

PROVINCIAL TREASURY



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

STAFF FILE PLAN VERSION THREE (03)

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- **LIST OF MAIN SERIES**
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A. GENERAL INSTRUCTIONS TO FILE PLAN

1. NAME OF OFFICE

The file plan is for the use of **Limpopo Provincial Treasury** and it may not be applied to any other office without the prior approval of the Provincial Archivist.

2. REPORTING

All amendments and additions (the omission or insertions of an underlining is an amendment as well) should be submitted regularly to the Provincial Archivist for notification and formal approval. In cases where the amendments/ additions are circulated by means of circular, it will suffice if a copy thereof is forwarded to the Provincial Archivist. For easy reference and effective control, notifications should be numbered each year starting at number one, e.g. 1/99, 2/99, etc. It is advisable that in case where major amendments and/ or additions are required, the prior approval of the Provincial Archivist should be obtained before covers for new files are opened. (For Unclassified correspondences see par. 15 of these instructions and for Secret files see par. 21)

3. CONTROL OF PLAN

Control of the file plan is assigned to the **Records Manager**. No amendments/ additions to the file plan may be made, without the approval of this official. The duties of this official comprise *inter alia* the following:

- a. He/ she should scrutinize the office's daily file regularly to ensure that all correspondences are dealt with in the correct files.

- b. He/ she must ensure that paragraph 5 and 6 of the instructions are strictly adhered to by scrutinizing the relevant files regularly to ensure that they are used correctly.
- c. He/ she must keep the master copy up to date (See also par.9.)
- d. The efficiency of the file plan should be examined regularly to ensure that necessary amendments are provided. When new functions are acquired, new files should be created when necessary, existing files should be broken up or combined as the case may be. Parent files (i.e. headings which are sub- divided but are also used as files) should be examined regularly to prevent them from becoming general files and where necessary further sub-files should be created. NB – Such changes must be reported in terms of par. 2 of these instructions.
- e. Particular attention should be paid to cases where correspondence is started on one file and where the emphasis then shifts to another aspect in order to ensure that the matter is dealt with on the appropriate file.
- f. For duties i.r.o. the descriptions on file covers and unclassified correspondence, see par. 13 and 16 below. (These duties should be included on the official's duty sheet)

4. ACCURATE FILING OF CORRESPONDENCE

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

5. POLICY FILES

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

The following correspondence should not be placed on policy files:

- i. Enquiries regarding policy that do not result in the formulation of new policy or new amended interpretation of existing policy.
- ii. Dealing with individual cases which do not result in the formulation of new policy or amendments to existing policy.

- iii. Cases concerning a main or sub-series as a whole, but which are not policy matter, as well as individual aspects of the particular subject for which no file exists. In such cases suitable files should be opened.

6. ROUTINE ENQUIRIES

At appropriate places in the file plan files for routine enquiries have been provided. These files are identified by the symbol "R" as the last component of the reference number, e.g. 1/R, 1/1/R, etc. These files are for the enquiries of a routine nature which require no further action subsequent to the reply. **UNDER NO CIRCUMSTANCES MAY MATTERS OTHER THAN THE ROUTINE SUPPLY OF INFORMATION BE DEALT WITH ON THESE FILES.**

7. REPORTS AND RETURNS

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

8. ASPECTS NOT SEPARATELY PROVIDED FOR

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

9. MASTER COPY

The master copy is that copy of the file plans which contains all approved subjects and which indicates how files are to be opened and stored. No file may be opened unless the file description has already been recorded in the master copy and the approval of the Records Manager has been obtained. Individual case files which are opened according to notes in the plan are not recorded in the master copy. **They should be recorded in a register of files opened** (see par.10). The Records Manager must ensure that all amendments and/ or additions are in the master copy immediately.

10. REGISTER OF FILES OPENED

The purpose of this register is to keep a complete record of all files opened. A loose-leaf binder is recommended as it facilitates the insertion of extra pages which are usually required for case files which form part of the numerical classification. The register is maintained in the same form as the plan and files are entered in the same consecutive order. An extra column should be provided opposite the file description in which to note the date of opening (date of first document) next to the file title. The first page of the register should indicate the name of the office to which the plan is applicable as well as the date of implementation. (For secret files see par. 21.)

11. DESTRUCTION REGISTER

A register of closed D files should be drawn up as soon as disposal authority has been obtained. This register is divided into years, e.g. 2005, 2006, 2007, etc. When a file volume is closed, its reference number should be entered under the year in which it will be destroyed. A volume which is closed in 2002 and for which the disposal instruction is D3, therefore, will be entered under 2005. The register thus indicates which volumes are to be

destroyed in any particular year. The use of a loose-leaf binder is recommended as it is not possible to determine the number of pages needed per year beforehand. (For disposal see par. 17 further on.)

