



SECTION 6

BASIC REGISTRY PROCEDURES

- d. Nothing has been added to the file for the last year.
- e. Action on the subject covered by the file has come to an end.

In each of the above cases a RSLAF Registered File Disposal Form (RSLAF 262F) must be raised.

FILE MINUTE SHEET

Each file should contain a File Minute Sheet even if there are no minutes recorded on it. This is not held on the file as a folio, but is attached on the left hand side inside the file cover.

FILE RECORD SHEET (RSLAF 262A)

A RSLAF 262A, sometimes referred to as a Charging Sheet, is to be maintained for each current and archived file held. Each file movement is to be recorded on the RSLAF 262A to ensure that its whereabouts are known at all times.

When an archived file is destroyed the RSLAF 262A is also destroyed.

MOD REGISTERED FILE DISPOSAL FORM (RSLAF 262F)

The RSLAF 262F is used when a file is being recommended for archive action. When a file is archived the RSLAF 262F becomes the top folio in the file but is not folio numbered.

Archived files should be stored in numerical order. As a reminder to review an archived file for disposal action, the date a file is due to be reviewed should be entered onto the Brought Forward (BF) card.

When a file is destroyed together with its relevant RSLAF 262A, the RSLAF 262F is to be retained for a period of 5 years as proof that the file once existed.

CROSS REFERENCING

Cross-referencing is an aid to the recipient of correspondence as it informs them where the other references are located within a file.

Eg.



(The above example shows that Folio 3 has a Reference on a correspondence that is located rearwards in the file at F2 and forwards at F5).

FOLIO TRANSFER

Folio enclosures may be transferred from one file to another. Eg. if F12 on file JFC/1000 is to be relocated onto file JFC/1000/1 then the following action must be taken.

- a. Extract F12 from file JFC/1000 and replace with a locally produced 'Folio Transfer Slip'. This will record that F12 once lived in this file.
- b. Cross through, but do not erase F12.
- c. Place the former F12 onto the new file JFC/1000/1 and give it a new folio number.

PROTECTIVE MARKS

Protective Marks are applied to documents where material if disclosed would cause varying degrees of damage to the operational effectiveness and security of the department/nation. Protective marks are, in descending order:

- a. Secret.
- b. Confidential.
- c. Restricted.

Protective markings and descriptors are to be placed at the top and bottom of each page and on the reverse of the final page

DESCRIPTORS

Descriptors are used in conjunction with a protective mark. Descriptors include:

- a. APPOINTMENTS. Matters concerning actual or potential appointments of personnel.
- b. BUDGET. Concerning budgetary matters.
- c. CONTRACTS. Concerning matters relating to tenders and contracts.
- d. HONOURS. Concerning the award of honours to personnel.
- e. INTELLIGENCE. Concerning intelligence source material and assessments.
- f. INVESTIGATION. Concerning investigations into disciplinary and criminal matters.
- g. MANAGEMENT. Concerning policy and planning matters.
- h. MEDICAL. Concerning medical reports and records.
- i. PERSONAL. Material only to be seen by the person to whom it is addressed.
- j. POLICE. Police matters concerning police operations and activities.

- k. POLICY. Concerning proposals for new or changed government policy before publication.
- l. STAFF. Matters concerning named or identifiable staff or personal confidences entrusted by staff to management.
- m. VETTING. Matters concerning the security clearance of personnel.
- n. VISITS. Details of visits by personnel.

BRANCH NUMBERING SYSTEM

The Branch Numbering System is used to denote a system where each file has a title which is unique and is an indicator of the subject. File titles are given by the person who has responsibility for that subject area.

The file title should be neither too broad nor too narrow. Files which have a title that is too broad will become cluttered with information relating to different aspects of a subject. Files which have a title that is too narrow may be little used and contain scant information.

Whilst it is the responsibility of the registry clerk to pen files, care should be taken to ensure that duplication of files does not happen and also to query the opening of files which might be better placed on another file.

Each file has a unique reference number in addition to the title thus enabling it to be identified, retrieved and maintained easily. Each file has:

- a. Prefix. To indicate the unit to which a particular file belongs. Eg. JFC, JSC
- b. Indicating Number. Within the JFC files are numbered in relation to J1 – J9 roles, eg JFC/400, denotes a file within J4.

