Republic of Mauritius

MANAGING THE REGISTRY
A Procedure Manual

Efficiency

Continuity

Consistency

Registry Benefits

Preservation of Important Records

Good Decision Making

Enhanced Image

July 2017

Ministry of Civil Service and Administrative Reforms
...for a professional public service committed to excellence

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PREAMBLE

The registry is the nerve centre of any Ministry/Department. No Ministry/Department can function **effectively** unless the registry is functioning efficiently.

A good registry provides control of records and presents several benefits:

- **Efficiency** – records are better organised and located, therefore making them quickly retrievable, thereby facilitating ease of reference, eradicating staff frustrations and increasing productivity.

- **Consistency** – the existence of documented policies means that staff members execute actions relative to records in a consistent manner.

- **Good decision making** – staff members have ready access to all necessary records, they are able to make decisions with reference to precedent, context and eventualities.

- **Enhanced image** – improved efficiency and management enhance the image of the organisation for all stakeholders.

- **Ensures preservation of important records** – while not for everyday use or operational purposes, archival records contribute significantly to the construction of collective memory and cultural heritage.

- **Continuity** – good records facilitate continuity on occasions when staff members leave the employment of the organisation. In the absence of records, staff members take their knowledge with them when they leave.

The primary aim of this Manual is to enhance the performance of registries by focusing on key registry principles to be observed for an efficient service delivery as well as on the responsibilities of registry staff and registry users at all level.

It purports to create a common understanding of the importance of the registry and its activities in the organisational delivery of quality performance.

SECTION 1

Functions and Responsibilities

"To manage a business
is to manage its future
and to manage its future
is to manage information"
(Marion Harper)

Flowchart – Functions and Responsibilities

Receive, record & distribute incoming and internally created mail

Open and index files

Build up and control registered files

REGISTRY FUNCTIONS

Review and dispose of all inactive files

Location of files and information retrieval

Record and arrange timely despatch of internally created correspondence

Provide storage, repository and reference services
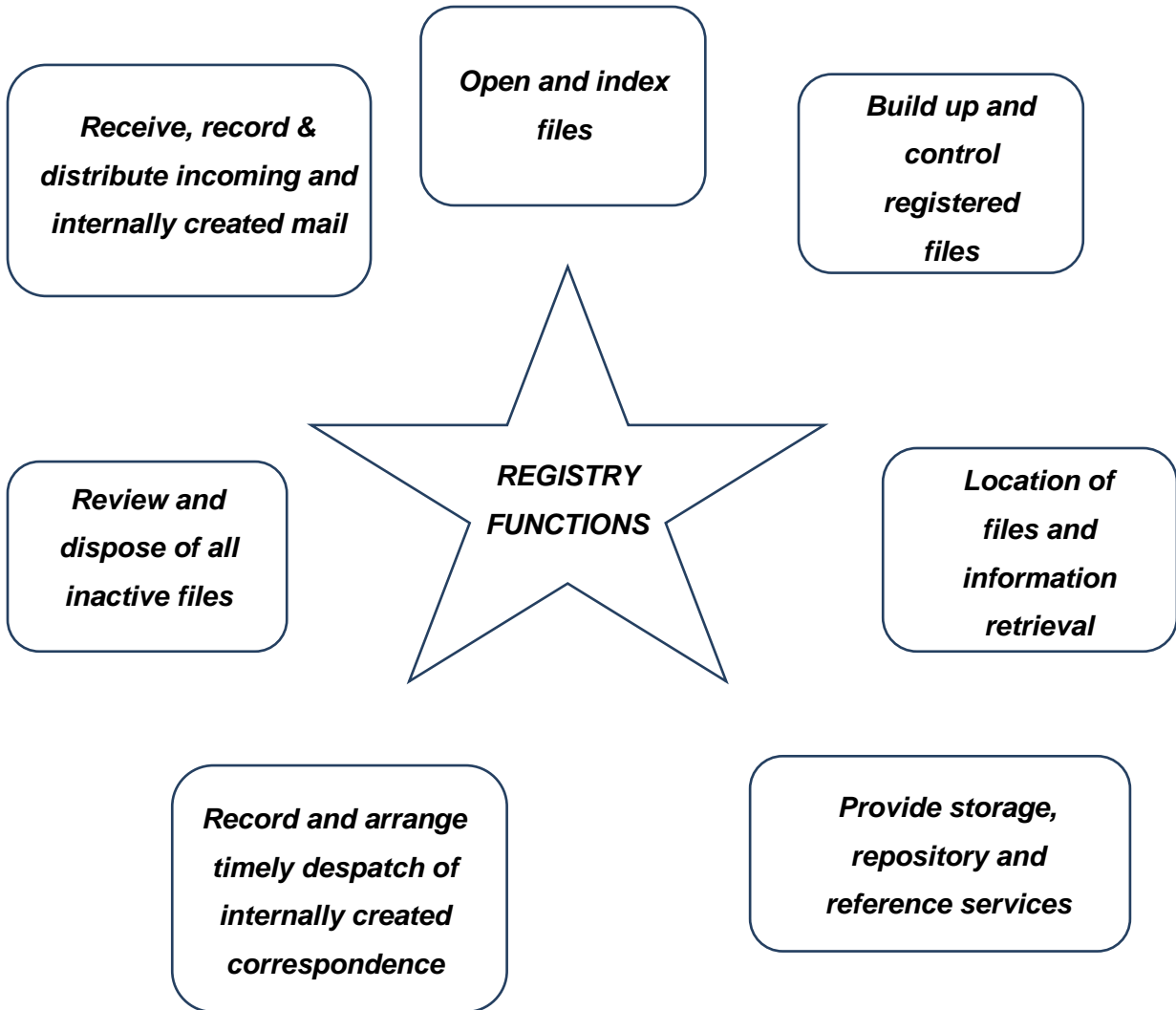
1.1   Functions of a Registry

The essential functions of a registry are to:

- receive, record and distribute incoming and internally created mail of all kinds (such as letters, e-mails, memoranda and faxes);
- open and index files, attach relevant papers and pass the files to action officers;
- build up and control all officially registered files and other documentation in their care, so that they can be produced quickly by means of effective indexing, classification and tracking procedures;
- know the location of all officially registered files in their care and be able to produce them quickly, by means of effective indexing, classification and tracking procedures;
- provide storage, repository and reference services for all officially registered files and other documentation in their care;
- record and arrange for the efficient and timely despatch of all correspondence produced by the officers they serve; and
- review and dispose of all inactive files or other records in accordance with the Archives Regulations.

Figure 1.1 depicts the Communication Flow of the Registry

1.2   Responsibilities of Registry Staff towards Users

Some of the responsibilities of the registry staff towards users are:

- to provide a service to the action officers who have to use the records;
- to show the maximum possible courtesy and cooperation; and
- to take every opportunity to learn the particular needs and requirements of their organisation and its action officers.

1.3   Responsibilities of Registry Users

Well-run registries depend upon an active partnership between registry staff and users. Registry staff rely upon action officers to:
- deal with files promptly and return them to the registry when they are no longer required;
- use the 'bring-up' (B.U) system when action on a file has to be temporarily suspended;
- keep files free of ephemeral material such as duplicates, drafts and such like;
- include the relevant file reference (including the volume, if any) on all outgoing correspondence;

- ensure adequate number of copies of outgoing correspondence, if applicable are submitted to the registry for despatch;
- ensure that indication of enclosures, if any, are typed on the covering letter, that is,…is typed in the left margin opposite to the line mentioning the enclosure;
- ensure enclosures, if any, are duly attached and submitted to the registry for despatch;
- provide the registry with a completed file transit slip whenever they pass a file to another officer or elsewhere other than through the registry; and
- co-operate fully with all necessary record checks, including file audits and searches conducted by the registry.

1.4   The Registry and the Life of Records

Registries are concerned with all files –Active Files, Semi-Current Files as well as Closed Files. It is important, however, that registries know how and when to shift files on to the Records Centre.

The Records Centre provides a storage and retrieval service for semi-current records. Semi-current records are records that are no longer needed for day-to-day use but must be kept because they may need to be referred to occasionally or because they have a continuing administrative, legal and financial value.

By making regular use of the Records Centre, registry staff will be able to provide users of records with access to semi-current records that are no longer kept in the registry. Use of the Centre will also achieve improvements in working conditions, as they will keep the records registry clear of files not needed for current work.

Individuals
Ministries
EXTERNAL
CUSTOMERS
Administrative Units
Technical Units
Procurement Division
INTERNAL
REGISTRY
CUSTOMERS
Private Organisations
Human Resource Division
Finance Division
Departments
Parastatal / Statutory Bodies
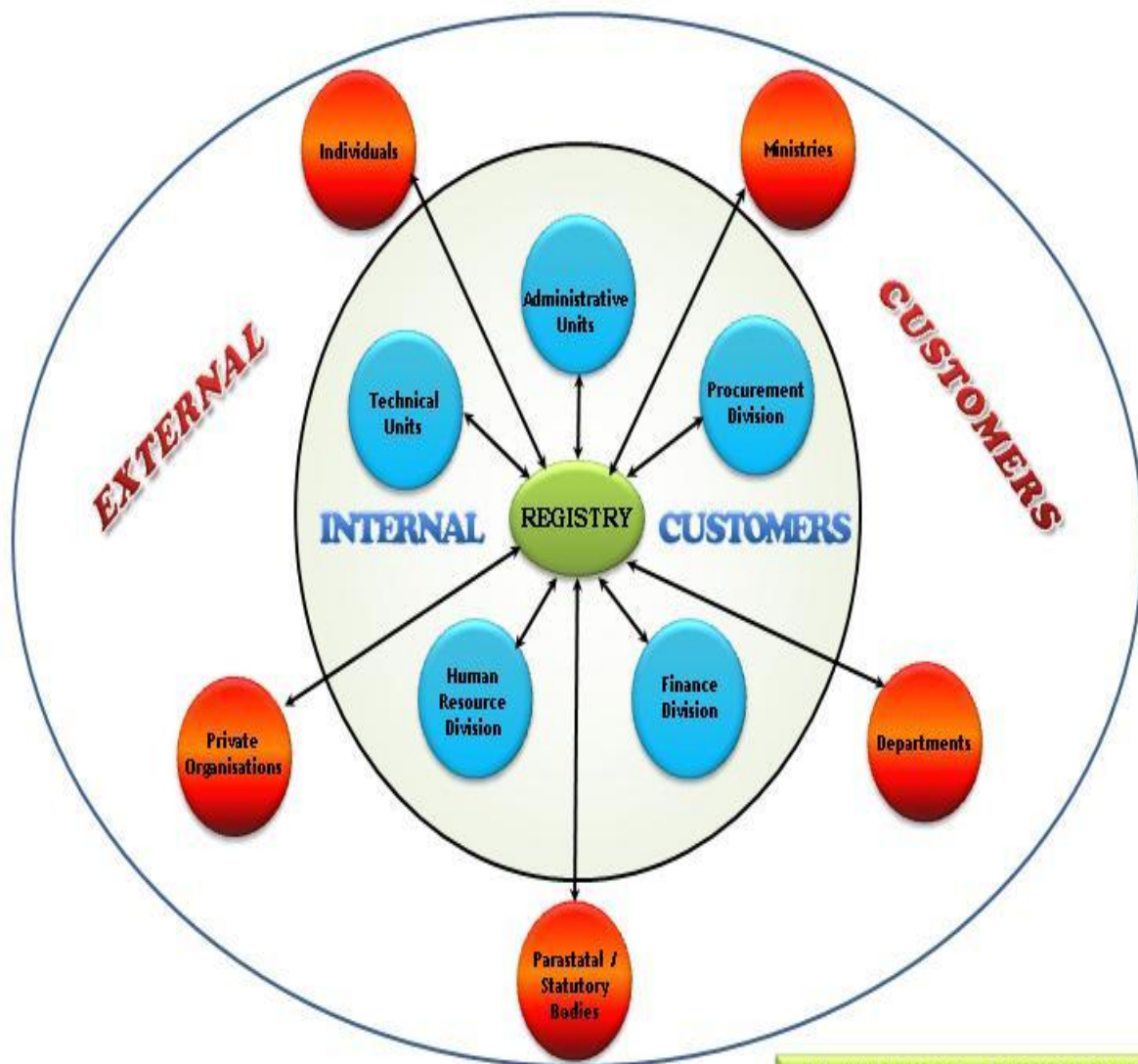
Fig 1.1 REGISTRY – COMMUNICATION FLOW

SECTION 2

Incoming Correspondence

**"You are telling me
what you think I want to know.
I want to know
what is actually happening."**
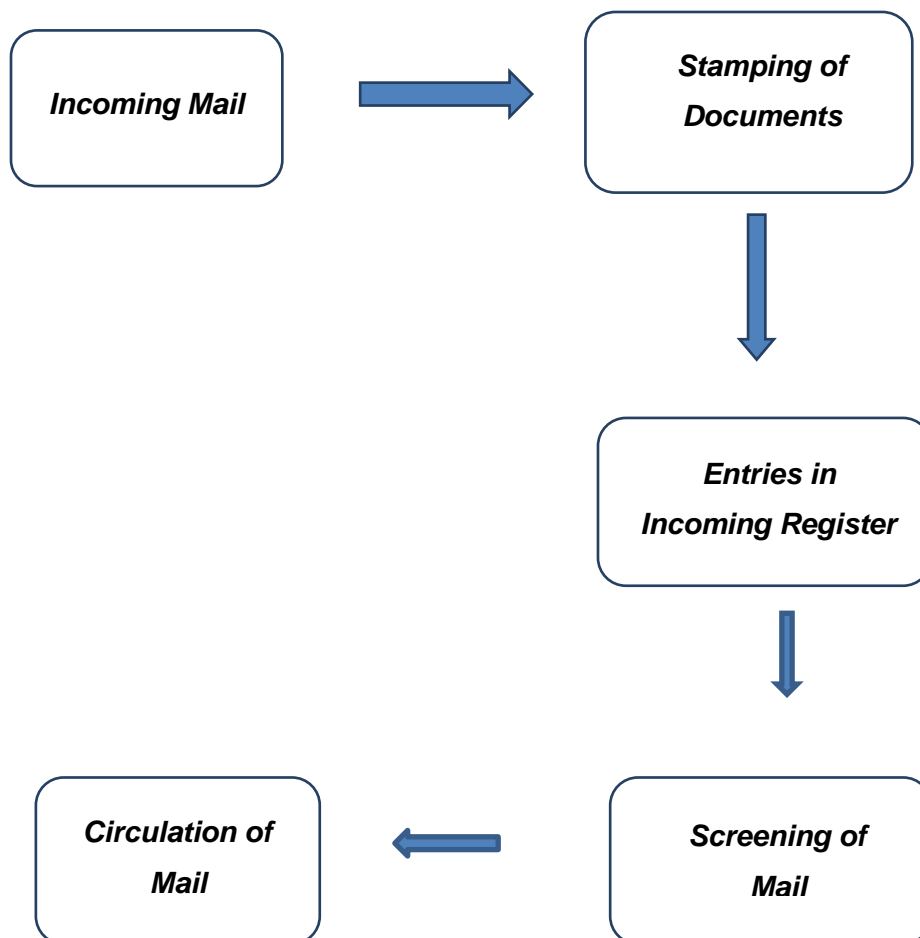
(Creighton Abrams)

Flowchart - Incoming Correspondence

Incoming Mail	→	*Stamping of Documents*

↓

Entries in Incoming Register

↓

Circulation of Mail	←	*Screening of Mail*

2.1 Types of Correspondence

Registry staff must deal promptly and accurately with many different kinds of correspondence. Incoming correspondence will reach the registry in a number of different ways. Some will come by post, some by hand despatch, some by fax or electronic mail. There will also be differences in the way in which items are addressed. Some will be addressed to a Ministry/Department and some to individuals either by name or by title of office. Other items may be either inadequately or illegibly addressed. A smaller number of items will bear security or privacy markings, such as 'confidential' or 'personal.' Some mail may contain cheques and other valuables which must be carefully recorded and accounted for in the registry.

2.2 Opening of Mail

Private and personal mail should be delivered to the respective persons unopened. If this mail is found to be general correspondence, it should be returned to the registry for recording. All other mail should be opened and date-stamped as soon as it is received by the registry.

Slit envelopes across the top to open. Care must be taken to ensure the contents of letters are not damaged when the envelopes are slit.

Many enclosures are received loose or separated from their covering documents. Attach such enclosures to the relevant documents, taking care not to damage cheques, certificates or similar items. All attachments must be noted on the covering document. This is particularly important when the enclosures are valuable or are personal papers.

It may happen that a document is received at the registry without the enclosures mentioned therein. If this is the case, the sending organisation/sender must be contacted immediately and a note inserted on the document.

Certificates, deeds, cheques and other legal documents require special care. Such documents should not be punched. Place such documents in separate envelopes, noting the contents and the number of the file on the outside. These are recorded in an Incoming Correspondence Register, then stored in a safe place and cross-referenced on the file.

2.3 Incoming Correspondence Register and Mail Folder

After the mail has been opened and all enclosures accounted for, each letter must be registered by a designated officer (incoming clerk) in the Incoming Correspondence Register.

All columns of the register must be completed. The details to be entered initially are:

- date received;
- date of correspondence;
- reference number;
- from whom the letter was received;
- subject of the letter; and
- file reference number (to be filled in when letter is filed)

See Figure 2.1: Incoming Correspondence Register

2.4   Circulation of Mail

The Officer in Charge of the registry or a designated officer will decide how items are to be handled. Place letters in incoming mail folders for circulation to the most senior officers in the organisation together with incoming mail sheet *(see Figure 2.2: Incoming Mail Sheet sent to the Supervising Officer).* The officers on the circulation list will vary from organisation to organisation, but it is important that the list is as short as possible so that the mail folder is returned to the registry quickly.

The officers on the circulation list should attend to the documents in the incoming mail folder promptly. They should mark those correspondence that they would like to deal with personally or that they would like referred to other officers for action. All such directions should be initialed and dated by the officer making them. Letters should normally not be removed from the mail folder. The registry should be kept informed in case any letter is removed from the incoming mail folder.

Where there is more than one circulation of mail each day, correspondence delivered after a circulation has been despatched should be held over and included in the subsequent batch. However, any correspondence that are marked 'urgent' must be delivered immediately.

For letters which should be dealt with immediately, only copies of same should be placed in the incoming mail folder.

The original copy of the letter should be sent promptly on file to the action officer for immediate action.

When the incoming mail folder is returned to the registry, place the documents immediately on the appropriate files. Before the files are passed to the action officers, registry staff should note on the relevant file index card and the file ladder on the front of the file, the title and the name of the action officer and the date the file is being referred to the officer *(see Section 7).*

2.5   Handling Mail Containing Valuables

Envelopes containing or likely to contain money orders or other valuable items referred to at *Section 2.2* must be carefully safeguarded from the time it is received and remitted to the action officer promptly for necessary action.

Registry staff should record the following information in the Paper Money Register:

- date received;
- name of person sending paper money;
- amount;
- cheque number;
- name and signature of officer opening remittance; and
- name and signature of officer receiving remittance.

See Figure 2.3: Paper Money Register

2.6   Dealing with Mail received by Fax

Mail received by fax should be registered in the incoming mail register and brought to the attention of the action officer. A copy should be placed in the incoming mail cover for circulation.

If/when the original of the document is received at a later date in the registry, it should also be placed on the appropriate file. Both the fax and the original document should be retained on the file as the fax may have had comments written on it by action officers.

2.7   Managing Electronic Mail

Some communications are being received by electronic mail on computers used by action officers at their desks. However, many e-mail messages are routine or unrelated to official business and will not need to be retained once they have been read. Officers sending or receiving electronic mail must decide whether each item of e-mail received or despatched concerns official business and needs to be printed so that a copy is placed on file.

In all cases when incoming electronic mail is printed for filing, any outgoing reply should also be printed and filed with the incoming message. Where possible, e-mail messages should relate to one subject only to facilitate filing. If an e-mail relates to several subjects, copies will need to be made and placed on the appropriate files.