12. OPENING OF FILES AND DESCRIPTION ON FILE COVERS

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

13. UNDERLINED DESCRIPTIONS

All underlined descriptions indicate subject headings only. Sub-divisions must be made under these subject descriptions but **NO FILE MAY BE OPENED FOR ANY UNDERLINED DESCRIPTION.**

14. EXPLANATIONS IN BRACKETS

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

15. UNCLASSIFIED CORRESPONDENCE: PROCEDURES

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

16. ANNEXURE FILE COVERS

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

17. DISPOSAL OF FILES

Once the disposal authority has been issued, disposal instructions are recorded opposite each file in the disposal column provided in the file plan. The disposal symbols indicate the following:

A20: Keep for transfer to the appropriate archives repository if a period of 20 years has lapsed since the end of the year in which the record came into existence.

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

The destruction of files qualifying for destruction should be done regularly, but at least once a year. The prescribed destruction certificate should be submitted to the Provincial Archivist.

18. THICKNESS OF FILES

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

19. CLOSURE OF A20 FILES

The following procedure should be followed when volumes of A20 files are closed:

- a. The correspondence should be examined in order to correct any misfiling. A sheet of paper containing the words "Closed, see volume..." is then filed as the last item in the volume.
- b. Worn file covers should be replaced
- c. The files are then stored in boxes especially used for this purpose.

20. CASE FILES

Case files which form part of the numerical classification are to be opened in accordance with the instructions appearing at the appropriate place in the file plan. For particulars concerning case files which do not form part of the numerical classification, see the list of series of separate case files at the end of the numerical classification. (See also paragraph 9.)

21. SECRETE FILES

Concerning secret files, the following procedure should be followed:

- a. Secret file may be opened under any main series, sub- series or file description appearing on the master copy of this file plan. These files are distinguished from the ordinary files by the addition of a capital letter S to the reference.
- b. Should a secret file be needed for a subject of which a suitable main series, sub- series or file description does not exist, an appropriate provision should be made and reported in the usual way to the Provincial Archivist. It is not necessary, however, to indicate that it is intended for secret correspondence.
- c. Secret files are not indicated as such in the master copy and are also not recorded in the register of files opened for ordinary files. A separate register of secret files should, however, be kept along the same line as set in paragraph 10 of these instructions.
- d. Separate arrangements for the safe- keeping of secret files must be made and should not be incorporated as a part of these instructions.

- e. The disposal instruction for all secret files is A20 and they should be dealt with accordingly.

22. IMPLEMENTATION

This plan will be implemented after the approval by the Provincial Archivist and thereafter no correspondence may be dealt with on the files of the previous file plan. Permission can be obtained from the Provincial Archives to incorporate case files from the previous file plan into the new plan. All files from the previous plan should be closed on the day prior to the date of implementation, and no original correspondence should be transferred from the old to the new plan.

B. LIST OF MAIN SERIES

- S1 LEGISLATION**
- S2 POST CONTROL**
- S3 CONDITIONS OF SERVICE**
- S4 RECRUITMENT**
- S5 EMPLOYEE UTILISATION AND CAPACITY BUILDING**
- S6 PERFORMANCE MANAGEMENT**
- S7 STAFF MOVEMENT**
- S8 STAFF CONTROL**
- S9 FINANCIAL MATTERS**
- S10 TRANSPORT AND TRAVELLING**
- S11 DOMESTIC MATTERS**

S1 LEGISLATION

NUMBER	DESCRIPTION	DISPOSAL
S1/P	Policy	D10
S1/R	Routine Enquiries	D1
S1/1	<u>Acts and Regulations</u>	
S1/1/1	<u>Public Service Act</u>	
S1/1/1/1	Amendments	A20
S1/1/1/2	Interpretation and Legal Opinions	A20
S1/1/2	<u>Public Service Regulations</u>	A20
S1/1/2/1	Amendments	A20
S1/1/2/2	Interpretation and Legal Opinions	A20
S1/1/3	<u>Other Acts and Regulations</u> (Open a file for each Act and Regulations and number them consecutively)	A20
S1/2	<u>Circulars</u>	
S1/2/1	Internal Circulars	A20
S1/2/2	External Circulars	A20

S2 POST CONTROL

This main series should not be confused with staff control. It has only to do with Posts structure. (For Staff Control, see Main Series 8)

NUMBER	DESCRIPTION	DISPOSAL
S2/1	<u>Staff Establishment</u>	
S2/1/P	Policy	D10
S2/1/R	Routine enquiries	D1
S2/1/1	Creation, Conversion, Abolishment and Transfer of Posts	D3
S2/1/2	Designation and Classification of Posts	D3
S2/1/3	Costing of filled and vacant post	D3
S2/2	<u>Job Descriptions</u>	
S2/2/1	MEC support Services	D3
S2/2/2	HOD'S Support Service	D3
S2/2/3	<u>Sustainable Resource Management</u>	
S/2/2/3/1	<u>Economic and Fiscal Policy Oversight</u>	
S/2/2/3/1/1	Macro-Economic Analysis	D3
S/2/2/3/1/2	Fiscal Policy Analysis (Revenue)	D3
S/2/2/3/2	<u>Infrastructure Management and Public Private Partnership (PPP)</u>	
S/2/2/3/2/1	Provincial Infrastructure Performance and PPP	D3
S/2/2/3/2/2	Municipal Infrastructure Performance and PPP	D3
S/2/2/3/3	<u>Budget and Public Finance Management</u>	
S/2/2/3/3/1	Budget Management (Cluster 10 (For Votes;01,02,03,04,10:11)	D3
S/2/2/3/3/2	Public Finance and Data Management (For all	D3

