

# UMZIMVUBU LOCAL MUNICIPALITY



**UMZIMVUBU**  
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## RECORDS MANAGEMENT PROCEDURAL MANUAL 4

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### RECORDS MANAGEMENT PROCEDURAL MANUAL

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## **1. SUPERVISOR OFFICIALS**

### **1.1 Records Manager**

1.1.1 The overall control, preservation and care of the Municipality's correspondence file or 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.

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 is responsible for control over them and should have access to them at all times.

1.1.3 The Records Manager is solely responsible for the following non-delegatable duties:

- a) Control, maintenance and implementation of the Municipal file plan,
- b) Disposal of all records,
- c) Control over and safe preservation of all records,
- d) Training of registry users, and
- e) The implementation of records management policy and registry procedure manual

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

### **1.2 Registry Official**

1.2.1 The duties of the Registry Official rest with the official duly appointed by the Municipality.

1.2.2 The Registry official is responsible for the administration of, and supervising 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 Registry Official or Registry personnel without the permission/ knowledge of the Records Manager.

## 2. REGISTRY PROCEDURES

### 2.1 Receipt of post, parcels and remittances/ transferrable items

#### 2.1.1 Procedures regarding the postbag

2.1.1.1 The mail bag is collected from the post office, daily at 08h30 by an official so designated by the Records Manager. Post is sorted and appropriately dispatched, while outgoing post is sealed and stamped. The mailbag is returned to the post office at 15h00 with the outgoing post.

2.1.1.2 The key for the mailbag is stored safely in the strong room in the Registry by the Registry Official.

#### 2.1.2 Private Post

2.1.2.1 Officials and employees must be informed that the Council's postal address may only be used for private correspondence, if unavoidable. Preferably 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.

#### 2.1.3 Receipt, sorting and opening of post

##### 2.1.3.1 Receipt of Mailbag

2.1.3.1.1 The registry office accepts **no** responsibility for private post (i.e. it is not the responsibility of the registry to notify clients/officials of the private post, however the duty of the client to **check** the pigeonhole regularly.

2.1.3.1.2 As per the Financial Regulations of the Municipality, all mail collected from the Post Office shall be collected in a sealed bag. Thus, mailbags are always sealed by the post office prior to their delivery.

2.1.3.1.3 When the mailbag is received in Registry, it must be opened and emptied by the Registry Official in the presence of one other official so designated by the Records Manager.

2.1.3.1.4 Both of these officials must receive written instructions from the Records Manager empowering them to receive and open post. These written instructions should be filed on the personal files.

- 2.1.3.1.5 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 Records Manager to other Registry officials.
- 2.1.3.1.6 Under no circumstances may only one person open the post. Messengers are not permitted to help with the opening of post.
- 2.1.3.1.7 Hand delivered mail through the counter from the community and other institutions will be attended to upon receipt.
- 2.1.3.1.8 Incoming post is opened once per day at 09h00. All official post and letters received prior to the actual time of opening of post are locked away unopened in the strong room until the time that the post is opened again. However, post which is marked urgent, as well as telegrams, telex Messages and express letters should be attended to immediately upon receipt.
- 2.1.3.2 Sorting of Post
- 2.1.3.2.1 Personal letters addressed to persons by name in their personal capacity are delivered to them UNOPENED. However, if any official envelope is only marked for the attention of a particular person, it shall be opened by the Registry personnel and dealt with in the usual manner.
- 2.1.3.2.2 Secret and confidential Envelopes are delivered unopened to the Records Manager. Once these items have been handed over to the Records Manager, the Registry accepts no further responsibility for them.
- 2.1.3.3 Procedure for opening post
- 2.1.3.3.1 All post is opened, sorted and filed the Registry.
- 2.1.3.3.2 Post is opened only opened in the Registry and the entire exercises shall be completed as quickly as possible.
- 2.1.3.3.3 Envelopes are slit on both sides to ensure that all the contents are removed and, once emptied; the envelopes are immediately disposed of in the waste bin. Envelopes in which tender documents are received are to be duly recorded in the control slip and handed over, unopened to the Supply Chain Management office for further attention. Envelopes of all unclaimed/ undeliverable letters shall be attached to the letter.