Incoming Correspondence Register

SN	Date Received	Date of Letter	Reference No.	Sender	Subject	File Ref No. (to be filled when letter is filed)

Figure 2.1: Incoming Correspondence Register

INCOMING MAIL SHEET

	DATE RECEIVED	NO.	INITIAL	DATE	REMARKS (To be completed in case any letter is removed
Registry					
Supervising Officer					
Registry					
Registry					
Supervising Officer					
Registry					
Registry					
Supervising Officer					
Registry					
Registry					
Supervising Officer					
Registry					
Registry					
Supervising Officer					
Registry					

Figure 2.2 : Incoming Mail Sheet

Paper Money Register

Date Received	Remitter's Name	Description of Remittance	Amount	Cheque Number	Name and Signature of Officer Opening Remittance	Name and Signature of Officer Receiving Remittance

Figure 2.3: Paper Money Register/Remittance Register

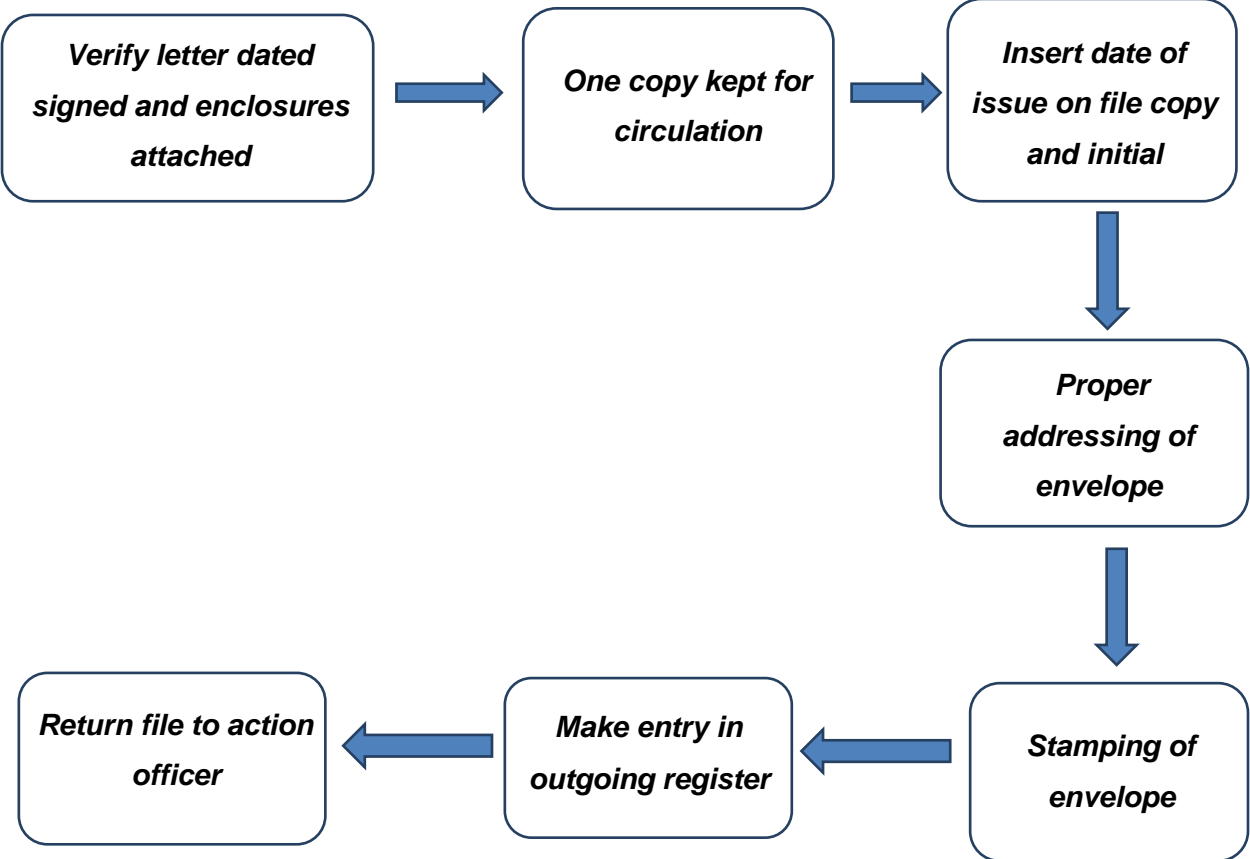*NOTE: Entries must not be erased or obliterated. Mistakes must be corrected by ruling through.*

SECTION 3

Outgoing Correspondence

"The more timely the information is,

the more valuable it is."

(Andrew Grove)

Flowchart – Outgoing Correspondence

Verify letter dated signed and enclosures attached → **One copy kept for circulation** → **Insert date of issue on file copy and initial**

↓

Proper addressing of envelope

↓

Stamping of envelope

Return file to action officer ← **Make entry in outgoing register** ← **Stamping of envelope**

3.1   Preparing Letters for Despatch

Every letter leaving the registry must quote the full address and file reference number. The file reference numbers to be indicated are that of the sender as well as that of the addressee, if available. The file reference number should include the volume as well, if any. All enclosures mentioned in the text of the letter must be attached.

Security markings are typed in a prominent position at the top or bottom of each sheet.

Once a letter has been signed by an action officer, it must be returned, (with any enclosure mentioned therein, duly attached) to the registry for despatch.

The officer doing the despatch must ensure that the addressee's name and the address have been rightly reproduced on the envelope. Care should be taken to place the correspondence in the envelope. When sealing the envelope, the officer should ensure that the correspondence is not glued to the envelope on the inside.

3.2   Outgoing Correspondence Register

Registry staff are responsible for maintaining a record of what is despatched. All outgoing letters or correspondence leaving the office is noted in the Outgoing Correspondence Register and a copy kept on a flimsy file by the officer doing the despatch for circulation among senior officers.

Information of the letters and correspondence should be recorded as follows:
   • date despatched;
   • subject of the letter;
   • reference number of the letter;
   • name of the addressee of the letter; and
   • mode of despatch (by hand or post).

If outgoing letters are returned for reason other than misdirected, the envelope should be kept in file for record purposes.

See Figure 3.1: Outgoing Correspondence Register

3.3   Flimsy File

An extra copy of all the letters typed and signed is normally placed in chronological order in a file cover called 'Flimsy File' which should generally be circulated on a daily basis or within one week (especially as regards to (a) below). The file should not be too bulky with a view to enable the senior officer(s) to go through the file with ease.

The aims of a 'Flimsy File' are:-

(a)   to enable the Supervising Officer to ensure that instructions have been correctly interpreted by officers signing papers on his/her behalf;
(b)   to enable senior officers to know what is going on in the Ministry; and
(c)   to provide a record of outgoing papers without having to consult the despatch book or individual files.

The flimsy file may also prove helpful for the creation of temporary file in case the main file is unavailable whereby documents on the flimsy file could be used.

3.4   "Despatch By Hand" Book

Letters to be delivered by hand are recorded in the "Despatch By Hand" Book.

The following details will be entered:
*   date letter despatched;
*   time letter despatched;
*   file reference number;
*   mail (number of correspondences/envelopes);
*   where sent (Ministry/Department/Agency);
*   name in full of receiving officer;
*   signature of receiving officer;
*   date letter received by receiving officer; and
*   time letter received

See Figure 3.2: "Despatch By Hand" Book

3.5   Delivery of Mail

When delivering letter(s), the officer delivering the mail must obtain the name in full and signature of the person(s) to whom he/she delivers the letter(s) together with the date and time of receipt as provided in the "Despatch by Hand" Book.

This may prove helpful for follow up action in case of urgency or in view of the confidential nature of the subject being dealt with.

Outgoing Correspondence Register				
Date Despatched	Subject	Reference Number	Addressee	Mode of Despatch

Figure 3.1: Outgoing Correspondence Register

"DESPATCH BY HAND" BOOK

Date of Despatch: …………………………………………………………

Time of Despatch: …………………………………………………………

Reference of File: …………………………………………………………

Mail (Number of Correspondences/envelopes):   …………………………………

Addressee and Address: …………………………………………………………

Name (in full) of Receiving Officer: ……………………………………………………

Signature of Receiving Officer: ………………………………………………….…

Date of Receipt: …………………………………………………………

Time of Receipt: …………………………………………………………

Figure 3.2: "Despatch By Hand" Book

SECTION 4

Filing Papers

"Information may be accumulated in files,
but it must be retrieved
to be of use in decision making."

(Keneth Arrow)

Flowchart – Filing Papers

```
┌─────────────────────┐          ┌─────────────────────┐
│ *Identify subject of*│  ──────> │*Punching of documents*│
│   *correspondence*   │          │                     │
└─────────────────────┘          └─────────────────────┘
                                            │
                                            ▼
                                  ┌─────────────────────┐
                                  │ *Numbering of folio* │
                                  │  *and enclosures,*   │
                                  │      *if any*        │
                                  └─────────────────────┘
                                            │
                                            ▼
┌─────────────────────┐          ┌─────────────────────┐
│ *Recording of*       │  <────── │*Cross referencing of*│
│ *correspondence*     │          │*any correspondence*  │
│ *in minute sheet*    │          │   *mentioned in*     │
└─────────────────────┘          │   *body of letter*   │
                                  └─────────────────────┘
```
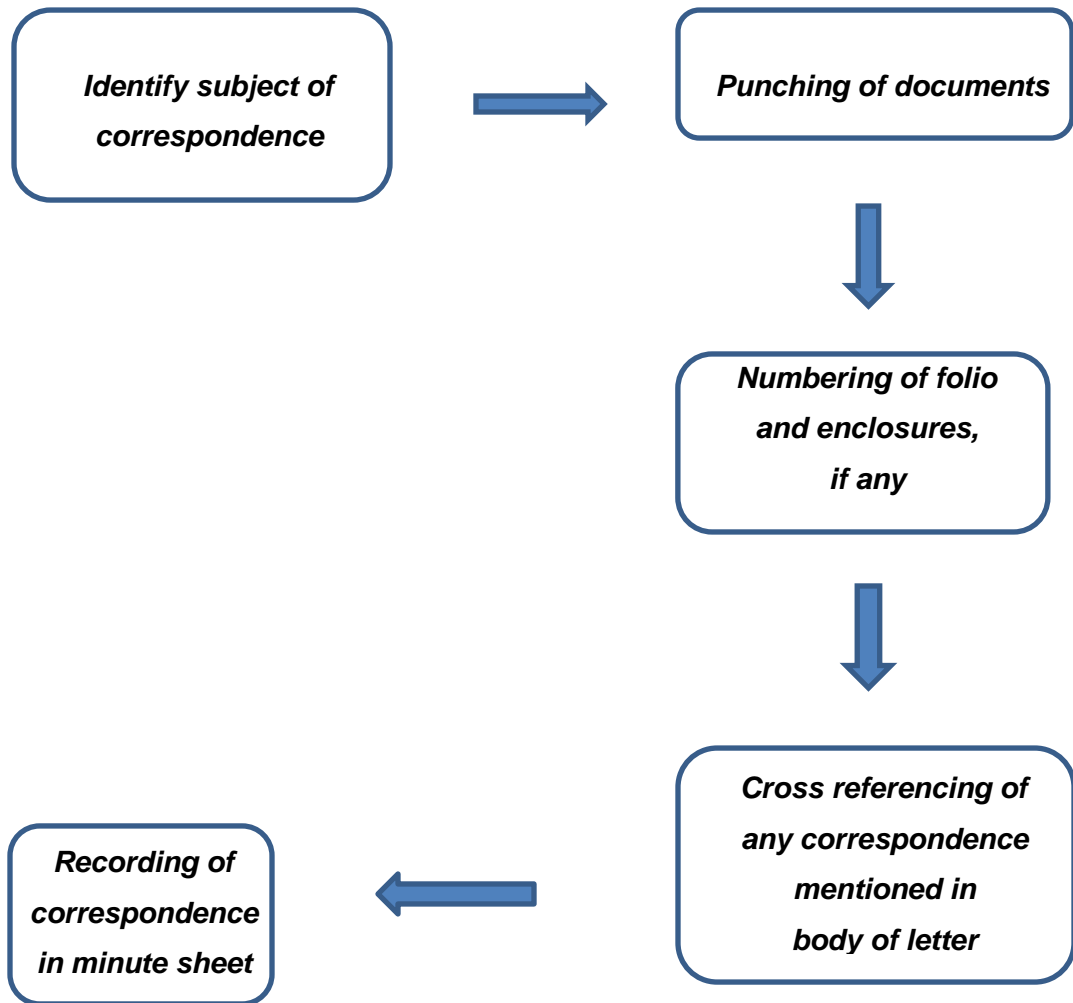
4.1 Registered File

The registered file is an organised assembly of documents kept together for use, and relating to a specific subject, type of transaction or area of business. The registered file should have three components:

- a cover to protect the contents and act as a title page and a record of the file's circulation;
- the contents; and
- some method of securing the whole together.

File covers minimise damage from handling and use. The file cover should include a space for the name of the organisation, the file title/subject, file reference number, security marking and references to related files. The cover should also have a grid (or ladder) for recording the file's circulation when in use. *See Figure 4.1: Sample File Cover*

Maintaining the order of documents within the file is a vital requirement of filing. This establishes the context within which decisions and actions were taken and the sequence of those decisions and actions. Hence, papers should be filed in the same order as the transactions of which they form part. This is not the same as saying that the individual papers are filed in their date order. Place papers within a file in the order in which they are received.

Secure individual documents within a file so that they do not become misplaced or lost. The 'treasury tag' is still the cheapest and easiest method of securing documents within a file. There is a recommended method for using treasury tags. Holes are usually provided/ punched in the top left-hand corner of the front cover and inside back cover of the file, taking care not to lose information where the hole is punched. The tag is inserted through the front cover from the inside, passed around the "spine" of the file on the outside and inserted through the back cover.

Holes should be punched in the top left-hand corner of each document to be filed, three quarters of an inch down and half an inch in from the edge. Documents are secured to the end of the tag which passes through the front cover to the inside of the file. It is recommended that the "spine" of the file be protected by a large packing tape in order to lengthen its life span.

4.2 Referencing/Numbering Files

Classification systems are required to identify individual files and to indicate the logical relationships between files and records. Without some system for classifying papers, it is not possible to show the links between related files or to file papers consistently and accurately. Whichever system is used in the registry, each file must have a unique identifying reference/file number. This may be a number or a combination of letters and numbers.

4.3   Identifying the Subject of Correspondence

Mail received in the registry after registration or on return from circulation, must be placed on files as soon as possible.

When a paper is received, it is good to see whether a reference number is quoted on it. If so, the reference number should be checked against the title of the file in the index card on the file register to ensure that the reference quoted is correct.

If no direction on filing have been given by senior staff or action officer(s) and if the letter does not quote a reference to a file in the registry, the officer responsible for filing must read the correspondence carefully (i.e the content) to determine its subject and place it on an existing file, if one already exists or open a new file if there is no appropriate file.

Officer responsible for filing should not rely solely on the subject mentioned in the correspondence to decide on which file correspondence is to be placed. The subject mentioned in the correspondence may not necessarily reflects the content of the correspondence or corresponds to the subject title of an existing file in the registry.

4.4   Numbering/Filing of Correspondence on Files

Each piece of correspondence or document should be numbered in <u>red pencil</u> when placed on a file. The folio number should be put on the right hand corner and thereafter an appropriate entry should be made in the minute sheet. To ensure that all papers, files and records are kept clean and tidy at all times, every member of the registry staff should make it a duty to see that each file or other records leaves their hands neat and tidy.   All papers punched for filing should have the hole in the same position as mentioned at *Section 4 para. 4.1*.

Correspondence should be numbered chronologically. The system of numbering correspondence should be consistent. Any subordinate correspondence attached to a memorandum or letter should also be numbered. For example, a piece of correspondence attached to enclosure 15 should be numbered 15a or 15/1 in case the annexures are likely to exceed the 26 alphabets. Another example: Where 30 is the number on the main piece of correspondence, 30/a would represent the first enclosure attached to the main paper. Similarly, 30/a/1 would be an enclosure referring to 30/a.

Registry staff should ensure that the record must not be falsified by the insertion of any folio between entries already made on a minute sheet. Such action is not in order as it may give the false impression that minutes appearing subsequently were written in full knowledge of the paper in question as well as resulting in unsightly enclosures.

It is perfectly right to keep entries in files in correct chronological order as far as possible but not at the expense of common sense or falsification. The last entry (number) indicated on the minute sheet should be taken into consideration when numbering any correspondence/document for filing.

The numbering of correspondence on temporary files should also be done in **red pencil**.

4.5   Cross-referencing from Files

If a single letter or other item of correspondence relates to more than one file it should be photocopied and the original placed on the file for which it has most relevance. Place the photocopies on the other files to which the letter relates. On the original letter note the file references on which additional copies have been placed. Similarly, note the location of the original on each copy placed on other files.

If a letter is received which refers to earlier correspondence, with the following introductory words *"with reference to your letter ……"* or *"Please refer to your letter of …"* write the folio number of the previous letter on the new letter and then place it on the same file as the earlier letter. The introductory words "*with reference to your letter* …….." or "*Please refer to your letter of* …" should be underlined with a <u>red pencil</u> and the folio number inserted on the left hand margin of the incoming letter opposite the part underlined.

If the cross-referencing is of a correspondence on another file, then the cross-reference should be indicated as follows: <u>Reference Number of File</u>
<p align="center">Folio Number</p>

Similar cross-referencing should be made on the file copy of any outgoing correspondence.

4.6   Using the "Transfer Slip"

Papers may only be removed from files in exceptional circumstances on the instruction of the Office-in-Charge of the registry or action officer. When this is done, place a "transfer slip" on the file in the place left vacant by the transfer of the folio, indicating the subject of the paper(s) and where they may be found. It must normally be signed by the member of staff responsible for the removal.

The "transfer slip" should bear the same folio(s) number as the paper(s) which has/have been removed.

Please *see figure 4.2* which shows the "transfer slip" which would apply, if, for instance, folio (7) in file "X" is transferred to file "Y" as folio (10).

A copy of the papers/document removed may be attached to the transfer slip, as far as practicable, for ease of reference, if photocopying facilities are available.

4.7   Filing Checklist

Ask the following questions regularly:
- Does the document belong on the file selected?
- Does the file reference on the document agree with the reference number of the file? (It should, unless it is a copy being used for cross-referencing). Are all pages of a multiple page document present?
- Are all attachments present?

Do not file
- spare copies of letters, old drafts or of similar nature unless, there is a likelihood that they will be significant in the foreseeable future. Such documents should either be destroyed preferably using a shredder or, if there is a genuine need to keep them, stored away from the file;

- published material and bulky reports. Much of the published material received in registries has no relevance to the work of the organisation. Bulky published material or reports which are relevant should be marked with the file and folio number to which they relate and stored separately. Mark the covering letter to indicate the location of the published material ; and

- ephemeral material such as announcements of parties, greeting cards or advertisements for events that have no relevance to the organisation.

MINISTRY OF

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	CONNECTED FILE						
No.	**SUBJECT**						

Figure 4.1: Sample File Cover

(7)

Transferred to File "Y"

As Folio (10)
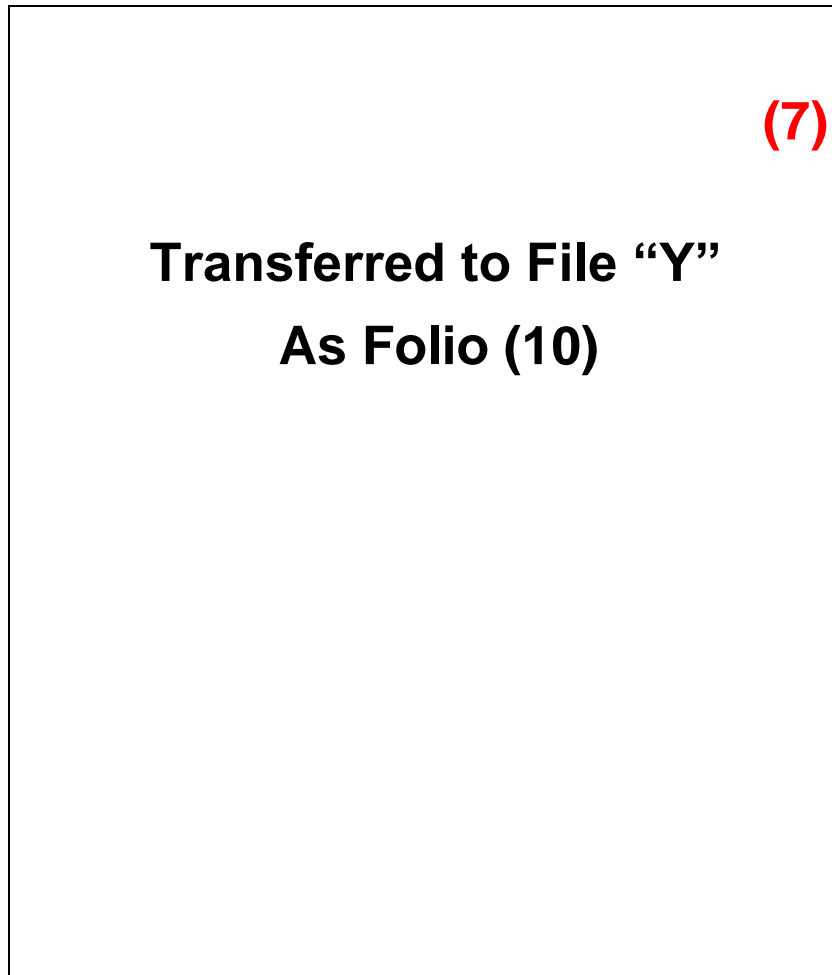
Figure 4.2: Model "Transfer Slip"

Note: The Folio Number (7) appearing at the top right-hand corner of the Transfer Slip should be written in red as for any Folio Number.