	Votes)	
S/2/2/3/3/3	Budget Management (Cluster 2) (For Votes: 05,06,07...)	D3
S/2/2/3/4	<u>Municipal Finance and Governance</u>	
S/2/2/3/4/1	Municipal Finance Governance: Capricorn District	D3
S/2/2/3/4/2	Municipal Finance Governance: Mopani District	D3
S/2/2/3/4/3	Municipal Finance Governance: Vhembe District	D3
S/2/2/3/4/4	Municipal Finance Governance: Sekhukhune District	D3
S/2/2/3/4/5	Municipal Finance Governance: Waterberg District	D3
S2/2/4	<u>Assets, liability and Supply Chain Management (SCM)</u>	
S2/2/4/1	<u>Assets and Liabilities Management</u>	
S2/2/4/1/1	Provincial Assets Management	D3
S2/2/4/1/2	Banking, Cash and Liabilities Management	D3
S2/2/4/2	<u>Provincial Supply Chain Management</u>	
S2/2/4/2/1	SCM Governance and Compliance	D3
S2/2/4/3	<u>SCM Client Support</u>	
S2/2/4/3/1	Capricorn Supply Chain Management Services	D3
S2/2/4/3/2	Mopani Supply Chain Management Services	D3
S2/2/4/3/3	Vhembe Supply Chain Management Services	D3
S2/2/4/3/4	Sekhukhune Supply Chain Management Services	D3
S2/2/4/3/5	Waterberg Supply Chain Management Services	D3
S2/2/4/4	Transversal Contracts Management	D3

S2/2/5	<u>Financial Governance</u>	
S2/2/5/1	<u>Accounting Services</u>	
S2/2/5/1/1	Financial Accounting and Reporting	D3
S2/2/5/1/2	Financial Management Capacity Building	D3
S2/2/5/2	<u>Financial Management Information Systems</u>	
S2/2/5/2/1	Financial Systems implementation	D3
S2/2/5/2/2	System Administration	D3
S2/2/5/3	Transversal Risk Management	D3
S2/2/5/4	Governance, Monitoring and Compliance	D3
S2/2/6	<u>Shared Internal Audit Services</u>	
S2/2/6/1	Quality Assurance & Technical Support Services	D3
S2/2/6/2	<u>Risk-Based Auditing, Performance and Consulting Services (Cluster A)</u>	
S2/2/6/2/1	Risk Based Auditing (For Votes: 1,3 &12)	D3
S2/2/6/2/2	Performance Auditing & Consulting Services (For votes 4 & 6)	D3
S2/2/6/3	<u>Risk-Based Auditing & Specialized Audit Services (Cluster B)</u>	
S2/2/6/3/1	Risk Based Auditing (For Votes: 5,7 & 10)	D3
S2/2/6/3/2	Risk Based and Fraud Audit (For Votes 11 & 13)	D3
S2/2/6/3/3	Risk Based and Information Systems Audit (For Votes 8 & 9)	D3

S2/2/7	<u>Corporate Management Services</u>	
S2/2/7/1	<u>Corporate Services</u>	
S2/2/7/1/1	<u>Human Resource Management</u>	
S2/2/7/1/1/1	Human Resource Planning and Administration	D3
S2/2/7/1/1/2	Organizational Development	D3
S2/2/7/1/1/3	Labour Relations	D3
S2/2/7/1/2	<u>Transformation Services</u>	
S2/2/7/1/2/1	Employee Health and Wellness	D3
S2/2/7/1/2/2	Change Management and Service Delivery Improvement Mechanisms	D3
S2/2/7/1/2/3	Gender Focal Point and Diversity Management	D3
S2/2/7/1/3	<u>Employee Utilization and Capacity Building</u>	
S2/2/7/1/3/1	Training and Development	D3
S2/2/7/1/3/2	Performance Management	D3
S2/2/7/1/3/3	Youth Development and Talent Management	D3
S2/2/7/1/4	Security Management	D3
S2/2/7/2	<u>Information Management</u>	
S2/2/7/2/1	<u>Communication Services</u>	
S2/2/7/2/1/1	Corporate Communication	D3
S2/2/7/2/1/2	Marketing and Events Management	D3
S2/2/7/2/2	<u>Information Communication Technology</u>	
S2/2/7/2/2/1	Information Technology Governance	D3
S2/2/7/2/2/2	Information Communication Technology Operations	D3