- 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 initialed. In cases where money is missing or the amount differs from that mentioned in the correspondence, both officials must initial the note on the letter. At the same time, loose annexures should be attached to the accompanying letter, or documents, great care must be taken with original documents that could be valuable to the sender, eg. Diplomas, educational certificates etc. so they are not damaged by pins or anything else.
- 2.1.3.3.5 Registered and certified postal articles are treated in the same manner as ordinary post.
- 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 facsimiles and express letters should immediately be opened and dealt with by the Registry Official and it must be decided whether the article should be delivered with or without the relevant file. If the file is not immediately available, the article must be shown to the official concerned and his/her further instructions be obtained thereon. The files to which such items are attached must be delivered immediately by hand to the official for whom it is meant.
- 2.1.4 Receipt and handling of remittances/ transferable items
- 2.1.4.1 Letters enclosed with money or transferrable items must be immediately separated from all the other post once it has been opened, and handed to THE CHIEF FINANCIAL OFFICER together with the Remittance Register.
- 2.1.4.2 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 the officials opening the post.
- 2.1.4.3 In addition, the following should be recorded in the Remittance Register:
- (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 the officials to whom handed over

- (h) The reference of the receipt, issued and the method of disposal, and
- (i) The signature of the controlling of official and the date of the cheque.

- 2.1.4.4 The Records Manager must examine the prescribed register at least once a week to ensure that all the 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.
- 2.1.4.5 Before a remittance register is brought into use, the Records Manager must ensure that all the pages have been numbered consecutively throughout, and during the course of his/her check, must verify that no pages have been removed from the register.
- 2.1.4.6 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 be carefully examined for evidence of tampering. If they contain remittance or transferrable items, these must be recorded in the remittance register.
- 2.1.4.7 Officials receiving remittances hand delivered must verify the Letter's of 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 be recorded in the register.
- 2.1.4.8 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.
- 2.1.4.9 Warrant vouchers, cheques, bank drafts, money orders, postal orders, transfer orders or other items of payment, excluding stamps and blank notes, received by an official on behalf of the state, whether made payable to him/her in his capacity or not, must immediately on receipt thereof be rendered not negotiable, by means of a crossing consisting of the words "not transferrable" across the face of the item. This instruction does not apply in the case of warrant vouchers specially drawn for encashment.
- 2.1.4.10 All monies or other transferrable items received through the post must be immediately handed over 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 an open space on the letter. No annexures and/or cash instruments are stamped.
- 2.2.1.2 The date stamp must be applied to an open space on the letter. In the front of the letter has insufficient space, the date stamp should be applied to the back. Under no circumstances must any printed part of the letter be stamped as it could make important information illegible.
- 2.2.1.3 Cheques are stamped at the back.
- 2.2.1.4 Opened post should immediately be divided into three groups, namely those on which the office reference number appears those that do not need any reference number, and those to which a reference number must be allocated.
- 2.2.1.5 When a file number is allocated to a particular letter, it is written in the top right hand corner and it is then given to the officials responsible for drawing or locating the files.
- 2.2.1.6 Letters to which the reference numbers must be allocated are dealt with as follows:
  - (a) The Registry Official reads the letters thoroughly and carefully to determine precisely what it deals with. Under no circumstances should the reference number be allocated based on the letter heading as such can be misleading,
  - (b) Only the filing system should be used to determine the numbers,
  - (c) To determine the correct number, the list of main series should be consulted and the most suitable series selected. Then the different sub-series should be consulted to eventually identify the correct file reference; and
  - (d) If there is still disagreement over the correct reference number the Records Manager should be consulted.
- 2.2.1.7 If more than one subject is dealt with in a letter, the reference number for each subject should first be identified and copies of the correspondence made for each of the files.
- 2.2.1.8 Officials working with correspondence must also ensure that the correspondence they deal with is placed in the correct files.