SECTION 5

Creating a New File

**"Constant change by everyone
requires a dramatic increase
in the capacity to accept disruption"**

(Tom Peters)

Flowchart – Creating a New File

Effective reading to identify subject matter → **In case no file exist, create new file** → **Devise appropriate file title to reflect content**

↓

Proper indexing of newly created file

↓

Entry in appropriate register

Filling of card for movement of file ← **Insertion of reference number and title of any connected file** ← **Entry in appropriate register**
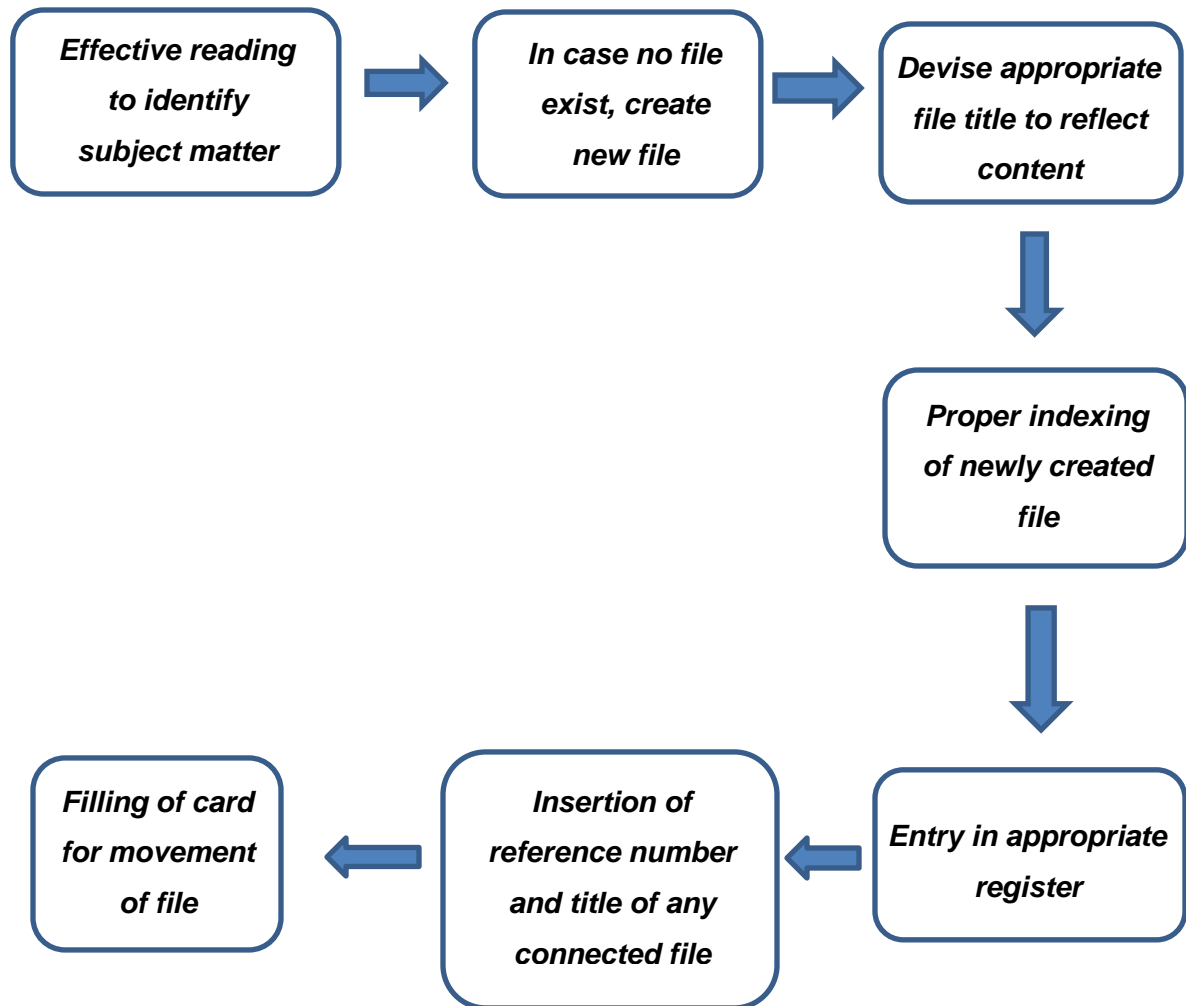
5.1 Creating/Opening a New File

When a document comes into the registry, the registry staff must decide whether an appropriate file already exists, as described in *Section 4.* If no appropriate file exists, create a new file and allocate a file reference number and a title. No new file may be opened before there is correspondence to go on it. Opening files in the expectation of future correspondence leads to waste of effort, waste of valuable file covers and, most damaging of all, confusion in the file index.

The decision whether or not to open a new file should be the responsibility of the Officer in Charge of the registry. If there is any doubt at all about whether a new file is required, the Officer in Charge of the registry will ask the relevant action officer for advice. Action officers should be encouraged to indicate their need for files.

If a new file is required, the registry staff must think carefully about what it will contain and how it will grow. Remember that each file should relate to a single subject, a well-defined area of business or a particular type of transaction. The steps taken when opening a new file are described in *Section 6.*

Not all papers are to be placed on registered files. Keep ephemeral papers off files altogether *(see Section 4: Para 4.7*) or place on files that can be destroyed early.

5.2 Connected Files

If after a new file has been opened, it is noticed that another file is related to the new file, the reference number and title of the other file should be recorded in the appropriate place on the new file cover. Such indication often proves helpful to action officers in locating correspondence.

Similarly, the reference number and title of the new file should be recorded in the appropriate place of the related file.

5.3 Files Titles/Subjects

Choose a clear and precise title/subject for each file. The title should be as descriptive as possible to provide adequate details of the file's actual and likely contents. It should trigger in the user's mind what the file contains. At the same time it ought to be specific enough so that the registry staff does not use the file to cover different aspects of the same business or new developments that really should be the subject of several files. As well as describing the contents, a file title should also limit the scope of the material to be placed on it.

Titles such as "Miscellaneous/General" should be avoided as far as possible.

When adding new papers to a file, take care that the file title continues to reflect the contents accurately. At the same time, do not change the title of a file unless it is absolutely necessary. Users become familiar with titles, and changing them usually lead to confusion. If necessary, create new files for new papers and make cross-references to the files containing earlier related papers.

If there is any doubt about the title of a file, consult the appropriate action officer. Users' views on file titles should always be taken into account.

Where there is need to change the title of a file, it is important to obtain authorisation from the Officer in Charge of the registry before any change is made. In exceptional circumstances when a file title no longer reflects its contents, it should be closed and a new file with the correct title opened.

5.4   Assigning File Reference

The file reference for a file should be constructed in accordance with the file classification system in use in the registry. The classification scheme provides a logical framework for organising files in relation to each other. The coding system is a representation of the classification scheme, in letters and/or numbers, and in accordance with pre-established rules. Whichever system is used, each file must have a unique identifier comprising a multi-part alpha and/or numeric reference code.

5.5   Classifying Personal Files

Under this system there will be two files for each staff member. One file will be a Personal file (designated "PF") which will contain any information as required by the Human Resource Management Manual and the second file would essentially be a Leave Record (designated "LF"). It is recommended that an alpha-numeric system be used, i.e., the files are assigned the first letter of the staff member's surname and the chronological number under the letter, e.g. Management Support Officer - Miss O. Kenneth. Miss Kenneth's file might be numbered PFK5 and LFK5.

"K" refers to the first letter in Miss Kenneth's surname.

Digit 5 says that Miss Kenneth's file is the fifth file opened under letter "K", or she is the fifth person to join the staff of the Department whose surname begins with the letter "K".

"PF" denotes Personal file for Miss Kenneth.
"LF" denotes Leave record for Miss Kenneth

In case the alpha-numeric system is used, Personal files should be classified in alpha-numerical order, for example, Personal File No. K.5 is filed before L.2.The same applies for Leave Files.

Personal Files and Leave Files should generally be in the custody of and dealt with by the Human Resources Division.

SECTION 6

Recording the Existence of a New File

"There is no knowledge that is not power"

(Ralph Waldo Emerson)

Flowchart - Recording the Existence of a New file

File created with appropriate title to reflect content

→

File reference number inserted on file cover

↓

Prepare Index card for newly created file

↓

Record file reference number and title in file register
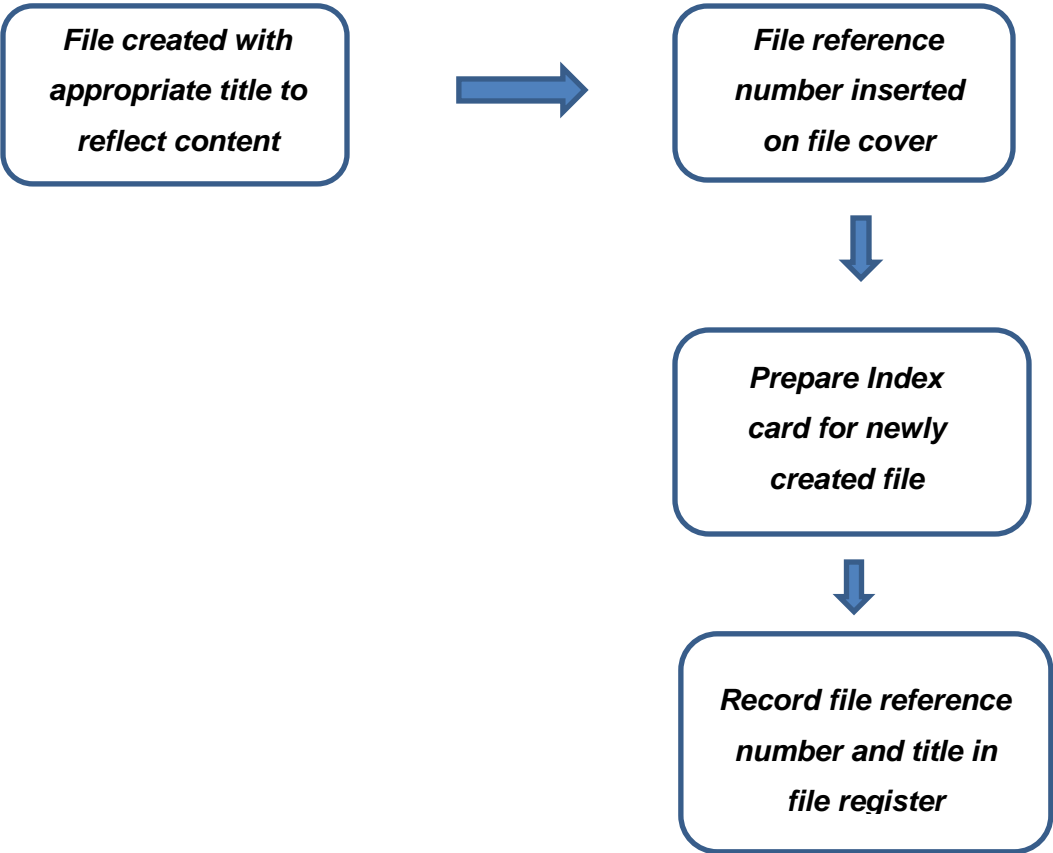
6.1   Establishing Control over New Files

When a new file has been created, its existence must be comprehensively recorded so that it can be managed, tracked and produced whenever it is required.

There are three basic control mechanisms that are required to document each file. If any one of these is omitted, then the registry will not be able to keep track of files and this will prevent action officers from carrying out their work efficiently. The control mechanisms are the movement ladder on file cover, the card index and the transit slip.

6.2   Index Card

Index cards should be prepared for every file opened. They control file movement, as well as identify a file reference.

The Index Card records the routing of the particular file. It gives details of the subject/title of the file, and the volume number(s) as well as all the movement of the file.

See Figure 6.1: Model of an Index Card.

6.3   Some Useful Advice

    (1) No file should leave the registry without the index card having been updated.
    (2) Files should not be replaced in the cabinet unless the index card has been updated.
    (3) Registry staff should not remove files from the registry or pass files to other officers without first notifying the Officer in Charge of the registry.
    (4) No file should be handed over to any officer other than the action officer or officer authorised to handle the file. In case of doubt, registry officers should inform the Head of the Ministry/department.

File No.					
File Title:					
Referred To	**Date**	**Referred To**	**Date**	**Referred To**	**Date**

Figure 6.1: Model of an Index Card

SECTION 7

Controlling File Movement

**"Executives have to start
Understanding that they have certain
Legal and ethical responsibilities
For information under their control"**

(Jim Leeke)

Flowchart – Controlling File Movement

File Index Card

File Audit

Effective File Movement

File Ladder

File Transit Slip
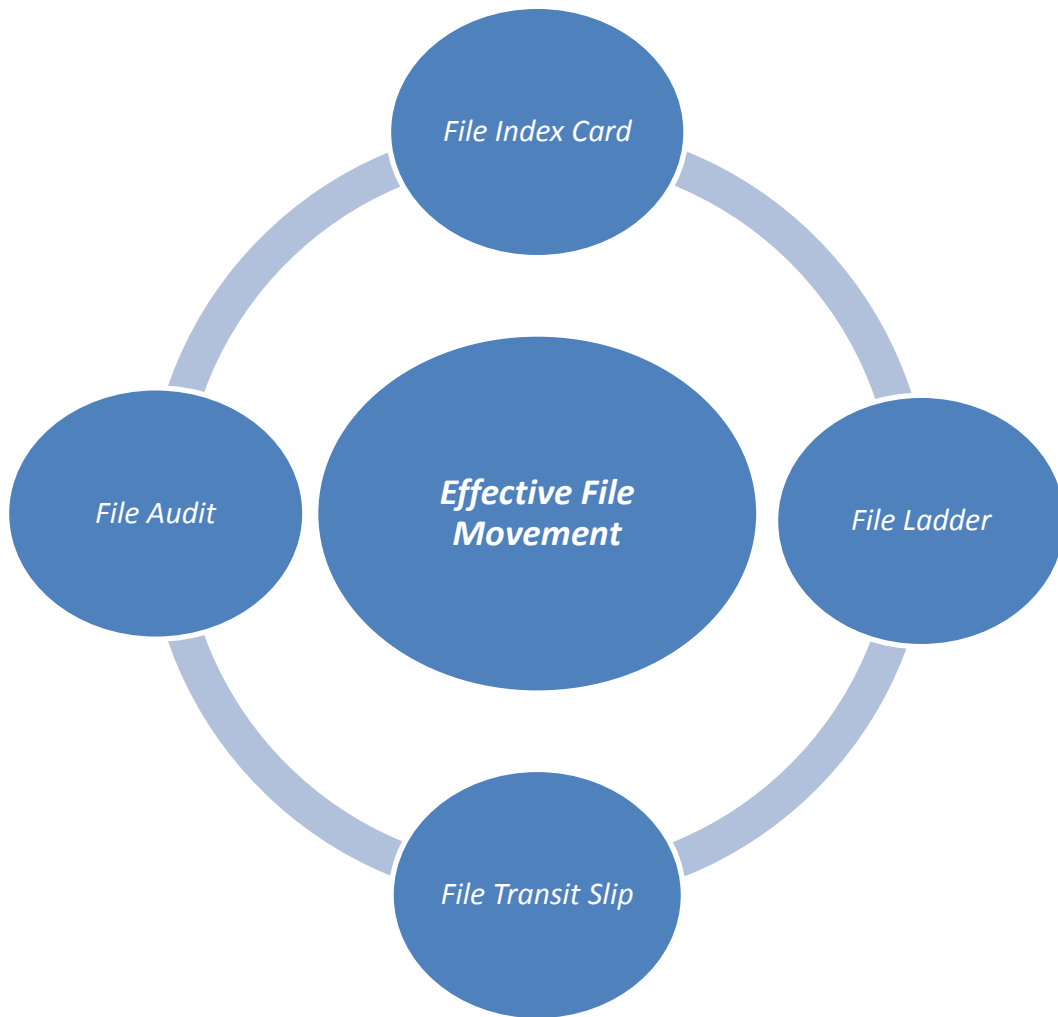
7.1   Recording File Movement

Files are issued to action officers in at least three circumstances:

- A document , when it reaches the registry, is recorded and filed, then the file is passed to the officer;
- A file is to be 'brought up' to the officer *(see Section 8);* and
- The officer requests the file in person or by telephone.

Registry staff must be able to determine the location of every file for which they are responsible. Each time a file moves, this fact must be recorded in the registry. File movements are monitored in a number of ways: on file index cards, on transit ladders that appear on file covers, on file transit slips and through regular file audits.

7.2   File Audit

It may happen that sometimes an officer will pass a file to another officer when he/she has finished using it, without the file's transfer being recorded in the registry. In order to confirm the location of files that are not in the registry's custody, registry staff should carry out a regular file audit of every file (i.e. at least once a month) outside the registry. If no discrepancies are found, the frequency of file audits can be reduced.

On a nominated day, each action officer should be visited by a registry staff who lists on a census sheet the file reference number and subject of all the files held by that officer. The index cards are then checked against the lists and any necessary amendments are made on the index cards. All files not being used by the officer should be returned to the registry immediately.

For a file movement control system to achieve its purpose, the full co-operation of officers is essential.

7.3   Using the File Index Cards

Each time a file is issued to a user, for whatever reason and for however short a period, this fact must be noted by registry staff in the 'Referred To' and 'Date Sent' boxes on the relevant index card. The date when the file is returned to the registry must also be recorded.

7.4   File Transit Slip

Files are frequently passed backwards and forwards between officers for short periods as a part of everyday business. Short-term file movements, for example, passing a file to another officer to read a document on the file, need not be recorded in the registry.

However, as a general rule, when an officer completes an action on a file and passes the file to another officer, even if only temporarily, the action officer should inform the registry.

An officer wishing to pass a file directly to another officer must complete a file transit slip and send it immediately or by 3.30 p.m at latest (daily) to the registry. As soon as registry staff receive the file transit slip, the information must be recorded on the index card.

The Officer-in-Charge of the registry should ensure that action officers always have an adequate supply of file transit slips. *See Figure 7.1: File Transit Slip*

7.5   File Ladder

Each file movement must be recorded on the ladder on the front of the file cover. This records the same information that appears on the file index card. The file ladders provide a record of all officers who have handled any particular file. When a ladder is full, it must be replaced with a new blank ladder.

The cover should be changed and part of the previous ladder containing the latest movement must be affixed on the verso of the file cover.

7.6   Despatching Files outside the Department

Files should not be sent to other departments unless it is absolutely necessary. The approval of the Head of Department should be sought first. Whenever files are to be sent outside the department, the routing section on the front cover of the file and index card should be completed. This movement (outgoing/return) should be recorded in a book designated for this purpose. The reference number, subject of the file, date of despatch, time of despatch, name (in full) of officer at receiving end and his/her signature together with the time and date of receipt should be indicated in the book.

7.7   Recording the Return of Files to the Registry Custody

The return of a file to the registry's custody is a 'file movement' and must always be fully recorded on the file's ladder and on the index card.

7.8 Requests for Files

All requests for files from the registry should be attended to as early as possible. File movement should be recorded before issue. In the case of a request for a file that is in use elsewhere, registry staff should locate the file and ask the officer requiring the file for instructions.

7.9 Missing Files

It is deplorable that files should ever be allowed to get lost and there are altogether too many alleged to be missing.

To reduce the possibilities of files being lost, the following steps are to be taken:

(a) careful recording of the movement of every file, either internally or externally;

(b) regular follow-up to ensure that files circulated are being returned e.g once a month, the Officer in Charge should show each action officer a list of all the files which are on the latter's schedule which have been out for one month or more and seek instructions as to recall etc…;

(c) once a month, a list of files with each action officer should be drawn up and checked against a list of files recorded as marked out to those officers. Action should be taken immediately thereafter to resolve any discrepancies; and

(d) a list of all files for which registry cannot account should be drawn up. A central record should be kept of all files reported missing – in other words, a register of "Missing Files" should be opened and kept in the safe custody and responsibility of the Officer in Charge of the registry.

Registry staff /action officer should be careful when handling files and any loss of any official document may lead to a breach of security.

7.10 Tracing Missing Files

If a file is missing, the registry must proceed as follows:

• The Officer in Charge of the registry must contact the action officer to whom the file was last recorded in the file's transit index cards and ask him/ her to trace it, i.e, the action officer may indicate to whom the file may have been sent without the registry having been informed of.

• If this fails or is impracticable, the Officer in Charge of the registry must circulate a note to all officers in the Ministry/Department asking them to check whether the file is in their possession.

- If the file still cannot be found, a special search must be initiated by an officer with specific authority to ensure that the search is effective. The search must be repeated several times if necessary.
- As soon as the registry staff learns that a file is missing and may be lost, they must write the words 'missing file' on the relevant index card.

As soon as any file is found to be missing, the registry staff concerned should submit a report which should cover the following points to the Officer in Charge of the registry:

(a) file reference and title;

(b) when found to be missing and by whom;

(c) last recorded movement; and

(d) steps taken to trace.

The Officer-in-Charge of the registry will consider what further action might be taken to trace the file. If and when he/she is satisfied that no further action is practicable, he/she should submit the report to the designated Security Officer or other senior officer in charge of Administration through the action Officers who should in due course consider whether they agree with the conclusions of the Officer in Charge of the registry.

A list of missing files should be maintained by the Officer in Charge, periodic searches carried out and a record kept of the areas searched.

7.11   Temporary Files

If action on a topic covered by a missing file continues, open a temporary file. This should only be done if absolutely necessary.

A temporary file may also be opened when the main file is with an officer and letters requiring action in the same file remain unattended.

A temporary file is opened in the same way as a normal file. It is given the same reference number as the missing file and its existence is recorded in the normal way. If available, temporary file covers should be used.

If temporary file covers are unavailable, a standard file cover should be used but must be boldly marked with the word 'TEMPORARY'. All relevant record sheets should be similarly marked *(See Section 6)*. No temporary file should be opened without the authorisation of the Officer in Charge of the registry.

To incorporate a temporary file into a main file:

- Remove ALL contents from the temporary file jacket and place in main file. Insert as last folio/minute in the main file;
- Note, in the margin of the minute sheet, the date the merging was effected; and
- Part of the movement of the file on the cover of the Temporary file should be affixed on the verso of the front cover of the main file with a note of the date of the merging.

Note:

A temporary file needs not necessarily be merged with a main file. The bulkiness of both files should be considered for merging.

DAILY TRANSIT SLIP

From: …………………………………………………………………………………………

To: Officer-in-Charge, Registry

Date of Despatch of Files: ………………………………………………………..

FILE NUMBER	SENT TO	TIME SENT

Signature: …………………………………….

Name (in full): …………………………….

Designation: …………………………………..

