

NATIONAL ARCHIVES OF SOUTH AFRICA

DIRECTIVE R11

PROTOTYPE FILING SYSTEM FOR STAFF ADMINISTRATION

JULY 1998

INSTRUCTIONS TO COMPILER OF SYSTEM

1. INDEX

The sequence of the various parts of the filing system as indicated in the index, should be retained. All the parts indicated (including the index) should be provided in your filing system.

2. GENERAL INSTRUCTIONS TO THE FILING SYSTEM

2.1 The instructions must be kept in the same sequence as they appear in the directive.

2.2 These are standard instructions and only the following paragraphs may be adapted as indicated below:

Par. 1

In the open space in this paragraph the complete name of the body to which the filing system is applicable, must be given, eg. Department of Home Affairs, Staff Section or Municipality of Bentville, Staff Section.

Par. 2

Insert the year of implementation of the system after 1/.... and 2/....

Par. 3

The official title of the person in charge of the filing system must be indicated here. According to section 34 of the Archives Regulations - this person must:

- a) be in possession of an appropriate university or technikon qualification and/or have appropriate professional experience;
- b) have successfully completed the National Archives Records Management Course.
- c) possess a thorough knowledge of the body's organisational structure, functions and records systems; and
- d) be responsible for promoting the effective efficient and accountable management of the body's records and ensuring, by inspections and other means, the body's compliance with the provisions of the National Archives of South Africa Act (No. 43 of 1996) and all other relevant legislation.

Par. 12

The date on which the system is implemented must be indicated here.

Par. 13

The example given here should, if possible, be taken from the relevant filing system.

Par. 16

If the filing system is only for head office, use the first paragraph and delete the heading Head Office. When it is also applicable to regional/sub-offices, use both paragraphs as indicated.

3. LIST OF MAIN SERIES

The main series should be kept in the same sequence as they appear in this list.

4. NUMERICAL CLASSIFICATION

4.1 The number, description and disposal columns should be preferably be separated by vertical lines.

4.2 MAIN SERIES 11 and 12

These main series should be provided only in cases where the Staff Section conducts correspondence on these subjects and the files of the main filing system cannot be used.

DEPT. OF _____

STAFF FILING SYSTEM

INDEX

- a) General instructions
- b) List of main series
- c) Numerical classification
- d) List of series of separate case files

GENERAL INSTRUCTIONS TO FILING SYSTEM

NAME OF OFFICE

1. This filing system is for the use of and it may not be applied to any other bodies/offices without the prior approval of the National Archivist.

REPORTING

2. All amendments and additions (the omission or insertion of an underlining is an amendment as well) should be submitted regularly to the National Archivist for notification and formal approval. In cases where the amendments/additions are circulated by means of circulars, it will suffice if a copy thereof is forwarded to the National Archivist. For easy reference and effective control the notifications should be numbered each year starting at number one, eg. 1/....., 2/....., etc. It is advisable that in cases where major amendments and/or additions are required, the prior approval of the National Archivist must be obtained before any new files are opened. (For unclassified correspondence see par. 16 of these instructions.)

CONTROL OF SYSTEM

3. Control of the system is assigned to the..... No amendments/additions to the system may be made without the approval of this official. The duties of this official comprise inter alia the following:
 - a) He/she must scrutinise the daily file regularly to ensure that all correspondence is dealt with on the correct files.
 - b) He/she must ensure that paragraphs 5 and 6 of the instructions are strictly adhered to by scrutinizing the relevant files regularly to ensure that they are used correctly.
 - c) He/she must keep the master copy up to date. (See also par. 9).
 - d) The efficiency of the system should be examined regularly to ensure that the necessary amendments are provided. When new functions are acquired, new files must be created and when necessary, existing files should be broken up or combined as the case may be. Parent files (i.e. headings which are subdivided but also used as files) should be examined regularly to prevent them from becoming general files and where necessary further sub-files must be created.
 - e) Attention should be paid to cases where correspondence starts on one file and where the emphasis then passes on to another aspect, that the matter be dealt with on the appropriate file.