## 2.2.2 Correct and neat filing

- 2.2.2.1 Once the reference numbers have been allocated to the incoming post, the relevant files are drawn according to the procedures explained hereunder. The papers in question are punched and filed using file fasteners in the file, and the control sheets completed. Under no circumstances may loose papers be circulated either the file cover or pinned to the front of the file, since correspondence can be damaged or soiled in this way.
- 2.2.2.2 Documents which need to be sent back to a person, eg. Certificates, wills, copies of deed etc, should be placed in an envelope and pinned to the right hand side on the file cover.
- 2.2.2.3 If a file on which correspondence needs to be sent out is not available within a reasonable time, or after the first search for one, the documents should be taken to the relevant department or section. If the matter cannot be dealt with without the file, Registry officials must look for the file. If the file cannot be found after repeated attempts, a duplicate file is opened by the Registry Official and entered in pencil in the register of opened files. Meanwhile, attempts must still be made to find the original file and when found, the contents of the temporary file must be amalgamated with it.
- 2.2.2.4 The following papers are always sent through for attention without files: Court Orders, Summons, Notice commencing legal action, attachment orders etc.
- 2.2.2.5 Care must be taken to ensure that correspondence is neatly filed on file fasteners. No papers should protrude from the files.

## 2.2.3 Application of a policy of document economy

- 2.2.3.1 Both the Records Manager and the registry official must ensure that the following Policy of Document Economy is carried out:
- (a) Copies of reminders are not placed on files
  - (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 in a file.
  - (c) Where a duplicate dispatch is made for the purpose of acknowledgement of receipt, the returned copy with the acknowledgement must be placed in the same file as the previous copy.

#### 2.2.4 Numbering of items and files

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

#### 2.2.5 System of completing correspondence on files

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

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

- (a) Control sheets are pasted in the front of every file cover,
- (b) The registry officials place the correspondence received in the file allocate the item number on the file and enter the file number in the control sheet,
- (c) The date on which the item is placed in the file is written,
- (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,
- (f) When the original document is dealt with, in whatever manner, it is marked "file" with registry clerk's signature and date in the relevant column of the control sheet,
- (g) Submissions which must circulate to various officials should be marked with only the person's rank, or initials in order to avoid confusion, and

### 2.3 Circulation and search for files

2.3.1 Once incoming mail is placed on the files, they are taken by the messengers and circulated amongst the various officials and sections.

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

2.3.3 Once the registry personnel have sufficient time to search for a file, 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 process of searching for files.

2.3.4 The offices are then systematically searched by registry personnel. The correspondence is placed on the files and the control sheets are completed. The officials dealing with the 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 files is simply replaced in his/her in tray.

2.3.5 Files should not be removed from an officials table or desk without his/her knowledge. If he/she is absent, a note should be left stating where the file has been taken to.

## 2.4 Outgoing post

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

### 2.4.2 Rules for dispatch

2.4.2.1 All files that contain post for dispatch must be placed in his/her tray for "post files" by the correspondence official. From here it is taken by the Messenger and brought directly to the Registry.

2.4.2.2 Officials must ensure that all post to be dispatched reaches the registry before 15h00 everyday. Post received after the given time will only be dispatched the following day except in urgent cases whereby the Registry Official will have to make a special arrangement to have it dispatched as quickly as possible.

2.4.2.3 Letters and papers for dispatch should neither be placed on top of files nor attached in front with a paper clip but should be neatly folded and placed into a folder.

2.4.2.4 The dispatch of all correspondence shall only occur from the registry.

2.4.2.5 After the post has been stamped by the Registry Official, he/she must check that the correspondence is signed, stamped, and that the annexures (if any) have been enclosed.

2.4.2.6 Post ready for placing in envelopes is enclosed and sealed while a copy of the correspondence placed on file.

- 2.4.2.7 Post should be placed for dispatch in four separate groups:
- (a) Ordinary post which is sent by the post office,
  - (b) Registered post
  - (c) Certified post
  - (d) Ordinary post which is sent via hand delivery
- 2.4.2.8 To prevent the wastage of envelopes, post intended for dispatch to the same address should be placed together in one envelope.
- 2.4.2.9 Correspondence clerks who send letters through for dispatch should note that, to save time with the writing of addresses on envelopes, window envelopes (for letters to the public) and address stamps for organizations and offices with whom they correspond frequently) should be used.
- 2.4.2.10 All outgoing correspondence shall be stamped internally at Records Section, utilizing the services of the franking machine installed at Records from 01 February 2014.
- 2.4.3 Special dispatches
- 2.4.3.1 Only important documents and correspondence which for specific reasons, the address must sign should be sent by registered post.
- 2.4.3.2 The official who sends registered post should:
- (a) Ensure that special registered post envelopes are properly used and sealed,
  - (b) Stick a registered label in the top left corner of the addressed face,
  - (c) Compile a list of the registered post.
- 2.4.3.3 All registered post should be handed over at the Post Office counter and must not be placed in the mailbag.
- 2.4.3.4 Labels for registered post are locked in the strong room and are only issued by the Registry Official.
- 2.4.3.5 Post of value also requiring the addressee's signature of receipt, but not so important that the post office has to give a receipt, are sent by certified post.
- 2.4.3.6 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 register.

