ARCHIVES CODE

Issued by the Head of Archives in terms of article 12 of the Archives
Act, 1992 (Act 12 of 1992)

NATIONAL ARCHIVES OF NAMIBIA
WINDHOEK

SUMMARY OF CONTENTS

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1. <u>LIST OF TERMS</u>

<u>ARCHIVES ACT</u>
Act 12 of 1992

<u>ARCHIVES</u>

All documents received or created in any Ministry, local authority, previous authority or statutory institution during the conduct of affairs in such office and which are from their nature or in terms of any other act not required than to be dealt with otherwise than in accordance with or in terms of the provisions of the Archives Act.

<u>Other Archives</u>

All archives other than correspondence files, for example registers, plans, computer tapes, discs and print-outs, punch cards, microfiche, films, slides, etc.

<u>Terminated archives</u>

The documentary remains of:

- activities for which the particular office is no longer responsible;

- files of filing systems no longer in use and on which no further correspondence is placed;

- archives which have been created for a specific purpose and are no longer in use;

- archives taken over from another office, but which are no longer in use.

<u>Closed archives</u>

Closed volumes/items of a current filing system or List of Other Archives.

<u>Current archives</u>

Documents created within a current filing system, current series of case files and Other Archives.

<u>DISPOSAL AUTHORITY</u>

Authority obtained from the Head of Archives to either destroy archives or to transfer these to an archives depot for permanent preservation.

<u>A.20</u>

This means that twenty years after an item has been closed, it must be transferred to an archives depot. The period of 20 years is in accordance with legislation but archives may, with the permission of the Head of Archives, be transferred to an archives depot earlier or later than the specified 20 year period.

<u>D, D followed by a figure</u>

Destroy immediately or after the number of years indicated by the figure, for example an item closed in March 1994 with a disposal instruction D.3 can be destroyed in March 1997 if the Head of Archives has granted permission. N.B. Additional symbols are used for computer archives - see paragraph 7.2.2.

2. THE CODE, ITS APPLICATION, MAINTENANCE AND COPYRIGHT

2.1   Application of code

2.1.1   This code has been issued in terms of article 12 of the Archives Act.

2.1.2   It is applicable to all main and sub-registries which fall under the Archives Act.

2.1.3   This code may not be deviated from without the prior consent of the Head of Archives.

2.2   Maintenance

2.2.1   The Head of Archives shall, from time to time, issue new instructions and send the amended pages to all offices. The old pages should be removed from the code and replaced by the new pages.

2.3   Copyright

2.3.1   Copyright is retained by the Head of Archives.

3. CONTROL OF, CUSTODY OVER AND INSPECTION OF ARCHIVES

3.1 Control of archives

3.1.1 The head of an office or in the case of a local authority or statutory institution, the chief executive official or a person delegated to fulfil this duty, is responsible for the custody, care and filing of all archives until they are transferred to an archives depot or an intermediate depot. The instructions of the Head of Archives in this respect shall be adhered to.

3.2 Officer in Charge of Archives

3.2.1 The head of an office shall appoint an official, called the Officer in Charge of Archives, to exercise control over that office's archives.

3.2.2 The rank of this officer shall preferably be Control Officer (Senior Administrative Officer for local authorities).

3.2.3 The name of the Officer in Charge of Archives shall be reported at the beginning of every year to the Head of Archives. If another Officer in Charge is appointed during the year, his/her name should be reported to the Head of Archives.

3.2.4 The duties of the Officer in Charge of Archives are as follows:

a) The custody and care of the Master Copy of the filing system, the List of Other Archives and the Archives Code.

b) Alterations and additions to the filing system and List(s) of Other Archives.

c) Control over all aspects of the use of the filing system, in particular the correct classification of items, for example by checking the daily file. ·

d) The periodical checking of policy files and A.20 files to prevent the placing of ephemeral items on these files.

e) Control over the maintenance and application of the filing system in regional and branch offices.

f) Responsibility for obtaining disposal authority for all current and terminated archives as well as the regular destruction or transfer of archives.

g) Safety of archives.

h) Compilation of a registry manual.

i) Liaison with archives' officials during inspections.

3.2.5 The above should appear on the officer's duty sheet.

3.2.6 The Officer in Charge should attend courses offered by the National Archives.

3.3 Registry Head

3.3.1 The duties of the Registry Head are as follows:

a) Keeping of the registry manual.

b) Opening of files, replacement of old file covers and new volumes when necessary.

c) Placing of the official date stamp and correct file number on all incoming correspondence.

d) Correct and neat filing of all items.

e) Control over the placing of unnecessary duplicate or bulky items on correspondence files and ensuring that the necessary annexure files are opened.

f) Keeping of the Register of Files Opened and the Destruction Register.

g) Control over the maintenance of all copies of the filing system and List(s) of Other Archives by means of the distribution of amended pages to all officers having copies of filing systems and List(s) of Other Archives.

3.4 Custody

3.4.1 The Officer in Charge assumes responsibility for all archives until such time as these are transferred in terms of the Archives Act to an archives depot or intermediate depot, or until such time as these may be destroyed in accordance with disposal authorities issued by the Head of Archives.

3.4.2 For the transfer of archives, either permanently or temporarily, to any person or institution other than the National Archives, see chapter eleven.

3.4.3 If an office has been permanently closed, the Officer in Charge will have obtained prior disposal instructions for all the archives from the Head of Archives.

3.5 Storage and filing

3.5.1 The Officer in Charge ensures that all archives are stored in a systematic and orderly manner and filed according to approved filing systems and lists.

3.5.2 He/she stores all archives in areas which are protected against fire, flood and unauthorized entry.

3.5.3 He/she should ensure that all archives are handled in such a way as not to be damaged whether by handling, moisture, dust, pests or otherwise.

3.6 Loss of archives

3.6.1 If any loss of or damage to archives is discovered (including destruction without authority) it should immediately be reported to the Head of Archives.

3.6.2 The following particulars should be supplied:

a) a complete list of all losses, that is description and dates of archives;

b) the date on which the loss and the office in which the loss was discovered.

3.7 Inspection of archives

3.7.1 The Head of Archives is authorized to inspect the care, custody and filing of any archives which have not been transferred to an archives depot and to request any information from the Officer in Charge concerning these aspects.

3.7.2 Where it is apparent that archives have not, in the opinion of the Head of Archives, been stored, filed or cared for according to instructions, this must be rectified according to his instructions.

4.   REGISTRY PROCEDURES

4.1   Registry manual: compilation and custody of

4.1.1   Every office falling under the Archives Act should compile a registry manual based on the procedures set out in this chapter.

4.1.2   The procedures and methods explained here are those which have been prescribed by the Ministry of Finance, Namibia Post and the National Archives.

4.1.3   This chapter discusses procedures and methods which are normally valid without considering any special circumstances which might exist in some offices. It is anticipated that some procedures may have to be expanded, adapted or differed from. For example, Treasury Instructions which have been quoted are not applicable to local authorities or statutory bodies but can be used as guidelines.

4.1.4   The registry manual should be compiled in such a manner that it can be used for training in the registry.

4.1.5   Concept registry manuals should be submitted for approval to the Head of Archives.

4.1.6   A copy of the final approved registry manual should be submitted to the Head of Archives.

4.1.7   The Officer in Charge and the Registry Head should keep an up to date copy of the registry manual. Any alterations/additions to the manual should be reported to the National Archives.

4.2   Training of registry staff

4.2.1   The registry manual and this chapter should be studied carefully by all registry officials under the guidance of the Officer in Charge.

4.3   Accommodation and registry layout

4.3.1   The desirability of a registry being as centrally situated as possible in relation to the offices it serves cannot be too strongly emphasized. A central situation ensures the easier distribution and internal circulation of files. It is not possible to prescribe the ideal size of a registry, because offices differ in their complexity, but considering possible future development and mindful of the fact that it is undesirable for a registry to occupy several rooms, it is recommended that a registry should be large enough to allow for expansion.

4.3.2   The layout of a registry is closely connected to the shape and situation of the room and ought to be planned in such a way as to ensure an efficient work flow. Figure 1 shows the layout of a registry which can be used as a guideline.

4.3.3   Note that the working space for the registry staff is separated from the entrance to the room by a counter - figure 2. The purpose of this is to prevent the entry of messengers and unauthorized visitors, etc., who sometimes have free access to registries which is not conducive to the safety of archives. It also has the advantage, especially in staff registries, of preventing officers from other sections and divisions having access to cabinets where personal files are stored.

4.3.4   If at all possible, only registry staff should fetch files for officials rather than each person having free access.

4.3.5   The office of the Officer in Charge should be as close as possible to the registry.

4.4   Furniture and other requirements

4.4.1   With the exception of smaller registries, i.e. Ministerial branch registries, departmental and staff registries

ought to possess the following essential items:

a) Supervisor's desk

b) Sufficient chairs

c) Table(s) for opening of mail with sufficient portable pigeon holes for sorting

d) Table(s) for the dispatch of mail

e) Table(s) for filing postal items and sorting of files

f) File distribution shelves with sufficient pigeon holes

g) Trolly(ies) for transport of files

h) Cupboard with doors for the storage of stationery and file covers

i) One (or more) filing cabinet(s) (where necessary)

j) Shelves

k) Dispatch cabinet

4.5 Registers

4.5.1 The following registers should be kept:
Remittance register
Register of registered and certified mail received
Register of registered mail dispatched
Master Copy of filing system
Master Copy of List of Other Archives
Register of Files Opened
Destruction Register

4.5.2 Non-prescribed registers

4.5.2.1 Due to a tendency to expect the registry to take responsibility for everything received by an office, various non-prescribed registers are being kept. This tendency is unhealthy and creates a feeling among registry staff that they are mistrusted and that they must produce documentary evidence to cover any eventuality when they are accused (often wrongly).

4.5.2.2 Examples of non-prescribed registers are:

a) Register of letters received

The register of letters received is frequently found. It is said to be useful in establishing whether or not a particular letter has been received and to determine on which file the letter was placed.

In the first place, this means a continual gathering of evidence which cannot be justified since it is always possible to obtain a copy of a letter if it disappears in the post or after receipt. In the second place the filing system ought to indicate where a particular letter should be filed.

b) Register of letters dispatched

The register of letters dispatched is kept for similar reasons.

c) <u>Register of telegrams received</u>

The register of telegrams received is kept so that persons receiving the telegrams may sign as proof of delivery and also to ensure that the telegram has been delivered to the correct section. A telegram is nothing more than a letter in shortened form delivered quickly. It is unnecessary for the person receiving the telegram to sign for it and thus the reason for this register falls away.

d) <u>Register of telegrams dispatched</u>

It is general practice that telegrams dispatched are entered in a register to ensure that these have been received by the Post Office. This register is unnecessary for the reasons mentioned in paragraph 4.5.2.(c).

4.5.3   Some offices receive original documents of intrinsic value which are irreplaceable if lost. In such cases it could be necessary that a register be kept recording the signature of the person receiving the document in order that responsibility can be established if the document is lost.

4.5.4   Officers in Charge should check regularly to ensure that no unnecessary registers are being kept.

4.5.5   It is extremely important that all registers kept by the Officer in Charge and the registry staff are clearly and correctly identified. The name of the office should appear on all registers.

4.6   <u>File covers</u>

4.6.1   <u>Types of file covers</u>

4.6.1.1   Government Service offices should use the standard file cover (Figure 6). This cover is available from the stores section as a standard stationery item and is available in four colours - black, blue, green and red. The use of linen reinforcing strips on file covers is uneconomic as it increases the cost of the cover by 100% and does not protect the file contents as the covers tend to tear along the edge of the reinforcing strips. Experience has proved that unreinforced covers are just as efficient.

4.6.1.2   Local authorities and statutory institutions may use their own file covers but should ensure that these provide enough space for all the information required. The space for the file title may be blocked to ensure a neat appearance. The position of the file number depends on the type of storage used. The type of paper used for file covers depends on the frequency of use of files.

4.6.1.3   Figure 6 shows an example of a standard file cover.

4.6.2   <u>Preparation of file covers</u>

4.6.2.1   A neatly prepared file cover catches the eye and is an incentive to the person using it to keep it in the same good condition. Figure 7 shows an example of a well-prepared file cover.

4.6.2.2   Descriptions and numbers on file covers should be neat and legible. For this purpose broad drawing pens and stencils or a special typewriter with large letters may be used. Another possibility is the use of special plastic labels with all the relevant particulars embossed upon them. These are then affixed to the file covers. Experience has proven that black Indian ink is the most efficient, because it is long-lasting and does not smudge if water is accidently spilt on the file cover.

4.6.2.3   The description on the file cover should be short, yet effective and agree with the description in the filing system. Normally every component of the file number is indicated in the filing system and on the file cover. Long file titles may be shortened provided that the main series is given and that the description given casts no doubts on the contents of the file. If problems in this respect are encountered, the National Archives may be consulted.

4.6.2.4   The following examples show long file titles correctly shortened:

Complete description according to filing system	Shortened description on file cover
ACCOMMODATION Request and allocation Regional offices Swakopmund	ACCOMMODATION Request and allocation Swakopmund
PUBLICATIONS AND PUBLICITY Publications Own publications Distribution Free distribution list	PUBLICATIONS AND PUBLICITY Own publications Free distribution list

4.6.2.5   These examples contain sufficient information to enable the user to identify the file and its contents quickly. In all cases the main series must appear on the file cover. Where problems are experienced, the Officer in Charge should be consulted.

4.6.2.6   Some parts of the filing system have explanatory notes in brackets after the subject. These are for guidance only and should not appear on the file cover.

4.6.2.7   The volume number of the file must be indicated on the cover. Only Arabic numbers (1,2,3, etc.) may be used.

4.6.2.8   The period covered by the correspondence in the file should be indicated on the file cover. As soon as a volume has been closed, the date of the last item should be indicated on the file cover.

4.6.2.9   The vertical lines on the file cover are to facilitate the movement of files. (See paragraph 4.12.1.). The movement of the file is indicated on the outside of the cover making it unnecessary for registry staff to open the file in order to see where the file should be sent. Messengers can see where a file must go, thus the movement of files is more effective and efficient. Every column is used from the top downwards. It is seldom necessary to replace a file cover merely because all the columns have been used.

4.6.3   Components of file covers

4.6.3.1   A backing board with a paper fastener and a washer is placed in the file cover to hold the correspondence firmly. This is stapled or glued to the file cover but the top left hand corner remains loose. (These items are standard stationery obtainable from the stores.)