S2/2/7/2/3	<u>Records and Auxiliary Services</u>	
S2/2/7/2/3/1	Human Resource Records	D10
S2/2/7/2/3/2	General Records and Knowledge Management	D10
S2/2/7/2/3/3	Facilities and Auxiliary Management Services	D10
S2/2/7/3	Legal Services	D10
S2/2/7/4	<u>Strategic Management</u>	
S2/2/7/4/1	Monitoring and Evaluation	D3
S2/2/7/4/2	Integrated Planning, Research and Policy Coordination	D3
S2/2/7/5	<u>Financial Management</u>	
S2/2/7/5/1	Management Accounting	D3
S2/2/7/5/2	<u>Financial Accounting</u>	
S2/2/7/5/2/1	Credit Management	D3
S2/2/7/5/2/2	Payroll Administration	D3
S2/2/7/5/2/3	Revenue, Debt and Bank Reconciliation	D3
S2/2/7/5/3	<u>Supply chain Management</u>	
S2/2/7/5/3/1	Demand and Acquisition	D3
S2/2/7/5/3/2	Logistics Management	D3
S2/2/7/5/3/3	Transport Management	D3
S2/2/7/5/3/4	Assets Management	D3
S2/2/7/5/4	Internal Control and Compliance	D3
S2/2/8	Enterprise Risk Management	D3

S2/3	<u>Job Evaluation</u>	
S2/3/P	Policy	D10
S2/3/R	Routine Enquiries	D1
S2/3/1	Appointment of Job evaluation Panel Members	D3
S2/3/2	Invitations, Agenda , Minutes and reports	D3
S2/3/3	Job evaluation request	D3
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S2/3/7	Submissions / Recommendations and Approvals	D3
S2/4	<u>Job Profiling</u>	D1
S2/4/R	Routine Enquiries	D3
S2/4/1	Determination of Profile	D3
S2/4/2	Reports	D3
S2/5	<u>Delegations</u>	
S2/5/P	Policy	D10
S2/5/R	Routine Enquiries	D1
S2/5/1	By MEC	D1
S2/5/2	By Director General	D1
S2/5/3	By Head of Department	D1
S2/5/4	By Head of Branch (DDG)	D1
S2/5/5	By Chief Director	D1
S2/5/6	By Director	D1
S2/5/7	By Deputy Director	D1
S2/5/8	Other Delegation	D1

S3 CONDITIONS OF SERVICE

NUMBER	DESCRIPTION	DISPOSAL
S3/P	Policy	D3
S3/R	Routine Enquiries	
S3/1	Salary Scale Adjustments	D3
S3/2	<u>Code of Remuneration (CORE)</u> (Open a file for each Occupational Class and number consecutively)	D2
S3/3	<u>Leave Matters</u>	
S3/P	Policy	D10
S3/3/R	Routine Enquiries	D1
S3/3/1	Annual leave	D3
S3/3/2	Normal sick leave	D3
S3/3/3	Disability Leave (PILIR)	D3
S3/3/4	Adoption Leave	D3
S3/3/5	Special Leave	D3
S3/3/6	Unpaid leave	D3
S3/3/7	Pre-Natal Leave	D3
S3/3/8	Paternity Leave	D3
S3/3/9	Maternity Leave	D3
S3/3/10	Family Responsibility Leave	D3
S3/3/11	Shop Steward Leave	D3
S3/3/12	Leave Gratuity	D3
S3/3/13	Unauthorized Leave	D3
S3/3/14	Leave for occupational Injuries and Disease	D3

S3/4	<u>Subsidy schemes</u>	
S3/P	Policy	
S3/4/R	Routine Enquiries	D1
S3/4/1	<u>Housing scheme</u>	
S3/4/1/1	State guarantee	D5
S3/4/1/2	Home owner allowances	D5
S3/4/1/3	Rental Allowance	D5
S3/4/2	Medical Assistance	D5
S3/5	<u>Pension Fund</u>	
S3/5/R	Routine Enquiries	D1
S3/5/1	Government Employee Pension Fund	D5
S3/5/2	Official working hours	D5
S3/6	Long service recognition	D1
S3/7	<u>Termination of Service</u>	
S3/7/P	Policy	D10
S3/7/R	Routine Enquiries	D1
S3/7/1	Misconduct (Warnings)	D3
S3/7/2	Resignation	D7
S3/7/3	Withdrawal of Resignation	D7
S3/7/4	Ill-health Retirement	D7
S3/7/5	Early Retirement	D7
S3/7/6	Withdrawal of Early Retirement	D7
S3/7/7	Normal Retirement	D7
S3/7/8	Death	D7
S3/7/9	Dismissal /Abscondment	D7