- 2.4.3.7 Only in very urgent cases in a letter sent by Fastmail or preferential post. Such letters are handed in at the counter of the Post Office and must not be placed in the mailbag. This post must be addressed to a street address and not to a post box or private bag.
- 2.4.4 Handling of secret/ confidential postal articles
- 2.4.4.1 Registry Personnel do not deal with secret/ confidential papers in their day to day work. If a registry official should be given the task, such should be done in writing.
- 2.4.4.2 Otherwise all secret, confidential, in-committee matters are dealt with by the Records Manager.
- 2.4.5 Pending papers
- 2.4.5.1 It is not for 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. opened items is the responsibility of the relevant 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 pend date.
- 2.4.5.3 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 particular day are drawn each day by registry relevant official reach the 10h00.

#### 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 instruction to file or pend has been complied with. This is ascertained from the control sheet in every file;
- (b) The cover of the file is neat and tact, that the correspondence is placed neatly on the file, and that the file fasteners are in place. 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.

2.4.6.2 Filing of incoming post as well file copies of outgoing letters must be attended to by the registry, but correspondence clerks must file their submissions themselves.

2.4.6.3 When all papers intended for filing have been placed on the file fastener, care must be taken to ensure that the fastener is locked into position securely, as this will prevent correspondence from falling out the file over time.

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

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

2.4.6.6 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 files alphabetically according to series.

## 2.5 Movement of files

2.5.1 The movement of files within the municipality is strictly controlled. Officials who need files from the 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 replaced again only by the Registry personnel,
- (b) Files should be requested by using the file number only, and not the description of the subject, content or the file description,
- (c) Files should not be held up necessarily 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 without the consent of the Records Manager.

2.5.2 The movement of files from Registry must be closely monitored. For this purpose, a file with the following information is placed in the usual space of the file.

- (a) File number
- (b) Where sent to
- (c) Date of dispatch

Specially prepared cards are available in Registry for this purpose.

## 2.6 Closure and termination of files, records and other correspondence files

### 2.6.1 Closure at 3cm thickness

2.6.1.1 Files must 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 volume containing the words "CLOSED, see volume .....", 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 the 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 placed or filed correctly, and that there are no misplaced items appearing on the file. The items in the file are then replaced on top of the cardboard strip. A clean sheet of paper is then placed on the file with the words "CLOSED, see volume.....", 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 the 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 and appropriation of capital funds are exempted from this condition.
- 2.6.2.4 All other items of records other than correspondence files, except Map collections which, by their nature, cannot be terminated, must be terminated as soon as possible after receipt and preserved as a separate entity.

### 2.6.3 Filing of closed and terminated records

2.6.3.1 All closed volumes or items from the approved filing system or Records Control Schedule are preserved. Under no circumstances should closed volumes of files be filed with open or current files on the shelves. This can lead to correspondence being accidentally being placed on a closed volume and not being finalized.

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. Single walled simplex cardboard with B-corrugated construction used for this purpose should have the following measurements:

368mm x 267mm x 95mm (outside measurement) with a 152 mm lid.

## 2.7 Keeping of essential registers/ schedules

### 2.7.1 Records Manager

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

- (a) The master copy of the File Plan – this is the copy of the system whereby all approved subjects are carefully 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.

### 2.7.2 Registry Official

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

- (a) Remittance 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 a register opposite the relevant slip number. If remittance 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 registry File Plan;
- (e) Destruction Register – this is a register which records details of all records which must be destroyed.
- (f) Disposal Authorities Register – this is a register in which details of all disposal authorities received from the National Archivist, are recorded; and
- (g) A stamp register.