4.6.3.2   A self-piercing type of paper fastener about 5cm in length is pushed through the top left hand corner of the backing board about 4cm from the top and side. This fastener is pushed through the backing board only and not through the file cover as this causes files to catch each other in storage. An efficient one-hole punch is available.

4.6.3.3   A control sheet (fig. 8) is stapled to the inside of the file cover. The use of the control sheet is explained in paragraph 4.7.16.

4.6.3.4   Certain offices prefer to use "Indian" type fasteners as it makes the consultation of previous items in a file easier. This type of fastener has the disadvantage of breaking easily and does not keep the correspondence in a neat condition.

4.6.4   Identification of file covers by colours

4.6.4.1   Files identified by coloured spines and corners have practical value in the search for files. Different colours can identify different types of files (e.g. the various kinds of staff files in a staff registry) or can distinguish between files of different sections.

4.6.4.2 Files may be distinguished from each other by coloured tape along the spine. This is initially more work for the registry staff but the advantages of the system justify the additional time spent.

4.6.4.3 This may be done to distinguish files from different cabinets by various colour combinations. The combinations can be achieved by three strips of tape approximately 5cm long and 15mm wide affixed along the spine of the file. This may be used to distinguish either cabinets or main series. Colour combinations for 216 cabinets have already been worked out (figure 10).

4.6.4.4 This system allows misplaced files to be spotted as it is easy to spot a wrong colour combination. Misplaced files should thus be limited to within the same colour combination.

4.6.5 <u>Register of Files Opened</u>

4.6.5.1 As soon as a file has been opened, its particulars should be entered in the Register of Files Opened.

4.6.5.2 The Register of Files Opened, kept by the Registry Head, is a return of all files in use. It ensures that duplicate files are not opened by mistake.

4.6.5.3 There are various types of Registers of Files Opened:

a) A copy of the filing system may be used. The description of the "DISPOSAL GUIDELINE" column should be changed to "DATE OPENED". It is than necessary to insert loose pages where the instructions indicate that files are to be opened according to annexures or where individual case files are prescribed. When alterations/additions are made to the filing system the pages concerned will have to be rewritten.

An example of a Register of Files Opened using a copy of the filing system follows:

3. FINANCE

NUMBER	SUBJECT	DATE OPENED
3/P	Policy	1994 March 6
3/1	Budget	
3/1/1	Contributions to budget speech	
3/1/2	Compilation of annual budget (Open a file for each financial year, for example 3/1/2 - 91/92; 3/1/2 - 92/93 etc)	See next page
3/1/3	Overspending and virement approval	1994 June 4
3/2	Financial accountability	
3/2/1	Select Committee for Public Accounts (Provision of information and delivery of comment)	
3/2/2	Audit inspections	
3/2/2/1	Formal enquiries	1993 Nov. 3
3/2/2/2	Informal enquiries	
3/2/2/3	Reports	1993 Sept. 12

Files opened under 3/1/2 are examples of case files where pages have to be inserted. (See paragraph 4.3.5.3(a)). A note is made in the "DATE OPENED" column to indicate that a separate page has been inserted. The inserted page should appear as follows:

NUMBER	SUBJECT	DATE OPENED
3/1/2	Compilation of annual budget	
3/1/2-91/92	Financial year 1991/92	1991 Feb 6
3/1/2-92/93	Financial year 1992/93	1992 Jan 10
3/1/2-93/94	Financial year 1993/94	1993 Dec 9
3/1/2-94/95	Financial year 1994/95	1994 Jan 5

b) The register may also be hand-written. It should follow the same form as the filing system. An example of a hand-written Register of Files Opened follows:

3. FINANCE

NUMBER	SUBJECT	DATE OPENED

Note that only the descriptions of files opened and the main and sub-headings are recorded (i.e underlined headings). It is important that lines are left open for future additions. In the example above space has been left for files 3/1/1, 3/2/1 and 3/2/2/2.

4.6.5.4 The first page of the Register of Files Opened should contain the full name of the office and the date on which the register was brought into use.

4.6.5.5 The date in the "DATE OPENED" column is the date of receipt of the first item to be placed on the file, for example a letter written on 14 March 1995 which is received by the office on 20 March 1995 the date in the "DATE OPENED" column would be 20 March 1995.

4.6.5.6 Where there is a large number of case files a separate index card system may be used to trace individual files. This fact should be noted in the Register of Files Opened under the files concerned. An alphabetical index card system may not, in any circumstance be used for ordinary subject files.

4.6.5.7 A loose leaf register should be used for the Register of Files Opened so that extra sheets may be inserted when necessary.

4.6.5.8 A separate Register of Classified Files Opened should be kept, usually by the head of the office. Classified files are thus not entered in the Register of Files Opened.

4.7 Incoming mail

4.7.1 Opening of mail bags

4.7.1.1 Treasury Instruction JD 0101 reads as follows:

"All mail must be fetched from the Post Office by a responsible person and in the case of-

a) ministries hiring private bags, shall be transported in the bag sealed or locked by post office officials,

b) ministries hiring post boxes, shall be placed and transported in a case or bag provided by the ministry."

4.7.1.2 On receipt of the mail in the registry the person(s) authorized to open it should ensure that the private bag is still sealed or locked.

4.7.1.3 As soon as the bag has been checked, it should be opened and shaken out by the authorized person in the presence of at least one of the other officers whose duty it is to help with the opening of mail.

4.7.2 Sorting of items

4.7.2.1 All slips or advices of registered/certified mail must be placed on one side and handled according to paragraph 4.7.7.

4.7.2.2 Official letters addressed to a person by name are sent to that person unopened. If an envelope is marked "For attention" of a particular person, it is opened by registry staff and dealt with in the usual manner.

4.7.2.3 Private letters are delivered unopened to the addressee. It should be brought to the attention of all staff members that the office address should be used for private correspondence only if no other alternative is possible. Ideally no private correspondence should be dealt with in the registry. Where staff members have resigned items addressed to them should, after a reasonable time, be returned marked "Unknown".

4.7.2.4 Envelopes marked "Secret" or "Confidential" should be handed over unopened to the officer responsible for these.

4.7.2.5 Where a separate staff registry functions, all envelopes received in the general registry and marked "staff", should be sent unopened to the staff registry. In the absence of a staff registry all correspondence concerning staff matters should be opened by an officer appointed by the head of the office.

4.7.3   Time of opening mail

4.7.3.1   Incoming mail should preferably be opened once a day in the morning. Where the quantity of mail justifies it, or to avoid an accumulation of mail over a week-end, mail may be opened in the afternoon as well. All official postal items, except those marked "urgent", telegrams and express mail which are received during hours when mail is not opened, are placed unopened in a safe or other suitable place until the next time mail is opened. Postal items marked "urgent", telegrams, telex messages and express mail should receive attention on delivery.

4.7.4   Who may open mail

4.7.4.1   Attention is drawn to Treasury Instruction JD 0204 which reads as follows:

"The duty to receive and open post and to enter in the remittance register details of all remittances and other negotiable instruments received through the post or by delivery book, shall be entrusted by the head of the office in writing to a responsible person. Where possible another person shall also be appointed in writing to help with this task."

4.7.4.2   This written authority must be placed on the specified persons' SP files and must be available for inspection purposes.

4.7.5   Procedures during opening of mail

4.7.5.1   While the registry staff is busy with the opening of mail, the registry should be closed for all other purposes. Telephone queries or requests for files during this time should be the exception. All staff members should be aware of this arrangement. Disturbance during the opening of mail is inadvisable as this task needs sustained concentration and should be dealt with as quickly as possible.

4.7.5.2   The mail should not be moved from table to table, thus there should be a large table available or sufficient smaller tables which may be pushed together.

4.7.5.3   Wire baskets or wooden racks are recommended for use on the tables because they are portable and may be removed when the tables are required for other purposes.

4.7.5.4   For all practical purposes it is sufficient to open an envelope on two sides. This facilitates the removal of the contents and ensures that nothing is left in the envelope. The practice of some offices to initial and/or retain the envelopes should be discontinued. It is doubtful whether this practice has any useful purpose. Only envelopes of undelivered letters should be attached to letters.

4.7.5.5   Envelopes should be thrown away as soon as it has been established that all the contents have been removed. An exception to this is envelopes containing publications for the ministerial library. These should be sent with the publication to the library.

4.7.5.6   The practice of initialling all letters should be discontinued except in cases where enclosures mentioned in letters have not been received. In these cases the fact is mentioned on the letter and initialled.

4.7.5.7   After the contents of the envelopes have been removed, these are quickly read to establish if annexures and/or money mentioned have been enclosed. At the same time loose annexures are attached to the letters and the first sorting is carried out whereby letters containing remittances are placed on one side, or are given to the officer responsible for the entering of such items in the register of remittances received. If necessary bulky items should be bound with tape.

4.7.5.8   Ensure that while documents are being attached to letters no damage is caused to original documents, e.g. educational certificates, by the use of pins, etc. See paragraph 4.7.14.2.

4.7.6   Date stamping

4.7.6.1   The office date stamp is placed on the first page of a letter. Annexures are not stamped. Seeing that a date stamp sometimes causes portions of letters to become illegible it is advisable that the date stamp be as small as possible. The date stamp should be placed on an open space on the letter. If there is insufficient space on the front of the letter, the date stamp should be placed on the back. Whatever the method chosen it should be consistently applied. Items such as leave forms, pay-sheets, etc., are normally not stamped, except for a specific reason.

4.7.6.2   After the date stamp has been placed on incoming items, the initials of the Registry Head on the letter are not necessary, neither should the item be entered into any register. These practices are time consuming and serve no purpose. Items for the staff registry which have been received by the main registry in ordinary envelopes and have been date stamped in the normal way, are not date stamped again in the staff registry unless there is a considerable delay in receipt.

4.7.7   Registered and certified mail

4.7.7.1   These items are handled as ordinary mail with the addition of the procedures set out in the following paragraphs.

4.7.7.2   Treasury Instructions JD 0102 - JD 0107 read as follows:

"JD 0102   A list or slip in respect of registered/certified postal articles is made out in triplicate by the Post Office and the original is placed in the post bag or post office box of the ministry concerned.

JD 0103   On receipt of the list or slip the persons contemplated in T.I. JD 0204 shall enter the number of each registered or certified article and name of the dispatch office in a register for registered and certified post, sign the original list of or slip and collect the articles at eh post office or have them collected by a reliable person. All registered or certified articles shall be transported in a lock container.

JD 0104   On receipt, articles shall be carefully checked against the list or slip to determine whether all articles signed for were received.

JD 0105   The articles shall then be checked to determine whether they had been tampered with. If so, the fact shall immediately b brought under the post office official's attention and he will arrange for his supervisor to be present when an article that had been tampered with, is opened to determine the contents thereof, whether something is missing and how to handle the case from these.

JD 0106   The person referred to in T.I. JD 0204 shall open the articles and enter the name of the sender and details of the content of the envelope or parcel in the register opposite the numbers already entered in it. If the articles contained remittances or negotiable instruments they shall be entered in the remittances register.

JD 0107   All money and other negotiable instruments received through the post or by delivery book, shall immediately be handed to the person appointed to deal with then and, where applicable, be brought into account. Acknowledgement of receipt thereof shall be entered in the relevant column of the remittance register".

4.7.7.3   All slips or lists of registered/certified items must thus be entered immediately in the register.

4.7.7.4   An ordinary book may be used for this register.

4.7.7.5   The register must contain the following entries.

Date	Number	Place of origin and name of sender	Contents	Person opening	Person receiving

4.7.7.6   The following particulars of each slip should be entered in the register: date, number, place of origin.

4.7.7.7   Where the advices of registered/certified items are received in duplicate from the Post Office only one copy need to be kept for control purposes.

4.7.7.8   The slip or advices can now be exchanged at the Post Office.

4.7.7.9   On receipt of the registered/certified items from the Post Office it should be established if all items have been received or if any have been tampered with.

4.7.7.10   After the documents have been removed from the envelopes, they are quickly read to ensure that any money or annexures mentioned have been received. At the same time loose annexures are attached to letters and letters containing money are placed on one side or handed to the officer responsible for entering items in the remittance register. If necessary bulky items may be bound with tape.

4.7.7.11   Particulars of the contents are now entered in the register alongside the applicable number. If remittance has been received, only a reference to the remittance register need be made in the "contents" column.

4.7.7.12   Date stamps should be placed on items if necessary (see 4.7.6) and the items should be handed over immediately to the person appointed to handle the matter.

4.7.8   Parcels

4.7.8.1   Incoming parcels are opened and handled in the same manner as ordinary mail.

4.7.9   Incorrectly addressed mail

4.7.9.1   Incorrectly delivered mail is replaced in the mail bag.

4.7.10   Telegrams and express mail

4.7.10.1   Incoming telegrams and express mail should be opened immediately by the Registry Head or somebody appointed by her. She decides to whom telegrams should be delivered, with or without files. If the required file is not available, this should be indicated to the officer concerned. The officer is then responsible for further instructions to the registry staff.

4.7.10.2   A file containing a telegram is always delivered by hand.

4.7.11   Submissions

4.7.11.1   Submissions from high ranking officers should always receive priority. These are dealt with in the same manner as telegrams.

4.7.12   Receipt of money by mail

4.7.12.1 Letters containing remittances of any kind are placed on one side. If it appears that the remittance mentioned has not been received or that the amount differs from that indicated in the letter, this fact should be noted on the letter and initialled by two people.

4.7.12.2 The following extracts from Treasury Instructions must be strictly observed.

JD 0201 "In each office where remittances or other negotiable instruments are received, a remittance register as prescribed in T.I. JD 0203 shall be kept for entering details of all remittances or other negotiable instruments received through the post or by delivery book.

JD 0202 Before a remittance register is put into service, the head of the office or a person appointed by him in writing shall see to it that all the pages are numbered consecutively, and the person referred to in T.I. JD 0205 shall, in the course of this checking, verify that pages have not been removed from the register.

JD 0203 The following details in respect of each separate item which as o been entered in terms of T.I. JD 0201, shall be entered in the remittance register.

a) date of receipts;
b) how to received (by ordinary, certified or registered post or by delivery book);
c) from whom received;
d) address of sender;
e) nature of remittance;
f) received for what purpose;
g) amount remitted (where applicable);
h) signature of persons present at opening of post;
i) signature of person to whom it is handed;
j) number of receipt issued or any other way of disposal; and
k) signature of person responsible for checking the register for in terms of T.I. JD 0205, and the date of checking.