Figure 7.1: File Transit Slip

SECTION 8

Handling Files Returned
To The Registry
For Disposal

**"We are drowning in information
but starved for knowledge"**

(John Naisbitt)

Flowchart - Handling Files Returned To The Registry For Disposal

```
                    ┌─────────────────────┐
                    │  File Returned to   │
                    │      Registry       │
                    └─────────────────────┘
           ┌────────────────┴─────────────────┐
           ▼                                   ▼
  ┌─────────────────┐                ┌─────────────────────┐
  │   File to be    │                │  Put Away (P.A)     │
  │  "Bring Up"     │                │  sign indicated     │
  │      B.U        │                │     on file         │
  └─────────────────┘                └─────────────────────┘
           │                                   │
           ▼                                   ▼
  ┌────────────────────────┐        ┌─────────────────────┐
  │ Record file reference  │        │   Check if no action│
  │ number and title on    │        │     is pending      │
  │ appropriate date in    │        │                     │
  │    "B.U." diary        │        └─────────────────────┘
  └────────────────────────┘                   │
           │                                    ▼
           ▼                        ┌───────────────────────────┐
  ┌────────────────────────┐        │ If no further action      │
  │   Place "B.U" file in  │        │ required, dispose of file │
  │   separate cabinet     │        └───────────────────────────┘
  └────────────────────────┘
```
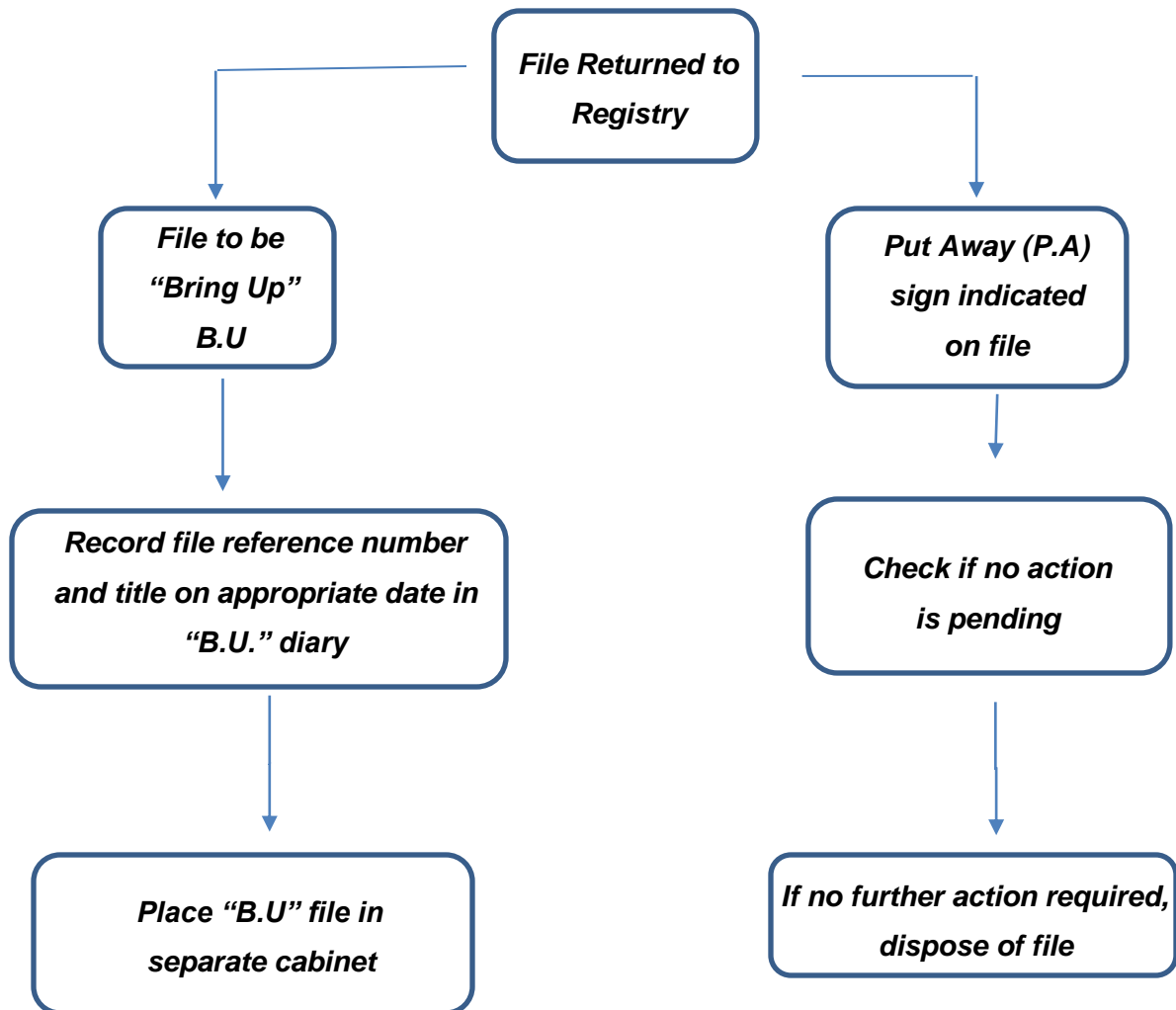
8.1   Returning Files to the Registry

Action officers should return files to the Registry as soon as they are finished with them. Registry staff should check the file for any instructions. For example, if 'bring-up' action (B.U) is required, this must be recorded in the bring-up diary *(see below)*.In any case, registry staff should act as per instructions indicated in the margin of the minute sheet contained in the file.

If there is no outstanding instruction for action, the file must be put away (P.A) as instructed in the margin of the minute sheet.

No file should be left out of filing cabinets in the registry at the end of the day, as far as practicable.

8.2   Bring-up (B.U) System

This is an important aspect of registry work as it helps to ensure that files on which action has to be taken at a later stage are not lost sight of. Certain documents/returns have to be submitted by a fixed date according to law, and failure to comply with such date limit may entail embarrassing situations.

The Bring-up (B.U) system enables an action officer to request the registry to re-submit a file on the day that he/she needs it. File users should be encouraged to take advantage of this service when action must be temporarily suspended. The bring-up system eliminates the need for action officers to hold on to files for long periods if they are not working on them and also helps to keep offices uncluttered. The system must be reliable if users are to trust it.

The bring-up system is one of the prime indicators of the efficiency of a registry and of the trust and reliance placed on it by action officers. Its successful and efficient use prevents many of the problems encountered by registry staff, such as prolonged retention of files by users and the consequent difficulties in locating files or the need to spend excessive amount of time carrying out file audits and searches.

The most effective method of maintaining bring-up records is to use a diary with a space for each day. File users will indicate the need for, and details of, any 'bring-up' (B.U) in writing on the minute sheet. Registry staff should record this request in the 'Bring-up' diary under the appropriate date. The Bring-up (B.U) dates should be simultaneously posted on the respective index cards. Bring-up (B.U) files may be put in specific filing cabinets.

The Bring-up (B.U) diary may indicate that ten files have to be Bring-up (B.U). on a date whereas only nine files may be seen in the cabinet. The diary will thus help the registry staff to identify which file is missing.

Daily in the morning, the registry staff must do the following:
- check the' Bring-up' diary for the day's entries;
- extract each file due for Bring-up (B.U);
- record on the file cover ladder and the index card the file movement on the same day; and
- forward file to the action officer.

If a file due for Bring-up (B.U) is not in the registry, then the registry staff must locate it, using the index cards. If the file is already being used by the officer who has requested it, or by another officer, it is the responsibility of the Officer-in-Charge of the registry/registry staff to notify the officer or officers and coordinate action between them.

8.3   Put Away (P.A) System

It is important that the Put Away (P.A) system be correctly understood. The put away (P.A) sign appearing in a file is operative only in regard to the officer who has written the put away (P.A) sign but not to the officers who may have dealt with the file previously. It is therefore necessary for the Officer in Charge of the registry/registry staff to check whether there are previous items on the file on which action is still pending. If such check reveals that every action has been taken, the registry staff will then proceed with the disposal of the file.

P.A / B.U signed should be inserted, dated and initialed by the action officer in the right hand side of the margin on the minute sheet.

8.4   Disposal of file

Before disposing a file, the Officer-in-Charge of the registry/registry staff should take the following action as appropriate:
(i)   If the file cover is damaged, it should be repaired or changed as appropriate. If a file cover is replaced, the last two entries on the previous file cover should be transcribed in the ladder of the new file cover. Part of the previous file cover (with last entries/movement) should be affixed on the verso of the front cover of the new file.
(ii)   If the file is a temporary one, it should be incorporated in the main file.
(*See Section 7 Para 7.10*)
(iii)   All drafts on which action has been taken should be removed, on consultation with the action officer provided such drafts have not already been recorded as folios in the file.

However, it is the responsibility of the action officer to indicate how the file should be disposed of. Such indication (with initials and dates) should be inserted in the margin of the minute sheet.

SECTION 9

Closing Files and Using the Records Centre

"You don't just wait for information

to come to you"

(Robert Waterman)

Flowchart – Closing Files and Using the Record Centre

File becomes too bulky	→	Open new volume of file

Create index card for file new volume

Mark previous volume as "CLOSED"

Store previous volume of file separately/ in records centre
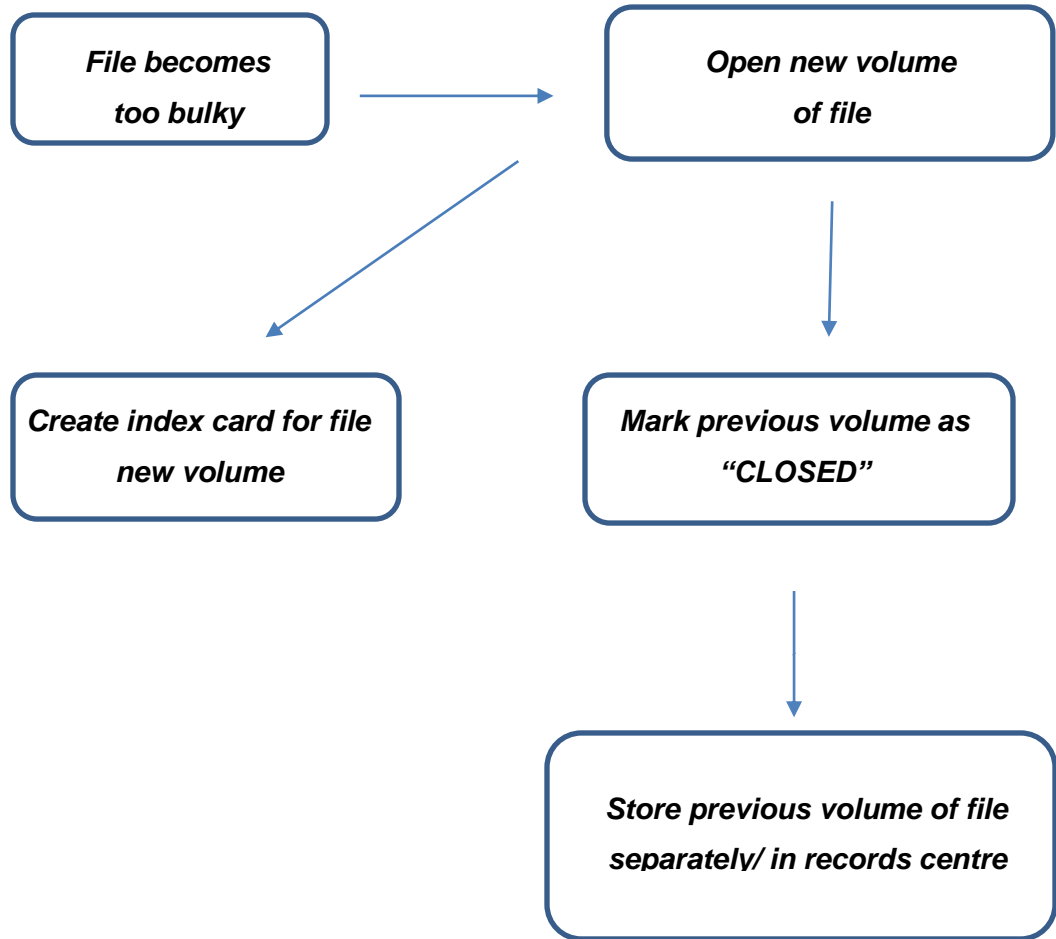
9.1 Closing Files/Opening of New Volume of File

The registry staff should ensure that a new volume is opened if the file becomes bulky and the volume number (for instance Volume 2, Volume 3 as the case may be) is properly inserted on the file cover.

It is generally said that a file should not contain more than 100 folios. This is but a rough indication because if after 50 folios, a file becomes bulky, a new volume should be opened; on the other hand, a file may still not be bulky after 125 folios.

An appropriate index card should accordingly be made for the new volume of the file.

As a general rule, when a new volume of the same file is opened, the numbering of folios and minutes must be consecutive e.g. volume 2 should not start with folio (1) but with the number next after the last number of the previous volume.

However, the first folio number on the new volume may be numbered folio (1) in the event that no further action is required in the previous volume, that is all required action on the previous volume have already been taken. Any correspondence issued from the new volume should then necessarily bear the volume number for ease of reference and for filing purposes. This procedure should be followed especially when reference may still have to be made on the file previous volume.

The method of closing a file is to write the word 'CLOSED' diagonally in bold letters across the front cover, together with the date the file was closed. The file index card must be marked to show that the file has been closed. The date when this was done must also be recorded.

All closed files/volumes should be stored in an area assigned for this purpose (Records Centre). These files should be properly stored and adequately labelled in order to facilitate prompt retrieval of information as and when required.

The registry should also maintain a Closed Files Index. This index allows for the quick retrieval of closed files and also provides information on the volumes in the Records Centre.

9.2   Custody of Closed Files

Although no new action may be taken on a closed file, and no new papers added, closed files should be kept available in the registry (or in a nearby file store) for a period of time so that users may easily refer to them. If action officers request closed files, the file movement should be recorded on the index card. The retention period of closed files should be in accordance with the requirement/nature of activities of the organisation and may differ from one organisation to another. At the end of this specified period, closed files are disposed of according to Archives procedures. Registries are responsible for seeing that these actions are carried out.

9.3   Weeding Procedures

Weeding of dead files should be considered as a routine operation. Without weeding, storage as well as retrieval problems arise.

To remedy this, regular, e.g annual weeding of files should be carried out jointly by the Officer in Charge of the registry and Management.

SECTION 10

Flagging of Files & Task and

Tasks Elements of Registry Work

"If you don't give people information,

they'll make up something

to fill the void"

(Carla O'Dell)

Flowchart - Flagging of Files &Task and Tasks Elements of Registry Work

Urgent

Draft

Most Immediate

Flagging of Files

For Signature

Today

For Information

10.1   Flagging of Files

The conduct of business at all levels is greatly eased by the correct use of flags which show at a glance the type of action required by the recipient or the urgency of the matter.

Flags should be used without fail whenever appropriate, either singly or in combination – e.g. a file containing an urgent draft should be flagged both "Urgent" and "Draft", so that the flagging reads vertically

Urgent
Draft

The excessive use of the flags "*Most Immediate*", "*Today*" and "*Urgent*" defeats its purposes. These flags should therefore be used sparingly.

The flag "*For Signature*" should be used on all files containing any form of document for signature or initially either by the officer to whom it is submitted or by the latter's superior.

Flags should always be pinned inside the front cover of the files and in such a way that they are visible even when files are placed one over the other.The points of pins should *always* be buried.Nowadays, the stapler is commonly being used for this purpose.

It is the responsibility of each officer submitting a file to see that it is flagged as appropriate.

A flag should not be removed until action on the matter which gave rise to the use of the flag has been completed.

It is the duty of the action officer to remove the flag from the file when action has already been taken before returning same to the registry.

10.2 Task and Task Elements in Registry work

Numerous tasks are involved in registry work. Each task has numerous task elements.

A detailed list of common registry activities is at Appendix I.

SECTION 11

Storing Files

**"To improve communication practices
you have to break the back
of the bureaucracy you've established"**

(Michael Albrecht)

Flowchart - Storing Files

```
                        ┌─────────────┐
                        │ Registered  │
                        │    files    │
                        └─────────────┘
              ↙                              ↘
    ┌─────────────────┐            ┌─────────────────┐
    │    Storing      │            │  Storing closed │
    │  current files  │            │     files       │
    └─────────────────┘            └─────────────────┘
            │                              │
            ↓                              ↓
    ┌─────────────────────┐      ┌─────────────────────┐
    │ Secure and well     │      │ Draw list of closed │
    │ maintained          │      │ files               │
    │ accommodation       │      │                     │
    └─────────────────────┘      └─────────────────────┘
            │                              │
            ↓                              ↓
    ┌─────────────────────┐      ┌─────────────────────┐
    │ Sufficient and      │      │ Mark index cards    │
    │ appropriate         │      │                     │
    │ equipment           │      │                     │
    └─────────────────────┘      └─────────────────────┘
            │                              │
            ↓                              ↓
    ┌─────────────────────┐      ┌─────────────────────┐
    │ Adequate space in   │      │ Shift closed files  │
    │ cabinets/ on shelves│      │ to separate location│
    └─────────────────────┘      └─────────────────────┘
            │                              │
            ↓                              ↓
    ┌─────────────────────┐      ┌─────────────────────┐
    │ Proper labeling of  │      │ Proper labeling of  │
    │ drawers/ shelves    │      │ drawers/shelves     │
    └─────────────────────┘      └─────────────────────┘
```
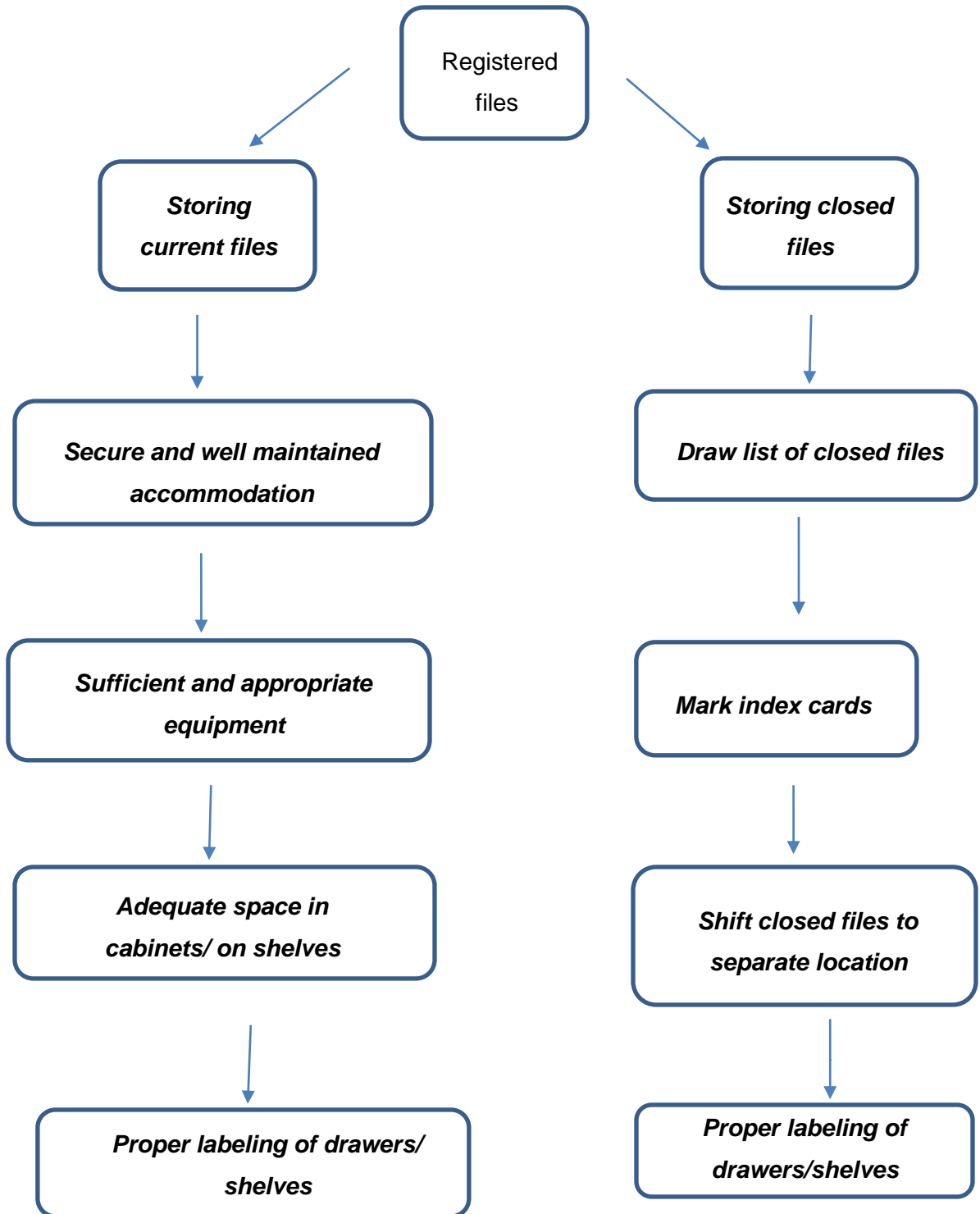
11.1 *Storing Current Files*

Registries should be located conveniently for the action officers they serve. In general, they should be separate from other administrative functions such as typing and should be of sufficient size to house the registry staffs who work in them and the records for which they are responsible. The accommodation must be secure and well maintained (*see Section 12*) and must be of strong enough construction to bear the weight of the files.

Sufficient and appropriate equipment should be provided for the safe handling and secure storage of records within the registry. Shelves and cabinet drawers which hold current records should be clearly labelled to indicate the file number ranges.

Adequate space should be left on shelves or in drawers to allow for easy withdrawal and replacement of files. As more new files are opened, the contents of shelves and drawers may have to be rearranged to allow for the expansion. When this is done, labels will have to be changed.

An adequate stock of file covers, forms, registers for control documentation and other stationery should be maintained.

11.2 Storing Closed Files

Files which have recently been closed may continue to be stored in the registry for an appropriate period so that they are readily available when required. However, closed files should always be stored separately, preferably in different cupboards or cabinets or on separate shelves, to avoid confusion of closed with current files. Again, shelves and cabinet drawers should be clearly labelled, and labelling must be kept up-to-date.

In case of space availability, storing of closed files may be considered even in a separate room.

SECTION 12

Security

Flowchart - Security

Controlled access

Custody of official seal

Grading of files

Security

Use of fax machine

Custody of confidential files

Use of photocopying machine

12.1 Security

All registry staff should be familiar with the Official Secrets Act and the Government Security Instructions.

A Supervising Officer may designate a senior officer (not below the rank of Deputy Permanent Secretary) from among his staff to act as Security Officer for maintaining a proper standard of security in his/her Ministry/Department.