## 2.8 Preparation and opening of file covers

- 2.8.1 File descriptions and numbers on files must be printed neatly and legibly with the aid of fibre tipped pens or black Indian ink.
- 2.8.2 The description of the subject of the files must agree with the description of the subject in the filing system. General instructions to the filing system must be strictly adhered to. The main series description must in all cases be indicated on the cover. Where there is uncertainty as to be 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.
- 2.8.3 It should be indicated on the cover which volume of the file it is as soon as the file is opened, it should be marked Vol. 1. Only Arabic numbers may be used for this purpose.
- 2.8.4 The disposal instruction with respect to each file must be recorded as soon as the file is opened. Disposal instructions which have not yet been approved by National Archivist should not be recorded on these files.
- 2.8.5 Every file cover used must be provided with a metallic 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. The records manager 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, who then checks that the correct file numbers have been allocated in all cases. Thereafter, it is circulated to all interested staff.
- 2.9.3 Officials must notes that they may only keep daily files for a period of 24hrs. If they have not finished studying it by then, it must be sent to the next official, and be requested for further study later.
- 2.9.4 As soon as the daily file has been circulated amongst all interested personnel, and returned again to the registry, it is filed for six months and then disposed of under the relevant Disposal Authority.

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

#### **3.1 Filing system**

- 3.1.1 The Records Manager is responsible for the maintenance of the filing system. This includes;
- (a) Careful control over amendments and additions to the system to prevent its degeneration. The Records Manager should approve all such amendments and additions himself and should add them personally to the Master Copy of the Registry File plan;
  - (b) Ensuring that correspondence is placed correctly as this 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 the 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 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.
- 3.1.3 As soon as the Records Manager has approved an addition or amendment, it must be immediately inserted in the Master Copy and thereafter, reported to the National Archivist. This record occurs, in the case of minor amendments and additions, every six months by means of an amendment slips. These are numbered consecutively for every year (e.g. 3/2009, 4/2010) and are in stock in the Registry. As soon as an amendment or

addition is approved by the Records Manager, the Registry Official completes the official amendment slips for each official which 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 National Archivist.

- 3.1.4 In the event of wide reaching amendments, the Records Manager may approve the amendment in principle and add the amendments in pencil and the task continued. In the meantime, the amendment is reported to the National Archivist and, as soon as approval is received, the provisions in the Master Copy and on the file covers may be finalized.
- 3.1.5 With regard to the correct placing of correspondence, special attention must be paid to the following:
- (a) Over loading of files not sufficiently subdivided, a too fine subdivision of files which could be combined, or a need for the re-division of files, should be brought to the attention of the Records Manager in good time, and be corrected;
  - (b) The tendency to add correspondence, in circumstances where a subject began on a specific file long after the nature of the correspondence justifies the continuation of the subject on another file;
  - (c) The correct use of policy files to prevent non-policy items from accumulating on them, yet simultaneously ensuring that copies of items containing policy decisions are actually placed on the relevant policy file.
  - (d) The placing of ephemeral items on A20 files and valuable items on D files after disposal authority has been issued to the system.

## 3.2 Records control schedule

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

## 3.3 Separate case files

- 3.3.1 A list of the series of separate case files are kept in the Registry. The Registry personnel are responsible for full control and care of these files. The Chief Registry Official is responsible for ensuring that the list of separate case files is updated. All procedures and instructions which apply to the files in the filing system, also apply to all case files.

4. **IMPLEMENTATION PROCESS AND MAINTENANCE OF THE ELECTRONIC RECORDS MANAGEMENT SYSTEM**
- 4.1 Scanning of Records
  - 4.1.1 All paper-based records (with effect from 01 July 2011) shall be scanned and converted to microfilm or to images not only for reducing the need to retain per records on site but for also significantly enhancing access to records through the electronic medium of storage.
  - 4.1.2 All municipal current records and closed files shall be scanned on monthly basis by the records section for security reasons.
  - 4.1.3 Non-closed and current paper based municipal records shall be returned to the records after scanning at the end of the month for custody purposes until such records have been audited, where necessary.
- 4.2 Circulation of records
  - 4.2.1 File reference numbers shall be allocated to all correspondence generated by the individual users (paper) according to the requirements of the filing plan.
- 4.3 Creation of an electronic file
  - 4.3.1 All files shall be created by and at the Records Section on the Electronic Document Management System.
  - 4.3.2 File reference numbers shall be allocated to all correspondence (paper, electronic, e-mail) according to the approved subjects/series in the file plan.
- 4.4 Creation of back-up files
  - 4.4.1 The back-up file shall be automatically created by the system and such shall be monitored by the ICT Division.
  - 4.4.2 Back-ups shall be kept off site or away from where the computers and the servers are for security purposes.
- 4.5 Storage of back up information
  - 4.5.1 The back-up shall be maintained and stored by the ICT Division of the Municipality, and shall be done in terms of the back-up procedure.
  - 4.5.2 The ICT staff shall be responsible for the off-site storage of all electronic back-ups.