- f) For duties concerning descriptions on file covers and unclassified correspondence, see paragraphs 13 and 16 hereunder.

(These duties should be reflected on the relevant duty sheet).

ACCURATE FILING OF CORRESPONDENCE

4. All officials conducting correspondence should be supplied with a copy of the filing system. Officials must ensure that they are conversant with the series with which they work and should ensure that all correspondence is dealt with on the correct file. Incorrect filing should be rectified immediately to ensure that valuable material is not destroyed and to prevent the retention of ephemeral documents.

POLICY FILES

5. Provision has been made for policy files. These files are identified by the symbol "P" as the last component of the reference number, eg. 1/P, 1/1/P, etc. All matters concerning policy, rulings, instructions, procedures and directions, should be dealt with on these files to ensure easier reference. It must be noted that the term instructions, as used above, indicates instructions regarding the work of a section and not instructions to officials. Until such time as disposal authority is issued on the filing system, when a case arises where a policy matter is decided on a project file, the Records Manager will decide whether copies of the correspondence as a whole or a copy of the decision only, should be placed on the relevant policy file. Once disposal authority has been issued, copies of the final decision taken on an A20 file, should be placed on the policy file with a cross-reference to the file on which the case was finalised. If a decision is taken on a D file, copies of all relevant documents should be placed on the relevant policy file. Where a bulky document, eg. a report, contains a policy decision or ruling, only an extract of the relevant section of the report should be placed on the policy file. Correspondence dealt with on policy files, should be limited to that relating to the formulation and/or revision of policy.

THE FOLLOWING CORRESPONDENCE SHOULD NOT BE PLACED ON POLICY FILES:

- (i) Enquiries regarding policy that do not result in the formulation of new policy or the amended interpretation of existing policy.
- (ii) Dealings with individual cases which do not result in formulating new policy or amendments to existing policy.
- (iii) Cases concerning the main or sub-series as a whole, but which are not policy matters, as well as individual aspects of the particular subject for which no file exists. In such cases suitable files should be opened.

ROUTINE ENQUIRIES

6. At appropriate places in the filing system files for routine enquiries have been provided. These files are for enquiries of an ephemeral nature which require no further action subsequent to the normal reply. Under no circumstances may important matters be filed here.

REPORTS AND RETURNS

7. In the main series for REPORTS AND RETURNS provision has been made only for those reports and returns which can not be dealt with under any other main series. Where files for reports and returns have been provided in the other main series, they are to be used only where the relevant report or return cannot be placed on a subject file under that main series.

ASPECTS NOT SEPARATELY PROVIDED FOR

8. Sometimes it is necessary to provide files for subjects which in the beginning do not receive sufficient correspondence to warrant separate files being opened for each subject. These files may, however, not be used as general files. When the Records Manager notices that a specific subject generates sufficient correspondence to justify creating a separate subject file, such a file must be provided for in the filing system.

MASTER COPY

9. The master copy is that copy of the filing system which contains all approved subjects and which indicates how files are to be opened and filed. No file may be opened unless the file-description has already been recorded in the master copy and the approval of the Records Manager has been obtained. Individual case files which are opened according to notes in the system are not recorded in the master copy. The Records Manager must ensure that all amendments and/or additions are recorded in the master copy immediately.

REGISTER OF FILES OPENED

10. The purpose of this register is to keep a complete record of ALL files opened. A loose-leaf binder is recommended as it enables the insertion of extra pages which are usually required for case files which form part of the numerical classification. The register is maintained in the same form as the system and files are entered in the same consecutive order. An extra column should be provided opposite the file descriptions in which to note the date of opening (date of first document) next to the file 4 title. The first page of the register should indicate the name of the office to which the system is applicable as well as the date of implementation.