S3/8	Exit Interviews	D2
S3/9	Compensation of Occupational Injury on duty Act	D7

S4 STAFF RECRUITMENT AND UTILISATION

NUMBER	DESCRIPTION	DISPOSAL
S4/P	Policy	D10
S4/R	Routine enquiries	D1
S4/1	Human Resource Plan/ Reports	A10
S4/2	Succession and Retention Strategy	A10
S4/3	<u>Post Classification</u>	
S4/3/1	<u>Permanent Posts</u>	
S4/3/1/1	<u>Recruitment</u>	
S4/3/1/1/1	Routine enquiries	D1
S4/3/1/1/2	Advertisements	D5
S4/3/1/1/3	Schedules for advertised posts	D5
S4/3/1/1/4	Appointment of Panel members	D5
S4/3/1/2	<u>Shortlisting</u>	
S4/3/1/2/1	<u>Submissions, Shortlisted candidates and Minutes</u> (Open a file per post and number consecutively)	D5
S4/3/1/3	<u>Interviews</u>	
S4/3/1/3/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per post and number consecutively)	D5
S4/3/1/4	<u>Selection/ Appointments</u>	

S4/3/1/4/1	<u>Submission, minutes, Scoresheet, Reference check, Results</u> (Open a file per post and number consecutively)	D5
S4/3/2	<u>Temporary Posts</u>	
S4/3/2/P	Policy	D10
S4/3/2/R	Routine enquiries	D1
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S4/3/2/2	Experiential Training	D5
S4/3/2/3	Learner- ship	D5
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S4/3/3/P	Policy	D10
S4/3/3/R	Routine enquiries	D1
S4/3/3/1	<u>Recruitment</u>	
S4/3/3/1/1	Advertisements	D5
S4/3/3/1/2	Schedules for advertised posts	D5
S4/3/3/1/3	Appointment of Panel members	D5
S4/3/3/1/4	Unblocking of PERSAL	D5
S4/3/3/2	<u>Shortlisting</u>	
S4/3/3/2/1	<u>Submissions, Shortlisted candidates and Minutes</u> (Open a file per circular and number consecutively)	D5
S4/3/3/3	<u>Interviews</u>	
S4/3/3/3/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per circular and number consecutively)	D5

S4/3/3/4	<u>Selection/ Appointments</u>	
S4/3/3/4/1	<u>Submission, minutes, Scoresheet, Reference check, Results</u> (Open a file per circular and number consecutively)	D5
S4/3/4	<u>Internship Programme</u>	
S4/3/4/P	Policy	D10
S4/3/4/R	Routine enquiries	D1
S4/3/4/1	<u>Recruitment</u>	
S4/3/4/1/1	Advertisements	D5
S4/3/4/1/2	Schedules for advertised posts	D5
S4/3/4/1/3	Appointment of Panel members	D5
S4/3/4/2	<u>Shortlisting</u>	
S4/3/4/2/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per circular and number consecutively)	D5
S4/3/4/3	<u>Interviews</u>	
S4/3/4/3/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per circular and number consecutively)	D5
S4/3/4/4	<u>Selection/ Appointments</u>	
S4/3/4/4/1	<u>Submission, minutes, Scoresheet, Reference check, Results</u> (Open a file per circular and number consecutively)	D5
S4/3/5	<u>Periodical Appointment (Audit Committee member)</u>	
S4/3/5/P	Policy	D10

S4/3/5/R	Routine enquiries	D1
S4/3/5/1	<u>Recruitment</u>	
S4/3/5/1/1	Advertisements	D5
S4/3/5/1/2	Schedules for advertised posts	D5
S4/3/5/1/3	Appointment of Panel members	D5
S4/3/5/2	<u>Shortlisting</u>	
S4/3/5/2/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per post and number consecutively)	D5
S4/3/5/3	<u>Interviews</u>	
S4/3/5/3/1	<u>Submissions, Invitation to interviews, Minutes, Schedule of Scores and outcome</u> (Open a file per post and number consecutively)	D5
S4/3/5/4	<u>Selection/ Appointments</u>	
S4/3/5/4/1	<u>Submission, minutes, Scoresheet, Reference check, Results</u> (Open a file per post and number consecutively)	D5
S4/4	<u>Status of Posts</u>	
S4/4/1	Filled	D5
S4/4/2	Vacant	D5
S4/4/3	Funded	D5
S4/4/4	Unfunded	D5
S4/4/5	Upgrade of post	D5
S4/5	Placement Control/ Out of Adjustment	D5

S4/6	Security Clearance	D5
S4/7	Unsuccessful/regrets for interviewed candidates	D5
S4/8	<u>Application and Appointments</u> Open a file for each category of post and as soon as a person is appointed his/her documents should be removed from the opened file and be placed on the S.P. file. For personal files see the List of Series of Separate Case Files at the end of the numerical classification)	A20
S4/9	<u>Package structuring</u>	
S4/9/1	SMS	D1
S4/9/2	MMS	D1
S4/10	<u>Probation</u>	
S4/10/1	Confirmation of Probation	D5
S4/10/2	Extension of Probation	D5
S4/11	Acting on high post	D5
S4/12	Task Team (Members, Minutes and Resolution)	D5
S4/13	Unspecified Posts	D5
S4/14	Demotion	D5