#### 4.6 Maintenance and updating of electronic filing system

4.6.1 The Records Management Section Staff shall be responsible for monthly maintenance and updating of the electronic document management system (EDMS).

4.6.2 The records management staff shall be responsible for generating monthly monitoring and management reports of the EDMS.

#### 4.7 Determination of the life span of Records

4.7.1 The lifespan of records shall be determined according to requirements of law.

#### 4.8 Generation of electronic Records (types, etc)

- Audio visual records

4.8.1 As part of Council meeting governance, the Umzimvubu Local Municipality shall record all Audit Committee meetings and Council meetings, which form part of both these meetings Council meetings correspondence system that stores public recordings.

4.8.2 Meetings shall be recorded on tape and copied to discs. Copies of the discs shall be store at the Corporate Services Secretariat Section and originals with the Records Section.

4.8.3 The copied discs shall be logged in a register in a particular sequence and format.

4.8.4 The records maintained in these systems shall be under the control of the Records Manager who is mandated to ensure that they are managed properly.

- Electronic correspondence

4.8.5 Electronic information shall be generated through scanning and circulation

4.8.6 Electronic shall be generated through e-mails and other usages of Microsoft office

#### 4.8.7 Categories in terms of use

The following categories of electronic records shall be in place.

- i. Current Records/files
- ii. Closed files

#### 4.9 Records disposal

- 4.9.1 All records shall be disposed in terms of the National Archives and Records Service of South Africa Act, No. 43 of 1996.
- 4.9.2 When electronically stored information does not pose any threat to the Municipality in terms of space or storage constraints it may be kept as long as necessary despite legislative requirements.

#### 4.10 Migration of information to the electronic system

- 4.10.1 The paper based information from all generators, collectors, users and custodians of information shall be migrated to the electronic form of storage on a monthly basis by the Records Management Section through scanning.
- 4.10.2 This shall be done to create and maintain a dual and reliable document retention and storage system for security purposes within the Municipality.
- 4.10.3 Where necessary and when information has been submitted for scanning and electronic filing prior to being audited, such information will be returned to the user concerned within a period of a month after scanning and electronic filing.
- 4.10.4 The Records Management Section staff shall be fully responsible for verification of scanning and electronic filing by putting a stamp on all scanned pages of the scanned document prior to returning to the user concerned or archiving.

### 5. DISPOSAL OF RECORDS

#### 5.1 Disposal programme and destruction

- 5.1.1 The Standing Disposal Authority applies to the current filing system and 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 National Archives Repository for Preservation if a period of 20 years has elapsed since the end of the year since 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”. The date is calculated from the date of the youngest item in the file.
- 5.1.2 In order to facilitate the destruction of files, the Registry Official 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 Registry Official must remove all files which can be destroyed, and make arrangements for their destruction or removal.



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

- 5.1.3 The Registry personnel must 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.

- 5.1.4 No files, or records and correspondence files of any sort, may be destroyed without the written Authority of the National Archivist. All authorities received from the National Archivist, and details of the records to which they refer, must be recorded in the Disposal Authorities Register by the Registry Official.

- 5.1.5 When any records are destroyed, a Destruction Certificate, in the form attached as "Annexure A" hereto, must be submitted to the National Archives with the signature of the Municipal Manager, Manager: Corporate Services and the Records Manager:

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

Signature : .....

Capacity : .....

Date : .....

