regular inspections and spot checks on the files in registry.

5.2.2. With regard to amendments and additions, special attention must be paid to the following:

- a) Documents originating from new activities must not be forced into inappropriate files in the existing system. In such cases, new files, subjects or even main series must be created;
- b) Faulty additions through which existing files are duplicated, or which overlap with existing subjects, or additions at incorrect places; and
- c) The assurance that new descriptions satisfy the set requirements.

5.2.3. As soon as the Records Manager has approved an addition or amendment, it must be immediately inserted in the Master Copy and thereafter, reported to the Provincial Archivist. This reporting occurs, in the case of minor amendments and additions, every six months by means of amendment slips. These are numbered consecutively for every year (e.g. 3/2011, 4/2011) and are in stock in the registry. As soon as an amendment or addition is approved by the Records Manager, the Senior Registry Official completes official amendment slips for each official who deals with correspondence and has a copy of the system at his/her disposal. The slips are then supplied to these officials to make the amendments to their systems. A copy of each slip is kept together and sent collectively to the Provincial Archivist.

5.2.4. In the event of wide-reaching amendments, the Records Manager may approve the amendment in principle and add the details in pencil to the Master Copy. Actual file covers can be opened in pencil and the task continued. In the meantime, the amendment is reported to the Provincial Archivist and, as soon



as approval is received, the provisions in the Master Copy and on the file covers may be finalized.

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

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

5.2.6. For the time being, all correspondence concerning the filing system must be directed to the regional offices of the National Archives/ KZN Archives at the following address:

The Head, Pietermaritzburg Archives Repository  
Private Bag X9012  
PIETERMARITZBURG  
3200

### 5.3. Records Control Schedule

5.3.1. **The Records Manager and Senior Registry officer/Senior Admin Officer** are 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. 5.1.6 for the address).

### 5.4. Separate Case Files

5.4.1. The following series of separate case files are kept

- (a) Personal files
- (b) Leave files
- (c) Erf files

5.4.2. The registry personnel are responsible for full control and care of these files. The Senior Registry Official is responsible for ensuring that the Separate Case Files

is updated. All procedures and instructions which apply to the files in the filing system, also apply to all case files.

## 5.5. DISPOSAL OF RECORDS

### 5.5.1. Disposal programme and destruction

- 5.5.1.1. Standing Disposal Authority applies to the current filing system and Standing Disposal Authority applies to the Records Control Schedule. The following symbols are used in these authorities to show the disposal for files and records other than correspondence files:
- a) A20 - for valuable records which must be transferred to the KZN Archives Repository for preservation if a period of 20 years has elapsed since the end of the year in which the record came into existence;
  - b) D-For records of an ephemeral nature which can be destroyed after the number of years indicated alongside the "D". This date is calculated from the date of the youngest item on the file.
- 5.5.1.2. In order to facilitate the destruction of files, the **Senior Records/ Registry Officer/Senior Admin Officer** keeps a Destruction Register. As soon as a file or part of a file is closed, the number of the file is written under the year in which it must be destroyed. At the end of every year, by consulting the Destruction Register, the **Records Officer /Registry Clerk** must remove all the files which can be destroyed, and make arrangements for their destruction/removal. Files for destruction are removed by the Senior Records Officer in consultation with the Records Manager
- 5.5.1.3. All instructions and procedures concerning the removal of waste paper must be complied with carefully.
- 5.5.1.4. The registry personnel must also ensure that destructible records other than correspondence files are disposed of when instructed by **the Records Manager**. Nevertheless, it is the responsibility of the **Records Manager** to ensure that records other than correspondence files which can be destroyed are brought to the attention of the registry personnel regularly.
- 5.5.1.5. 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 records to which they refer, must be recorded in the Disposal Authorities Register by the **Records/Registry Official**.
- 5.5.1.6. When any records are destroyed, a destruction certificate, in the form specified hereunder, must be submitted to the KZN Archives and Records Services as per the template