S5 Employee Utilization and Capacity Building

NUMBER	DESCRIPTION	DISPOSAL
S5/P	Policy	A20
S5/R	Routine Enquiries	D1
S5/1	<u>Training and Development (Staff)</u>	
S5/1/1	Workplace Skills Plan	A10
S5/1/2	Skills Audit	D3
S5/2	<u>Training</u>	
S5/2/1	PMDS Training (internal)	D5
S5/2/3	<u>Diplomas / Degrees/Postgraduates</u> (Open a file for each learner and number consecutively)	D5
S5/2/4	<u>Skills Programmed/Certificates</u> (Open a file for each program and number consecutively)	D5
S5/2/5	<u>Short Courses/ Courses/ Conferences/Work shops</u> (Open a file for each short course and number consecutively)	D5
S5/2/6	<u>Adult Basic Educational Training (ABET)</u> (Open a file for each learner and number consecutively using PERSAL numbers)	D5

S5/2/7	<u>Induction and Reorientation</u>	
S5/2/7/1	Senior Management	D3
S5/2/7/2	Middle and lower Level	D3
S5/2/8	<u>Experiential learning</u> (Open a file for each learner and number them consecutively using the names and identity numbers)	D1
S5/3	<u>Bursaries</u>	
S5/3/P	Policy	D10
S5/3/R	Routine Enquiries	D1
S5/3/1	Advertisements and Regrets	D3
S5/3/2	Appointment of panel / Committee Members	D3
S5/3/3	Invitations/Agenda/Minutes	D3
S5/3/4	Assessment of Applications	D3
S5/3/5	<u>Successful applications</u> (Open a file for each student and number them consecutively using names and identity numbers)	D3

S6 PERFORMANCE MANAGEMENT

NUMBER	DESCRIPTION	DISPOSAL
S6/P	Policy	A20
S6/R	Routine Enquiry	D1
S6/1	<u>Performance Management Committee</u>	
S6/1/1	Appointment of Committee Members	D3
S6/1/2	Invitations/Agenda & Minutes of PMDS	D3
S6/1/3	Minutes of Performance Management Committee Meetings	D3
S6/1/4	Ad Hoc Cases	D5
S6/2	<u>Performance Instruments</u>	
S6/2/1	Performance Agreements	D1
S6/2/2	Mid –Term Review	D1
S6/2/4	Second term Review	D1
S6/2/5	Performance Management Incentives (Results of evaluation)	D3
S6/3	Circulars	D3
S6/4	Performance Management Queries and Outcomes	D3
S6/5	<u>Intradepartmental correspondence (Internal)</u> (Open a file per branch and number consecutively)	D3
S6/6	<u>Inter-departmental correspondence (External)</u> (Open a file per department and number consecutively)	D5

S6/7	<u>Reports</u>	
S6/7/1	Internal	D5
S6/7/2	External	D5
S6/8	<u>Awareness / Training</u>	
S6/8/1	Branch 1 (Corporate Management Services)	D1
S6/8/2	Branch 2 (Sustainable Resource, Management)	D1
S6/8/3	Branch 3 (Asset, Liabilities and Supply Chain Management)	D1
S6/8/4	Branch 4 (Financial Governance)	D1
S6/8/5	Branch 5 (Shared Internal Audit Services)	D1

S7 STAFF MOVEMENT

NUMBER	DESCRIPTION	DISPOSAL
S7/P	Policy	A20
S7/1	<u>Transfers</u>	
S7/1/R	Routine enquiries	D1
S7/1/1	Internal	D1
S7/1/2	External	D1
S7/2	Secondment	D1
S7/3	Relief Arrangements	D1
S7/4	Horizontal Translation of Officers from one Occupational Class to another	D1

S8 STAFF CONTROL

(This main series should not be confused with Post Control. It has only to do with Staff Control. For Post Control, see Main Series 2)

NUMBER	DESCRIPTION	DISPOSAL
S8/P	Policy	A20
S8/R	Routine Enquiries	D1
S8/1	Remunerative Work outside the Public Service	D3
S8/2	Organized labour activities (e.g. unionism)	D3
S8/3	Financial Disclosure	D3
S8/4	<u>Informal Disciplinary matters</u> (Open a file per official and number consecutively using the Ref no. followed by PERSAL Number)	
S8/5	<u>Formal Disciplinary matters</u> (Open a file per official and number consecutively using the Ref no. followed by PERSAL Number)	D3
S8/6	Declaration to receive Gifts	D1
S8/7	Leave Credit and Planning	D1
S8/8	<u>Labour Matters</u>	
S8/8/R	Routine Enquiries	D1
S8/8/1	Labour Relations	D1