JD 0205 The head of office or a responsible person appointed by him in writing shall check the prescribed remittance register at least once a week and ascertain that 11 items entered therein have been dealt with immediately and properly and, where applicable, brought into account, and shall sign his name and insert the date in the last column of the register to indicate that all instructions have been complied with.

JD 0206 Persons who received remittance or negotiable instruments which wee delivered by hand, shall verify the contents of the letter or parcel and, if it is entered in a delivery book, sign the entry in the book to acknowledge receipt and enter or have someone enter the remittances or negotiable instruments in the remittance register."

4.7.12.3 The remittance register must be used by Government Service offices.

4.7.13 Allocation of file numbers

4.7.13.1 The mail is sorted as follows:
- those items where the office's own file number appears;
- those items with no file number; and
- those items requiring no file number, for example leave forms, accounts.

4.7.13.2 Where the file reference number does appear, it is checked and written in pencil in the middle of the letter and the items are then handed to the responsible officer, who withdraws the files or searches for them.

4.7.13.3 Letters without file reference numbers should be read carefully by the Registry Head to ensure that the letter is placed on the correct file. The filing system itself must be used, not alphabetical indices, etc. Note that the subject is determined by the contents of the letter and not by the heading, which may be misleading.

4.7.13.4 First, consult the List of Main Series of the filing system and decide on a suitable main series by eliminating unsuitable series.

4.7.13.5 Next, identify the main subjects listed in the particular main series by checking all those file numbers which only have <u>two</u> components, e.g. 13/1, 13/2, 13/3, etc. Decide on a suitable main subject by eliminating unsuitable ones.

4.7.13.6 Suppose that 13/2 is the main subject heading. Identify all the subdivisions of 13/2. This means all file numbers beginning with 13/2 and consisting of <u>three</u> components, e.g. 13/2/1, 13/2/2, 13/2/3, etc. Decide on the correct subdivision, for example 13/2/3 by eliminating unsuitable ones.

4.7.13.7 If 13/2/3 is underlined or subdivided, consult the subfiles listed until the correct file is identified.

4.7.13.8 If no suitable subject is found after following the procedures set out in 4.7.13.5 and 4.7.13.6, this indicates that special provision has to be made for that particular item. This may be a new file, a new subject or even a new main series.

4.7.13.9 Consult the Officer in Charge, who will in consultation with the National Archives, make a suitable alteration/addition to the filing system.

4.7.13.10 N.B. Do <u>not</u> place items on the closest file or on a policy or routine enquiries file if a suitable file does not exist. Remember that everybody who uses the filing system should arrive at the same file for a particular subject. This will not happen if correspondence is "pushed in" somewhere.

4.7.13.11 At the same time determine whether more than one subject is being dealt with in the letter. If so, copies must be made for the files concerned and placed on these files.

4.7.13.12 In cases of doubt the Officer in Charge should be consulted.

4.7.13.13 Officers responsible for correspondence should check that correspondence is placed on the correct file, and in cases of doubt the Registry Head should be consulted.

4.7.13.14 In offices where staff files are not numbered, it is sufficient to underline the name of the person referred to in pencil and to indicate at the top of the letter which file is required, e.g. SP, SF, SL or SA for personal, financial, leave or accident files.

4.7.13.15 Items which do not receive file numbers should either be placed on the applicable file or sent in a cover to the section concerned.

4.7.14   Placing of mail on files

4.7.14.1 As soon as file numbers have been allocated to incoming mail, the relevant files are fetched, the items placed on the files and the control sheet filled in. The practice of placing incoming items on the outside of the file or loose within a file should be discontinued.

4.7.14.2 Documents which have to be returned to the sender, e.g. certificates, wills, copies of deeds, etc., should be placed in an envelope and attached to the inside of the right hand portion of the file cover. See also paragraph 4.7.5.8.

4.7.14.3 If a file cannot be located at the first attempt or within a reasonable time, the items should be sent through to the division/section concerned. If the item cannot be dealt with without the file, the registry should attempt to trace the file.

4.7.14.4 If, after repeated attempts, the file cannot be traced, a duplicate file may be opened and this fact noted in pencil in the Register of Files Opened. See also paragraph 4.12.13.

4.7.14.5 It is not essential that every item be placed on a file before being dealt with by officers. Thus many items, e.g. leave forms, financial statements, claims, accounts, etc. may be sent without files to the relevant sections/officers. These may be returned to the registry for filing. This method eliminates a great deal of work and prevents the unnecessary movement of files.

4.7.15   Numbering of items on files

4.7.15.1 The numbering of items on a file has advantages in that it ensures that

- items do not get lost;
- the chronological order of the file is not disturbed;
- every item is dealt with;
- specific items can be referred to by quoting the item number instead of "see item marked A" or similar instructions. Such indications are usually removed once the matter has been dealt with and at a later stage there is no clarity on what was meant by "item A".

Outgoing items and related items on the file can be referred to by the item number. Pages as such are not numbered. Each item is seen as an entity and receives one number. Thus it is unnecessary that items be filed in reverse order.

4.7.16   Control sheet (system of dealing with items within files)

4.7.16.1 The purpose of the control sheet (figure 8), referred to in paragraph 4.6.3.3, is to ensure that all incoming items and instructions on the files receive attention. It is the duty of the registry staff to ensure that every item has been dealt with, i.e. has been marked "file", or an indication given that it must be pended, although the file itself is replaced in the cabinet or on the shelf. If such instructions are not given, the file is returned to the responsible officer for the necessary instructions. Old control sheets may be destroyed once all items have been dealt with.

4.7.16.2 The control sheet system has certain advantages, e.g.

a) correspondence is immediately placed on a file, thus it is protected from damage and loss;

b) it ensures that all items on the file receive attention because it may be determined from the "Pend" or "File" column which items have not received attention. Registry staff need not look through the file for further instructions;

c) it eliminates the writing of instructions, decisions, etc. on the correspondence itself. Such instructions are frequently confusing and illegible because of limited space. This creates an untidy appearance;

d) it serves as a control measure for supervising officers of the various administrative sections in that the control sheet can be used to determine whether correspondence has been dealt with, and how long it has taken to be answered;

e) the use of the control sheet system ensures that incoming items are placed on files immediately after receipt, and that each item is numbered with the next consecutive number. This ensures that items on the file are placed in chronological order; and

f) it simplifies the maintenance of a pending system.

4.7.16.3 The control sheet procedure is as follows:

a) the registry allocates a number to each item (whether one page or more) beginning from 1 on each file. This number is written in the top right hand corner and circled;

b) the item is placed on the file in the usual manner;

c) the registry completes the control sheet by writing the number of the item in the "Item" column, and marks it out to the responsible officer (usually the section head) using his/her code letters in the "for attention of" column;

d) files are sent to the section heads either by marking the outside of the file or by pigeon hole divisions;

e) the section heads make the necessary remarks and give instructions on the item if there is enough space for this to be done. If not, an unused A4 sheet of paper is used for further instructions. This is given the next consecutive number and placed on the file in the usual manner. The control sheet is then completed and the previous item marked in the "File" column, followed by the code letters of the officer concerned;

f) the section head sends the files to the officer responsible for dealing with the matter;

g) if this officer has to make a submission to his/her seniors, he/she should do this on a separate piece of paper, allocating the following number to it and completing the control sheet;

h) the submissions may have to be seen by various officers - this is achieved by indicating the relevant code letters in the third column. When an officer has seen the item, he/she cancels his/her code letters;

i) if a letter has to be dispatched, the responsible officer checks the typing and allocates the following number to the file copy of the letter. The control sheet is completed by marking the "file" or "pend" column;

j) if the "pend" column is marked, the pending date followed by the officer's code letters is filled in;

k) the officer places the letter, the file copy and the daily file copy loose <u>within</u> the file and sends it to the section head;

l) after checking and signing, the file is sent to the registry;

m) the registry deals with the outgoing letter, files the file and the daily file copies, and deals with the file according to the instructions on the control sheet, i.e. replaces file or pends it;

n) if items on the control sheet have not been dealt with, the file is sent to the section concerned. It is the responsibility of the registry to ensure that no file is stored until all items have been dealt with by the person concerned;

o) if the file is not available when an item arrives in the registry, it is punched for filing, and a slip "Item to be placed on file", is attached to it (see example below). The responsible officer places the item on the file when he/she receives it, allocates the following item number to it, and completes the control sheet. If he/she does not have the file, or it cannot be found, he/she sends the slip back to the registry with the request to search for the file and to send it through when found. In the meantime the item remains with the officer for the necessary attention.

ITEM TO BE PLACED ON FILE.

To .... (code letters of officer concerned)

1. The file for this item is not in the registry.

2. Please place this item on the file, allocate the following item number to it (in the top right hand corner) and complete the control sheet.

3. Destroy this slip as soon as the item has been placed on the file.

<u>To Registry</u>
(delete what is not applicable)

1. The file cannot been found here. Please search for it and return to ....

2. The file is attached.

4.7.16.4 It is unnecessary to use control sheets in files which do not normally contain correspondence e.g. leave files, files where statements, etc. are placed.

4.7.17 Search for files

4.7.17.1 Only in exceptional circumstances should the registry be requested to search for a file urgently because such requests disrupt the work of the registry.

4.7.17.2 The search list for missing files should be compiled according to file numbers. The mail for the missing files should also be sorted according to file numbers.

4.7.17.3 The offices are then systematically searched and, when files are found, the correspondence is placed on them and a note made on the control sheet - see paragraph 4.7.16. It should be pointed out to the officer concerned that new correspondence has been placed on the file. If he/she is absent the file should be placed in his/her "IN" basket.

4.7.17.4 Files should not be removed from an officer's desk without his/her permission. If he/she is absent a note should be left to indicate the whereabouts of the file.

4.7.18 Distribution of files from registry

4.7.18.1 After the incoming mail has been placed on the files, these are gathered in one place in the registry from where they are distributed to the officers or sections concerned. This is achieved by sorting them into clearly marked pigeon holes from where the messenger can deliver them to the sections/officers concerned. This sorting is carried out at regular intervals.

4.7.18.2 Registry staff should note the condition of the files and should arrange for opening of new volumes if current volumes become too thick. Files which are too thick look untidy, are difficult to handle, and are easily damaged.

4.8 Outgoing mail

4.8.1 File numbers

4.8.1.1 It is not the duty of registry staff, but that of the officer concerned to allocate correct file numbers to outgoing mail. Any problems in this regard should be discussed with the Officer in Charge.

4.8.2 Instructions

4.8.2.1 All officers handling outgoing mail should be conversant with Post Office and Treasury Instructions as set out in the Postal Guide and Treasury Instructions.

4.8.3 Postage, weight, measurements, and packaging

4.8.3.1 The Postal Guide contains full particulars of postage, weight, measurements and packaging, thus it is unnecessary for these to be repeated here.

4.8.4 Arrangements for dispatch

4.8.4.1 To ensure that letters are posted with the minimum of delay, it is advisable that files containing such letters are taken from the "post" pigeon hole of the officer to the registry officer responsible for the dispatching of mail. Each corresponding officer should have a "post" pigeon hole on his/her desk. (Figure 11)

4.8.4.2 The practice of placing letters for dispatch on top of files so that these are more easily identifiable cannot be allowed as this may cause damage to the mail and items can easily be lost.

4.8.4.3   The dispatch of all mail is carried out by the responsible registry officer from one place in the office, that is the dispatch table. Files with post to be dispatched are placed by the messenger in marked pigeon holes in the file rack (figure 2). The responsible registry officer fetches these items, for this reason the dispatching table should be situated as near as possible to the file rack.

4.8.4.4   The responsible registry officer ensures that the date stamp appears on the outgoing item, as well as on the file and daily file copies, that each item is signed or bears a name stamp, and that all enclosures indicated in the letter are attached.

4.8.4.5   Where mail cannot for one or another reason be dispatched on a particular day the date of dispatch should not be typed on the letter. Date stamps should be used.

4.8.4.6   The mail is then placed in the pigeon hole of the dispatch cabinet, while the file is placed on the right hand side of the table to be collected for storage or redistribution.

4.8.4.7   Items to be dispatched consist of the following:

a) ordinary mail dispatched by the Post Office;
b) registered mail dispatched by the Post Office;
c) certified mail dispatched by the Post Office; and
d) ordinary mail delivered by the messenger to various destinations.

4.8.4.8   There ought to be sufficient pigeon holes for the various categories of mail.

4.8.4.9   Where the amount of mail dispatched is so small as not to need a dispatch cabinet, the concertina type folder may be used instead.

4.8.4.10   In order to minimize time spent in addressing envelopes, window envelopes (for letters to members of the public) and address stamps (for offices corresponded with frequently) should be used.

4.8.4.11   All envelopes and other items dispatched by Government Service offices must bear the office stamp in the bottom right hand corner.

4.8.5   <u>Registered mail</u>

4.8.5.1   Refer to the chapter "Registration" in the "Postal Guide".

4.8.5.2   Only important documents and correspondence which for various reasons must be signed for on receipt should be sent by registered mail. In these cases the Post Office provides proof of receipt of the item to the sender.

4.8.5.3   Registered mail should be kept in a separate pigeon hole until the last clearance of the day, when these are dispatched.

4.8.5.4   The officer responsible for dispatching registered mail should ensure that:

a) the envelope is properly sealed and bears a blue cross;
b) a registration label is placed in the top left hand corner of the addressed side of the envelope; and
c) a list of registered mail is compiled in duplicate (fig. 5).

4.8.5.5   This form provides space for the office's file number. It is unnecessary to fill this in as the Post Office has no interest in it. The column can be used profitably for noting dates and reference numbers of individual letters. The book is taken with the letters to the Post Office where the original is retained and the duplicate returned with proof of acceptance issued by the Post Office.

4.8.5.6   A single registered item need not be entered on a list, but can be taken to the Post Office and handed in, whereupon an acceptance receipt will be issued. The acceptance receipt may then be filed with the covering letter.

4.8.5.7   All registered items should be handed in at the Post Office counter, under no circumstances should these items be placed in a mail bag or mail box.