INSTRUCTIONS FOR OPENING, CLOSING AND DESTROYING FILES AND BF SYSTEM

OPENING A NEW FILE

When opening a new file carry out the following:

1. Allocate new file number according to the subject of the correspondence (check with Ch Clk).
Add the File register with details of the new file.
3. Raise new file cover depending on the classification of the correspondence you are filing as the first enclosures.
4. Raise RSLAF 262A Registered File Record Sheet and file in folder in correct numerical order.

CLOSING A FILE AND OPENING NEW PART

Once a file becomes too bulky or has 100 enclosures filed on it the file should be closed and a new part opened. To do this carry out the following action:

1. Raise RSLAF 262F Registered File Disposal Form and place on file as top enclosure.
2. Cross through the front of the file and write 'closed' and date.
3. Book file out to the responsible officer for review procedure at part 1 of RSLAF 262F.
4. On return of the file carry out the instructions given by reviewing officer at Part 1. This will be either:
 - a. Destroy the file immediately (see file destruction).
 - or
 - b. Put the file away and review again at a later date ensuring you enter the Review date on the front cover of the file (see Archive file procedure).
5. Carry out action on RSLAF 262A according to instructions for destruction or PA action.
6. Raise new file part number as per instructions for 'Opening a new file'.

DESTROYING A FILE

When a reviewing officer has indicated on RSLAF 262F that a file is to be destroyed carry out the following action (for SECRET files consult Ch Clk).

1. Remove RSLAF 262F from file.
2. Tear up file cover and all unclassified correspondence. Classified correspondence from Restricted to Confidential should be shredded or burnt. For Secret correspondence consult the Ch Clk.
3. Complete part 2 of RSLAF 262F and file in RSLAF 262F folder in correct file number order.

ARCHIVE A FILE

When a reviewing officer has indicated on RSLAF262F that he wishes the file to be retained for a stated period and reviewed again the following action is to be taken:

1. Record the date of the review on RSLAF 1965, 'Bring Forward Index Card', indicating file number, part number, reviewing officer and month and year to be reviewed.
2. Enter the Review date on the front of the file cover and put the file away in the archive cabinet in file number order.
3. Move RSLAF 262A from the current file folder and move it into the Archived Section.

BRING FORWARD (BF) SYSTEM – RSLAF 1965

A Bring Forward or BF system is operated by all registries, consisting of 31 cards, one for each day of the month. When a person wishes to indicate that a BF is required they will enter a charging onto the file cover in red. Eg. BF OC BMF 20Apr03. When the file is returned to the registry, the registry staff will amend the RSLAF 262A to show that the file has been returned and annotate the appropriate BF Card; this will ensure that the file is selected on the correct day of the correct month. The registry staff will then initial the entry on the file cover to show that the BF request has been noted on the BF cards.

The BF card is also used as a reminder to ensure that archived files are reviewed prior to their planned destruction date. Each archived file review date is entered on the right hand side of the card in red to differentiate it from current files which are normally stored separately. Personnel must ensure that the file, along with its part number is entered correctly to ensure that the wrong part is not accidentally destroyed.

Each day, first thing in the morning, the card for that particular day of the month should be reviewed and actioned. The following action is to be taken on a daily basis:

1. First thing in the morning review the RAF Form 1965 for that day.
2. Action the files listed for that day.
3. Delete the BF entry on RSLAF 1965 to show that the file has been sent to the addressee.
4. Place current day's RSLAF 1965 to the back of the cards.
5. Book file out to addressee on RSLAF 262A

ACTIONING A REQUEST FOR A BF

When a request has been received to see a file or correspondence on at a future date carry out the following action:

1. Locate RSLAF 1965 BF card (the card with the correct date as requested).
2. Enter the details of the file (including part number), the recipient and the month and date

3. Enter details of recipient, date and file or enclosure number on front of the file in RFD. Then initial the entry.

4. Carry out steps as detailed in 'BRING FORWARD SYSTEM'.

FILE CHECKS AND CUSTODY

File checks and the custody of all registered files is the responsibility of the registry staff. File checks are to be carried out in the registry by the registry staff on a running basis, a percentage/number of files should be checked daily. The registry staff should ensure that:

- a. Files are kept in the correct numerical sequence.
- b. No letters for despatch are held on a file.
- c. All the file chargings on the front cover have been crossed through. If the file charging has not been crossed through the file is to be returned to branch to which the charging referred.
- d. The folios are correctly numbered.
- e. All files must be checked within a specified period, eg. every 6 months.
- f. Is the file cover in good order; if not you must replace it by transferring all the details off the old cover onto the new cover. Cut off the front cover of the old file and place it on the left inside of the new file to show who has seen the folios.
- g. Does the file cover have:
 - a. A subject.
 - b. The date opened.
 - c. A part number.
 - d. A classification.