Any correspondence received at the level of the Ministry/Department or any document emanating from any official source whether or not classified is the property of the Government of Mauritius and as such is a privileged document. Registry staff should ensure that no such information and material come to the knowledge of any unauthorised person.

By virtue of their position, registry staff may have access to restricted information. No officer shall -
(i)   communicate the intentions of the Government or of any Minister;
(ii)   disclose that any Minister proposes to adopt any particular course of action or that any particular legislation will be introduced; and
(iii)   disclose to any person outside the Public Service/unauthorised person(s) that any matter has been or is to be put before Cabinet.

No registry staff shall discuss official matters in any place where he/she may be overheard by any unauthorised person.

Irresponsible talk and careless handling of official papers which might lead to a breach of security shall be reported at once to the Security Officer of the Ministry/Department.

12.2 Security of records

The following security precautions must be in place at all times:

- Ensure that the entrance to the registry (or any other place where files are stored) is strictly controlled. Cabinets containing confidential records must be kept locked. The outer door to the registry must always be locked when no member of the registry staff is present, and ground floor windows should have security grilles or bars. There should be a secure place where keys can be stored so that members of staff do not take them home.

- Ensure that files that may need to be carried from one department to another are placed in envelopes.

- Measures should be taken to prevent and control outbreaks of fire. Do not allow smoking in any files storage areas. Adequate numbers of fire extinguishers must be provided and maintained. Electrical appliances should be switched off at the end of the day. Regular fire drills should be held.

- An emergency plan should be in place and tested regularly.

12.3 Grading of Files

(i)   *Opening of Confidential/Secret/Top Secret Files*

The authority of an officer not below the substantive rank of Deputy Permanent Secretary or equivalent grade must, in general, be obtained before any document is graded 'CONFIDENTIAL'.

In relation to 'SECRET' documents, the level of authority should be that of Permanent Secretary or equivalent grade.

Only the Supervising Officer/Senior Chief Executive may grade a document 'TOP SECRET'.

(ii)   *Down-grading/declassification of files*

Departmental Security Officers should ensure that all files containing Cabinet papers are reviewed at least once every three months. In many cases, it will be found that both the original Cabinet papers and files containing these can be down-graded or possibly even declassified altogether.

The security classification of a document shall be clearly indicated at the centre of the top and/or bottom of every page, preferably in red.

12.4 Custody of Confidential Files

The Officer in Charge of the registry should, as far as practicable, ensure that confidential files are returned to the confidential registry at the end of each day.

Confidential files should be put under lock at the end of the day by the registry staff or action officer in case he/she has retained any of such file .No confidential file should be left on the desk of officers on closure of office or when the office is unattended.

12.5 Use of Photocopying Machine

In order to ensure that no unauthorised person(s) has/have access to the document(s), action officers or registry staff who may be required to use the photocopying machine for authorised reproduction of document(s) should ensure that:

(i)   only the number of required copies are made; and
(ii)   the original copy of the document(s) to be reproduced is/are retrieved from the photocopying machine.

12.6 Use of Fax Machine

When required to use a fax machine, registry staff should:

- ensure that the fax number of the recipient is correct. A phone call to the recipient is recommended with a view to confirm the fax number. Fax Number should   preferably be made available by the action officer;
- confirm from the action officer that the document(s) to be faxed is/are the correct ones;
- confirm by phone, that the recipient has received the document(s) once same has/have been sent; and
- ensure that the original copy of the document(s) is/are removed from the fax machine.

With a view to ensure that the document reaches the right destination/recipient, it is recommended to proceed as follows:
(i)   key in fax number of recipient;
(ii)   confirm that the fax number has correctly been keyed in;
(iii)   place document on fax machine;
(iv)   press start/fax button;
(v)   generate the report (if such an option is available) to confirm that the document has been sent on the correct number; and
(vi)   confirm by phone that the recipient has received the faxed document.

12.7 Custody of Official Seal

Registry staffs are required, in the performance of their duties to use official seal. Official Seal include any seal, stamp of or belonging to or used, made or provided by any Government department.

Registry staff should ensure the safe custody of the official seals and ensure that these are kept under lock when not in use.

Any loss of the official seal may lead to a breach of security and must immediately be reported to the Security Officer.

SECTION 13

Computerising the Registry

"A computer won't clean up

the errors in your Manual of Procedure"

(Sheila M. Eby)

Flowchart – Computerising the Registry

No use of
index card

No use of
incoming mail
register

Quicker
response to
query

Computerisation
Benefits

No use of
"B.U" diary

Easy search of
mails

Quick location
of files
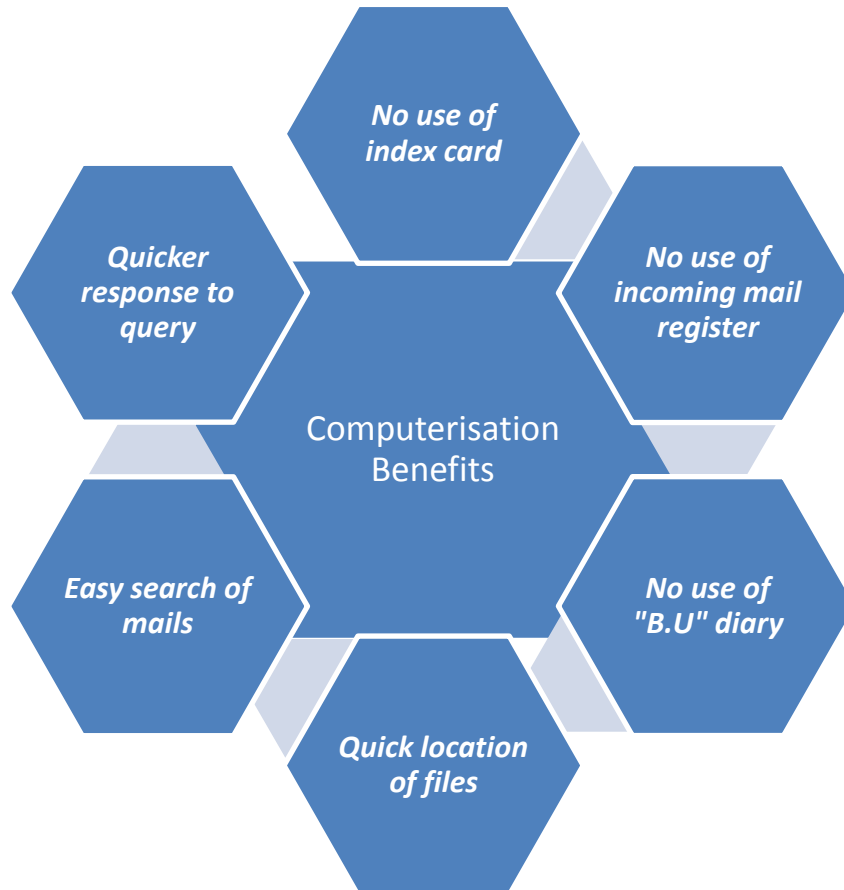
13.1 Computerising the Registry

The registry as indicated in previous sections plays a central role in any Ministry/Department and it largely contributes in the provision of an effective and efficient service. Computerisation has proved to be one of the means for rendering the registry more efficient. The benefits could be more apparent in big Ministries/Departments where the volume of transaction is large.

13.2 Advantages of Computerising the Registry

Some of the benefits of computerising the registry are as follows:
- No use of index cards for file movements.
- No use of incoming mail registers.
- No use of diary for Bring-up (B.U) files.
- Quick location of files, whenever a terminal is available.
- Easy search for incoming and outgoing mails.
- Quicker filing of mail (No use for looking of file titles in file index and location of file in index cards).
- Merging of temporary files – previous file reference is automatically changed to new file reference.
- Filing of incoming mail can be monitored.
- Information is readily available regarding all sorts of query pertaining to a particular letter.
- Location and action taken on a letter is easily available with only the reference or any particular of the letter.
- Recording of Policy decisions, legal advice, and Parliamentary Questions.

The decision to computerise the registry should rest with Management.

13.3 Work Processes/Registry Principles at the Computerised Registry

Similar registry principles detailed in the different sections of the Manual should apply in the case where a registry is computerised- computerisation being an automated system for the movement of file/document.

SECTION 14

Maintaining the System

"The system treats what is reported to it as real:

the outside reality is immaterial"

(Melvin Sykes)

Flowchart - Maintaining the System

Maintaining the system

- Regular weeding of files
- No eating & drinking in registry
- No smoking in registry
- Regular cleaning
- Regular pest control
- Maintainance of files
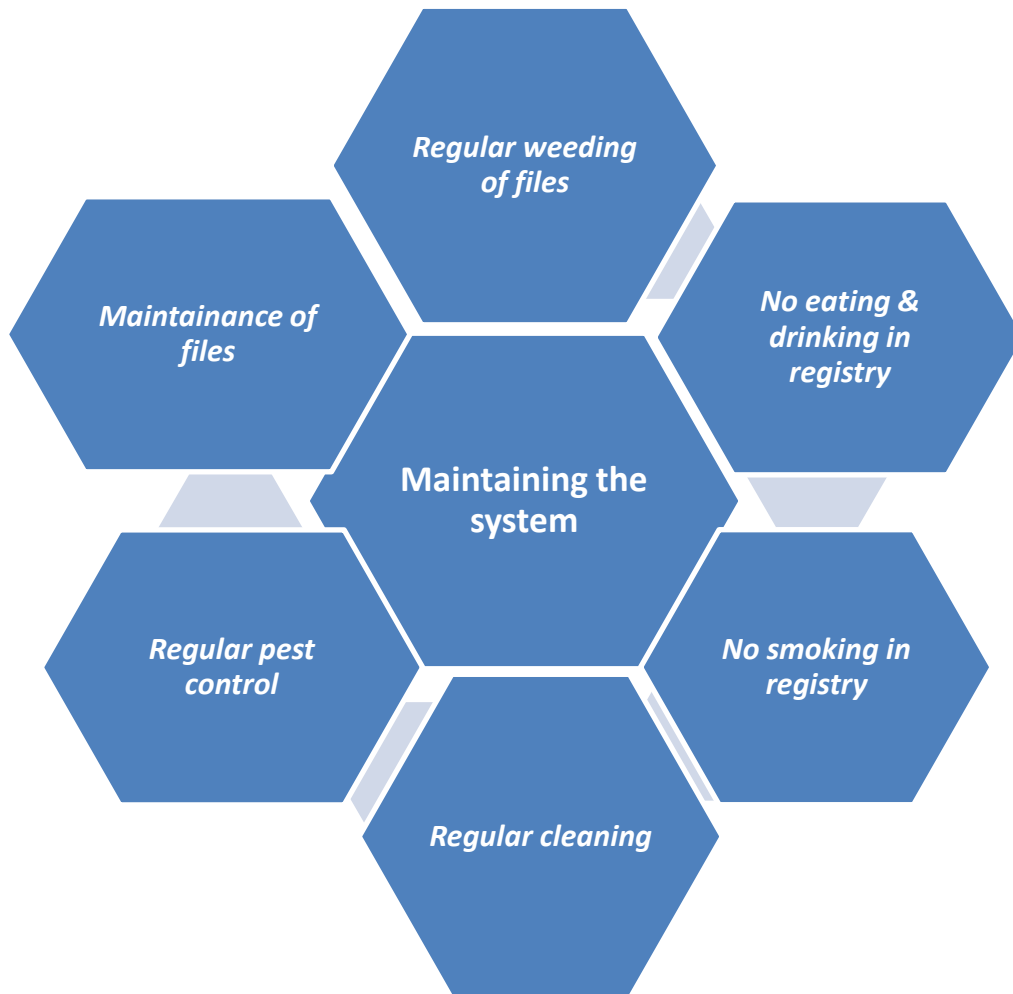
14.1 Good Housekeeping

- Eating and drinking in the registry should not be allowed. Spilt drinks and food can cause serious damage to records.
- No smoking should be allowed in the registry or in any other file storage areas in view of fire hazard.
- The registry should be cleaned regularly and waste paper baskets emptied daily.
- Pest control should be regularly carried out.

14.2 Changing Files Covers

When a file transit ladder is full, the file cover must be changed. As indicated in *Section 8*, part of the previous file cover (with last entries/movement) should be affixed on the verso of the front cover of the new file cover.

When a file cover has been badly damaged, it may be necessary to provide a new cover. If this is done, the front page of the old file cover must not be destroyed or thrown away but part of it will be kept. The same step as indicated in the previous paragraph should be followed.

14.3   Symptoms of Difficulties in the Registry

The registry and its procedures need attention when:

- mail folders take too long to circulate;
- papers are put on the wrong files;
- there is lack of user trust because papers are not readily available;
- action officers keep files and documents in their own rooms, thus making information unavailable;
- action officers send files to the registry only when they need space in their offices;
- the registry has a filing or indexing backlog;
- files become so thick that covers and contents are damaged;
- the registry staff hide files/incoming correspondence or falsify records;
- there is a backlog of inactive papers in the registry that should have been transferred to the Records Centre; and
- the registry becomes untidy.

Section 9 may assist in rectifying some of the above problems.

14.4   Reviewing the Registry and its Procedures

There are several reasons why the registry or its procedures may need overhauling:

- activities have increased and expansion is therefore required;
- new functions have been assigned to the organisation;
- functions have been withdrawn from the organisation;
- there is a reorganisation of the area served by the registry; and
- the present system is ineffective.

PART 1

Computerized
Registry System (CRS)

Registry Manual

by

State Informatics Ltd (SIL)
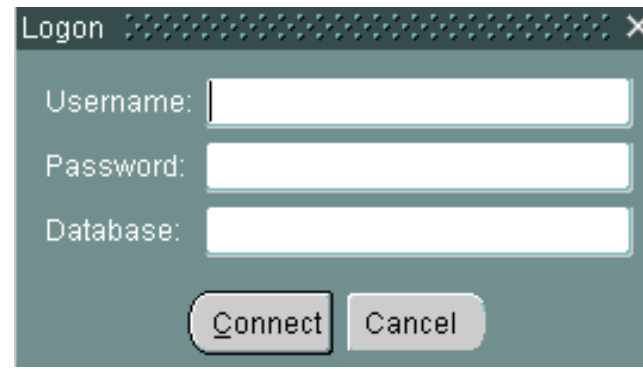
Table of Contents

1 Log - In to the application

1.1   Database Login

1.2   Registry Login

Upon successful database login, the Registry Login screen is displayed. Specify username and password. This second authentication is necessary to validate which registry the user has accessed or logged to.

2 THE REGISTRY SYSTEM

2.1   Main Menu

The main menu consists of the following menu options:

- References
- File Indexes
- Incoming Mail
- Outgoing Mail
- Report
- Change Password
- Exit
- Window

2.2 The Reference Men

2.2.1 Maintain Schedule Officers

Steps

1. **Adding New officer**
   - ➢ Input username and Surname of Officer. These are mandatory fields. Other name and position fields are optional, that is the field can be blank.
   - ➢ Select the Section/Unit Code from List of Values
   - ➢ The 'Active' option is used to allow the user to be active i.e. the user can be retrieved from List of Values.
   - ➢ Save Transaction
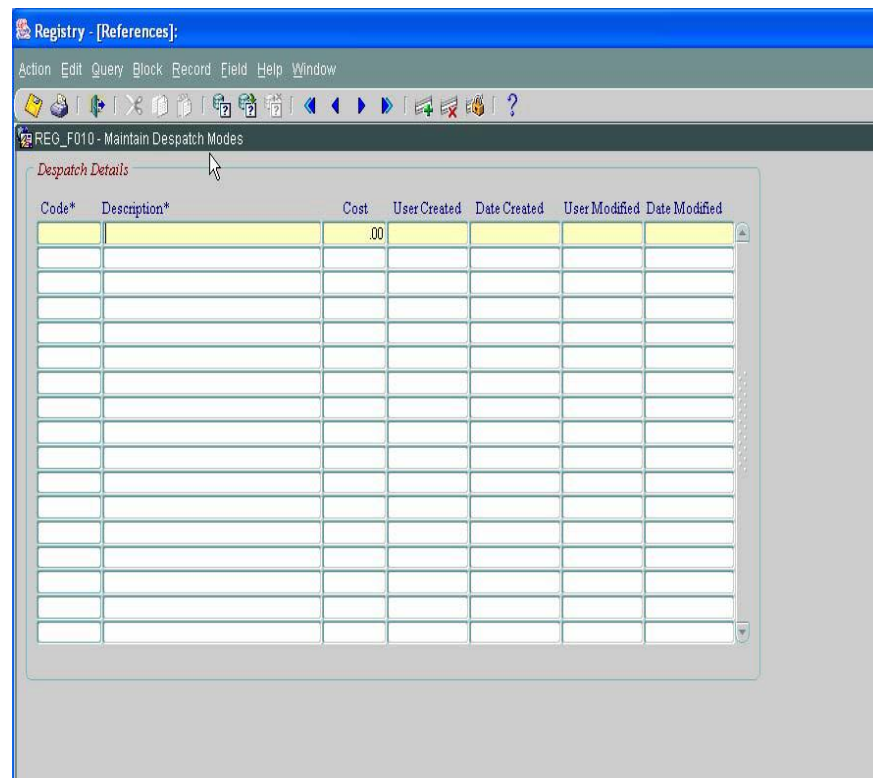
2. **Update officer details**
   - ➢ To query a record, enter Query
   - ➢ Search for officer code to be updated
   - ➢ Execute Query
   - ➢ Modify the data. NOTE: Code cannot be modified

3. **Replacement details for Officer**
   - ➢ Query Officer for whom there will be a replacement officer (for example, an officer is on leave and another officer is going to replace him)
   - ➢ Check in the field replacement and set the flag to 'Yes'
   - ➢ Input the Officer Name
   - ➢ Specify the period, From Date and End Date for which the officer will be replaced
   - ➢ Save Transaction.

2.2.2   Maintain Despatch Modes
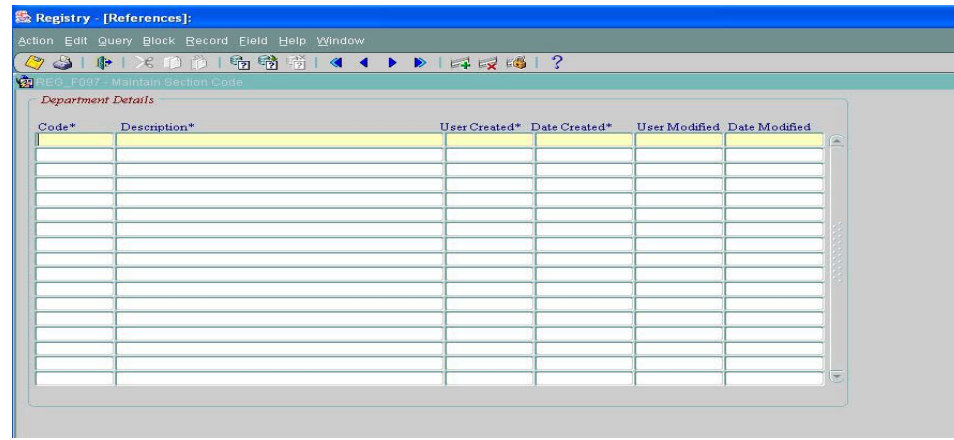
Steps

➢ Input the despatch mode description
➢ Cost for despatch mode is optional
➢ Save transaction
➢ To modify the existing despatch modes, enter query to view all the despatch modes recorded and then modify the appropriate description or cost. It should be noted that 'Code' generated for each mode cannot be modified or deleted at this level.

2.2.3   Maintain Section Code
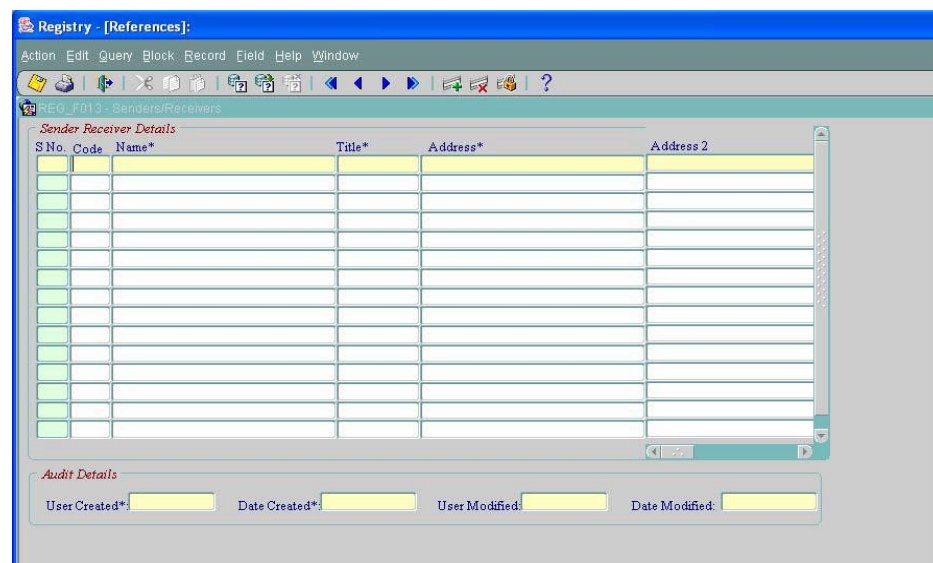
Steps

➢ Input Unique Section Code (4 Characters). Example, 'FIN' for finance Section.
➢ Input Unique Section description (60 Characters)
➢ Save Transaction

2.2.4   Maintain Senders and Receivers

Steps

1. Create new sender/receiver
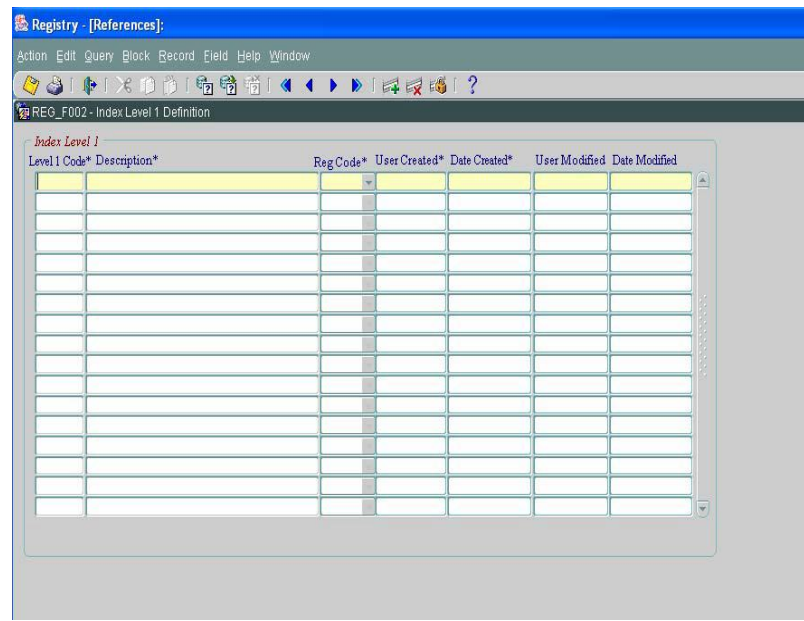
➢ If in a Ministry, a common code is used for a particular ministry, example 'MCSA' for Ministry of Civil Service Affairs' the field 'Code' can be used to record this data.