S8/8/1/1	<u>Disciplinary Action</u> (Open a file for each disciplinary case number consecutively using the Ref. No. S8/8/1/1 followed by disciplinary Number, Month and Year in which action was initiated, e.g. for disciplinary number 01 January 2021 should be as follows: S8/8/1/1/1 – 01/2021	D3
S8/8/1/1/R	Routine Enquiries	D1
S8/8/1/1/2	Reports	D3
S8/8/1/2	<u>Disputes</u> (Open a file for each dispute and number consecutively using the Ref. No. S8/8/1/2 followed by dispute Number, Month and Year in which action was initiated, e.g. dispute No. 01 January 2021 should be as follows: S8/8/1/2/1 – 01/2021	D3
S8/8/1/2/1	Reports	D3
S8/8/1/3	<u>Grievance procedures</u> (Open a file for each grievance and number consecutively using the Ref. No. S8/8/1/3 followed by grievance Number, Month and Year in which grievance was lodged, e.g. for grievance No.01 January 2021 should be as follows: S8/8/1/3/1 – 01/2021	D3

S8/8/1/3/R	Routine Enquiries	D1
S8/8/1/3/1	Reports	D3
S8/8/1/4	<u>Industrial Action</u>	
S8/8/1/4/R	Routine Enquiries	D1
S8/8/1/4/1	<u>Strike/Stay Away/Sit In</u> (Open a file for each strike action using the Ref. No. S8/8/5/1 followed by strike action Number, Month and Year in which action was initiated, e.g. for strike action No. 01 January 2021 should be as follows: S8/8/1/4/1/1 – 01/2021 and number them consecutively)	D3
S8/8/1/4/1/1	Reports	D3
S8/8/1/5	<u>Bargaining Chambers cases</u>	
S8/8/1/5/R	Routine enquiries	D1
S8/8/1/5/1	General Public Service Sectorial Bargaining Council (GPSSBC)	D3
S8/8/1/5/2	Reports	D3
S8/8/1/5/3	Public Service Coordinating Bargaining Chamber (PSCBC)	D3
S8/8/1/5/4	Coordinating Chamber of Limpopo Province (CCPLP)	D3
S8/8/1/5/5	Limpopo General Public Service Sectorial Bargaining Council (LGPSSBC)	D3

S8/8/1/5/6	<u>Office of the premier (OTP)</u> (Open a file for each grievance and number consecutively using the Ref. No. 8/8/1/5/6/1 followed by grievance Number, Month and Year in which grievance was lodged, e.g. for grievance No.01 January 2021 should be as follows: S8/8/1/5/6/1-01/2021	D3
S8/8/2	<u>Employee Health and Wellness</u>	
S8/8/2/P	Policy	D10
S8/8/2/R	Routine Enquiries	D1
S8/8/2/1	Reports	D3
S8/8/3	<u>Case Management</u> (Open a file for each case and number them consecutively using the Ref. No. S8/8/3/1 followed by case Number, Month and Year in which case was initiated, e.g. for case number 01 January 2021 should be as follows: S8/8/3/1 – 01/2021 – PERSAL NO. / ID NO.	D3
S8/8/3/1	Social Plan for Retrenched Workers	D3
S8/8/3/2	Research on Social Problems	D3
S8/8/3/3	Trauma Debriefing	D3
S8/8/4	<u>Workplace HIV ,AIDS and TB Program</u>	
S8/8/4/P	Policy	D10
S8/8/4/R	Routine Enquiries	D1

S8/8/4/1	Treatment Care and Support	D3
S8/8/5	<u>Counseling</u> (Open a file for each Case and file number consecutively)	D3
S8/8/6	<u>Employment Equity</u>	
S8/8/6/P	Policy	D10
S8/8/6/R	Routine Enquiries	D1
S8/8/7	<u>Employment Equity Plan</u>	
S8/8/7/1	Disability Matters	D3
S8/8/7/2	Employment Equity Statistics and Reports	D3
S8/8/8	<u>Public Service Commission (PSC)</u> (Open a file for each grievance and number consecutively using the Ref. No. followed by grievance Number, Month and Year in which grievance was lodged, e.g. for grievance No.01 January 2021 should be as follows: S8/9-01//01/2021	D3
S8/8/8/1/R	Routine Enquiries	D1
S8/8/8/2	Reports	D3

S9 FINANCIAL MATTERS

NUMBER	DESCRIPTION	DISPOSAL
S9/P	Policy	A20
S9/R	Routine Enquiries	D1
S9/1	<u>Estimates</u> (Open a file for each Financial Year and number consecutively e.g. for 2021 FY should be S9/1/1-2021/9)	D7
S9/2	<u>Salaries</u>	
S9/2/R	Routine Enquiries	D1
S9/2/1	Salary Scales	D7
S9/2/2	Over deduction	D7
S9/2/3	Over payment	D7
S9/2/4	Adjustments	D7
S9/2/5	Refunds and Re-deposits of Salaries	D7
S9/2/6	Recovery of Overpayments	D7
S9/2/7	Reversal of Salaries	D7
S9/2/8	Freeze of Salary	D7
S9/2/9	Union details	D7
S9/2/10	IRP5 Certificates	D7
S9/2/11	IRP5 Accumulations	D7
S9/3	<u>Payments</u> (Open file for each payment and number consecutively e.g. S.9/3/1-PERSAL NO.)	D7
S9/4	<u>Deductions</u>	
S9/4/R	Routine Enquiries	D1