4.8.5.8   Labels for registered post are available on request at any Post Office.

4.8.5.9   To prevent misuse, these labels should be stored in a safe place.

4.8.6   Certified mail

4.8.6.1   Certified mail is used in cases where it is necessary that the signature of the addressee should be obtained, but where it is not necessary that the Post Office should provide proof of acceptance.

4.8.6.2   Certified mail labels are available on request at any Post Office.

4.8.6.3   These labels are issued in duplicate. One label is placed in the top left hand corner of the addressed side of the envelope, while the other is placed on the file copy of the letter. A register of certified mail dispatched is not kept.

4.8.6.4   These items are dispatched together with ordinary mail in the mail bag. They are not entered in a register.

4.8.7   Air mail

4.8.7.1   Refer to the chapter on "Air Mail" in the "Postal Guide".

4.8.7.2   All official standard sized items destined for places outside Namibia are sent by air mail. Bulky items should be sent by ordinary mail.

4.8.7.3   All air mail should be provided with blue air mail stickers in the top left hand corner of the envelope.

4.8.8   Express mail

4.8.8.1   Refer to the chapter on "Express Mail" in the "Postal Guide".

4.8.8.2   Only in exceptional cases should a letter be sent by express mail.

4.8.8.3   A red "Express Mail" label should be provided in the top left hand corner of the envelope. If such a label is not available, the word "EXPRESS" should be written in red in the same space. A red horizontal line should be drawn on the envelope.

4.8.8.4   An express mail item should be handed in at the Post Office counter. Under no circumstances should it be placed with other items in a mail bag or mail box.

4.8.8.5   Express mail items should, wherever possible, be sent to a street address rather than to a mail bag or mail box.

4.8.9   Telegrams

4.8.9.1   Refer to the chapter on "Telegrams" in the "Postal Guide".

4.8.9.2   Telegrams should only be sent in exceptional cases. In cases where the telegram is only in the interest of the addressee, the telegram should be sent "Collect" so that the costs can be recovered from the addressee.

4.8.9.3   A telegram should be short and to the point without using the normal forms of letter writing. Where possible telegraphic addresses should be used.

4.8.9.4   It is unnecessary to keep a register of telegrams dispatched because telegrams are no more than urgent letters. The original is handed in at the Post Office and the copy filed on the relevant file.

4.8.9.5 To ensure that reply telegrams received are referred to the correct section, each section should have its own telegram book provided with a code, e.g. A, B, C, etc., and this code with the number of the telegram, e.g. A.1, A.2, forms the reference number of each telegram. The reply telegram will bear the reference and can immediately be referred to the correct section. Each new telegram book is numbered from 1.

4.8.10 Foreign mail

4.8.10.1 Refer to the chapter on "Foreign Mail" in the "Postal Guide".

4.8.10.2 Foreign mail from Government Service offices should not be placed in the mail bag with other mail. Each item should be entered in triplicate on the prescribed form and handed in at the Post Office counter. The Post Office stamps all three forms and hands one back as proof of acceptance.

4.8.11 Ordinary parcels

4.8.11.1 Refer to the chapter on "Internal and Foreign Parcels" in the "Postal Guide".

4.8.11.2 Usually the messenger prepares the parcels for dispatch and gives these to the responsible registry officer, who addresses them by means of the tie on/stick on labels provided by the Post Office. The office stamp and the word "OFFICIAL" should be placed on the parcel for identification purposes by Government Service offices.

4.8.11.3 Ordinary parcels for internal delivery are placed in the post bag together with the other mail. In Windhoek, parcels should be taken to the parcels section of the Post Office.

4.8.12 Certified parcels

4.8.12.1 A certified parcel is dispatched in the same way as a certified letter (see paragraph 4.8.6).

4.8.12.2 Files are always dispatched by registered post.

4.8.13 Insured parcels

4.8.13.1 Insured parcels should be handed in at the Post Office counter.

4.8.13.2 A proof of acceptance slip should be obtained for every parcel and placed on the file copy of the covering letter.

4.9 Pending of files

4.9.1 To ensure efficient administration every office should use some form of pending system.

4.9.2 Period

4.9.2.1 From its very nature it is impossible to establish fixed pending periods. Factors such as the distance between correspondents, the nature of the correspondence, and the type of information expected in reply, all play a part. Each case should be judged on its merits, though the period should not be so short as to cause the unnecessary movement of files.

4.9.2.2 Although no fixed procedure for the pending of files can be prescribed, some smaller offices use the practice of pending files for certain dates e.g. 15th and 30th/or the 10th, 20th and 30th of a month. This has the advantage that registry staff do not have to withdraw files each day, and the corresponding officers can plan their work to include pended files on those particular days. In larger offices this practice could cause disruption to normal registry activities if large quantities of files have to be withdrawn on certain days. Officers may, for their own convenience and work planning, specify files to be pended for certain days of the week.

4.9.2.3 It is not the responsibility of the registry staff to decide how long an item must be pended and even less so to send out reminders.

4.9.3 Which items should be pended?

4.9.3.1 It is a general practice in some offices to pend an item regardless of whether a reply is expected or not. An item should only be pended if the writer expects a reply.

4.9.3.2 If Mr X requests a copy of a document and he is informed that this can be supplied on payment of a certain amount, it is not necessary to pend the correspondence because a reply has not been requested. If Mr X still wishes a copy of the document, he himself will see to it that the necessary steps are taken.

4.9.3.3 In another case an officer has been transferred and requests payment of a transfer allowance; he is requested to provide certain particulars before such a payment can be considered. If he does not respond to the request, the office does not suffer and it does not help to pend the file.

4.9.3.4 Suppose that Mr X has been provided with the copies he desired but pays insufficient money for these and is requested to send the necessary money; in this case the file should be pended to ensure that the matter is finalized.

4.9.3.5 The questions that should be asked on the pending of files:

- is a reply insisted upon?
- Will the matter, seen from the point of view of the writer, be prejudiced in any way if no answer is received?

It has been found that the use of this technique has reduced the amount of files pended thus reducing the work load of the registry staff and the movement of files.

4.9.4 Pending systems: the diary/control sheet system

4.9.4.1 Various pending systems are in use but only one is recommended i.e. the diary system maintained by the Registry Head.

4.9.4.2 When an officer wishes an item to be pended, he/she indicates the pending date on the control sheet together with his/her code.

4.9.4.3 On receipt of the file, the registry staff check the file to see which items should be pended by consulting the "pend" column of the control sheet. The Registry Head keeps a diary where all items which have been marked "pend" are entered under the date given. This is done in the following manner: file number, item number, code of official concerned. The Registry Head checks the diary each morning to determine which files must be sent to which officers.

4.9.4.4 When the item has been finalized, the "file" column on the control sheet is completed. The file is then replaced by the registry staff in its correct place.

4.9.4.5 This simple but efficient system ensures that items not finalized are not permanently filed away.

4.10 Filing of documents and storage of files

4.10.1 Before a file can be stored the registry staff should ensure that all correspondence has been attended to. This is done by checking the control sheet to see that all items have been marked "file" or "pend".

4.10.2 The Registry Head should ensure that instructions to pend or file are carried out.

4.10.3 Where a "pend" date appears, this should be entered in the pending diary.

4.10.4 Files should be kept in a neat condition. The file cover should be clean and in one piece, the correspondence secured neatly, the paper fastener undamaged, and all pins and paper clips removed. Repairs to a file should be carried out before storage or return to officers.

4.10.5 As soon as a file reaches a thickness of 3cm, it should be closed and a new volume opened (see paragraph 4.13.1.1). Where the "Indian tag" is in use, files should be closed when they reach 2cm.

4.10.6 The filing of both incoming and outgoing mail takes place in the registry.

4.10.7 Items should be secured <u>inside</u> the files. Where the paper fastener is in use, the washer should be placed on top of the last item on the file. When the next item is filed, the washer is removed and replaced on top after filing.

4.10.8 Documents should be filed in chronological order with the latest on top. An annexure forms part of the document under cover of which it was received, regardless of the date of such an annexure. The date of receipt, and not that of dispatch, is used for the filing of incoming items.

4.10.9 Only one copy of any outgoing item is placed on the file. More than one copy of the same item on a file serves no purpose and causes the file to become too thick and causes difficulty in tracing items.

4.10.10 Cross-filing is useful and in some cases necessary. When it is necessary to cross-file, the corresponding officer should ensure that sufficient copies of the item are prepared. Only one reference number should appear on the outgoing letter. The corresponding officer provides the alternative numbers on the extra copies which have been prepared.

4.10.11 Bulky documents, such as reports and minutes of meetings, should not be filed with other documents, but should be placed in an annexure file cover and this fact noted on the file concerned. The file cover should bear the reference number and the words "Annexure". Each item on the annexure file should be identified by quoting the covering letter concerned, its date and office of origin. No correspondence should be filed on annexure files.

4.10.12 If the office has a library, all publications not requiring ministerial attention should be stored there. Publications ought not to be filed.

4.10.13 Valuable documents must be protected against damage. It should be ensured that the loss of these does not bring the office into disrepute. Personal documents which have been submitted for notification purposes should be placed in an envelope attached to the flyleaf of the file until they are returned to the owner. In other cases documents should be kept in a safe place, and a note to this effect placed on the file concerned. (See also paragraphs 4.7.5.8 and 4.7.14.2).

4.10.14 Files are stored strictly according to the filing system, or alphabetically or numerically or alpha-numerically in cabinets or on shelves. (See figures 12 and 13).

4.10.15 Files from one filing system, for example a main filing system, should not be mixed with those of another filing system, for example a staff filing system.

4.11 <u>Personal files</u>

4.11.1 The Office of the Public Service Commission has approved the use of four personal files per officer. These are the SP, SL, SF and SA files. Offices can however open files according to their needs.

4.11.2 The following are guidelines for the opening of these files:

<u>SP files</u>

To avoid the creation of unnecessary personal files, individual sub-files for applicants may be opened. Personal files are opened when the applicant assumes duty and the relevant documents transferred from the

sub-files. For this purpose it is necessary that registry staff place all the documents concerning each applicant on a separate sub-file and send it to the section concerned. In cases where applicants do not accept the position, the contents of the sub-files may be placed on the relevant subject file. In cases where applicants assume duty immediately, that is where the applicant's application for employment and the assumption of duty advice are received simultaneously, a personal file is opened immediately.

SL files

A leave file is opened once the first application for leave has been received. After receipt of the first leave form the leave clerk endorses the form, "first application", and sends the form to the registry where a leave file is opened. As soon as a SL file is opened this fact is noted on the official's SP file in the "reference" column.

SF files (also known as ST files)

Financial files are opened when a financial matter, for example the payment of an allowance, a claim for subsistence and transport, etc., is dealt with for the first time. As soon as a SF file is opened, this fact is noted on the official's SP file in the "reference" column. Reference to this on the SP file is necessary so that no doubt exists that a SF file has been created.

SA files

Accident files are opened as soon as an accident occurs. The opening of such a SA file is recorded in the "reference" column of the SP file.

4.11.3   Although file covers in four different colours can be used to distinguish between the types of personal files, it is advisable that the various types of staff files are stored in separate cabinets.

4.11.4   Files forming part of a staff filing system should not be mixed with files from any other system.

4.12   Movement of files

4.12.1   The movement of files between sections and officers is indicated on the front cover of the file or by the use of pigeon-holes.

4.12.2   Corresponding officials should ensure that files no longer required are returned to the registry as soon as possible.

4.12.3   Although in some cases it is necessary that files should flow via the registry, it is unnecessary to keep a register of this movement. (See also paragraph 4.6.2.9).

4.12.4   It has been proved by experience that no system which attempts to determine the whereabouts of any file at any given moment has been successful. Such a system is very time-consuming.

4.12.5   Such a system can only work if the registry is aware of every movement of a file, but the time that this would occupy can be used more profitably. Besides this, more registry staff would be needed to keep such a system up to date.

4.12.6   A system whereby a file must move via the registry from one person to another in order to record such movement, occupies too much time and too much movement of files (see figure 14). 4.12.6.1 Suppose that:

a) a file must move from Mr A to Mr E via Mr B, C and D;
b) Mr A's office is ten metres from the registry and the other offices are ten metres apart, and
c) files are distributed each hour.

4.12.6.2   If the file is removed from Mr A's office at 8h00, it will only reach Mr E at 16h00 if the file has to pass through the registry each time, after having travelled 240 metre.

4.12.6.3   If the file does not pass through the registry Mr E will receive the file at 11h00, after it has travelled only 40 metre.

4.12.6.4   Points 4.12.6.2 and 4.12.6.3 are graphically illustrated in figure 14.

4.12.7   Where the movement of files is controlled, the "80-20" principle is usually applicable, i.e. approximately twenty percent of circulating files are required at any given moment while eighty are not required. In other words, the movement of one hundred files is noted while only twenty need to be traced.

4.12.8   For this reason control systems are not recommended.

4.12.9   While no control is necessary over the movement of files within a division or section, it is, however, necessary to note the movement of files to another division or section which does not normally deal with these files. For example, staff files may be sent to the accounts section or files may have to be sent to another building.

4.12.10   It is recommended that when this occurs, a card is placed where the file is normally housed with the following particulars:

a) file number;
b) place to where file has been sent; and
c) date of sending

4.12.11   When the file is needed, it can quickly be determined where it was sent. Files which have been returned from other divisions/sections should thus be brought to the attention of registry staff in order that the card can be removed.

4.12.12   A supply of cards should be kept for this purpose and kept in the registry office. All that is necessary is lines drawn on a sheet of paper and this glued to a card board backing board.

4.12.13   When a file is lost, a temporary file should be opened and this fact noted in the Register of Files Opened. Efforts to trace the missing file should be continued. As soon as the original file has been found, the contents of the temporary file should be combined with it. (See also paragraph 4.7.14.5.)

4.13   Closing of files and Other Archives

4.13.1   Files

4.13.1.1   As soon as a file reaches a thickness of 3cm it should be closed. The correspondence should be checked page for page to ensure that all items are in the correct place and that there are no misfiled items. The last item on the file should be a sheet of paper with the words "Closed, see volume .....".

4.13.1.2   Volumes are numbered consecutively in Arabic figures i.e. 1,2,3. Letters of the alphabet or Roman numerals should not be used.

4.13.1.3   If the file cover is damaged in any way it should be replaced.

4.13.1.4   Closed files should be safely stored until they may be destroyed in terms of disposal authorities or transferred to an archives depot.