➢ Enter all other information available for Senders/Receivers. All mandatory fields must be entered and optional fields can be left null.

➢ Save transaction. A unique Sender/Receiver Code is generated by the system

2. Update sender/receiver detail

➢ Query the sender/receiver to be updated

➢ Modify details (Code cannot be modified)

➢ Save transaction. The user modified and date modified is updated

2.2.5   Index Level 1 Definition

NOTE: Same procedures apply when using functions Index Level 2 to 5.

Steps

➢ Input Unique Index Level 1Code (5 Characters)
➢ Input Unique Index Level 1 description (100 Characters)
➢ Save Transaction.

3 File Index Menu

First of all, Files have to be created using the option 'Creation of File Index'. To create a valid file, the file must have a minimum of 3 levels of indexing. The first three levels are mandatory and Level 4 and Level 5 are optional.

The other functions in this Module are: Connected Files, Merging of files, Movement of files, Receive file in registry, Query Files and so on as displayed below.
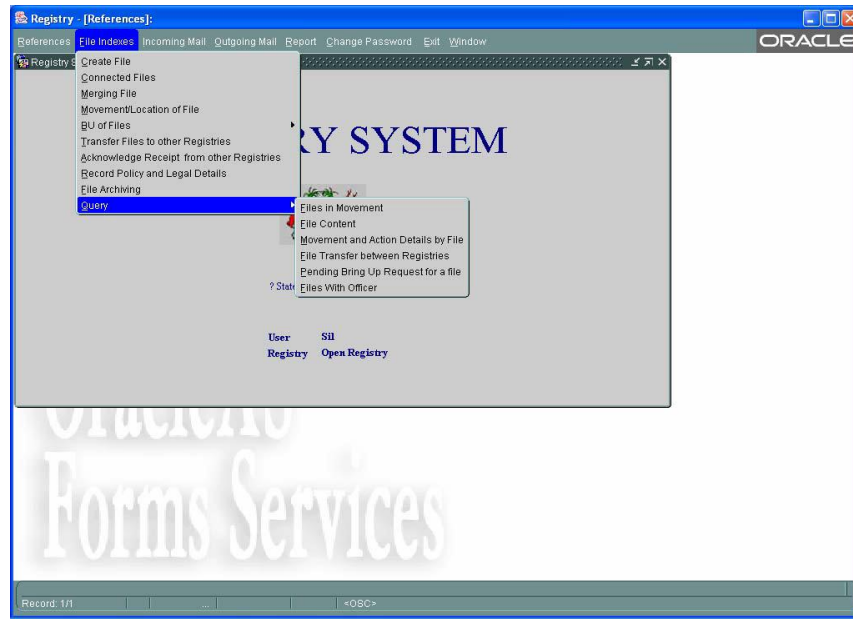
3.1 Create File
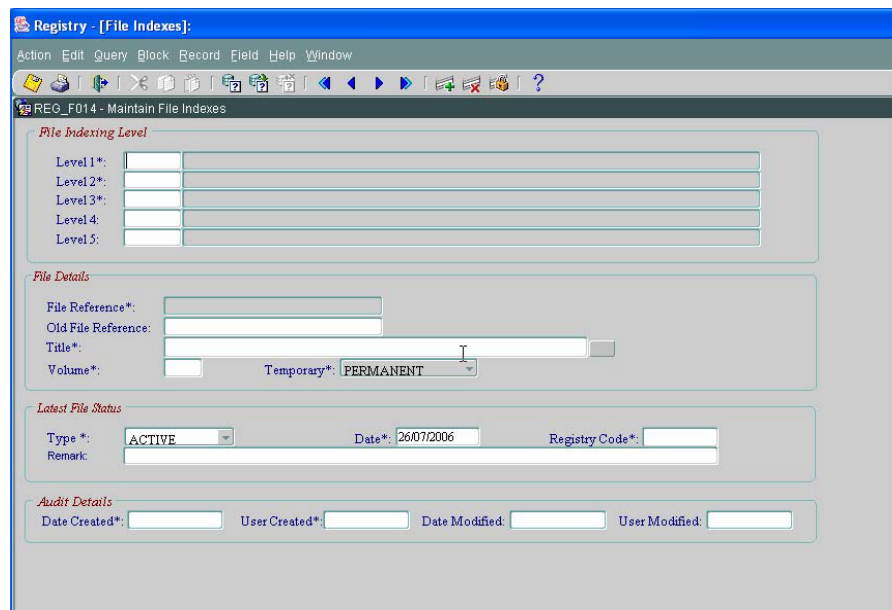
Prerequisites

➢ Valid Index level 1 to Index level 5 definition

Steps

➢ Select index Levels 1 to 5 from List of values available for each level or by inputting level codes. The description of the Level Code is displayed automatically. The system provides the facility to create file reference with 5 levels out of which 3 levels are compulsory. Level 4 and 5 are optional fields.

➢ Enter the old file reference

➢ File Title should not be longer than 200 characters. Either type the file title or click on the push button next to title. The descriptions are concatenated and displayed in the field title.

➢ Enter the File Volume number. For new files, the volume number will be 1. To create another volume of an existing file, the user has to query the file and then set the next volume number. (For example, the user has to create a new volume for file 'MCSA/TEST/ACC'. The current volume is 1 and needs to create volume 2 of the file. The user will have to query the file and then update the volume to 2 and then save the record. By default, the previous volume number 1 is closed and the current one (volume 2) is set active. In all list of values only the current active files are displayed.

➢ If a file is temporary, for the same file reference, the user will have to create the file again and then set the temporary flag to 'Yes', that is select 'Temporary' from option available. For Normal files, the flag is set to 'No' that is, select the 'Permanent' option.

➢ By default, file created is set as 'Active' Files.

➢ The Latest file status shows the status of the file. All update of file status will generate a record in file active/archive screen.

➢ A temporary file is meant for destruction when its use is over or when its contents have been merged to another file.

➢ Any other information can be recorded in the field Remark.

➢ Save transaction.

➢ File Reference is generated by the system by concatenating the different levels of Index Level Codes.

➢ Date file is created and the registry under which the file is created is saved.

3.2 Connected Files
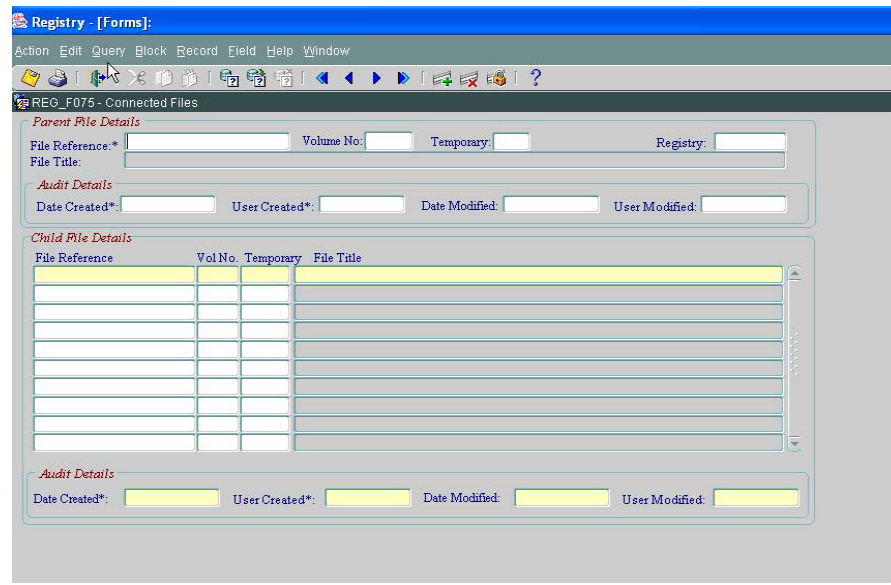
Steps

- ➢ Select Parent File Reference from the List of Values available. The File Title, Volume Number, File Status and Registry Code are displayed automatically. The user can also enter the file reference, volume number and the file status and the corresponding details are displayed. This is the main file to which different files are connected.
- ➢ Select Child File Reference from the List of Values available. One or more records can be entered. Different Child File can be connected to the main File.
- ➢ Save Transaction.
- ➢ This screen can also be used to view all the connected files for a particular main file.

3.3 Merging Of Files
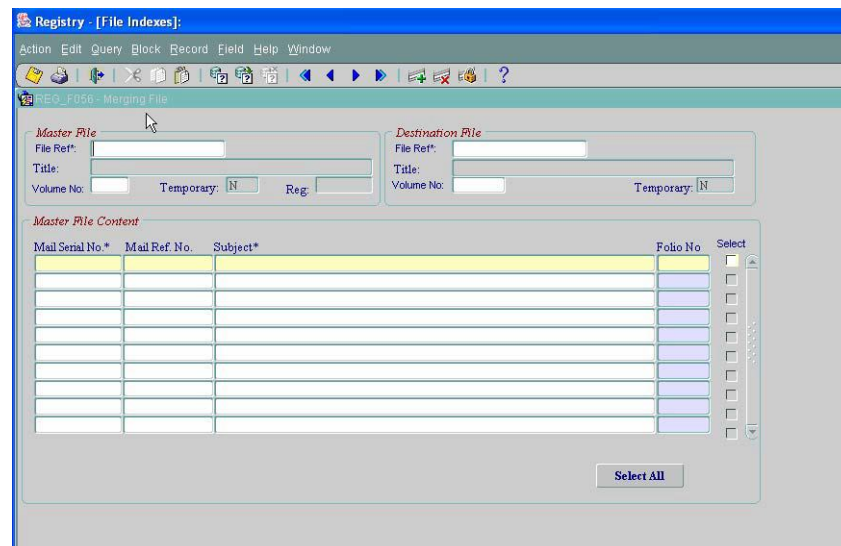
Steps

➢ Select File Reference from List of Values. In the list of values, enter the search criteria and then select the required file from list. The master file can be a temporary file that must be merged to the main file or a file where mail has been misfiled. The Title, volume number, temporary flag and registry code are displayed automatically.
➢ Select the Destination File Reference from List of Values. The destination file is the file where the mails are to be merged. The Title, volume number and temporary are displayed automatically.
➢ Click on the field Mail Serial Number and then execute the mail details. All mails filed in the Master File are displayed. The Mail Serial Number, Mail Reference Number, the subject and Folio number is displayed.
➢ The user has the facility to select all the mails of a file at once by clicking over Select All button or click one by one on the option Select to select mails to be merged in the destination file.
➢ Save transaction and the files are merged.

3.4 Movement/Location of File

Screen 1

Steps

➢ Select File Reference available from the list of values. The Old File reference, the Volume number and temporary flag are displayed automatically. The user can also enter the file reference, volume number and file status. By default, the volume number is 1 and the file status is 'N', that is normal file. The user will have to set the volume and file status accordingly. The old file reference is displayed

- ➢ Select the Registry code from List
- ➢ Letter No. - If a file is moved for a specific Mail in the file, the letter number should be selected from List of Values. The Letter Reference and Letter Date are displayed automatically.
- ➢ Select the Action Code from list available. The Codes are 'PA', 'BU' and 'MOVE'
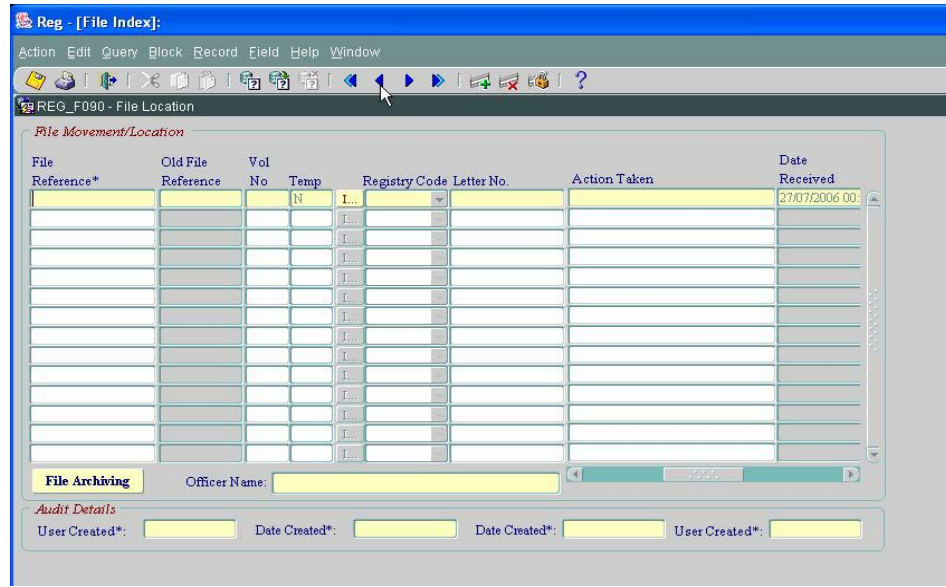
Screen 2
- ➢ Refer to screen 2.
- ➢ Press Enter or scroll to next field in the tab page. Input the action taken details. This field is optional. The 'Date Received' is updated automatically when a file is received in registry.
- ➢ Refer to Screen 3
- ➢ Action Date is set as the default system date.
- ➢ Select Officer from the list of values. The officer code is to whom the file is being moved or the officer who has requested for the specified file (BU). The Officer name is displayed below in the field Officer Name.
- ➢ Date BU/Move. If the action code is 'MOVE', then the current date must be specified and for 'BU', specify the date files must be sent to the schedule officer
- ➢ Save transaction
- ➢ If the action code is 'MOVE', the file is moved to the officer and If the action code is 'BU', a 'BU' is recorded for the specified date
- ➢ NOTE: If a file is not in registry and the file has to be moved to the specified officer then, when the record is saved, the file is automatically received in registry and then moved to the current officer. The user does not have to use the screen 'Receive File in Registry and record action' to receive the file and then do the movement.

➢ However, all files that are recorded for 'BU', the user will have to use the option 'Process pending BU' to move the file to the officer and then use the option 'Acknowledge Receipt and Record Action' to receive the file in registry.

➢ This function can also be used to query the movement and BU of files.
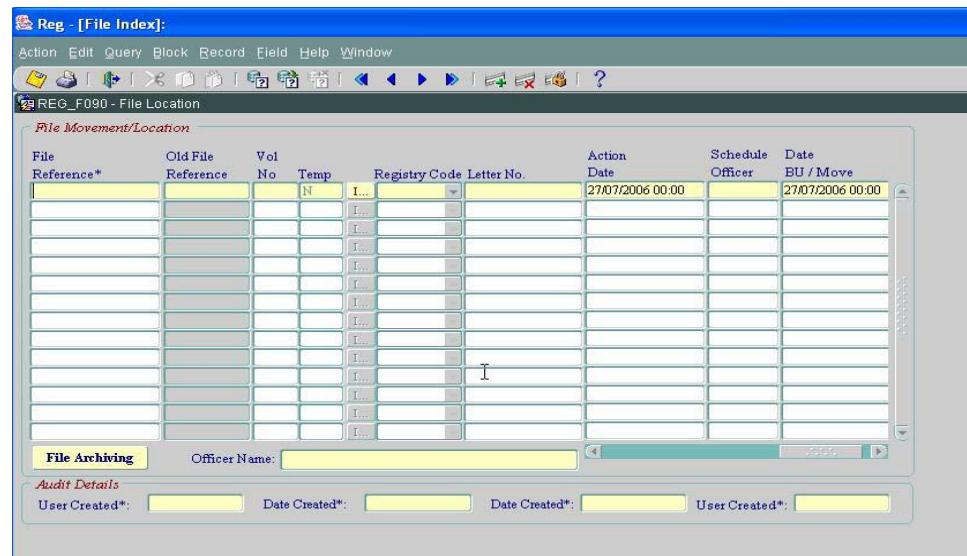
Screen 3

➢ In this screen, the user also has the function. 'File Archiving'. Click on the Push button 'File Archiving' to open the screen. Refer to Option 'File Index – File Archiving' to have the steps for this function.

3.5   Record BU File Request
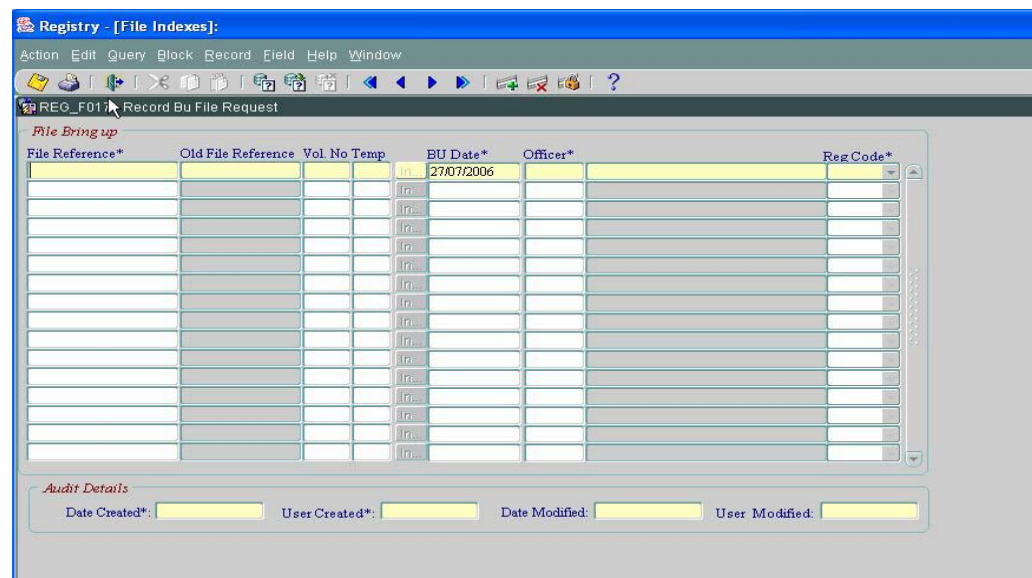
Steps

- ➢ Select File Reference from List of Values or type the file reference, Vol no and File status.
- ➢ Old File Reference, Volume Number and File Status are automatically displayed.
- ➢ BU Date is the date when the officer needs the file. By default, BU Date displays the system date. The date can be modified depending upon the date the officer requires the file.
- ➢ Officer is selected from List of Values and the Officer Name is displayed
- ➢ Save transaction

3.6   Processing pending BU File request
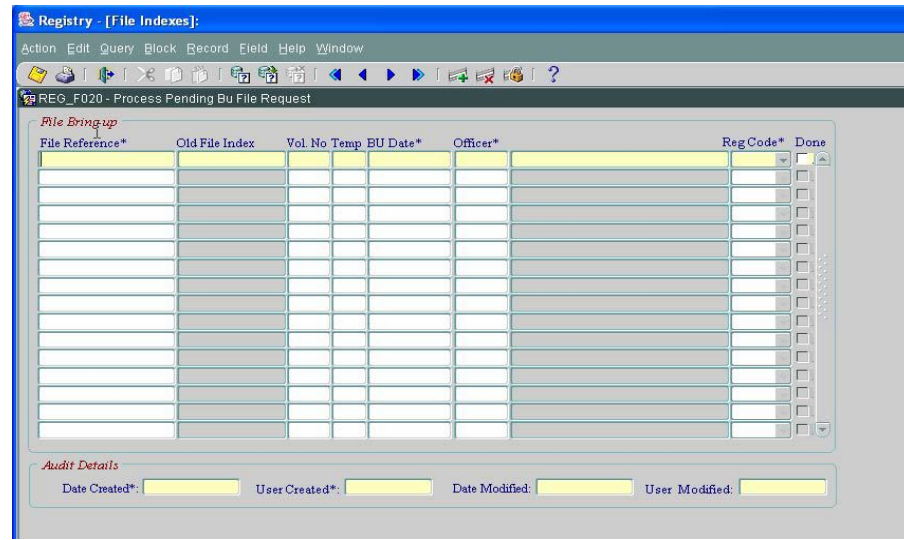
Prerequisites

- ➢ BU exists for specified file Reference

Steps

- ➢ Query all pending BU file requests. To retrieve a specific File, BU date or Officer, the user will have to first enter query, enter the query criteria and then execute the query.
- ➢ The pending requests are displayed. The File Reference, Old File Index, Volume Number, File Status, BU date, Request date, and Officer details are displayed.
- ➢ To move the file to the officer, click on done and save transaction. If file in Registry is 'Yes', then file can be successfully sent to the officer.
- ➢ If 'No', a message is displayed informing the user that file is in movement. Thus, file cannot be moved to another officer. First, receive file in registry using the option 'Acknowledge Receipt and Record Action' and then it can be sent to the requesting officer.