If not then you must write them in.

- h. The classification of the highest folio must be seen on the outside cover of the file, e.g. RESTRICTED, SECRET etc.
- i. Once all the above has been completed you must record the fact that you have checked the file by stating so on the inside right hand side of the file in the following manner, write in a new table if there isn't currently a table on the inside cover:

DATE CHECKED	NAME	LAST FOLIO NUMBER	SIGNATURE

- j. Next check that the file has a RSLAF 262 and that it has written on it:
 - a. A subject
 - b. The date opened.
 - c. A part number.
 - d. A classification.

If not then you need to raise, or amend, F262 as required.

- k. Once all of the above has been completed then sign the Record of File Checks Register

RESTRICTED

(FILE REFERENCE)

FILE SUBJECT
(PART NUMBER)

DATE FILE OPENED

DATE FILE CLOSED

FILE

(FILE REFERENCE)

SUBJECT)

EXAMPLE OF A CIRCULATION SHEET

APPT	SIGNATURE	DATE
CO		
2 IC		
ADJ		
OPS OFFICER		
QM		
ADMIN OFFICER		
RSM		
(NOTE)		<u>FILE</u> <u>REFERENCE</u>

Note: The size of the circulation sheet should be as small as possible – preferable size would be 4 to a sheet of A4 paper.

BF NOTIFICATION PROFORMA

To.....(Branch)

File Number.....

Subject.....

Due to be BF'd to you today is charged to.....(Branch)

On.....(Date).

Signature.....

Rank/Name.....

Date.....

REQUEST FOR ALLOCATION

To.....(Branch)

1. File original reference number.....

Dated.....

Subject.....

Is passed to you for allocation. Please indicate allocation by completing this slip.

*1. The above correspondence has been/should be filed on.....

*2. New files is required with a title.....

*3. Passed to.....(Branch).....
who is requested to complete 1 or 2 above and return to the Registry.

*4. Unable to assist with filing allocation. Returned to the Registry.

Signature.....

Rank/Name.....

Date.....

RECEIPT OF MAIL

PRIORITISATION OF MAIL

Incoming mail is to be dealt with in the following order:

- a. Mail delivered by special courier
- b. Incoming signals in precedence order as follows:
 - (1) Immediate.
 - (2) Priority.
 - (3) Routine.
- c. All letters in precedence order as follows:
 - (1) Immediate.
 - (2) Priority.
 - (3) All incoming official letters.
- d. All other official mail.

The mail now needs to be identified, allocated to a file and circulated to the officer responsible for the subject, or to someone that needs to see it.

WHO CAN OPEN WHAT MAIL

The following summarises who is responsible to open what mail:

- a. Secret and Confidential Mail. All secret and confidential mail should be first sighted by the Chf Clk/Superintendent who will pass it to a clerk authorised to open the mail. In the Chf Clk/Superintendents absence, an authorised Cpl/LCpl will first sight the mail.
- b. Unclassified or Restricted Mail. This can be opened by any authorised registry clerk.
- c. Mail Marked "To be only opened by, Personal or Personal for". Any mails with these markings are to be passed unopened direct to the officer/person concerned. It is their responsibility to inform you of the contents of the correspondence and pass it to you to log and file. During the addressee's absence, mail can be opened by a person authorised to open mail on their behalf.
- d. Mail Marked "For the attention of". Mail marked "For the attention of" is opened and actioned by the person dealing with the mail.
- e. Official Mail Addressed to an Officer by Name. Pass this unopened to the officer concerned. It is the responsibility of the officer to whom the mail is addressed to inform you of the contents and pass it to you for filing.

Date Stamping. All incoming mail **MUST** be date stamped. Where correspondence is to be passed unopened to an officer then the envelope or package should be date stamped. Date stamping assists with the audit trail in that it helps to identify where mail has been held up on its transmission between sender and receiver.