DESTRUCTION REGISTER

11. A register of closed D files should be drawn up as soon as disposal instructions have been obtained. This register is divided into years, eg. 2005, 2006, 2007, etc. When a volume is closed, its reference number should be entered under the year in which it will be destroyed. A volume which is closed in 2002 and for which the disposal instruction is D3 will therefore be entered under the year 2005, thus making it easily apparent which files are to be destroyed in any particular year. The use of a loose-leaf binder is recommended as it is not possible to determine the number of pages needed per year beforehand. (For disposal see par. 18 further on).

IMPLEMENTATION

12. This system will be implemented on and thereafter no correspondence may be dealt with on the files of the old system with the exception of current case files if written approval was obtained from the National Archivist. All old files should be closed on the day prior to the date of implementation, and no original correspondence should be transferred from the old to the new system.

OPENING OF FILES AND DESCRIPTION ON FILE COVERS

13. Files should be opened only when required. Care should be taken that the numbering and description of the files, as indicated in the system, are strictly adhered to. In cases where file descriptions are too lengthy, certain components which do not form an essential part of the file description, may be omitted. Where, for instance, the complete file description reads as follows: POSTS CONTROL; INSPECTION REPORTS; REGIONAL OFFICES; BLOEMFONTEIN, the following may be omitted: REGIONAL OFFICES. Although certain components may be omitted, the title of the main series must always be given and the file description must be sufficiently complete to describe the content of the file. In order to assist the registry staff, the Records Manager should indicate which components may be omitted in such cases. Titles should be printed in indelible ink. The dates of the first and last correspondence as well as applicable disposal instructions, when available, must be indicated on the file cover. Worn covers should be replaced regularly.

UNDERLINED DESCRIPTIONS

14. All underlined descriptions indicate subject headings only. Subdivisions must be made under these subject descriptions **BUT NO FILES MAY BE OPENED FOR ANY UNDERLINED DESCRIPTIONS.**

EXPLANATIONS IN BRACKETS

15. The explanations in brackets under the subject headings or file descriptions are intended as a guide and should not be entered on file covers.

UNCLASSIFIED CORRESPONDENCE: PROCEDURE

16. Head Office

When correspondence is received for which no file is provided, the Records Manager should be approached immediately to indicate on which existing file the correspondence should be placed, or which new file should be opened.

Regional/Sub-offices

When correspondence is received for which no file is provided, such correspondence should be dealt with provisionally on file S11/2/3. An application should then be submitted to Head Office on file S11/2/2 for approval for the opening of a suitable file. Full information in respect of the nature of the correspondence, as well as recommendations regarding the placing and description of the file required, should be submitted. As soon as approval for the opening of the new file is obtained, all regional/sub-offices must be informed and their filing systems should be changed accordingly. The correspondence on file S11/2/3 should then be transferred to the new file.

ANNEXURE FILE COVERS

17. An additional cover must be opened where necessary for storing bulky literature, etc., which would otherwise result in the unnecessary increase in the volume of a file. No correspondence however may be filed in such a cover. The cover should be clearly marked with the correspondence file reference number and "Annexure File" written on the outside cover. Every document contained in the annexure file should bear a cross-reference to the relevant correspondence on which it was received.

DISPOSAL OF FILES

18. Once disposal authority has been issued, such instructions are reflected opposite each file in the disposal column provided in the system. The disposal symbols indicate the following:

A20 : Keep for transfer to the appropriate archives repository if a period of 20 years has elapsed since the end of the year in which the record came into existence (i.e. when the record are twenty years old).

D : Destroy (after the lapse of the number of years which is indicated by the number after the letter D) after closure.

Files should be disposed of regularly, but at least once a year. The prescribed destruction certificate should be submitted to the National Archivist.

THICKNESS OF FILES

19. Files should not exceed 3 cm. in thickness. On reaching this thickness it should be closed and a new cover should be opened. The number of the new volume (eg. vol. 2) must be indicated on the outside of the new cover. A sheet of paper with the wording "Closed, see volume....." should be filed as the last item on the closed volume.