4.13.2   Other Archives

4.13.2.1   The 3cm thickness applicable to files does not apply to Other Archives, but the thickness of these items should remain manageable.

4.13.2.2   There is no special closing procedure for Other Archives except that A.20 items are clearly identified and the name of the office of origin appears before transfer.

4.14   Disposal of archives

4.14.1   It is the duty of the Officer in Charge to obtain disposal instructions from the Head of Archives for all archives in his/her office. See chapters six and seven.

4.14.2   As soon as disposal guidelines have been issued, a Destruction Register should be compiled.

4.14.3   This register is compiled on a year basis, for example 1991, 1992, 1993, etc. As soon as a volume or item has been closed and it has a V disposal guideline it is entered under the year in which it qualifies for destruction. For example, an item closed in 1988 and having the disposal guideline V.3 is entered on the 1991 page. In this manner one can determine which items qualify for destruction in a particular year.

4.14.4   The registry staff are responsible for the Destruction Register. This should be a loose leaf register which allows extra pages to be added when necessary.

4.14.5   For instructions concerning the disposal of archives, consult paragraph 6.3.

4.15   Daily files

4.15.1   There are three main advantages of daily files:

-    Firstly these enable the office's management to see what work is being done and its quality and standard.

-    Secondly the daily file is an important training aid, as it gives all staff members the opportunity to gain a broad view of the activities of the office and enables them to become aware of the activities of other sections.

-    Thirdly it enables the Officer in Charge to ensure that correspondence is placed on the correct file.

4.15.2   The daily file need not contain a copy of every letter dispatched. Copies of routine letters and reminders need not appear on the daily file. The same applies to confidential letters. The Officer in Charge decides on the type of correspondence which need not be placed on the daily file.

4.15.3   In large offices the circulation of the daily file begins the morning after the date of dispatch of the letters, and should be handled quickly. Normally it should not be held longer than one file clearance. This is essential if management is to be kept up to date and if mistakes are to be rectified quickly. Where circumstances permit, the daily file may be circulated weekly, but this is naturally less effective in correcting mistakes in outgoing mail.

4.15.4   As soon as the daily file has been circulated it has served its purpose. If space is available, it is sometimes convenient to retain daily files for up to a year for reference purposes. Afterwards the Head of Archives may be asked for permission to destroy them.

4.16   Circulars

4.16.1   All offices issue and receive circulars.

4.16.2   Circulars received

It is not necessary to place all circulars received on files. If a circular concerns one particular subject a copy may be placed on the applicable subject file. Circulars received are usually stored outside the filing system in suitable containers or files. Circulars should be kept in correct numerical order to facilitate reference work.

4.16.3   Circulars issued

Copies of circulars issued should be filed on the applicable subject files within the approved filing system as well as either on a specific file in the filing system or stored outside the filing system. Circulars should be stored in correct numerical order.

FIGURES

1. Layout of a registry

2. Combined counter/distribution rack

3. Remittance register

4. Register of documents received by certified mail

5. Register of items dispatched by registered mail

6. Standard file cover

7. Example of well-prepared file cover

8. Control sheet

9. Correct paper fastener

10. Colour combinations

11. File rack with separate pigeon holes for post files

12. Storage of files in numerical order

13. Storage of personal files in alphabetical order

14. Movement of files: time and distance comparison

5. FILING SYSTEMS

5.1 General

5.1.1 In accordance with article 3(2) (j) of the Archives Act all filing systems must be submitted to the Head of Archives for approval. This includes filing systems of commissions/committees of enquiry.

5.1.2 A filing system, approved for use by a certain ministry, local authority or statutory institution may not be used by another ministry, local authority or statutory institution without the permission of the Head of Archives. A filing system which has been approved for the use of one type of office, e.g. a head office, may not be used by another type, e.g. a regional office, without the approval of the Head of Archives.

5.1.3 A filing system which has been approved by the Head of Archives may not be made available to any person or institution not under the control of the Archives Act without the permission of the Head of Archives.

5.2 Unapproved filing system in use

5.2.1 Filing systems already in use but not approved by the Head of Archives, must be submitted in duplicate for approval.

5.3 New filing systems

5.3.1 The Officer in Charge, with the co-operation of any other officer(s), is responsible for the compilation of new filing systems, under the guidance of the National Archives. Various bulletins are available on request.

5.3.2 Before compilation of a new filing system begins, the Head of Archives should be consulted.

5.4 Implementation of a new approved filing system

5.4.1 From the date of implementation of a new filing system no correspondence may be conducted on the files of the previous filing system with the exception of case files. The previous filing system must be closed the day prior to the implementation of the new filing system and no items should be transferred from the previous filing system to the new filing system. If necessary case files may be renumbered to fit in with the new filing system.

5.5 Control of the filing system

5.5.1 Control of the filing system should be entrusted to the Officer in Charge and no alterations/additions should be made without the permission of this officer.

5.5.2 The duties of the Officer in Charge concerning the filing system are fully set out in the General Instructions to the filing system.

5.6 Master Copy

5.6.1 The Master Copy of the filing system is that copy which contains all approved subjects and which indicates which files may be opened and how these files are to be opened and filed.

5.6.2 No file may be opened before the permission of the Officer in Charge has been obtained. The Officer in Charge should ensure that all alterations or additions are immediately noted in the Master Copy.

5.6.3 Individual case files opened according to notes in the filing system are not noted in the Master Copy, but in the Register of Files Opened. However, these files should be reported to the Head of Archives unless exemption has been obtained.

5.6.4 The Master Copy should be kept in a ring binder so that pages may be easily removed and replaced.

5.7 Register of Files Opened

5.7.1 The Officer in Charge should ensure that a Register of Files Opened is compiled and maintained in accordance with the instructions in chapter four.

5.8 Reporting of alterations/additions

5.8.1 All alterations and additions (the inclusion or deletion of an underlining is also considered an alteration) should be reported regularly (at least once a month) to the National Archives for notification and approval.

5.8.2 These notifications should be numbered according to year for example 1/92, 2/92, 3/92, etc.

5.8.3 Full particulars of the desired additions should be given - the nature of the correspondence and suggested file numbers and descriptions.

5.8.4   An example of reporting alterations/additions follows:

Head of Archives
Private Bag 13250
WINDHOEK

ALTERATIONS/ADDITIONS TO FILING SYSTEM 7/92

1. Approval is requested for the following alterations/additions:

1/2/3
Create new file "Interpretation and Legal Opinions".

4/3/6/9
It has become necessary that a separate file for fire arms be created and it is suggested that a file "Fire arms" be added to the filing system.

Main series 13
As a result of the assumption of certain new functions, it has become necessary to provide a sub-series for the awarding of bursaries. The following sub-series is suggested:

13/8   Bursaries
13/8/1 Applications for
13/8/2 Awarding of

2. Your comments/approval of the above alterations/ additions are awaited. As soon as the alterations/ additions are approved, the necessary amended pages will be submitted.

for SECRETARY: STATE AFFAIRS

5.8.5   Alterations/additions urgently required may be telephonically reported to the Head of Archives. Provisional approval may be given and alterations/additions should then be reported by letter.

5.8.6   Officers in Charge and Registry Heads are welcome to discuss any proposed alterations/additions with the National Archives before reporting such alterations/additions.

5.8.7   As soon as approval for alterations/additions has been given, the relevant pages should be retyped and a copy sent to the National Archives.

5.8.8   The amended pages should be distributed to all staff members in possession of a copy of the filing system. It is essential that the Registry Head be in possession of a list of staff members who have copies of the filing system, in order that all copies are kept up to date.

5.8.9   For secret files, see paragraph 5.13.

5.9   Correct filing of correspondence

5.9.1   It is the duty of the officer who writes a letter to allocate a file number to it.

5.9.2   Usually each correspondence officer has a copy of the filing system. In the case of sections where little or no correspondence is carried out, there should be at least one copy of the filing system.

5.9.3   Officers should be thoroughly acquainted with those main series which concern them and should constantly check that correspondence is filed on the correct file. Incorrect filing should be rectified immediately to prevent the destruction of valuable documents or the unnecessary preservation of ephemeral documents. It should also be noted that in cases where correspondence begins on one file and later the emphasis shifts to another aspect, the correspondence should be continued on the particular file concerned.

5.9.4   The Officer in Charge should check the daily file of the office to ensure that correspondence has been filed on the correct file.

5.10   Use of policy files

5.10.1   Modern filing systems make provisions for policy files. These files are distinguished by a "/P" at the end of the file number for example 1/P, 1/1/P.

5.10.2   The purpose of this type of file is to group items concerning policy, decisions, instructions and circulars together and apart from other items for easier reference. "Instructions" do not refer to instructions given to individuals, but to instructions concerning the work of a section.

5.10.3   Correspondence filed on policy files should be limited to the formulation of, and alterations to policy. The following types of correspondence should not be filed on policy files:

i) Enquiries on policy which do not lead to the formulation of, or change in policy interpretation.

ii) Correspondence concerning individual cases which do not lead to the formulation of new policy or changes to existing policy.

iii) Matters which concern the series or sub-series as a whole, but are not policy matters, as well as aspects for which there are no existing files. In these cases suitable files should be created.

5.11   Use of routine enquiry files

5.11.1   Routine enquiry files are provided at certain places in the filing system. The purpose of these files is to deal with enquiries that are ephemeral and which do not need to be referred to again.

5.11.2   Routine enquiry files are usually destroyed after a certain period - thus under no circumstances should important items be filed on a routine enquiry file.

5.11.3   Routine enquiry files should not be used to file items for which no suitable file exists. In such cases a suitable file should be created.

5.12   Filing of reports, returns and information

5.12.1   Because modern filing systems are subject based, reports, returns and information are usually filed on the relevant subject file.

5.12.2   The main series REPORTS, RETURNS AND INFORMATION in modern filing systems is to be used only for reports, returns and information which cannot be filed elsewhere.

5.13   Confidential, secret and top secret files
(Classified files)

5.13.1   Apart from the instructions below, confidential, secret and top secret files created by Government Service offices are also subject to the provisions of circular AG 2/9 of 4 March 1983, issued by the Office of the Administrator General.

5.13.2   Classified files are normally kept in a locked cabinet by the Head of the Office or an official nominated by him/her.

5.13.3   Confidential, secret and top secret files may be opened for any main or subseries in the Master Copy of the filing system. These files are distinguished from the other files by the addition of /C (confidential) /S (secret) and /TS (top secret) to the end of the number.

5.13.4   If a classified file is required for a subject not in the Master Copy of the filing system, the subject should be inserted at the appropriate place and reported to the Head of Archives in the same manner as any other alteration/addition. It is unnecessary to indicate that the new file(s) is/are to be used for classified correspondence.

5.13.5   Confidential, secret and top secret files are not entered as such in the Master Copy or Register of Files Opened. A separate Register of Classified Files Opened should be maintained as indicated in chapter four.

5.14   Correspondence which cannot be classified

Head Offices

5.14.1   Whenever correspondence is received which is difficult to file, the Officer in Charge should be consulted in order to determine whether a suitable file exists, or whether a new file should be created.

Regional offices/sub-offices

5.14.2   Whenever correspondence is received for which no suitable file exists, this should be temporarily filed on the office's "Unclassifiable correspondence" file. The Officer in Charge should consult the Head Office in order to determine the correct file, or to arrange for the creation of a suitable file. Full particulars of the correspondence should be given to the Head Office.

5.14.3   As soon as permission for the creation of a new file is received, all regional offices/sub-offices should be informed and the necessary altered pages be incorporated into the filing system, while the old pages are destroyed.

5.14.4   The correspondence should be removed from the "Unclassifiable correspondence" file to the relevant file.

5.14.5   No correspondence should be filed permanently on the "Unclassifiable correspondence" file.

5.15   Underlined descriptions

5.15.1   Underlined descriptions are provided in the filing system for further subdivision of subjects and serve only as descriptions. Under no circumstances should files be opened where the description is underlined.

5.16   Disposal authority: filing system

5.16.1   After the filing system has been in operation for at least three years, the Officer in Charge should apply to the Head of Archives for the issue of disposal guidelines for the filing system. See paragraph 6.2.

5.16.2   As soon as disposal guidelines have been issued, the disposal guideline should be inserted in the "disposal" column opposite each file.

5.17   The filing system in practice

5.17.1   All officers using the filing system should constantly keep the practical working of the filing system in mind to ensure that the necessary adjustments are made.

5.17.2   As new subjects develop, new files should be created, and if necessary existing files should be subdivided or amalgamated. Files with descriptions such as "Unspecified" or "Aspects not otherwise provided for", should be watched carefully to ensure that these do not develop into general files. Where necessary further sub-files should be created.

5.17.3   Any deficiencies or uncertainties concerning the filing system should be brought to the attention of the Officer in Charge in order that the necessary alterations/additions may be made.

6.   DISPOSAL OF TERMINATED AND CURRENT FILING SYSTEMS

6.1   Disposal of terminated filing systems

6.1.1   "Terminated correspondence files" are those files from a filing system which has been discontinued and thus no further correspondence will be placed on these files. These files must not be confused with the closed volumes of a current filing system.

6.1.2   Requests for disposal authority should be submitted in duplicate to the Head of Archives in the prescribed form (see 6.1.9).

6.1.3   The files should be listed in numerical or alphabetical order, and each volume should be listed.

6.1.4   Case files need not be individually listed but the number of files, the subject covered, and the basis upon which the files were opened, e.g. according to persons, places, etc., as well as the period covered, should be indicated.

6.1.5   The Officer in Charge should indicate in the "Disposal Suggestion" column how the office wishes to dispose of the files. He/she should keep in mind the potential administrative value of the files to the office.

6.1.6   The following symbols should be used:

V   Destroy immediately

V followed In cases where the files cannot be destroyed immediately a retention period should be suggested, by a figure e.g. V.5, which means destroy 5 years after the date of the last item on the file.

       In determining this retention period only the needs of the office concerned should be considered, i.e. the administrative value of the file for the office concerned.

A.20   This indicates that the file has permanent value (administrative) for the office concerned, and thus may not be destroyed. The symbol means that as soon as the file is twenty years old, it is transferred to an archives depot, unless otherwise agreed upon.

       It is a function of the National Archives to determine whether a file has research value or not, and thus whether or not an A.20 classification is justified. Advice from the office creating the file is welcomed.