DESPATCH OF MAIL

HANDLING SEQUENCE AND CHECKS REQUIRED BEFORE DESPATCH

Correspondence should be passed to the registry staff by the author of the document. Thereafter, mail should be despatched in the following sequence:

- a. Mail for despatch by special courier.
- b. Signals – in precedence order: immediate; priority; then routine.
- c. Letters – in precedence order: immediate; priority; then routine.
- d. All other official mail.

CHECKS ON PREPARATION OF MAIL FOR DESPATCH

The following checks should be carried out before mail is despatched:

- a. Check all letters and any copies have been signed.
- b. Check that all letters and any copies have been dated.
- c. Ensure that each copy has been highlighted to reflect its recipient.
- d. Ensure that all annexes/appendixes and enclosures are correctly attached.
- e. Place file copy onto file, enclosure number and make any cross references.

Column "o" – the remarks column is where signatures and printed names are placed when classified material is finally booked out to an individual or organisation, or when all action is completed by a clerk, it can also be used to make general comments.

Entries. Each set of entries is to be clearly identified by date. No lines are to be left blank.

Transfer of Enclosures Between Files. The transfer of enclosures between files follows the same procedure as that for restricted or unclassified material but the F102 must be amended to show the new details.

Destruction of Classified Material. All classified material must be either shredded, pulped or incinerated.

Destruction of Files. When a file is due for destruction, the RSLAF 262F is removed from the file and used as the destruction certificate. The RSLAF 262A relating to the file is removed from its binder and destroyed with the file. The RSLAF 262F is retained in a binder that stores RSLAF 262F and retained for a period of 5 years.

Destruction of Classified Material Not Held on File. When classified material that is not held on file is destroyed, it should be logged on a Destruction Certificate and witnessed by a Commissioned Officer logging the date of the document, its subject, any copy number it has and the RSLAF 102 Reference Number.

CLASSIFIED REGISTRY PROCEDURES

In regard to material classified confidential or secret, the registry is responsible for:

The receipt and recording of all secret and accountable confidential material and its delivery to the appropriate individual. Secret documents and letters marked "Personal to/for" and individual by name or appointment are to be passed unopened to the individual concerned, after the contents of the envelope have been recorded in RSLAF 102. It is the responsibility of the addressee to notify the registry of the reference number, date etc of the document and the file to which it has been allocated so that the entry in the RSLAF 102 can be completed.

The recording of despatch of secret correspondence.

Opening and recording the movement of secret files.

RSLAF 102

All secret mail, correspondence, documents and files received must be recorded in the RSLAF 102 along with any movements of classified material. All incoming classified material must be date stamped with the registry stamp and should include details of the RSLAF 102 entry including the serial number. Once full, F102s are to be retained for a period of at least 5 years. There are usually a number of RSLAF 102s held in the registry and include:

- a. Incoming mail.
- b. Outgoing mail.
- c. Protectively Marked Documents Not on File (PMDNF).
- d. Typing/photocopying.
- e. Magnetic media.

RSLAF 102 Serial Number. Each receipt of classified material is entered in the RSLAF 102 as a separate entry with an individual serial number. The serial numbers within the registers are sequential (1,2,3,4 etc) irrespective of date of entry. If there is a high turnover of classified mail it may be worthwhile allocating serial numbers to each F102 in order to ensure serial numbers are unique eg. Incoming mail might be I1; outgoing mail might be O1, PMDNF mail might be PM1, typing/photocopying mail might be TP1; and magnetic media might be MM1.

Record of Inspections. Each inspection undertaken, including any spot checks undertaken by the Military Police, is to be entered in the front of the register. Inspections are carried out both by the supervising officer and independently by other officers. In addition to the daily percentage checks a surprise check should be undertaken at least once a month.

Guidance Notes. The RSLAF 102 has guidance notes on the inside front and back cover. They are not comprehensive but are designed to give assistance in an area where doubt exists as to the meaning about a particular aspect.

Particulars of the Supervising Officer. Particulars of the supervising officer are recorded in the front of the RSLAF 102, these relate to the person who will be responsible for undertaking periodic inspections of the register.

Receipt of Origin. Each column in the Receipt of Origin part of the register must be considered as follows:

Column "a" – each entry in the RSLAF 102 is allocated a serial number and is entered under the date on which it is actioned.

Column "b" – the type of document is indicated by a letter:

L = Letter F = File S = Signal

Column "c" – the sender/originator who is sending/has sent a document.