3.7   Acknowledge Receipt and record action

Prerequisites

➢ Files are in movement

Steps

1. Receive File in Registry
➢ Execute Query and all files in movement are displayed.
➢ Query can also be performed on File Reference and Schedule Officer.
➢ File Reference, Old File Reference, Temp, Vol. No, Schedule Officer, and Reg. Code are displayed.
➢ To receive file, click on check box 'Check' to receive file in Registry.
➢ User can also record the action taken on mails by schedule officers.

2. Record Action taken on Mail
➢ Select Mail Serial Number from a List of Values available and press Enter. The Mail Ref. No and Letter Date are displayed automatically.
➢ Input Action Taken, Action Date, and Action Status from list available.
➢ Save Transaction.
➢ Date Received will be updated automatically as the current Date.
➢ The user created and date created is saved
➢ When a record is modified, the user modified and date modified is updated

3.8   Transfer Files to other registries

Steps

- ➢ Select File Reference from List of values available.

- ➢ File Status, Vol. No, Old file index, and File Title are displayed automatically.

- ➢ The user can also specify the File reference, file status and the volume number of file.
  Old file index and File Title are displayed automatically.

- ➢ Select Destination Registry from List available. This is the registry to which the file will be transferred.

- ➢ Input the Reason for which the file is transferred.

- ➢ Save Transaction. The user created and date created is saved

- ➢ NOTE: In this screen, the file is marked as transfer to the selected registry. The destination registry user has to acknowledge the receipt of the file to permanently receive the file (using option acknowledge receipt from other registries).

3.9 Acknowledge Receipt from other registries
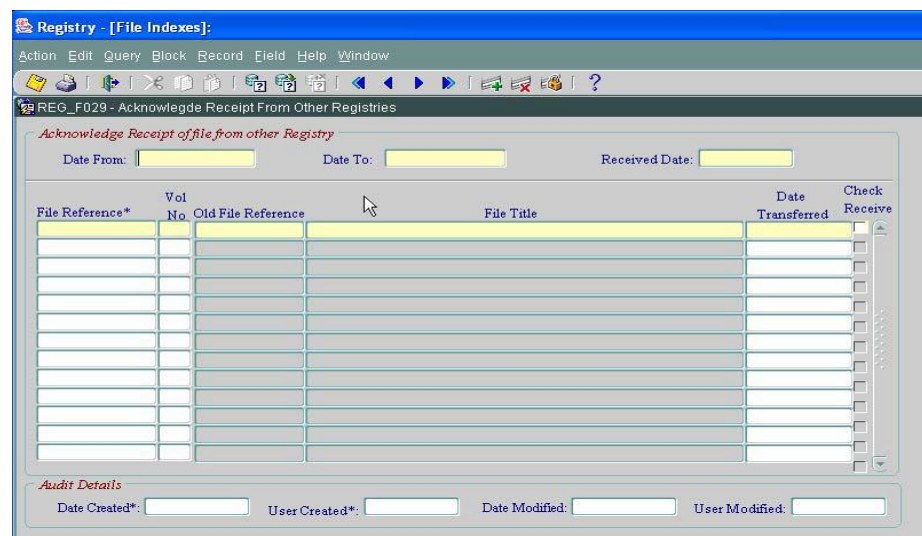
Prerequisites

➢ File has been moved from source registry to another registry

Steps
➢ Specify the range of dates on which files have been received from other registries.
➢ Click on File Reference and execute query. All files received from other registries are displayed. The File Reference, Vol. No, Old File Reference, File Title and Date transferred are displayed.
➢ Click on check box to receive the file in current Registry. As long as file is not checked, the file is not received in current registry.
➢ Save transaction. Received Date records the system date.

3.10 Record Policy and Legal Details
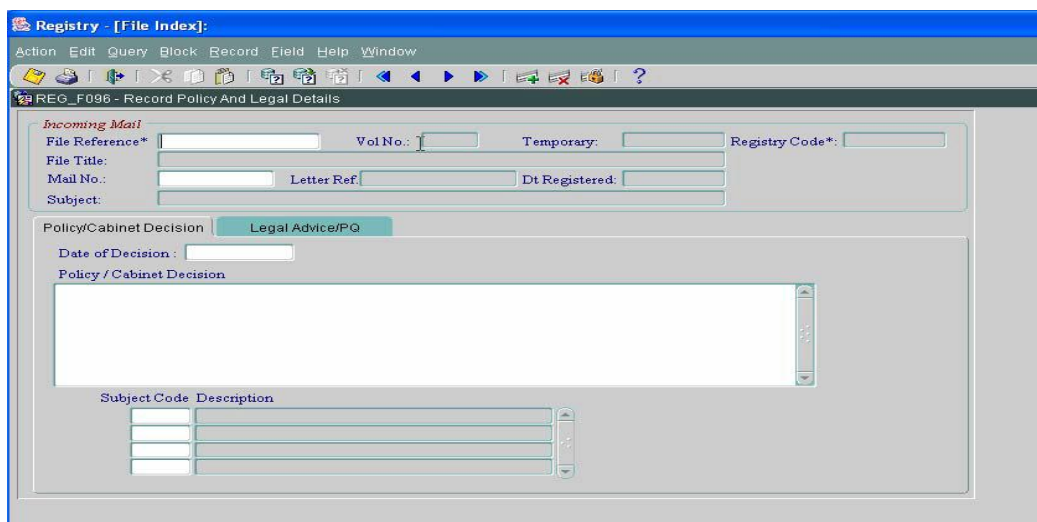
Steps

➢ Enter query
➢ Either, Select File Reference from List, the Vol. No, File status, Registry Code, and File Title are displayed automatically, or enter the File Reference, Vol. no., File Status and the Registry Code, and File Title will be displayed automatically.
➢ Select the Mail No from List and the Letter Ref., Date Registered, and Subject details are displayed for the mails.
➢ Click on 'Policy/Cabinet Decision' or 'Legal Advice/PQ' to record details on Legal advice/PQ or Policy/Cabinet Decision'.
➢ Input Date of Decision and the policy/cabinet decisions. The subject code can be recorded if common subjects are recorded. Select subject codes from list available.
   Similarly, record the legal advice request and reply details.
➢ Save transaction.

3.11   File Archiving

Steps

➢ Select appropriate file from list of Values
➢ The Vol. No, File Status, Title, and Registry Code are displayed.
➢ Select File status flag from list, that is, 'Active', 'Archive', etc. to change the status of the file.
➢ Enter the date file status is modified. By default, the current date is displayed.
➢ Save Transaction. The user created and date created is saved
➢ When a record is modified, the user modified and date modified is updated

3.12   QUERY

3.12.1   Querying files in movement
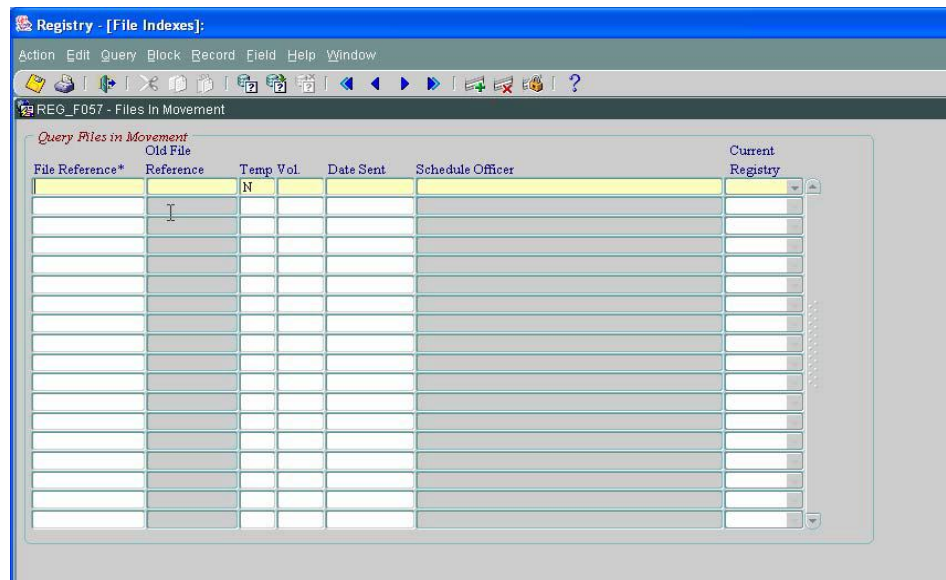
Steps

- ➢ Enter Query and specify search criteria. Queries can be performed on File Reference,
  Date Sent, or Schedule Officer. Then execute Query.
- ➢ File Reference, Old File Reference, File Status, Volume, Date Sent, and Schedule Officer is shown.
- ➢ If you enter query and execute query, all files in movement will be displayed
- ➢ Schedule Officer displays name of the officer to whom file was sent.

3.12.2   File Content
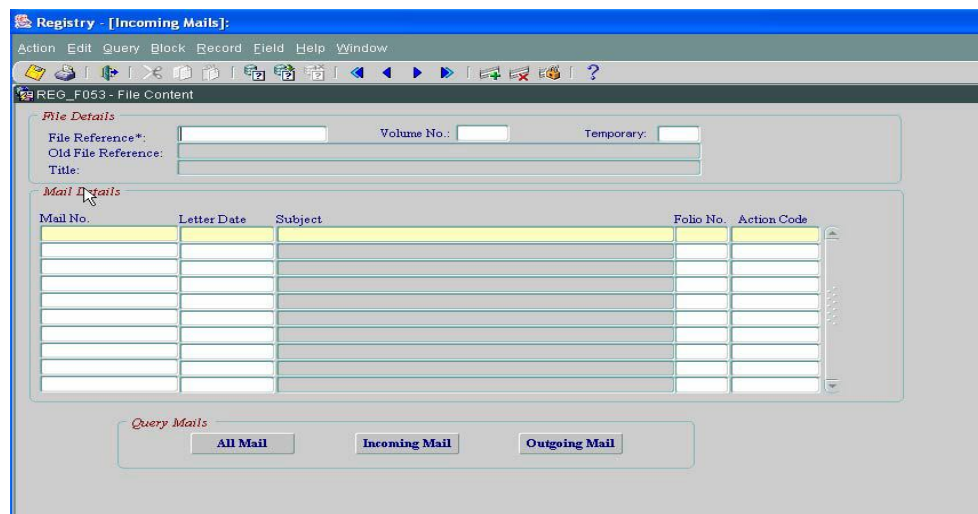
Steps

➢ Select File Reference from list of Values and press enter, the corresponding volume number, File status, old file reference and File Title are displayed

➢ Press enter again, the cursor will move to 'All Mail' button and all the incoming and outgoing mails filed in the file are displayed. The mail number, Letter date, Subject, Folio number and Action Code are displayed.

➢ Click on Incoming Mail to display only incoming mails for the specified file

➢ Click on Outgoing Mails to display only outgoing mails for the specified file

3.12.3 Movement and action details by files

Steps
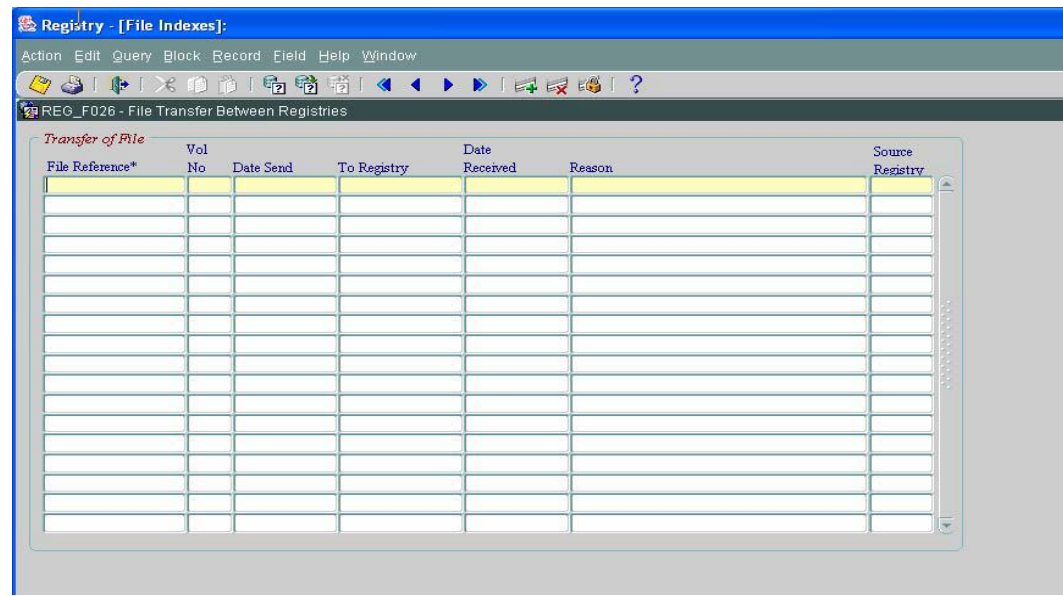
➢ Select File Reference from the list of values or enter the File Reference, File Status and Volume number. The File status, Vol. No., Registry Code, Old File Reference, and Title are displayed automatically.

➢ Execute Query. The File Movement details and the action on mail details are displayed.

➢ The Date Sent, Schedule Officer, Registry Code, Mail Serial Number, Reference number, action taken, status and letter date are displayed.

3.12.4 File transfer between registries

Steps

➢ Enter and execute Query.
➢ All the files transferred to other registries are displayed. File reference, Vol. No., Date Sent, To Registry, that is, to the destination registry where file was transferred, Date Received, that is when the file was received by destination registry, Reason and Source Registry details are displayed.

3.12.5 Pending Bring Up Request for a file

Steps

➢ Enter and execute Query.
➢ All pending requests will be displayed. That is, the File Reference, File Status, Vol. No., Schedule Officer, Registry Code, Request Date and Bring Up Date.

3.12.6   Files With Officer

Steps

➢ Select Officer Id from a List of Values and press enter. The officer name is displayed.
➢ Press enter and the File Details are displayed. The fields displayed are File reference,
Old File reference, File Status, Volume number, Date send and Registry Code

4 Incoming Mail Menu

The Incoming Mail module caters for the following functions:

1. Register Incoming Mail
2. Record Movement of Floating mail
3. Acknowledge Receipt of Floating mail
4. Copy mails
5. File Copies of Mails
6. Reorder Mail Folio
7. Transfer Mail between Registries
8. Common Action Mail
9. Query

4.1   Registration of Incoming Mails

Note: Use the horizontal navigation bar to navigate through the mail details and input the Subject Matter, Content of letter, etc

Steps

➢ To register a mail, the user can either register a mail only and save the transaction or register the mail and do the filing also
➢ By default, Date of Letter displays the system date. The date can be modified accordingly by the user
➢ Input Letter Ref. It is the incoming letter reference
➢ By default, the date registered displays the system date
➢ Select Registry Code from list available
➢ Select the despatch mode from list. It gives options to select the means through which the mail was received
➢ Select Sender details from List of Values
➢ NOTE: Date Received cannot be less than Date of Letter.
➢ Use the horizontal navigation bar to navigate to other fields
➢ Enter the subject matter of letter
➢ Enter the Letter Category and Type from list available
➢ After all these input the user can save the record. The letter has been registered. The Serial No. is auto-generated by the system. The format of the Serial Number generated is a 4-digit year followed by its month and date and also with a 3-digit sequence number starting with '001'. The 3-digit sequence number allows the user to know how many mails have been registered in a day (e.g of serial number generated is as follows '20061221001'). Similarly, the next day when a letter is generated, the serial number records the 4-digit year followed by its month and date and also with a 3-digit sequence number that starts with '001'

➢ User has either the option of filing the mail in a particular file or sending the mail as a floating mail to an officer.
➢ If a user wants to register and file the mail, save the record after recording the File Reference details. Either select from list of values or enter the File Reference, Volume number and the File status details
➢ Folio number and content of letter are optional
➢ To send a floating mail, that is, the mail is not filed but is sent to an officer, enter the officer code from list and save the record
➢ NOTE: Floating mails must be acknowledged into registry before a mail can be filed.
Use the option 'Acknowledge receipt of Floating mail. But the user has the facility to file a letter in a particular file that is in movement. The user will be prompted that the file is not in registry and then the user can proceed with the filing.

MOVEMENT OF FILES

➢ In this screen, the user can also move files to schedule officers.
➢ Select the record, that is, the file to be moved and then click on action taken block.
➢ By default the action date displays the current date.
➢ Select the action code (Move, BU, etc) from list, Enter action taken, Date BU/Move and select the officer to whom the file is sent or recorded as BU.
➢ When a file is in movement, it is automatically received to registry and the user can move the file to another officer.
➢ Save transaction. The date the file is received is updated.

4.2 Record Movement of Floating Mail

Steps

- ➢ Select Mail Number from list of values or type the Mail No. The Subject is displayed.
- ➢ Select Officer from a list of values and the officer name is displayed.
- ➢ Date Send displays the system date.
- ➢ When the mail is received in registry, the date received is updated by the system
- ➢ Click in 'Move' check box to move mail to the schedule officer.
- ➢ Save the transaction.

4.3 Acknowledge Receipt of Floating Mail

Steps

- ➢ Specify the range of dates for which mails in movement are to be queried and will be acknowledged in registry.
- ➢ Click on field Mail No. Enter and execute query. All mails in movement during the specified date will be displayed. For each Mail Number retrieved, Date Sent, subject, Sender, Mail reference and Schedule Officer are displayed automatically.
- ➢ Input action taken on mail by the officer, action date and action status.
- ➢ Save transaction.
- ➢ In this screen, the user also has the facility to 'Copy Mails' and sent to other officers.
  The function is described in option 'Incoming Mail – Copy Mails'

4.4   Copy Mails

Steps

➢ Select Mail number to be copied to other schedule officers from list of values. Reference
   Number is displayed automatically.
➢ By default, Date Send displays the system date.
➢ Click on field Officer Name. Select Officer Name from list of values and Officer Id
   will be displayed automatically. One or more officers can be recorded.
➢ Save transaction.

4.5   Filing copies of mails

Steps

➢ To file copies of mail, select File Reference from list of values and press 'enter'.
   The Volume No., File Status, Old File Reference and Title are displayed.
➢ Select Mail Serial No. from List of values. The list of values contains only those
   mails filed in the specified File Reference.
➢ Click on File Reference on the File Details block. Select File Reference from LOV
   and press 'enter'. Title and Volume No. are displayed.
➢ Press 'enter' and the system provides a hint for the next available folio no. Folio
   no. is optional. One can either have a folio no. or can leave the field blank.
➢ More than one file can be selected.
➢ Then click on 'Copy Mail' to copy the selected mail to the respective files.

4.6 Reorder Mail Folio

Steps

➢ Select File Reference from List of values or type in the correct File Reference, Vol. Number, File status and press 'enter'. The Volume Number, Title, Old File Reference and File status are displayed.

➢ Click on Mail Serial then enter and execute Query. All the mails in that particular file are displayed. Mail Serial No, Letter Date, Reference, and Subject are displayed. These fields cannot be updated.

➢ Modify the corresponding Folio No for the existing mails

➢ Duplicate Folio Nos. is not allowed

➢ Save Changes.

4.7 Transfer mail between registries

Steps

➢ Query to view all floating mails in the registry. Mail Serial No, Sender, Subject, and Reference of the mails are displayed.
➢ Select the registry code from list available where the mail has to be transferred. The transfer is possible only if the mail is in registry.
➢ To permanently transfer the mail to another registry, click on 'Check To Transfer' to transfer mail permanently to the selected destination registry.
➢ Save transaction.

4.8   Common Action On Mail

Steps

➢ Select File Reference from List of values. Volume No., Temporary, Old File Reference and Title are displayed.
➢ Select Officer who has taken the action from list available
➢ Input the common action details. By default, the current date is displayed for action date
➢ Click on 'Mail No.' field and click on 'Query Mail'. All the mails filed in the selected file are displayed.
➢ To select all the mails, click on 'Select all' or select mails one by one by clicking on
'Y/N'.
➢ To save the common action, click on 'Common Action' and save transaction.

4.9   Queries

4.9.1   Mail movement and action details by File

Steps

> ➢ Enter Query
> ➢ Select File from list of values and execute query
> ➢ The movement of file details and the action taken on mails are displayed.

4.9.2   Action Taken on a particular mail

Steps

> ➢ Select Mail number from the list of values and press <Enter>. The corresponding mail reference, subject, date of letter and sender details are displayed.
> ➢ Click on field Date sent and then enter and execute query.
> ➢ All the mail movement and action details are displayed.

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4.9.3 Mails of other registry
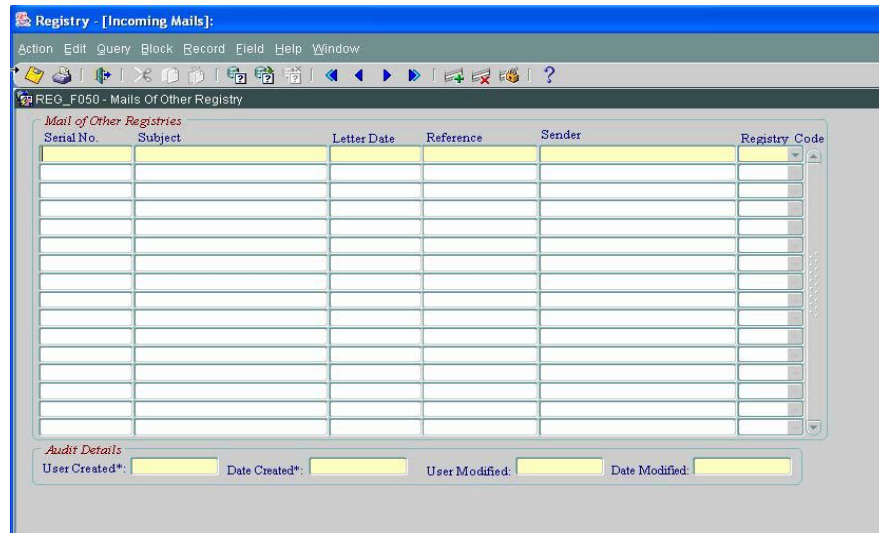
Steps

➢ To query the data, 'click' on field 'Serial No', enter query and then execute query.
➢ All mails received from other registries are displayed.