CLOSURE OF IMPORTANT FILES

20. The following procedure should be followed when A20 files are closed:
 - (a) Every page of the correspondence should be scrutinised for misfilings. A sheet of paper with the words "Closed, see volume" written on it, should then be filed as the last item in the file cover.
 - (b) Worn file covers should be replaced.
 - (c) The files should then be stored in cartons especially used for this purpose.

OBJECT OF FILES IN THIS SYSTEM

21. The files in this system are intended for correspondence concerning staff matters in general. Correspondence that concerns a specific official should not be filed in this system, but on the personal file of that official. (See list of series of separate case files).

LIST OF MAIN SERIES

- S1 LEGISLATION AND PROCEDURES
- S2 POSTS CONTROL
- S3 CONDITIONS OF SERVICE
- S4 STAFF RECRUITMENT AND LOSSES
- S5 TRAINING
- S6 STAFF EVALUATION
- S7 PROMOTIONS
- S8 STAFF MOVEMENTS
- S9 STAFF CONTROL
- S10 FINANCE
- S11 RECORDS MANAGEMENT
- S12 ACCOMMODATION, SUPPLIES AND SERVICES
- S13 JOURNEYS AND TRANSPORT
- S14 COMPOSITION AND MEETINGS OF BODIES AND OTHER GATHERINGS
- S15 DOMESTIC MATTERS
- S16 REPORTS AND RETURNS

S1 LEGISLATION AND PROCEDURES

NUMBER	SUBJECT	DISPOSAL
S1/P	Policy	
S1/1	<u>Acts and regulations</u>	
S1/1/1	<u>Public Service Act</u>	
S1/1/1/R	Routine enquiries	
S1/1/1/1	Amendments	
S1/1/1/2	Interpretations and legal opinions	
S1/1/2	<u>Public Service Regulations</u>	
S1/1/2/R	Routine enquiries	
S1/1/2/1	Amendments	
S1/1/2/2	Interpretations and legal opinions	
S1/1/3	<u>Other acts and regulations</u> (Offices which conduct similar correspondence on other acts and regulations as set out above under 1/1/1 and 1/1/2, may make similar provision as above under the name of those acts and regulations. Alternatively the type of provision below can be made.)	
S1/1/3/R	Routine enquiries	
S1/1/3/1	Commentary	
S1/2	<u>Codes</u>	
S1/2/1	<u>Staff code</u>	
S1/2/1/1	Amendments	
S1/2/1/2	Interpretations	
S1/3	Office instructions (Copies of all office instructions should be placed here and on all relevant policy files, eg. an office instruction on a financial matter will be placed on the above-mentioned file as well as on file S10/P.)	

S2 POSTS CONTROL

- (1. This main series should not be confused with staff control. It has only to do with post structure and has nothing to do with the staff that fill those posts.
2. For staff control, see main series 9.)

NUMBER	SUBJECT	DISPOSAL
S2/1	<u>Establishment</u>	
S2/1/P	Policy	
S2/1/1	Estimates	
S2/1/2	Designation and classification of posts	
S2/1/3	Creation and conversion of posts	
S2/2	<u>Inspection reports</u>	
S2/2/P	Policy	
S2/2/1	Department	
S2/2/2	Head Office	
S2/2/3	<u>Head office divisions</u> (Or branches, or sections, etc.)	
S2/2/3/1	Accounts	
S2/2/3/2	Staff	
S2/2/3/3	Supplies	
S2/2/4	<u>Regional offices</u> (Open a file for each office and number consecutively.)	
S2/3	Duty sheets	
S2/4	<u>Delegations</u>	
S2/4/P	Policy	
S2/4/1	By Director General	

S3 CONDITIONS OF SERVICE

(The following files should be used for the provision and revision of conditions of service. No correspondence which has to do with the administration of these conditions should be dealt with on these files, eg. correspondence concerning deductions for medical aid, should be placed on file S10/1/3 and for the purchase of uniforms on S12/2.)