- 5.5.1.7. 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.
- 5.5.1.8. The certificate must be signed by the **Records Manager** after he has ascertained that the records in question have actually been destroyed.
- 5.5.1.9. The copies of these lists of destroyed records are preserved by the **Records Officer and Registry Clerk** in the central registry and should serve as proof in connection with any enquiries concerning the records at all times.
- 5.5.1.10. In order to keep the Standing Disposal Authorities mentioned in **par. 5.4.1.1** up to date, the **Records Manager** should approach the Provincial Archivist regularly to approve disposal instructions regarding the new additions to the filing system and Records Control Schedule. All authorities that have been issued must be examined periodically by the **Records Manager** and must be revised as requirements and circumstances change. Proposals for the amendment of instructions must be reported to the Provincial Archivist.
- 5.5.1.11. All correspondence concerning the disposal and destruction of records must be directed to the Provincial Archivist.

## **5.6. Transfer to archives repository**

- 5.6.1. Records which are marked for permanent preservation (A20 archives) must, in accordance with the National Archives of South Africa Act (No. 43 of 1996), be transferred to the KZN Archives repository if a period of 20 years has elapsed since the year in which the record came into existence. The Records Manager must personally liaise with the head of the repository to make transfer arrangements.
- 5.6.2. Archives transferred to a repository can be returned on loan. The procedure to follow is given below:
  - a) Only the **Records Manager** is authorized to request files on loan and only his/her signature will be accepted for loan requests;
  - b) Correspondence officials who request files on loan must hand their written requests to registry every day before 11 am and 14:00 pm. The requests must be filled in on the request forms of the Repository, which are available in registry. However, the form must not be signed.
  - c) That will be done by the Records Manager

- d) 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.;
- e) The messenger then takes the requests to the Repository, from where the files can be collected
- f) Correspondence officials should note that files:
  - g) Must be returned to the Repository within 60 days. Files earmarked for return to the Repository, must be left in registry on every Mondays and Thursdays. The messenger returns these files to the 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 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 Repository; and
  - h) In emergencies files can be requested telephonically from the 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.

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

5.6.4. When transferring to the archives repository the following procedure is followed:

- a) **The Records Manager** informs the head of the repository beforehand of the nature of the records he/she intends to transfer by submitting a list of the records as shown in (c) below. The linear meter's shelf space of the records must be provided;
- b) The head of the relevant depot will then indicate if he/she can receive them;
- c) The records to be transferred are accompanied by a list in duplicate which contains the following information:

"I certify herewith that the under mentioned records were transferred today to the archives repository

**Name of body/office:**

**Street Address:**

**Extent in linear meters:**

**Name of official transferring the records:**

**Capacity:** \_\_\_\_\_

**Telephone number:** \_\_\_\_\_

**Date :** \_\_\_\_\_

**Item :** \_\_\_\_\_

**Box:** \_\_\_\_\_

**File:** \_\_\_\_\_

**Registration:** \_\_\_\_\_

**Description:** \_\_\_\_\_

**Period:** \_\_\_\_\_

**Number:** \_\_\_\_\_

- a) Records are listed alphabetically or numerically;
- b) Unbound records are either packed neatly and securely with the parcels clearly marked in order, or
- c) boxed and numbered;
- d) Except where the Provincial Archivist instructs otherwise, registers and indexes relating to the records are transferred too;
- e) 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
- f) The head of the relevant repository/records Centre will compare the records with the list and acknowledge receipt on the duplicate copy which will be returned to the body/office.

5.6.5. Transfer occurs by Registry \_\_\_\_\_ and the following procedure must be followed with regard to transport arrangements:

\_\_\_\_\_  
\_\_\_\_\_

## 5.7. Transfer from one office to another

5.7.1. If records are transferred permanently to another satellite office the **Records Manager** must inform the Provincial Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted.

5.7.2. 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.