6.1.7   All the files opened should be listed including those still needed for reference purposes.

6.1.8   This list should not be compiled from index cards or other finding aids, but from the files themselves. This ensures a true picture of the files.

6.1.9   An example of a request for disposal authority for terminated correspondence files follows:

REQUEST FOR DISPOSAL AUTHORITY: CORRESPONDENCE FILES

1. Office where filing system was used:

   ....

   ....

2. Period covered by files:

   ....

3. Total linear metre occupied by files:

   ....

4. Officer to be contacted regarding disposal instructions:

   Name: ....   Tel.: ....

5. Disposal authority number: ....
   (Will be filled in by the National Archives)

File Number	Description	Date	Disposal	
			Suggestion	Instructionn

6.2   Disposal of current filing system

6.2.1   The filing system should have been in operation for at least three years before an application for disposal guidelines is considered.

6.2.2   The guidelines shall only be applicable to an approved filing system which has been correctly maintained.

6.2.3   Two copies of the approved filing system, together with suggested disposal instructions for each file, written in pencil, should be submitted.

6.2.4   The following symbols are to be used in the "Disposal" column:

V   Can be considered for immediate destruction

V followed   In cases where files cannot be destroyed immediately, a retention period should be suggested,
by a figure   e.g. V.5, which means that the years after the date of the last item on the file disposal authority
               must be requested.

               In determining this retention period, only the needs of the office concerned need be considered, i.e. the administrative value of the file for the office concerned.

A.20   This indicates that the file has permanent administrative value for the office concerned and thus may not be destroyed. The symbol A.20 means that as soon as the file is twenty years old, it should be transferred to the archives depot, unless otherwise agreed upon.

               It is a function of the National Archives to determine whether or not a file has potential research value and thus whether or not an A.20 classification is justified. Advice from the office creating the file is welcomed.

6.2.5   If the filing system fulfils the requirements laid down in paragraph 6.2.2 the National Archives shall insert a disposal guideline in the disposal column and return one copy to the office. This copy shall then become the Master Copy and replaces the existing Master Copy. If disposal guidelines are issued, the Officer in Charge should request disposal guidelines from the National Archives annually for any additions made.

6.2.6   UNDER NO CIRCUMSTANCES MAY ANY ARCHIVES BE DESTROYED IN TERMS OF THESE GUIDELINES BEFORE THE HEAD OF ARCHIVES HAS ISSUED AUTHORITY FOR THIS. APPLICATION FOR THIS DESTRUCTION SHOULD BE MADE ACCORDING TO THE INSTRUCTIONS IN PARAGRAPH 6.2.7.

6.2.7   An example of an application to dispose of current correspondence files follows:

APPLICATION FOR DISPOSAL AUTHORITY: CORRESPONDENCE FILES

1. Office using filing system/files

    ....

2. Period covered by filing system/files

    ....

3. Total linear metre occupied by files

    ....

4. Officer who may be contacted concerning disposal suggestions

    Name: ....   Telephone number: ....

5. Disposal authority number ....
   (To be filled in by National Archives)

File number	Description	Period	Disposal	
			Suggestion	Guideline

6.2.8   If the filing system does not fulfil the requirements laid down in 6.2.2, no disposal guidelines will be issued and each time the Officer in Charge wishes to destroy files or transfer them to an archives depot he/she should submit a request as indicated in paragraph 6.1.9.

6.3   Disposal in terms of a disposal authority

6.3.1   Authorities may not be applied to any archives other than those specified in terms of the authority, without the permission of the Head of Archives.

6.3.2   Transfer of archives in terms of an authority should be arranged by correspondence, or telephonically, with the Head of Archives (See chapter 11).

6.3.3   Destruction of archives in terms of an authority should take place in the office concerned. The Officer in Charge should ensure that no unauthorized destruction takes place and that the retention periods of the files are complied with.

6.3.4   Destruction of archives should take place regularly, at least once a year.

6.3.5   Whenever archives are destroyed in terms of a disposal authority, a destruction certificate in the form prescribed below should be submitted to the Head of Archives.

DESTRUCTION CERTIFICATE

I hereby certify that the archives on the list below and which occupied .... linear metre shelving space/storage space were today destroyed in terms of disposal authority ....

Name and rank ....

Office ....

Date ....

Number	Description	Date

6.3.6   Whenever a series of case files is destroyed, e.g. personal files or item files, it is only necessary for the first and last number to be indicated in the first column, a global description in the second column, and the period covered in the third column.

7.   LIST OF OTHER ARCHIVES

7.1   Ministries

7.1.1   Each office must account for the archives not filed on correspondence files by compiling a List of Other Archives. Treasury Instructions FE 0201- FE 0204 must be strictly complied with.

7.1.2   This list excludes publications which have been purchased or received by the office.

7.1.3   Each Ministry should compile one or more List(s) of Other Archives. The number depends on the size and requirements of the Ministry. The following serves as a guideline:

Ministries with regional offices; sub-offices/institutes

- One list for the head office;
- One list for all the regional offices;
- One list for all the sub-offices;
- One list for all the institutes.

(If the functions of the institutes/sub-offices are not uniform, a separate list for each institute/sub-office should be compiled).

Head offices with large internal divisions

- One list for each division

7.1.4   It is advisable that the Head of Archives be consulted before the list(s) are compiled, in order to determine which office/division/sub-office, etc. qualifies for its own list.

7.1.5   The list should consist of current Other Archives.

7.1.6   The list should be submitted in duplicate.

7.1.7   Items are listed in columns according to categories from A onwards. Each category should be listed on a separate sheet of paper.

7.1.8   In cases where categories other than those appearing in the example are used, these can be inserted as categories H, I, J, etc.

7.1.9   Word processor archives are always allocated the category letter X, microform archives the letter Y, and computer archives the letter Z. Special instructions for the listing of items in these categories are found in paragraph 7.1.13.

7.1.10   Space should be left at the end of each category for future additions.

7.1.11   The column "Office where kept" should indicate where the specific item is kept, e.g. master and working tapes of computer programmes may not be kept by the office concerned, but by the Data Processing division.

7.1.12   For completion of the "Disposal suggestion" column, see paragraph 7.2.

7.1.13   The following additional instructions are valid for word processor, microform and computer archives (categories X, Y and Z):

a)   Where a project consists of various utilizations, each should be listed on a separate sheet of paper.

b)   Utilizations are numbered consecutively, and should be clearly identified.

c) Particulars of each utilization are listed according to the categories listed in the example.

d) Each category's items are listed separately, descriptions such as "all inputs" are not allowed.

e) Master tapes/Master discs should be listed individually with the collective name of the utilization.

f) All print-outs should be listed.

7.1.14 The following example of a List of Other Archives should be seen as an example drawn up for the guidance of Officers in Charge.

M.7-3

(EXAMPLE)

LIST OF OTHER ARCHIVES

<u>Title</u>

MINISTRY ....

1. <u>GENERAL INSTRUCTIONS</u>

    1. Control over list

    2. Reporting of additions and alterations

    3. Master Copy of List of Other Archives

    4. Destruction

    5. Destruction Register

    6. Identification

    7. Transfer

    8. Prescribed destruction certificate

2. <u>CONTENTS</u>

3. Index (An alphabetical index can be compiled if the list consists of a large number of items which cannot be traced easily by means of the contents).

General instructions for the use of List of Other Archives

1. Control over list

    This list is under the control of (name of the post occupied by the Officer in Charge). No alterations/additions may be made without the approval of this officer.

2. Reporting of additions/alterations

    All additions/alterations should be reported to the Head of Archives for approval and the issue of disposal authority.

3. Master Copy of List of Other Archives

    The Master Copy of the List of Other Archives should be kept in a separate cover and should be identified as such on the outside. This copy should be kept by the Officer in Charge, who should ensure that it is up to date, and that the instructions in paragraph 2 are being followed.

4. Destruction

4.1 After disposal guidelines have been obtained in the prescribed manner, applications for disposal authority should be made on a regular basis at least once a year. After destruction of the archives, the prescribed destruction certificate should be submit ted.

4.2 Where Other Archives are subject to audit, the date of the last audit inspection should be indicated in the request for disposal.

5. Destruction register

5.1 These instructions do not apply to magnetic media listed in categories X and Z.

5.2 As soon as disposal guidelines have been issued a destruction register should be opened.

5.3 This register should be divided into sections on a yearly basis, e.g. 1991, 1992, 1993, etc. As soon as an item has been closed and it has a V disposal guideline it is entered under the year in which it may be destroyed. An item closed in 1990, and having the disposal guideline V.3, will be entered on the 1993 page. Use of this method determines for which items disposal authority should be requested in which year.

5.4 It is recommended that a loose leaf register be used for this purpose as it is impossible to foresee how many pages will be used in a particular year.

6. Identification

6.1 All items should be clearly identified by the number allocated to each on the List of Other Archives. This number should appear in a rectangular block together with the disposal guidelines.

6.2 This instruction does not apply to word processor and computer archives listed in categories X and Z.

7. Transfer

    Before transfer to the archives depot, all items should be clearly identified according to the numbers appearing on the List of Other Archives. The name of the office/section which used the items, should be clearly shown.

8. Destruction certificate

    Whenever Other Archives are destroyed in terms of a disposal authority, the prescribed destruction certificate should be submitted to the Head of Archives.

DESTRUCTION CERTIFICATE

I hereby certify that the items Other Archives on the list below, which occupied .... linear metre shelving space/storage space, were today destroyed in terms of authority (this number should be inserted once it has been issued by the Head of Archives).

Name and rank ....

Office ....

Date ....

Identification number	Description	Date
C.1	Hostel application forms	1969-1979

A. REPORTS AND MINUTES

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
A.1.	Annual Report: Ministry	Registry		
A.2.	Annual Report: Regional Offices	Registry		
A.3.	Progress reports of liaison officers	Registry		
A.4.	Six-monthly reports of market committee	Registry		
A.5.	Minutes of the Development Board	Secretary of the Board		

B. FINANCIAL RECORDS AND REGISTERS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
B.1.	State creditors	Accounting section		
B.2.	Ledgers			
B.2.1	Main ledgers	Acc. section		
B.2.2	Additional ledgers	Acc. section		
B.2.3	Personal ledgers	Acc. section		
B.3.	Cash books			
B.3.1	Receipt cash book	Acc. section		
B.3.2	Expenditure cash book	Acc. section		
B.4.	Register of Files Opened	Registry		
B.5.	Destruction register	Registry		
B.6.	Master Copy of filing system	Officer in Charge of Archives		
B.7.	List of Other Archives	Officer in Charge of Archives		
B.8.	Attendance register	Staff section		
B.9.	Register of incoming registered items	Registry		

C. CARDEX SYSTEM, INDEX CARDS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
C.1.	Hostel admission applications	Inspector		
C.2.	Loans to farmers	Finance		

D. PUBLICATIONS ISSUED BY OFFICE

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
D.1.	Publicity brochures	Information section		
D.2.	Newsletters	Information section		
D.3.	Posters	Information section		
D.4.	Programmes (festivals, exhibitions, etc.)	Information		

E. MAPS AND PLANS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
E.1.	Building plans			
E.1.1	Head office	Works section		
E.1.2	Institutions	Works section		
E.2.	Topographical maps	Works section		

F.   PHOTOGRAPHS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
F.1.	Secretary/Director and other important persons	Information section		
F.2.	Buildings	Engineering section		
F.3.	Important events of the office	Information		
F.4.	Air photographs	Engineering section		

G.   SOUND RECORDINGS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
G.1.	Speeches	Secretary		
G.2.	Minutes of committee meetings	Clerk		

X. WORD PROCESSOR ARCHIVES
Utilization number 1: Carl Hugo Hahn Diaries

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Magnetic media	Control discs 1.1 "System" disc 1.2 "Command" disc	Computer room Computer room		
	Discs and back-ups 1.1 SOURCE 1	Publications		
	1.2 SOURCE 2	Publications		
	1.3 SOURCE 3	Publications		
Print-outs	2.1 DISC INDEX	Computer room		
	2.2 SOURCE 1	Publications		
	2.3 SOURCE 2	Publications		
	2.4 SOURCE 3	Publications		

Y. MICROFORMS
(Microfilm and microfiche)
Utilization number 1: Maps and plans

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Y.	Masters (rolls)			
Y.2	Security copies (rolls)			
Y.3	Working copies (aperture cards)			

Y. MICROFORMS
    (Microfilm and microfiche)
    Utilization number 2: Minutes

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Y.1	Masters (rolls)			
Y.2	Security copies (rolls)			
Y.3	Working copies (microfiches)			

Z. COMPUTER ARCHIVES
    Utilization Number 1: CATALOGUE

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Source or input documents	1. Code 01 - addition to SWA 1447 catalogue	Stores section	VM	
	2. Code 03 - amendment to SWA 1449 catalogue	Stores section	VM	
Paper media	Punch cards	Data processing	VK	
Magnetic media	1. Working tape	Data processing		
	2. Master tape/discs/cassettes			
	2.1 Material control	Data processing	VX	
	2.2 Debit master	Data processing	VX	
Print-outs	1. Price changes	Stores section	VI	
	2. List of catalogue numbers	Stores section	VI	
	3. List of mistakes	Stores section		
Programmes		Data processing	VX	

Z. COMPUTER ARCHIVES
Utilization Number 2: STORES: CONTRACTS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Source or input docu-ments	1. Code 02 particulars of contract	Stores section	VM	
	2. Code 04 contract price changes	Stores section	VM	
Paper media	1. Punch cards	Data processing	VK	
Magnetic media	1. Working tape/discs/cassettes	Data processing	VK	
	2. Master tape/discs/cassettes	Data processing	VX	
Print-outs	1. Particulars of contracts	Stores section	V.1	
	2. Price changes	Stores section	V.1	
	3. List of mistakes	Stores section	V.1	
Programmes		Data processing	VX	

7.1   Local authorities

7.1.1   Each office must account for the archives not filed on correspondence files by compiling a List of Other Archives.

7.1.2   This list does not include publications purchased or received by the office.

7.1.3   Each council should compile a List or Lists of Other Archives according to the size and requirements of the local authority. A single list divided into categories and listing the Other Archives of all sections and departments may be compiled or each section may be numbered for example:
        Part 1: Clerk of the Council
        Part 2: City Treasurer

7.1.4   The list should include only current Other Archives.

7.1.5   The list should be submitted in duplicate.

7.1.6   Items are listed in columns according to category. Each category is listed on a separate sheet of paper.

7.1.7   If an office possesses items which do not appear in the example given, these should be added as categories I, J, K, L, etc.