No.	Description	Authority

Comments:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

APPROVED/NOT APPROVED

\_\_\_\_\_  
Manager: Corporate Services

Comments:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

APPROVED/NOT APPROVED

\_\_\_\_\_  
Municipal Manager

- 5.1.6 Records must be given in numerical or alphabetical order on the above-mentioned list. With regards to Case files, it is sufficient to mention the subject under which the files are opened, e.g. 1/1 – 1/2011 Cases; Application for permits.
  - 5.1.7 The certificate must be signed by the Records Manager after he has ascertained that the records in question have actually been destroyed.
  - 5.1.8 The copies of these lists of destroyed records are preserved by the Records Manager and should serve as proof in connection with any enquiries concerning the records at all times.
  - 5.1.9 In order to keep the Standing disposal Authorities up to date, the Records Manager should approach the National 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 National Archivist.
  - 5.1.10 All correspondence concerning the disposal and destruction of records must be directed to the National Archivist.
- 5.2 Transfer to archives repository/ records centre
- 5.2.1 Records which are marked for permanent preservation (A20 archives) must, in accordance with the National Archives of South Africa Act (No. 43 of 1996), be transferred to the National 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/ records centre to make transfer arrangements.

- 5.2.2 On the other hand A20 records which have not reached the age of 20 years may be transferred to the Archives Repository/ Records Centre. In this case the Records Manager must personally liaise with the head of the records centre to make the transfer arrangements.
- 5.2.3 Archives transferred to the records centre, can be returned on loan. The procedure to follow is:
- (a) Only the Records Manager is authorized to request files on loan and only his/her signature will be accepted for loan requests;
  - (b) Municipal officials who request files on loan must hand their written requests to the Registry Official. The requests must be filled in on the request forms of the records centre, which are available in registry. However, the form must not be signed. That will be done by the Records Manager.
  - (c) When requesting a loan, the transfer list must be referred to and the particulars of the item on the list must be clearly indicated, Volume number.....etc;
  - (d) Municipal officials should note that files must be returned to the records centre within 60 days. Files earmarked for return to the records centre, must be left in Registry. The files which are returned are accompanied by a B.17 book in which they are entered. The person who receives them at the records centre must sign a receipt for every file in the book. This serves as the body's office's proof that the loaned files were actually returned and receipt acknowledgement by the records centre; and
  - (e) In emergencies files can be requested telephonically from the records centre, but the request must then be confirmed in writing when the files are collected. Such requests, however, must be kept to the minimum and should only be made in urgent cases.
- 5.2.4 Records used regularly for administrative research and references purposes should not be transferred to the Records centre, as it can result in delays with consultation.
- 5.2.5 When transferring to the Archives Repository/ Records Centre, the following procedure is followed;
- (a) The Records Manager informs the head of the records centre beforehand of the nature of the records he/she intends to transfer by

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

- (b) The head of relevant depot will then indicate if he/she can receive them;
- (c) The records to be transferred are accompanied by a list in duplicate which contains the following information:

“I certify herewith that the under mentioned records were transferred today to the archives repository/ records centre in .....

Name of body/ office :  
.....

Street Address :  
.....  
.....  
.....

Extent in linear meters : .....

Name of official transferring the records:  
.....

Capacity :  
.....

Telephone Number :  
.....

Date : .....

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

- (d) Records are listed alphabetically or numerically;

- (e) Unbound records are either packed neatly and securely with the parcels clearly marked in order, or boxed and numbered;
- (f) Except where the National Archivist instructs otherwise, registers and indexes relating to the records are also transferred;
- (g) Registers are stamped on the inside of the flyleaf with the office stamp, while the nature of the register is indicated on the cover; and
- (h) The head of the relevant repository/ records centre will compare the records with the body/ office.

### 5.3 Transfer from one body to another

- 5.3.1 If records are transferred permanently to another body/ office of the Records Manager must inform the National Archivist thereof, and a complete alphabetical or numerical list of the relevant records must be submitted.
- 5.3.2 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 National Archivist.

## 6. CONTROL AND PROTECTION OF RECORDS

### 6.1 Access

- 6.1.1 Access to records in the office not normally open to members of the public is controlled by the Registry Official in accordance with Section 12 of the National Archives of South Africa Act no. 43 of 1996 and the National Archives Circular 1 o 1969.
- 6.1.2 All requests from researchers and persons who wish to consult records, must be submitted in writing. The Registry Official 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.
- 6.1.3 Persons consulting records must do it under the supervision of the Registry Official. In this matter the Registry official must observe that:
  - (a) The greatest care must be exercised in the handling of the records, especially when turning pages;
  - (b) Pages are not folded;