4.9.4 File Content
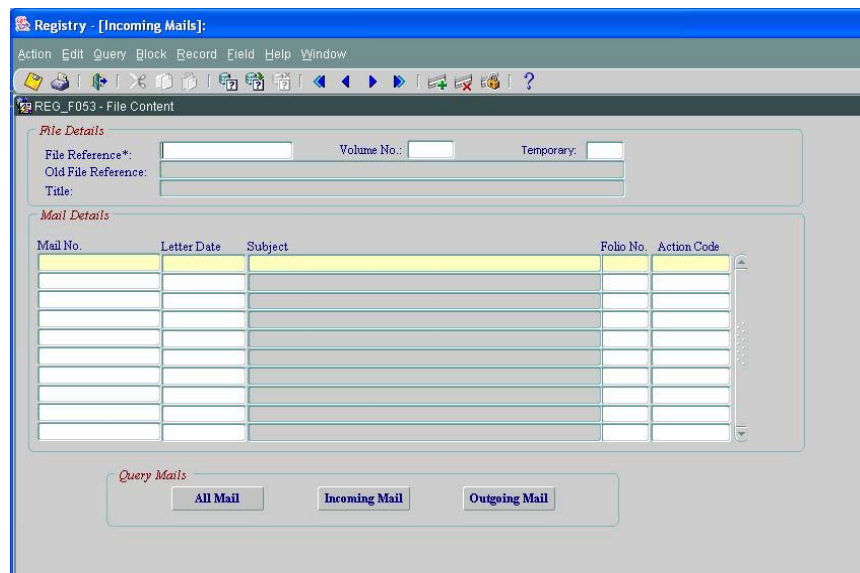
Steps

➢ Select File Reference from list of values available or type the correct file Reference,
   Volume number and File Status and press 'enter'.
➢ The Volume No., File status, Old File Number and Title will be displayed automatically.
➢ Click on All Mails push button to view Incoming and Outgoing mail details.
➢ Click on In Mails push button to view Incoming mail details only.
➢ Click on Out Mails push button to view Outgoing mail details only.

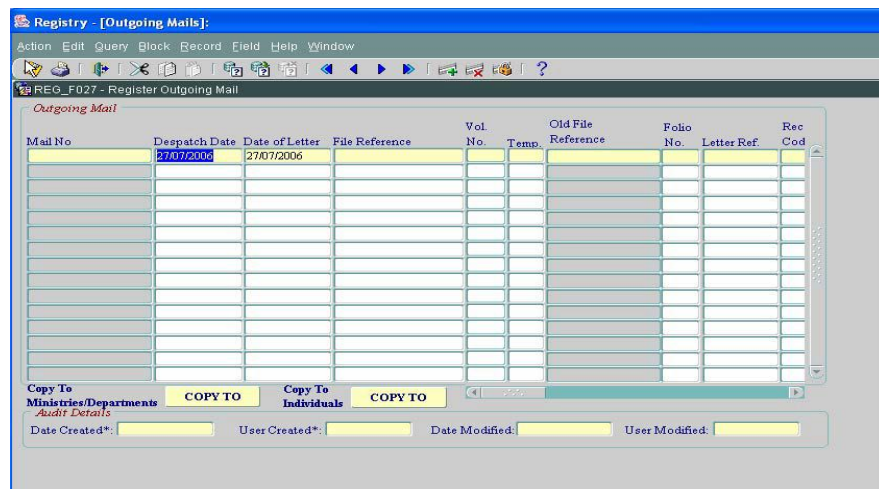### 4.9.5   Floating mails not in the registry
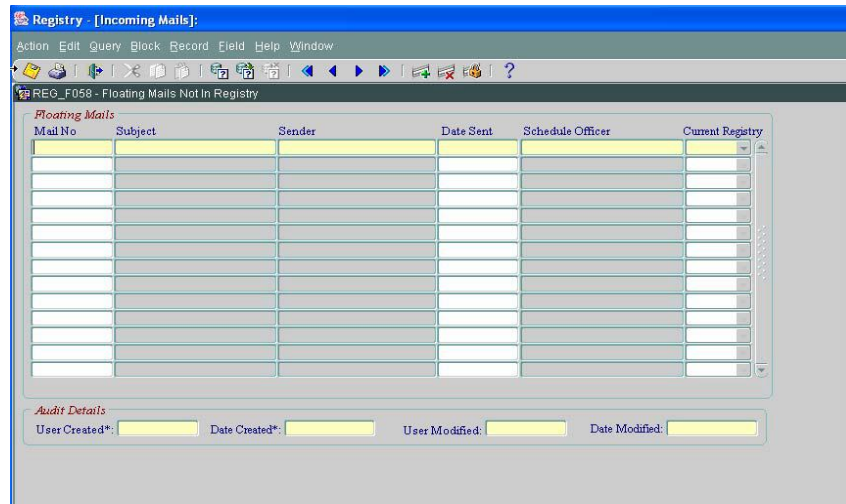
Steps

➢ Enter Query and Execute Query. All Floating Mails details, mail number, Subject,
➢ Sender, Date sent and current registry details are displayed.

5 Outgoing Mails Menu

5.1   Register Outgoing Mail

NOTE: Use the horizontal navigation bar to navigate through the receiver details
and Reference incoming mail details

Steps

➢ The user can register an outgoing mail only or can do both register an outgoing
mail and file the mail and then save the transaction.

1. **Register Mail**

➤ Input receiver details, mail subject, despatch details and incoming reference details. In this option, the file reference details must not be input.
➤ By default, the despatch date and the date of letter display the system date and it can be modified accordingly
➤ Type the receiver code or select from list of values. Receiver Name and Receiver Type will be displayed automatically
➤ Enter the subject matter
➤ Select despatch mode and mail status from list of values
➤ If an outgoing letter is being referred to an incoming letter, then the incoming mail reference can also be recorded from list of values.
➤ Save transaction. The letter will be registered and Serial No. will be auto-generated by the system. The format of the Serial Number generated is a 4-digit year followed by its month and date and also with a 3-digit sequence number starting with '001'. The 3-digit sequence number allows the user to know how many mails have been registered in a day (e.g of serial number generated is as follows '20061221001'). Similarly, the next day when a letter is generated, the serial number records the 4-digit year followed by its month and date and also with a 3-digit sequence number that starts with '001'

2. **File Mail**
➤ Select file reference number from list of values
➤ Input Volume number and Folio number. Old File Index and File Title will be displayed automatically
➤ Save transaction

3. **Copy Mail**
➤ In the outgoing mail screen, the user can use the screen to send copies of the letter to Ministries/Departments or to Individuals. To send to Ministries / Departments, click on option 'Copy To' Ministries/Department. Click on receiver to select a specific receiver from list of values or if the letter has to be sent to all ministries, click on 'Populate Min/Dept'.
➤ Save transaction
➤ Click on 'Back' to return to the main screen.
➤ To send letter to individuals, click on option 'Copy To' for individuals and input the individual name and address
➤ Save transaction
➤ Click on 'Back' to return to the main screen.

5.2 File Copies of Mails

Steps

- ➢ Input file reference from list of values or input the file reference, file volume No and file status.
- ➢ Old File Number, Title and temporary details are displayed automatically.
- ➢ Select mail serial number from list of values or type in the correct mail serial no. The list contains mails pertaining to the above selected file only. The mail subject will be displayed.
- ➢ Click on 'File Reference' on the next block, select file reference from list. The old file reference, file title, vol. no. and file status are displayed automatically.
- ➢ Press enter and the next available folio no is displayed.
- ➢ Enter the folio number and press enter to record another file references
- ➢ Multiple file details can be entered in the Copy File Details.
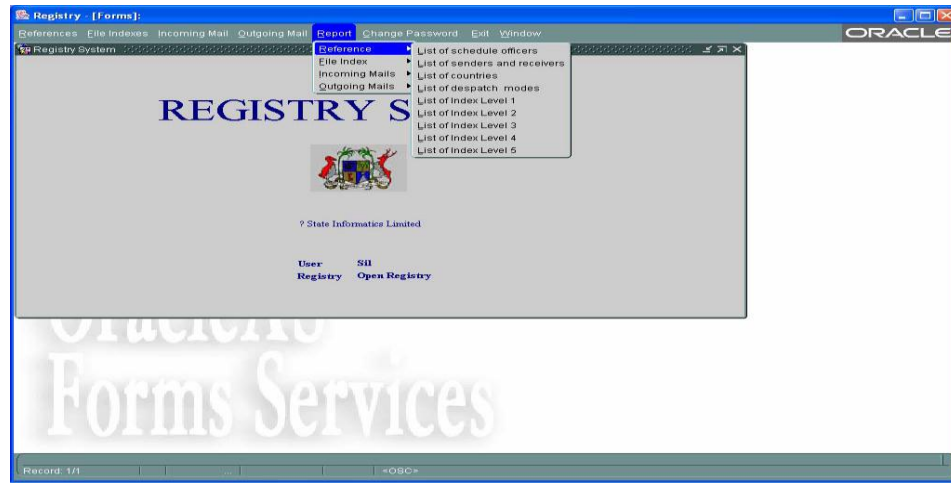- ➢ Click on 'Copy Mail' button to copy mail into the selected files

6 Reports

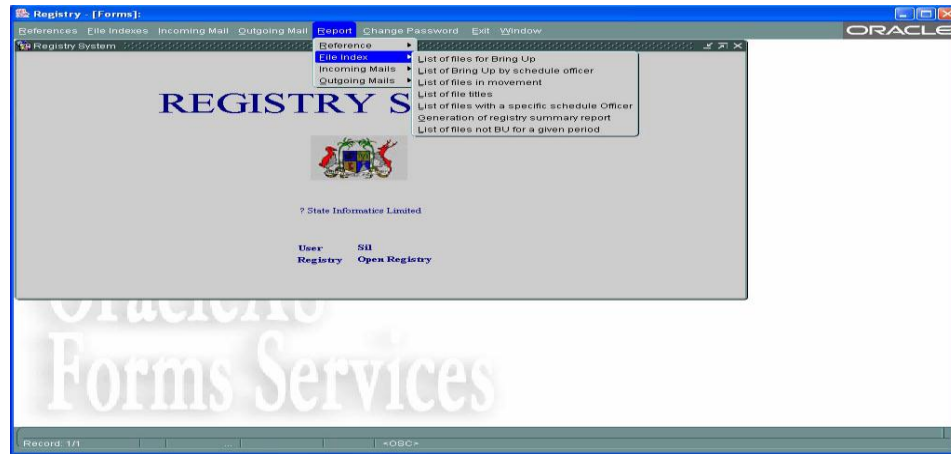To run a report successfully, the user will have to:

1. Select the required report from list
2. Input the required parameters, if any
3. Run Report.

The Reports modules consist of Reference, File Index, Incoming Mails and Outgoing Mails.
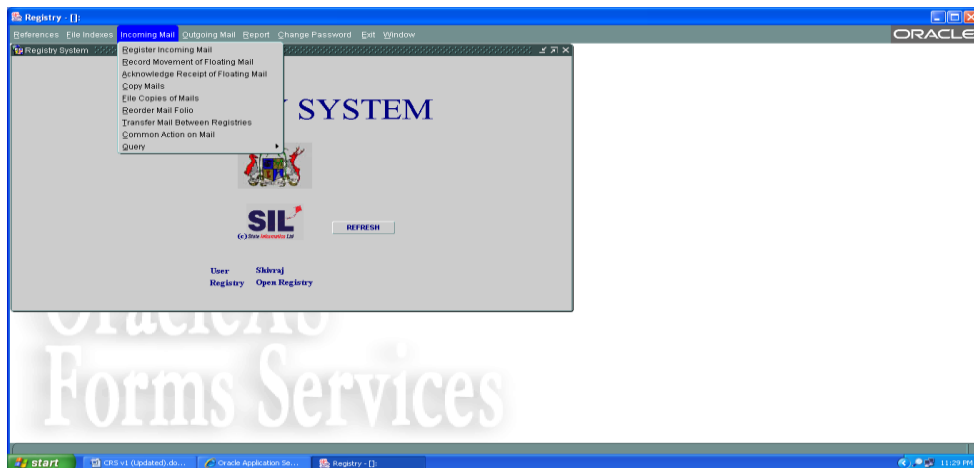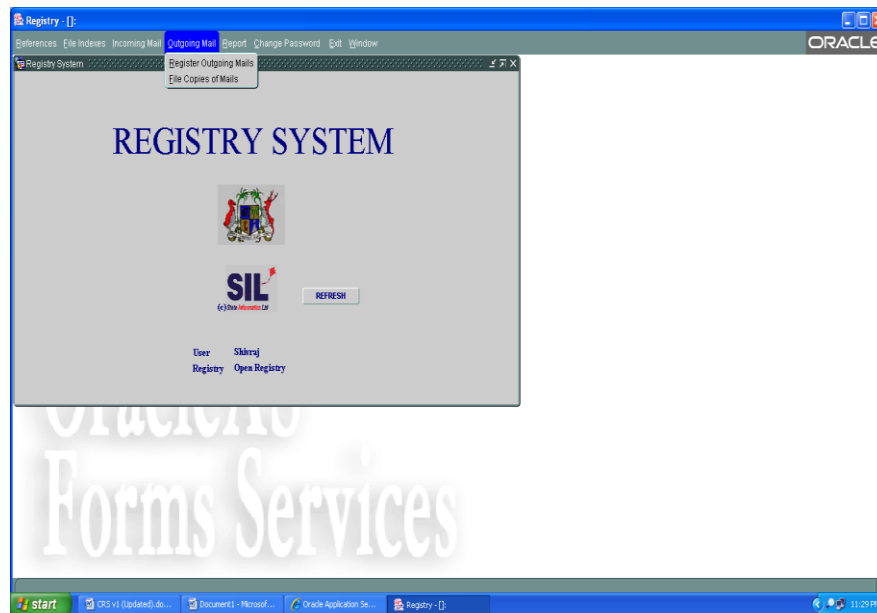
6.1 Reference

6.2 File Index
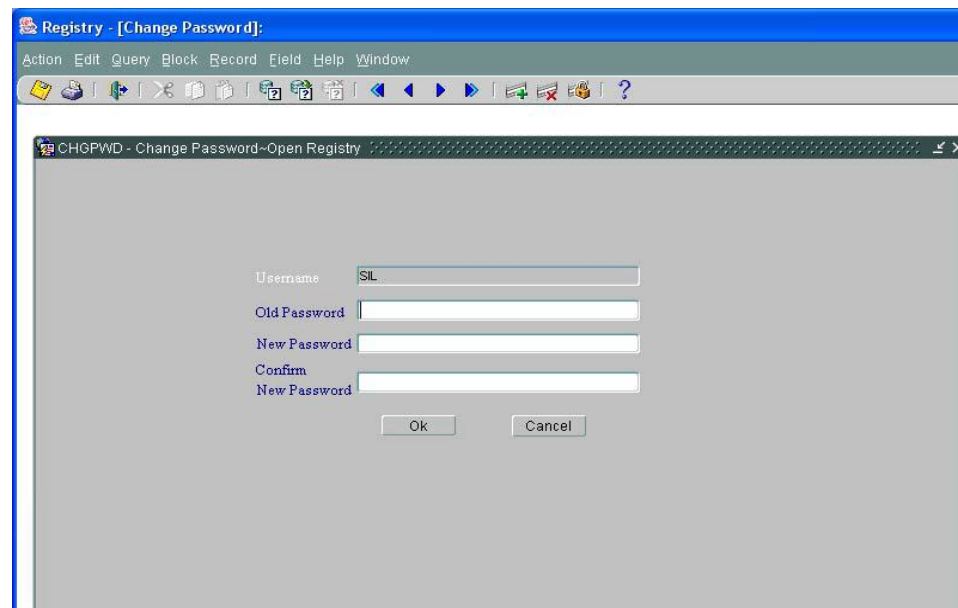

6.3 Incoming Mails

6.4   Outgoing Mails

7 Change Password

Objective

This screen is used to change password that is used to log on the system by registry users.

Steps

➢ The username displays the username of the registry user who has log on the registry system.

➢ Input Old password

➢ Input new password and type the new password again to confirm the new password

➢ Then click on OK to save the new password

➢ Next time, the user log on the application, the new password must be entered.

➢ Note: The password displays only the asterisk (*) character on screen for security purposes. In case you have forgotten your existing password, you cannot use this screen to get a new password because the old password is required here. The system administrator must be contacted to do the changes.

List of References

Government of Mauritius: *Manual of Registry Procedures*.

Government of Mauritius: *The Official Secrets Act 1972.*

International Records Management Trust, United Kingdom (1999): *Managing Current Records: A Procedures Manual.*

Ministry of Civil Service and Administrative Reforms, Republic of Mauritius (February 2011): *Human Resource Management Manual.*

Office of Public Sector Reform, Ministry of Civil Service, Government of Barbados (2006): *Records Procedures Manual.*

Republic of Mauritius (August 1990): *Financial Management Manual.*

Republic of Mauritius (November 2010): *Government Security Instructions*.

Computerized Registry System (CRS) – *Registry Manual by SIL*

TASKS AND TASK ELEMENTS IN REGISTRY WORK

Tasks	Task-Elements	
1. Receipt of Incoming mail	1.1	Stamping of documents received.
	1.2	Entries in incoming register
	1.3	Screening of mail to sort out letters requiring urgent action.
	1.4	Photocopies of such letters placed in the file for circulation.
	1.5	Circulation of incoming mail.
	1.6	Ensuring that incoming mail which is being circulated is not unduly delayed.
	1.7	Receipt of registered and express letters.
	1.8	Signing of despatch book or other document for receipt of such documents.
	1.9	Opening of letters addressed to Head of Department/ Section.
	1.10	Ensuring that incoming clerk open incoming mail with the aid of a knife and neatly.
2. Despatch of Outgoing mail	2.1	Verifying whether letter has been signed, and all enclosures mentioned therein, attached.
	2.2	One copy to be kept flimsy for circulation.
	2.3	Inserting of date of issue on file copy initialing of document and returning file to action officer.
	2.4	Proper addressing of the envelope and placing relevant documents therein
	2.5	Stamping the envelopes.
	2.6	Making entries in outgoing register.
	2.7	Issuing of registered letters and express delivery mail-filling of appropriate forms in that connection

3. Opening of New Files	3.1	Effective reading of correspondence to identify the subject matter.
	3.2	Ensuring that no file dealing with the topic already exists.
	3.3	Devising a good file title.
	3.4	Proper indexing of new files.
	3.5	Entry in appropriate registers.
	3.6	Filling of card for recording the movement of the file.
	3.7	Insertion of reference number and title of connected files, if any.
	3.8	Deciding on the real need for opening a temporary file (such file should be merged with the main file as early as possible).
4. Proper filing of documents	4.1	Ensuring that : (i) correspondence is entered in appropriate file; (ii) folios are punched in such a way that all papers are kept neat and tidy; (iii) folio is properly numbered; (iv) all enclosures also numbered; (v) all correspondence referred to body of letter are "cross-referenced"; (vi) correspondence is recorded on minute sheets in simplest way; (vii) entries on minute sheets are under lined (using a ruler); (viii) priority is given to files containing documents requiring immediate action; (ix) appropriate marking of file cover for directing its movement is made; (x) flags are used (when necessary); (xi) blank minute sheets are always available; and (xii) entries in files are made in chronological order *but* improper insertion of any folio between entries already made on a minute sheet should be avoided.

5. Recording of Movement of Files	5.1	Ensuring that careful recording on appropriate cards is kept of: (i) all files leaving the registry; (ii) all files to be re-submitted to action officers; and (iii) all files to be put aside Bring-up (B.U) and put away (P.A)).
	5.2	Regular following up of files sent out of registry.
	5.3	Taking appropriate action for recalling files which have been out for long.
	5.4	Avoiding sending files to other Ministries/ Departments unless strictly necessary.
	5.5	Making arrangements for prompt and regular exchange of material between registry and action officers.
	5.6	Updating cards in the light of transit slips returned to registry.
6. Providing means of identifying files	6.1	Devising an effective classifying system for: (i) indexing purposes; (ii) facilitating the retrieval of information within the least delay; (iii) regular weeding of files; and (iv) facilitating the tracing of files.
7. Care & Maintenance of files	7.1	Making it a point that all files and records are kept neat and tidy at all times.
	7.2	Folios should be properly punched.
	7.3	Bits of papers should *not* be pasted on minute sheets.
	7.4	Cuttings should be pasted rather than pinned.
	7.5	Scrap papers to be removed or if necessary, to be put on as a proper folio.
	7.6	Folios and covers should not be torn.
	7.7	When new volume is opened, numbering of folios and minutes should be consecutive *[may exceptionally start with f(1)]*.
8. Tracing of files	8.1	Taking steps to trace missing files.
	8.2	Taking measures to reduce possibilities of files being lost – e.g. once a month, to draw up a list of : - (a) all files with each action officer and to check it against records; and (b) all files which cannot be accounted for and

		recorded in register of missing files stating steps taken to retrace them.
9. Examining of files before putting them aside	9.1	Ensuring that : - (i) action officers have indicated next action to be taken by entering appropriate marking on file covers; (ii) action has been taken on all folios; (iii) all documents have been filed; and (iv) merging of temporary file, if any.
10.Ensuring compliance with security rules	10.1 10.2 10.3 10.4 10.5 10.6	Devising system for safe custody of documents and files. Not allowing unauthorised persons to have access to registry/files. Ensuring that files carried from one department to another are placed in envelope. Ensuring the proper classification of files. Registry never to be left unattended. Down grading of confidential files as appropriate.

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