NUMBER	SUBJECT	DISPOSAL
S3/P	Policy	
S3/1	Salary scales	
S3/2	Leave	
S3/3	Housing scheme (For official houses, see S12/1/2.)	
S3/4	Acknowledgement of educational qualifications	
S3/5	Pension fund	
S3/6	Medical aid	
S3/7	Unemployment insurance	
S3/8	Uniforms and protective clothing	
S3/9	Official hours of attendance	
S3/10	Political rights of civil servants	

S4 STAFF RECRUITMENT AND LOSSES

S4/P	Policy
S4/1	Recruitment
S4/1/1	Advertisements
S4/1/2	Affirmative action
S4/2	<u>Applications and appointments</u> (1. As soon as a person is appointed his/her personal documents should be removed from the files below and placed on the SP file. 2. For personal files see the list of series of separate case files at at the end of the numerical classification.)
S4/2/1	Unspecified posts
S4/2/2	<u>Permanent posts</u>
S4/2/2/1	Administrative and clerical
S4/2/2/2	Professional
S4/2/2/3	Technical
S4/2/2/4	General A.
S4/2/2/5	General B.
S4/2/3	Temporary posts
S4/3	Service termination
S4/3/1	Service certificates

S5 TRAINING

NUMBER	SUBJECT	DISPOSAL
S5/P	Policy	
S5/1	<u>Bursaries</u>	
S5/1/P	Policy	
S5/1/1	Conditions (1. This provision concerns correspondence conducted with the Public Service Commission concerning the amendment of conditions. 2. It does not include correspondence conducted with officials - correspondence with the official is placed on his/her SP file. For personal files, see list of series of separate case files at the end of the numerical classification.)	
S5/2	<u>Formal training</u>	
S5/2/1	Degree courses	
S5/2/2	Diploma in Accounting	
S5/2/3	Diploma in Administration	
S5/2/4	Diploma in Organisation and Method	
S5/3	<u>Informal training</u>	
S5/3/1	Induction training	
S5/3/2	Supervisors' course	
S5/3/3	Course in Advanced Management Techniques	
S5/4	<u>Security training</u>	
S5/4/1	Military training	
S5/4/2	Police reservists	
S5/4/3	Civil defence	

S6 STAFF EVALUATION

NUMBER	SUBJECT	DISPOSAL
S6/P	Policy	
S6/1	<u>Merit assessment</u>	
S6/1/1	Lists of merits	
S6/1/2	<u>Merit committee</u>	
S6/1/2/1	Nomination of members	
S6/1/2/2	Agendas and minutes	
S6/2	<u>Staff Advisory Committee</u>	
S6/2/1	Nomination of members	
S6/2/2	Agendas and minutes	
S6/3	<u>Determination of seniority</u>	
S6/3/P	Policy	
S6/3/1	Open groups	
S6/3/2	Closed groups	
S6/4	Language proficiency	
S6/4/P	Policy	

S7 PROMOTIONS

NUMBER	SUBJECT	DISPOSAL
S7/P	Policy	
S7/1	<u>Normal promotions</u>	
S7/1/1	Administrative and clerical	
S7/1/2	Professional	
S7/1/3	Technical	
S7/1/4	General A.	
S7/1/5	General B.	
S7/2	<u>Interchangeable promotion</u>	
S7/2/1	Administrative and clerical	
S7/2/2	Professional	
S7/2/3	Technical	
S7/2/4	General A.	
S7/2/5	General B.	
S7/3	Merit advancement	

S8 STAFF MOVEMENTS

(For transfer of personal files in staff movements, see S11/1/3 and S11/1/4.)