7.1.8   Word processor archives are always listed in category X, microforms in category Y, and computer archives in category Z. For instructions on the listing of these items, see the special instructions in paragraph 7.1.11.

7.1.9   The column "office where kept", should indicate where the specific item is kept, for example master tapes and working tapes are frequently not kept by the office concerned, but by the Data Processing section.

7.1.10 For the completion of the "disposal suggestions" column, see paragraph 7.2.

7.1.11 The following additional instructions apply to word processor archives, microforms and computer archives (categories X, Y and Z):

        a) Each utilization should be listed on a separate sheet of paper.

        b) Utilizations are numbered consecutively and should be clearly identified.

        c) Within each utilization particulars according to the example given, should be indicated.

        d) Items are individually listed and descriptions such as "all inputs" are not acceptable.

        e) Master tapes/discs should be individually listed with the collective name of the utilization.

        f) All print-outs should be listed.

        g) Sufficient space should be left for the inclusion of future additions.

7.1.12 The following example should be seen as an example drawn up for the guidance of local authorities on how to set about compiling a List of Other Archives.

LIST OF OTHER ARCHIVES

MUNICIPALITY/LOCAL AUTHORITY ....

1. ### GENERAL INSTRUCTIONS

   1. Control over list
   2. Reporting of additions and alterations
   3. Master Copy of List of Other Archives
   4. Destruction
   5. Destruction Register
   6. Identification
   7. Transfer
   8. Prescribed destruction certificate

2. ### CONTENTS

   A. Agendas and Minutes   p..............
   B. Reports   p..............
   C. Financial records and registers   p..............
   D. Cardex systems, index cards   p..............
   E. Publications issued by office   p..............
   F. Maps and plans   p..............
   G. Photographs   p..............
   H. Sound recordings   p..............

   X. Word processor archives   p..............
   Y. Microforms   p..............
   Z. Computer archives   p..............

3. INDEX (An alphabetical index may be compiled if there are a large number of items on the list which cannot be easily identified from the contents).

General instructions for the use of List of Other Archives

1.   Control over list

This list is under the control of (name of post occupied by the officer). No alterations/additions may be made without the approval of this officer.

2.   Reporting of additions/alterations

All additions/alterations should be reported to the Head of Archives for approval and the issue of disposal authority.

3.   Master Copy of List of Other Archives

The Master Copy of the List of Other Archives should be kept in a separate cover and should be identified as such on the outside. This copy should be kept by the (above mentioned officer), who should ensure that the Master Copy is up to date, and that the instructions in paragraph 2 are being followed.

4.   Destruction

4.1   After disposal guidelines have been issued in the prescribed manner, applications for disposal authority should be submitted on a regular basis, at least once a year. After destruction the prescribed destruction certificate should be submitted.

4.2   Where Other Archives are subject to audit, the date of the last audit inspection should be indicated on the request for disposal.

5.   Destruction register

5.1   These instructions do not apply to magnetic media listed in categories X and Z.

5.2   As soon as disposal guidelines have been issued, a destruction register should be opened.

5.3   This register should be divided into sections on a yearly basis, e.g. 1991, 1992, 1993, etc. As soon as an item has been closed, and it has a V disposal guideline it is entered under the year in which it may be destroyed. An item closed in 1988 and having the disposal guideline V.3, will be entered on the 1991 page. Use of this method determines for which items disposal authority should be requested in which year.

5.4   It is recommended that a loose leaf register be used for this purpose, as it is impossible to foresee how many pages will be used in a particular year.

6.   Identification

6.1   All items must be identified by the number appearing in the List of Other Archives. This number should be placed in a rectangular block together with the disposal guideline.

6.2   This instruction does not apply to word processor and computer archives listed in categories X and Z.

7.   Transfer

Other Archives should be clearly identified by means of the numbers on the list and should also contain the name of the office/section using the item.

8.   Destruction certificate

Whenever items are destroyed in terms of a disposal authority the prescribed destruction certificate must be submitted to the Head of Archives.

L.7-4

DESTRUCTION CERTIFICATE

I hereby certify that the items Other Archives appearing on the list below and which occupied .... linear metre shelving space/storage space, were today destroyed in terms of disposal authority .... (the authority number issued by the Head of Archives should be inserted here).

Name and rank ....

Office ....

Date ....

Identification number	Description	Date
C.10	Cheque counterfoils	1969-1979

A.   AGENDAS AND MINUTES

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
A.1.	Council meetings			
A.1.1	Agendas	Clerk of the Council		
A.1.2	Minutes	Clerk of the Council		
A.2.	Management Committee			
A.2.1	Agendas	Clerk of the Council		
A.2.2	Minutes	Clerk of the Council		

B.   REPORTS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
B.1.	Annual Report of Council	Clerk of the Council		
B.2.	Mayoral report	Clerk of the Council		
B.3.	Annual reports section:			
B.3.1	Town Clerk	Registry		
B.3.2	Clerk of the Council	Clerk of the Council		
B.3.3	City Treasurer	Registry		
B.3.4	Health Officer	Registry		

C. FINANCIAL RECORDS AND REGISTERS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
C.1.	Valuation roll	Accounts section		
C.2.	Rates register	Accounts section		
C.3.	Loans register	Accounts section		
C.4.	Stock register	Accounts section		
C.5.	Cash book			
C.5.1	Main cash book	Accounts section		
C.5.2	Subsidiary cash book	Accounts section		
C.6.	Journals			
C.6.1	Main ledger	Accounts section		
C.6.2	Subsidiary ledger	Accounts section		
C.7.	Main journal	Accounts section		
C.8.	Budget	Town Clerk		
C.9.	Financial statements	Accounts section		
C.10.	Cheque counterfoils	Accounts section		
C.11.	Receipt books	Accounts section		
C.12.	Bank statements	Accounts section		
C.13.	Destruction register	Registry		
C.14.	Register of Files Opened	Registry		
C.15.	Master Copies			
C.15.1	Filing system	Registry		
C.15.2	List of Other Archives	Registry		
C.16.	Remittance register	Registry		
C.17.	Certified/registered mail received	Registry		
C.18.	Cemetery register	Registry		
C.19.	Supplies register	Registry		

D.   CARDEX SYSTEMS, INDEX CARDS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
D.1.	Dog licences	Treasurer		
D.2.	Suppliers	Accounts section		

E.   PUBLICATIONS ISSUED BY OFFICE

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
E.1	Publicity brochures	Information section		
E.2.	Newsletters	Information section		
E.3.	History of city/town	Town Clerk		
E.4.	Posters	Registry		
E.5.	Programmes	Registry		
E.6.	Regulations	Clerk of the Council		
E.7.	Voters' Roll	Clerk of the Council		

F.   MAPS AND PLANS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
F.1.	Building plans			
F.1.1	Approval of plans	Engineering		
F.1.2	Council buildings	Engineering section		

G.   PHOTOGRAPHS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
G.1.	Mayor and council members	Information section		
G.2.	Council buildings	Information section		
G.3.	Local functions/events	Information section		
G.4.	Local buildings of historical significance	Information section		

H.   SOUND RECORDINGS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
H.1.	Opening speeches	Information section		
H.2.	Council meetings	Clerk of the Council		

X.   WORD PROCESSOR ARCHIVES
Utilization number 1: Voters' roll

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Magnetic media	Control discs 1.1 "Systems" disc 1.2 "Command" disc Data and back-up discs	Computer room Computer room		
Print-outs	Voters' rolls	Clerk of the Council		

Y.   MICROFORMS
       (Microfilm and microfiche)
       Utilization number 1: Maps and plans

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Y.1.	Masters (rolls)			
Y.2.	Security copies (rolls)			
Y.3.	Working copies (aperture cards)			

Z.   COMPUTER ARCHIVES
       UTILIZATION NUMBER 1: CATALOGUE

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Source or input documents	1. Code 01 addition to SWA 1447 catalogue	Stores section	VM	
	2. Code 03 amendment to SWA 1449 catalogue	Stores section	VM	
Paper media	Punch cards	Data processing	VK	
Magnetic media	1. Working tapes/discs/cassettes	Data processing	VK	
	2. Master tapes/discs/cassettes			
	2.1 Material control	Data processing	VX	
	2.2 Debit master	Data processing	VX	
Print-outs	1. Price changes	Stores section	VI	
	2. Open catalogue numbers	Stores section	VI	
	3. List of mistakes	Stores section	VI	
Programmes		Data processing	VX	

Z.   COMPUTER ARCHIVES
      UTILIZATION NUMBER 2: STORES: CONTRACTS

CATEGORY	DESCRIPTION	OFFICE WHERE KEPT	DISPOSAL	
			SUGGESTED	GUIDELINE
Source or input docu-	1. Code 02 particulars of contract	Stores section	VM	
	2. Code 04 contract price changes	Stores section	VM	
Paper media	Punch cards	Data processing	VK	
Magnetic	1. Working tapes/discs/cassettes	Data processing	VK	
	2. Master tapes/discs/cassettes	Data processing	VI	
Print-outs	1. Particulars of contracts	Stores section	VI	
	2. Price changes	Stores section	VI	
	3. List of mistakes	Data processing	VI	
Programmes			VX	

7.2   Application for disposal guidelines: List of Other Archives

7.2.1   The list should be submitted in duplicate. The Officer in Charge should indicate, in the "DISPOSAL" column under "SUGGESTED", whether an item should be permanently preserved or destroyed. The following symbols should be used:

V   Can be considered for immediate destruction.

V followed   In cases where an item cannot be considered for immediate destruction, the period for
by a figure   which it should be kept should be indicated after the V., for example the symbol V.5 means apply for destruction five years after the last item on the file.

                In determining this period, only the office's requirements are taken into consideration, in other words the length of time that it has administrative value for the office concerned before it may be destroyed.

A.20   The item has a permanent administrative value for the office concerned and may not be destroyed. The symbol indicates that as soon as the item is twenty years old, it should be transferred to an archives depot, or as agreed upon.

                It is the function of the National Archives to determine whether or not an item has research value and thus an A.20 classification. Advice from the office creating the item will be welcomed.

7.2.2   The following additional symbols are used for computer archives (category Z):

A   Retain
V.7 Destroy/erase after 7 years
VD   Destroy/erase daily
VK   Destroy/erase once data has been transferred or revised
VL   (File number) Follow disposal guideline of the file concerned
VM   Destroy/erase monthly or after one month
VP   Destroy/erase once print-out or new print-out is available
VT   Destroy/erase once project is complete
VV   Dispose according to instruction in footnote
VW   Destroy/erase weekly or after one week
VX   Erase obsolete data

7.2.3   Working tapes, discs and cassettes are usually given a VK disposal instruction and this can be allocated unless there are other specific items which must be disposed of differently. These items should be individually listed with their own disposal instructions, e.g VM.

7.2.4   Programmes and layouts usually obtain a VX disposal instruction.

7.2.5   If input documents and/or print-outs are filed on a file from a filing system, the file number should be indicated next to the letters VL in the "DISPOSAL" column.

7.2.6   Any of the symbols used for computer archives may be used for word processor archives, but the following are most commonly used:

VK   Destroy/erase as soon as data is added or revised

VL   Follow disposal instruction of file on which print-out is placed

VP   Destroy/erase as soon as print-outs/new print-outs are available.

7.2.7   The following symbols may be used for microform archives:

A   Master film should be transferred immediately.

A.20   Security copies/records should be transferred to the archives depot after 20 years.

V   Apply for disposal authority immediately after photographing and checking.

V followed   Apply for disposal authority after the number of years indicated by the figure.
by a figure

7.2.8   As soon as disposal guidelines have been issued, one copy of the list with the disposal guidelines indicated in the "GUIDELINE" column will be returned to the office concerned. This copy then becomes the Master Copy of the List of Other Archives.

7.2.9   UNDER NO CIRCUMSTANCES MAY ANY ARCHIVES BE DESTROYED ACCORDING TO THESE GUIDELINES BEFORE THE HEAD OF ARCHIVES HAS GRANTED AUTHORITY. Application for this authority should be made according to the instructions in paragraph 7.3.

7.3   Application for disposal authority: current Other Archives

7.3.1   Applications for disposal authority should be sent to the Head of Archives in the form prescribed in paragraph 7.3.6.

7.3.2   The schedule should be submitted in duplicate.

7.3.3   Items should be listed according to categories.

7.3.4   The Officer in Charge should indicate in the "Guideline" column the guideline suggested by the National Archives. (See paragraph 7.2.8).

7.3.5   As soon as the Head of Archives has granted disposal authority one copy of the schedule with the disposal instructions in the "disposal instruction" column will be returned to the office.

8. COMPUTER PROJECTS AND ARCHIVES

8.1 Custody of computer archives

8.1.1 All documents, tapes and other items created during, or as a result of computerization, are archives and should be treated as such in terms of the Archives Act.

8.1.2 Computer archives should be cared for, protected against damage, unauthorized access or destruction in accordance with whatever conditions the Head of Archives may stipulate in specific cases.

8.2 Reporting of projects

8.2.1 Whenever an office begins a computer project, the Officer in Charge should report it to the Head of Archives. Projects already in progress should be reported as soon as possible.

8.3 Listing of Computer Archives

8.3.1 Each ministry, local authority or statutory institution using a computer programme, compiles a list of computer archives as category Z of its List of Other Archives.

8.3.2 For the inclusion of computer archives in an existing List of Other Archives or for the compilation of such a list, see chapter seven.

8.4 Application for disposal authority for computer archives

8.4.1 No destruction, erasure or alienation of any items may take place without the written approval of the Head of Archives.

8.4.2 To obtain disposal guidelines, category Z of the List of Other Archives should be submitted with suggested disposal instructions to the Head of Archives in duplicate, see chapter seven.

8.4.3 As soon as disposal guidelines have been issued, one copy of the list with the disposal guidelines in the "DISPOSAL GUIDELINE" column will be returned to the office. This is then incorporated into the Master Copy of the List of Other Archives.

8.4.4 UNDER NO CIRCUMSTANCES MAY ANY ARCHIVES BE DESTROYED ACCORDING TO THESE GUIDELINES BEFORE THE HEAD OF ARCHIVES HAS GRANTED AUTHORITY. Application for this authority should be submitted according to the instructions in paragraph 7.3.