## 6. CONTROL AND PROTECTION OF RECORDS

### 6.2. Access

- 6.2.1. Access to records in the office not normally open to members of the public is controlled by the **Records Manager** in agreement with KwaZulu Natal Archives and Records Service Act (Act no. 08 of 2011)
- 6.2.2. All requests from researchers and persons, who wish to consult records, must be submitted in writing. The **Records Manager** must personally make a thorough investigation as to the bona fides of the applicant to ensure that his/her perusal will not be detrimental to the office.
- 6.2.3. Persons consulting records must do it in the Central Registry under the supervision of Senior Records Officer /Records Manager. In this manner the supervisor must note that:
- a) the greatest care must be exercised in the handling of the records, especially when turning pages;
  - b) pages are not folded;
  - c) the researcher must place a piece of paper under his/her hand if he/she wishes to follow the section
  - d) he/she is copying with his/her finger, so that his/ her bare hand does not rest on the page;
  - e) the researcher must only use a pencil or ballpoint pen to copy items;
  - f) the researcher must not disturb the order of the papers;
  - g) the researcher must not make any mark on the item or remove it;
  - h) if the researcher wishes to copy, photograph or microfilm the items, he/she must first obtain the permission of Records Manager, who must also ensure that the relevant items are not damaged in the process; and
  - i) No researcher may remove items from the office for any reason at all.
- 6.2.4. The **Records Manager** must first inspect and approve any researcher's research work before it is published or in any way duplicated. Such a researcher must also be requested beforehand to donate two annotated copies to the head of the office. One copy of this must be sent to the Provincial Archivist.
- 6.2.5. Officials must note that they have access to the records of the office only as far as is necessary for the carrying out of their duties.
- 6.2.6. The **Records Manager** must ensure that no unauthorized person may, or is able to gain access to the registry, or records store rooms during or after office hours. The following rules apply:
- a) The central registry is closed during lunch and after office hours;
  - b) During office hours the registry should not be left unattended. If this does happen, the door must be locked;



- c) The Senior Admin Officer and Records Officer exercise control over all the keys; and
- d) The central registry may only be cleaned by cleaners while one or more registry personnel are present.

### 6.3. Fire and fire prevention measures

- 6.3.1. It is illegal to smoke in a government office.
- 6.3.2. Only CO2 fire extinguishers may be used to extinguish a fire in a location where records are stored. Water, in all instances, must only be considered as a last resort.
- 6.3.3. Fire extinguishers must be serviced annually. On their appointment, all registry personnel must learn to handle fire extinguishers.

### 6.4. Water

- 6.4.1. Registry, and other areas where records are held, must be regularly inspected by the **Senior Admin Officer, Records Officer, Registry Clerk and the Records Manager** to ensure that roof leaks, leaks in water pipes, etc. are traced in time and repaired before damage can be done to the records.
- 6.4.2. When records become wet for whatever reason, efforts to dry them must be made as soon as possible. The documents should be separated carefully and dried between sheets of blotting paper. Warm air is then blown over them with a fan or hair drier. Under no circumstances should wet documents be spread out to dry in direct sunlight.

### 6.5. Pests and plagues

- 6.5.1. The registry, and other areas where records are stored, must be regularly examined by the **Senior Admin Officer, Records Officer, registry Clerk and Records Manager** to avoid the occurrence of pests and plagues. Officials who notice fish moths, cockroaches, etc. in any of these areas must immediately report it to the **Senior Admin Officer**.
- 6.5.2. Areas where records are stored must be fumigated every 3 months against fish moths and other pests. It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records. Sprays with a high acid content or which release acid, should be avoided. The safety of personnel must also be taken into account.

## **6.6. Light**

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

## **6.7. Damage through handling**

- 6.7.1. All officials must be aware that it is considered to be a violation of the KZN Archives and Records Service Act No 08 Of 2011 to deliberately damage records. This includes deliberate damage by careless and indifferent handling. Records must therefore be handled as carefully as possible. Careful handling also saves time and money because damaged file covers do not have to be changed as regularly.
- 6.7.2. No food or drink may be consumed at a table or desk where records are placed. Glasses of water, bottles of cool drink, etc. must not be placed on cabinets or on shelves where files and records are stored.

## **7. TRAINING OF REGISTRY PERSONNEL**

- 7.2. **The Records Manager, Records Officer, Registry Clerk and the Senior Admin Officer** must attend the Records Management Course presented by the Provincial Archives to receive the correct training for their various tasks. All other registry personnel should attend Registry and Records Management Courses