S8/P	Policy
S8/1	Transfers
S8/2	Secondment
S8/3	Relief arrangement

S9 STAFF CONTROL

NUMBER	SUBJECT	DISPOSAL
S9/P	Policy	
S9/1	Progress reports	
S9/2	Employment outside the public service	
S9/3	Financial position of officials	
S9/4	Disciplinary decisions and measures	
S9/5	Keeping of animals on government property	
S9/6	Ex-officio appointments	
S9/7	Clothing	
S9/8	Permission to receive gifts	
S9/9	Leave credit and planning	
S9/10	Addresses of officials	
S9/11	Staff aid on government projects	
S9/12	Labour relations	
S9/13	Departmental chamber	
S9/14	Negotiation forum	

S10 FINANCE

NUMBER	SUBJECT	DISPOSAL
S10/P	Policy	
S10/1	<u>Salaries</u>	
S10/1/1	Adjustments	
S10/1/2	Payment	
S10/1/3	Deductions	
S10/2	<u>Allowances and bonusses: Payment of</u>	
S10/2/1	Subsistence and travel costs	
S10/2/2	Service bonus	
S10/2/3	Entertainment allowance	
S10/3	Claims by and against the department	
S10/4	Overtime payment	
S10/5	Workmen's compensation awards	

S11 RECORDS MANAGEMENT

NUMBER	SUBJECT	DISPOSAL
S11/P	Policy	
S11/1	<u>Disposal of records</u>	
S11/1/1	Applications for disposal authority	
S11/1/2	Transfers to archives repositories/ records centres	
S11/1/3	Transfers to other Departments	
S11/1/4	Internal transfers	
S11/1/5	Destruction	
S11/2	<u>Filing system</u>	
S11/2/R	Routine enquiries	
S11/2/1	Compilation and amendments	
S11/2/2	Unclassified correspondence (No correspondence may be filed permanently on this file. See par. 16 of the general instructions)	
S11/3	Inspections	

S12 ACCOMMODATION, SUPPLIES AND SERVICES

S12/P	Policy
S12/1	<u>Accommodation</u>
S12/1/1	Office
S12/1/2	Official housing (For housing scheme, see S3/3.)
S12/2	Supplies
S12/3	Services (Telephones, postal bags, etc.)

S13 JOURNEYS AND TRANSPORT

NUMBER	SUBJECT	DISPOSAL
S13/P	Policy	
S13/1	Approval of journeys and itineraries	
S13/2	Reservations and accommodation arrangements	
S13/3	Railway concessions	

S14 : COMPOSITION AND MEETINGS OF BODIES AND OTHER
GATHERINGS

(For Merit Assessment Committee and Advisory Staff Committee, see S6/1/2 and S6/2 respectively.)

S14/P	Policy
S14/1	Appointment of members and delegates
S14/2	Arrangements for meetings
S14/3	<u>Reports and minutes</u>
S14/3/1	Staff meetings
S14/3/2	Commissions
S14/3/3	Committees

(If necessary the above-mentioned may be further subdivided. The description Committees may for instance be underlined and the names of the various committees be classified thereunder.)

S15 DOMESTIC MATTERS

NUMBER	SUBJECT	DISPOSAL
S15/P	Policy	
S15/1	Congratulation and condolence	
S15/2	Christmas and new year's message	
S15/3	Social club	
S15/4	Staff associations	

S16 REPORTS AND RETURNS

(See paragraph 7 of the general instructions.)

NUMBER	SUBJECT	DISPOSAL
S16/P	Policy	
S16/1	Annual report: contribution by the staff section	
S16/2	Establishment returns and statistics	

LIST OF SERIES OF SEPARATE CASE FILES

NUMBER	SUBJECT	DISPOSAL
SP, surname and initials	<u>Personal files</u> <u>Personal Confidential file</u> (This file contains all confidential documents, eg. letter of appointment, promotions and documents of merit, and is opened once a person has been appointed.)	
SL, surname and initials	<u>Leave file</u> (This file contains leave forms and correspondence concerning leave matters, and is opened for each official when necessary.)	
SF, surname and initials	<u>Financial file</u> (This file contains documents concerning transfer and housing costs, transport matters, salaries and allowances, and is opened for each official when necessary.)	
SA, surname and initials	<u>Accident File</u> (This file contains documents referring to accidents that happen on duty - and more specifically where the Workmen's Compensation Act is applicable, and is opened for an official when necessary.)	