9. WORD PROCESSOR PROJECTS AND ARCHIVES

9.1 Custody of word processor archives

9.1.1 Any magnetic tape or disc, or any print-out resulting from any form of word processing, is considered archives and should be dealt with in accordance with the provisions of the Archives Act.

9.1.2 Word processor archives should be properly cared for and protected against any damage or unauthorized access.

9.2 Reporting of projects

9.2.1 Whenever an office commences a word processor project, this should be reported to the Head of Archives by the Officer in Charge. Projects already in existence should be reported as soon as possible.

9.3 Listing of word processor archives

9.3.1 Each ministry, local authority and statutory institution making use of a word processor compiles a list of word processor archives as category X of the List of Other Archives.

9.3.2 For the incorporation of word processor archives into an existing List of Other Archives, see chapter seven.

9.4 Request for disposal authority for word processor archives

9.4.1 No destruction, erasure or alienation of any items should take place without the written permission of the Head of Archives.

9.4.2 Request for the disposal guidelines should be made by submitting category X of the List of Other Archives, together with suggested disposal instructions, to the Head of Archives in duplicate, see chapter seven.

9.4.3 As soon as disposal guidelines have been issued, one copy of the list with the disposal guidelines in the "DISPOSAL GUIDELINE" column will be returned to the office. This is then incorporated into the Master Copy of the List of Other Archives.

9.4.4 UNDER NO CIRCUMSTANCES MAY ANY ARCHIVES BE DESTROYED ACCORDING TO THESE GUIDELINES BEFORE THE HEAD OF ARCHIVES HAS GRANTED AUTHORITY. Application for this authority should be submitted according to the instructions in paragraph 7.3.

10.   MICROFORM PROJECTS AND ARCHIVES

10.1   Request for approval of microform project

10.1.1   In accordance with article 3(2)(i) of the Archives Act, the Head of Archives establishes conditions under which any archives may be photographed on microform.

10.1.2   Offices planning to institute microform projects should obtain prior permission from the Head of Archives. These instructions are also valid for current projects.

10.1.3   A microform project may consist of various utilizations. "Utilization" is understood to be the micrographic copying of a specific group of archives, for example staff cards, building plans, minutes of management meetings, newspapers, etc.

10.1.4   For each utilization a separate application on the prescribed form should be completed and submitted to the Head of Archives. More than one utilization may be reported at one time but each should be submitted on a separate form.

10.1.5   Suggested disposal instructions for the original archives, as well as the microforms, should be submitted together with the request form. (Refer to paragraph 8 of the request form). The following symbols should be used:

A   Transfer master films immediately

A.20   Security copies/working copies to be transferred to archives depot after 20 years.

V   Apply for destruction immediately after photography and checking.

V followed   Apply for destruction after the number of years following the figure have expired.
by a figure

REQUEST FOR MICROFORM PROJECT

1.   NAME OF OFFICE: ....

2.   NAME AND EXTENT OF ARCHIVES

2.1 Description of archives group:

    ....

2.2 Extent of archives group in linear metre: ....

2.3 Annual increase in linear metre: ....

3.   PROJECT STAGE

3.1 Is this microfilm project:
    already in existence?   ....
    in the planning stage?   ....

4.   REASONS FOR PROJECT

    Accommodation considerations   Yes/No
    Security considerations   Yes/No
    Other – Specify briefly:

    ....

    ....

5.   TYPE OF MICROFORM IN USE/TO BE USED
    (Indicate applicable types with a cross)

5.1 Master: Roll, window cards, fiche, aperture cards

5.2 Working copies: Roll, window cards, fiche, aperture cards

5.3 Security copies: Roll, window cards, fiche, aperture cards

6.   FILMING PROCESS

6.1 <u>Filming undertaken by office</u>
    Own apparatus   Yes/No Rented
    Trained photographer available   Yes/No

6.2 <u>Filming undertaken by outside body</u>

    Name: ....

    Address: ....

    ....

7.   STORAGE

7.1   Who stores master and security copies?
       Office concerned?
       Outside body?
       If so, furnish address:

       ....

       ....

       ....

7.2   Are master and security copies checked regularly?   Yes/No

7.3   If so, who checks the copies? Give name and address of body concerned:

       ....

       ....

       ....

8.   DISPOSAL

8.1   Have disposal guidelines for originals been obtained? Yes/No

8.2   No disposal guidelines for the original archives have been obtained and application for these is herewith
       made. The proposed disposal is:

       ....

8.3   Are the microform archives included in your office's List of Other Archives? Yes/No

8.4   If so, have disposal guidelines been issued on the List of Other Archives?   Yes/No

8.5   Application for disposal guidelines is herewith made.

       The suggested disposal is: ....

9.   LIAISON

       Officer who may be contacted in connection with this request.

       Name: ....

       Rank: ....

       Telephone number: ....

       ....
       OFFICE DATE STAMP

10.   APPROVAL AND CONDITIONS
       (For National Archives use only)

10.2   Approval of and conditions applicable to microform projects

10.2.1   On submission of each request, approval for each project will be issued to the office concerned.

10.2.2   Any alteration or addition to such an approved utilization should be fully reported to the Head of Archives prior to implementation, and may only become effective once permission has been obtained.

10.2.3   Where it is a condition that the preparation of archives for microfilming should fulfil certain requirements, these form part of the Head of Archives approval of the project and no deviation from these may take place without permission.

10.2.4   Where it is a condition that the material, processing and storage of microform archives should fulfil the specifications laid down by the South African Bureau of Standards (SABS) these may only be deviated from with the permission of the Head of Archives. Any arrangements or agreements made with the SABS in this regard are subject to permission from the Head of Archives.

10.2.5   Only the reports and findings of those institutions which have the approval of the Head of Archives, are acceptable concerning the testing of material, processing and storage of microforms.

10.3   Storage of microform archives

10.3.1   Any item forming part of a utilization, should be stored in such a manner as to prevent unauthorized access or damage. Any conditions laid down by the Head of Archives should be followed.

10.4   Listing of microform archives

10.4.1   As soon as project approval has been obtained, the microform archives should be included in the office's List of Other Archives.

10.4.2   For the compilation of the List of Other Archives (in cases where none exists) or the addition of microform archives to an existing list, see chapter seven.

10.5   Request for disposal authority for microform archives

10.5.1   The portion of the List of Other Archives concerning microform archives should be submitted in duplicate to the Head of Archives, together with suggested disposal instructions.

10.5.2   As soon as disposal guidelines have been granted, one copy of the list will be returned to the office with disposal instructions indicated in the "DISPOSAL GUIDELINES" column. This list is included in the Master Copy of the List of Other Archives.

10.5.3   UNDER NO CIRCUMSTANCES MAY ANY ARCHIVES BE DESTROYED ACCORDING TO THESE GUIDELINES BEFORE THE HEAD OF ARCHIVES HAS GRANTED AUTHORITY. Application for this authority should be submitted according to the instructions in paragraph 7.3.

10.6   Transfer

10.6.1   Each item forming part of a utilization, and which has a disposal instruction qualifying it for permanent preservation in an archives depot, should be transferred by the office creating it to an archives depot after twenty years, or after such shorter or longer period as agreed upon.

10.6.2   Master films should be transferred immediately after completion of production.

10.7   Destruction

10.7.1   Whenever archives are destroyed in terms of a disposal authority, the prescribed certificate should be submitted to the Head of Archives.

DESTRUCTION CERTIFICATE

I hereby certify that the archives on the list below, which occupied .... linear metre shelving space/storage space, were today destroyed in terms of disposal authority ....

Name and rank: ....

Office   ....

Date   ....

DESCRIPTION	DATE

11. TRANSFER AND RE-ISSUE OF ARCHIVES

11.1 Compulsory transfer

11.1.1 In accordance with the provisions of the Archives Act, all archives, except master film material, reaching the age of twenty years should be transferred to the archives depot.

11.1.2 Master film material should be transferred immediately after production.

11.1.3 In cases where legislation other than the Archives Act, authorizes the keeping of archives in the custody of a particular person, this legislation applies.

11.2 Postponement of transfer

11.2.1 Requests for postponement of transfer should be submitted to the Head of Archives. The request should include a complete list of the relevant archives, a motivation for the postponement of transfer, and a specified period of further retention.

11.2.2 Total exemption from transfer cannot be considered.

11.3 Earlier transfer

11.3.1 Archives not qualifying for transfer, but which are no longer in use or cannot be stored by an office, may, with the permission of the Head of Archives, be transferred at an earlier date.

11.4 Transfer procedure

11.4.1 The Officer in Charge submits a list in duplicate to the Head of Archives. An example of a transfer list follows:

TRANSFER LIST

1. Name of office ....

2. Street address ....

   Postal address ....

3. Extent of archives in linear metre ....

4. Officer concerned with transfer ....

5. Telephone number ....

6. If this transfer takes place according to a disposal authority, do not complete "Disposal suggestion" column and quote disposal authority number ....

Item number or volume number or parcel number	Description	Period (years)	Disposal suggestion

11.4.2   No transfer may take place until the permission of the Head of Archives has been obtained.

11.4.3   Offices outside Windhoek should pack the archives in steel trunks, obtainable on request from the National Archives and send these by <u>passenger train</u> (the costs to be covered by the Ministry of Education and Culture).

11.4.4   Local offices may make arrangements telephonically with the National Archives for the transfer of archives.

11.4.5   The archives should be accompanied by a transfer list (in duplicate), see paragraph 11.4.1.

11.4.6   Archives which are transferred should be arranged prior to transfer - i.e. they should be in numerical or alphabetical order, and this order should be followed on the transfer list.

11.4.7   All registers, filing systems and indices concerning the archives should accompany the archives, except in cases where the Head of Archives has decided otherwise.

11.4.8   If any register is missing, the Officer in Charge is responsible for the compilation of a replacement register. This fact should be noted on the cover of the register.

11.4.9   Filing systems, registers and indices which are transferred, should clearly bear the name of the office of origin, as well as a description of the items and the purpose for which it was compiled.

11.4.10   Receipt of items will be acknowledged by the return of one copy of the transfer list endorsed by the National Archives.

11.5   Re-issue of archives transferred to archives depot

11.5.1   Only the office creating or transferring the archives, or its legal successor, may request the re-issue of archives.

11.5.2   Re-issue may be arranged by letter or the items may be fetched from the archives depot by an officer of the office concerned.

11.5.3   In cases where an office requests that a transferred item be exempt from return, the office should apply in writing to the Head of Archives.

11.5.4   Re-issue by post/rail

11.5.4.1   This form of re-issue may only be used by offices outside Windhoek.

11.5.4.2   If a specific item is required, a written request containing full particulars of the item, e.g. file number, description, etc., should be submitted.

11.5.4.3   The item(s) will be sent by registered mail or passenger train and should be returned in the same manner.

11.5.4.4   Archives lent in this manner should be returned within 60 days unless written permission for an extension of the loan period is requested and granted.

11.5.5   Personal re-issue

11.5.5.1   Re-issue of archives to officials will only be allowed if the prescribed re-issue form is properly completed.

11.5.5.2   The archives should be returned within 21 days unless written permission is requested and granted.

12. ARCHIVES OF COMMISSIONS/COMMITTEES OF ENQUIRY

12.1 Control over archives

12.1.1 The archives of commissions/committees of enquiry fall under the Archives Act and also under Treasury Instructions NA 1503(b) and NB 1403(b).

12.2 Filing system

12.2.1 The standard filing system for commissions/committees of enquiry should be used for commissions/committees of enquiry. This is obtainable from the National Archives.

12.2.2 Before the filing system is implemented, it should be submitted to the Head of Archives for approval.

12.3 Disposal

12.3.1 As soon as possible after the disbanding of the commission/committee, the secretary should request disposal authority for all the archives of the commission/committee.

12.3.2 Two copies of the filing system should be submitted to the Head of Archives, with suggested disposal instructions for each file in pencil in the "DISPOSAL SUGGESTED" column. In addition to these a complete list of all minute books, registers, documents and all other items used, should be submitted.

12.3.3 As soon as disposal authority has been granted by the Head of Archives, the secretary should ensure that all ephemeral items are destroyed according to the disposal instructions. The retention period of each item should be strictly adhered to.

12.3.4 All remaining items should be transferred immediately to the archives depot.

13.   ACCESS TO ARCHIVES IN OFFICES

13.1   Control over access

13.1.1   Access to archives by officers for purposes other than their official duties, and access by members of the public, is subject to the approval of the head of the office, and the permission of the Head of Archives. (See article 10(2)(a) of the Archives Act).

13.1.2   In cases where legislation, other than the Archives Act, allows access to specific archives, this legislation is valid.

13.2   Procedures

13.2.1   It is required that:

a)   a written request to consult the archives concerned be submitted by the person concerned (hereafter referred to as "a researcher");

b)   the head of a government office, an office of a local authority or statutory institution who has been entrusted with the care, custody, and control of the specific archives hereafter referred to as the "head of the office", should satisfy himself as to the bona fides of the researcher in order to ascertain that consultation of the archives would not bring the State or the particular office into disrepute;

c)   consultation of the archives takes place under constant supervision;

d)   two annotated drafts of the researcher's work be submitted before publication or duplication to the office concerned for approval of those portions pertinent to the office. "Annotated" implies that all sources of information be acknowledged by means of footnotes or other recognized methods. One of the annotated drafts should be sent to the Head of Archives; and

e)   the head of the office specifies these conditions in writing.

13.2.2   The head of the office sends the request to the Head of Archives who will either grant or refuse permission and impose further conditions if considered necessary.

13.3   Conditions

13.3.1   The head of the office concerned, in consultation with the Head of Archives may determine the conditions under which a researcher may work.

13.3.2   In addition to any conditions determined by the head of the office, the following conditions contained in the Archives Act and regulations are valid:

a)   if any form of publication or duplication of the research occurs, one copy should be given free of charge to the office concerned, and one copy to the Head of Archives;

b)   documents should be handled with the greatest of care;

c)   pages or items may not be folded or marked in any way;

d)   the order of the items may not be disturbed;

e)   no tracings may be made, and no form of copying is allowed;

f)   if a researcher damages any item during consultation, he/she should report this to the head of the office; and

g) only the use of pencil or ball-point pen is allowed when making notes.

13.3.3   The researcher must sign an undertaking agreeing to the conditions set out. This undertaking should be filed on a relevant file.

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