- (c) The researcher must place a piece of paper under his/her hand if he/she wishes to follow the section he/she is copying with his/ her finger, so that his/ her bare hand does not rest on the page;
  - (d) The researcher must only use a pencil or ball pen to copy items;
  - (e) The researcher must not make any mark on the item or remove it;
  - (f) The researcher must not disturb the order of papers;
  - (g) If the researcher wishes to copy, a photograph or microfilm the items, he/she must first obtain the permission, which must also ensure that the relevant items are not damaged in the process;
  - (h) No researcher may remove items from the office for any reason at all.
- 6.1.4 The Registry Official must first inspect the researcher's research work before it 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 National Archivist.
- 6.1.5 Officials must note that they have access to the records of the office only in so far as it is necessary for the carrying out of their duties.
- 6.1.6 Members of the public who require access to information and records of the Municipality shall be dealt with in terms of the Promotion of Access to Information Act, and the Municipality's Access to Information Manual.
- 6.1.7 The Records Manager must ensure that no unauthorized person may, or is able to, or records stain access to the Registry, or records storerooms during or after office hours. The following rules apply:
- (a) The registry and its strong room are closed during lunch and after office hours;
  - (b) During office hours the registry should not be left unattended. If this does happen, the door must be locked;
  - (c) The Registry Official exercises control over all the keys; and
  - (d) The Registry and the strong rooms may only be cleaned by cleaners while one or more registry personnel are present.

## 6.2 Fire and fire prevention measures

- 6.2.1 The lighting of matches, smoking and the storage of flammable material or cleaning solutions in the Registry and its strong room, is strictly forbidden.
- 6.2.2 Only CO<sub>2</sub> 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.
- 6.2.3 Fire extinguishers must be inspected every 12 (twelve) months and the Chief Registry Official must ensure that such is actually done. On their appointment, all registry personnel must learn how to operate and handle fire extinguishers.

## 6.3 Water

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

## 6.4 Pests

- 6.4.1 Registry, and other areas where records are held, must regularly be examined by the Registry Official and the Records Manager to avoid the occurrence of pests and plagues. Officials who notice fishmoths, cockroaches etc, in any of these areas must immediately report this to the Registry Official.
- 6.4.2 Areas where records are stored, must be fumigated every 12 months against fishmoths and other pests. It must be noted at all times that no lethal sprays may be used which could have damaging consequences for the records. Sprays with high acid content or release acid, should be avoided. The safety of personnel must also be taken into account.

## 6.5 Light

- 6.5.1 The lights in the strong room must be switched off whenever no-one 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.

6.5.2 No direct sunlight must be allowed to shine on any records and for this reason the blinds in the Registry must be kept rolled down when sun shines in.

## 6.6 Damage through handling

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

6.6.2 No food or drink may be consumed at a table or desk where records are placed. Glasses of water, bottles of cooldrink etc. must not be placed on cabinets or on shelves where files and records are stored.

## 7. TRAINING OF REGISTRY PERSONNEL

7.1 Both the Records Manager and the Registry Official must attend the Records Management course presented by the National Archives to receive the correct training for the various tasks. The other Registry personnel should, however, be trained by the Records Manager.

7.2 In service training under the Registry Official occurs during the normal execution of his/her duties and is conducted along the lines of the Registry Manual.





**ANNEXURE A”**

**UMZIMVUBU LOCAL MUNICIPALITY**

**DESTRUCTION CERTIFICATE**

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

NAME : .....

CAPACITY/ DESIGNATION : .....

SIGNATURE : .....

DATE : .....

NO.	FILE NUMBER	DESCRIPTION	DISPOSAL AUTHORITY
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			
26.			
27.			
28.			
29.			
30.			



UMZIMVUBU LOCAL MUNICIPALITY  
FILE MOVEMENT CONTROL CARD

FILE NAME ..... FILE  
NO.....

NO.	NAME OF PERSON REMOVING THE FILE	DATE OUT	SIGNATURE	DATE IN	SIGNATURE

**APPROVAL OF THE POLICY**

The Municipal Council has approved this policy and amendments thereof.

**AUTHENTICATION**

The amendments of the policy and or the new policy was adopted by the Council on the 25/01/2019...

As per Council Resolution number ... ULMC 125 .....

Signed off  
  
Mr. G.P.T. Nota  
Municipal Manager

Cllr. S.K Mnkwa  
Chairperson of the Council