S9/4/1	Stop Orders	D5
S9/4/2	Income Tax	D7
S9/4/3	Insurance	D7
S9/4/4	Housing Loans	D7
S9/4/5	Medical Aid Fund	D7
S9/4/6	Pension	D7
S9/4/7	Court Orders (Maintenance, Garnishee/ Emoluments Orders and administration orders	D7
S9/4/8	Pay As You Earn (PAYE)	D5
S9/4/9	Domestic Charges	D7
S9/4/10	Funds Payable to the Estates of the Deceased Officials	D10
S9/4/11	Unemployment Insurance Fund	D7
S9/4/12	Salary Payments Abroad	D10
S9/4/13	Pay Sheets and Vouchers	D7
S9/4/14	Micro loans	D3
S9/4/15	Disallowance of allowance	D7
S9/4/16	Discretionary deductions	D7
S9/4/17	General deductions	D7
S9/4/18	Departmental deductions	D7
S9/5	<u>Allowances and bonuses</u>	
S9/5/R	Routine Enquiries	D1
S9/5/1	Subsistence and Travel costs	D7
S9/5/2	Service bonus	D5
S9/5/3	Entertainment allowance	D5
S9/5/4	Over-time remuneration	D5
S9/5/5	Acting Allowance	D5
S9/5/6	Allowance to MEC personnel	D5
S9/5/7	Allowance to HOD personnel	D5

S9/5/8	HRM Claims by and against the department	D7
S9/5/9	Danger Allowance	D5
S9/6	<u>Resettlement</u>	
S9/6/P	Policy	D10
S9/6/R	Routine Enquiries	D1
S9/6/1	Claims	D3
S9/6/2	Arrangement for Transporting of Goods	D3
S9/7	Departmental Debts	D3
S9/8	Workmen's compensation	D7
S9/9	<u>Ex-Gratia Payments</u>	
S9/9/P	Policy	D10
S9/9/1	Payments	D7
S9/9/2	PERSAL Matters	D5

S10 TRANSPORT AND TRAVELING

NUMBER	DESCRIPTION	DISPOSAL
S10/1	<u>Subsidized Motor Transport</u>	
S10/1/P	Policy	A20
S10/1/R	Routine Enquiries	D1
S10/1/1	Circulars	D3
S10/1/2	Misuse	D3
S10/1/3	Additional Kilometers	D3
S10/1/4	Withdrawal	D3
S10/1/5	Fuel Claim	D3
S10/1/6	Inspection	D3
S10/2	<u>Private Owned Vehicle</u>	
S10/2/R	Routine Enquiries	D1
S10/2/1	Application and Approval	D3
S10/2/2	Circulars	D3
S10/2/3	Withdrawal	D3
S10/2/4	Fuel Claim	D3
S10/2/5	Inspection	D1

S11 DOMESTIC MATTERS

NUMBER	DESCRIPTION	DISPOSAL
S11/P	Policy	D10
S11/R	Routine Enquiries	D1
S11/1	Congratulations, Expressions of Thanks and Condolences	D1
S11/2	Christmas and New Year Messages	D1

LIST OF SERIES OF SEPARATE CASE FILES

REFERENCE	DESCRIPTION	DISPOSAL
S.P., Surname and initials	<u>Personal Confidential File</u> This file contains all confidential documents, e.g. letter of appointment, promotions and documents of merit	D20
S.L., Surname and initials	<u>Leave File</u> This file contains leave forms correspondence re leave matters	D20
S.A., Surname and initials	<u>Injury on Duty File</u> This file contains documents referring to accidents that happen on duty and more specifically where the Occupational Diseases and Injuries Act is applicable	D10
S.H., Surname And initials	<u>Housing File</u> This file contains documents concerning state guarantee together with home owner allowance	D20
S.L.R, Surname and initials	<u>Labour Relations File</u> This file contains documents related to labour disputes	D20
S. PMS., Surname and initials	<u>Performance Management File</u> The file contains documents regarding Performance Agreement and Progress Reviews	D5
S.S., Surname And initials	<u>Salary File</u> This file contains documents concerning salaries and Allowances	D20
S.D., Surname and initials	<u>Disciplinary File</u> This file contains documents Regarding Disciplinary warnings related to misconduct appeals grievances, etc.	D20
D.V., PERSAL Number	<u>Development File</u> This file contains documents regarding certificate obtained after attending at workshop or a course	D10