Column "d" – the date of origin of the document is the date of a letter or the file opened date.

Column "e" – the reference number is that shown on a letter/the file reference number/the signal reference.

Column "f" – the title/subject is the file title or subject heading of the letter.

Column "g" – the number of documents produced or received. Each copy of a letter produced must be allocated a separate serial number.

Column "h" – the copy number relates to individual copies of a document.

Disposal. Disposal is divided into temporary disposal and final disposal, the difference being that temporary disposal is that where documents are held or located on a temporary basis and the final disposal part is its final storage place. For example a letter received from another unit would be finally disposed to a particular file. Once part of that file, the file may be booked out to an individual on a temporary basis. Each column in the disposal part of the register must be considered as follows:

Column "j" – the referred to/returned to column indicates the temporary location of a document. When a file is to be signed out to someone, details of their appointment should be listed, a signature and printed name obtained.

Column "k" – the date on which column 'j' was actioned.

Column "l" – the despatched to (address details) or enclosed in (reference number of file etc) is the final location of the document, for example a letter received would be finally disposed to a file and a file returned by the person to whom it was temporarily loaned would be shown as returned to the Registry/Orderly Room.

Column "m" – the date on which final disposal is actioned.

Column "n" – the date receipt returned relates to the date on which a receipt is returned by a unit or to record details of a receipt being returned by you to another unit.

FLOW CHART FOR DEALING WITH CLASSIFIED MAIL

DATE STAMP CORRESPONDENCE	
RSLAF 102 STAMP CORRESPONDENCE	
ENTER CORRESPONDENCE IN RSLAF 102 REGISTER (SEE TEMPORARY/FINAL COLUMNS)	
INSERT BOOK NUMBER & SER NO. FROM RSLAF F102 ONTO RSLAF 102 STAMP	
DISTRIBUTION:	
<p>TEMPORARY</p> <ul style="list-style-type: none"> • IF MAIL NEEDS TO GO ON CIRCULATION ATTACH DISTRIBUTION LIST • INSERT INTO A DISTRIBUTION FOLDER • ENTER IN THE TEMPORARY COLUMN OF RSLAF 102 THAT MAIL IS IN A DISTRIBUTION FOLDER • YOUR INITIALS • DATE • WHEN MAIL HAS FINISHED CIRCULATING ON DISTRIBUTION, ACTION AS PER FINAL COLUMN (RIGHT) 	<p>FINAL</p> <ul style="list-style-type: none"> • ENTER IN FINAL COLUMN OF RSLAF 102 THE FILE REFERENCE AND FOLIO NUMBER • DATE ACTIONED • IN REMARKS COLUMN ADD YOUR SIGNATURE & PRINT YOUR NAME

FILE TRANSIT

<p>IF A FILE IS REMOVED FROM THE ORD RM YOU MUST:</p> <ul style="list-style-type: none"> • ENSURE THAT IT IS BOOKED OUT IN THE TEMPORARY COLUMN OF RSLAF 102 • THAT YOU GET THE RECIPIENT OF THE FILE TO SIGN IN THE TEMPORARY COLUMN OF RSLAF 102 AND ALSO PRINT HIS/HER NAME SO YOU KNOW WHO THEY ARE AT A LATER DATE (SIGNATURES ARE OFTEN INTELLIGIBLE!) • BOOK THE FILE BACK IN THE FINAL COLUMN AND SIGN OFF RSLAF 102 ENTRY

DESTRUCTION CERTIFICATE

1. The original documents referred to below have been destroyed by shredding/burning (*delete as appropriate).

[illegible]

Note: Line-off all unused boxes

Destroyed by:

Signature _____
Name _____
Rank _____
Date _____

Witnessed by: (Officer)

Signature _____
Name _____
Rank _____
Date _____

RS1AF 262A
(Revised 10/99)
PPC=100

FULL FILE TITLE: Main Heading		File Reference (inc Prefix):			
Secondary Heading		Part (1, 2, 3, etc)			
Other Heading(s)		Revised Protective Marking:			
Date OPENED: (date of first enclosure)		Date Regarded			
Date CLOSED: (MOD Form 262F Raised)		Previous Reference:			
Date of last enclosure:		Caveats & Descriptors			
Held by:	Date Issued	Date Returned	Held by:	Date Issued	Date Returned

(Continued Overleaf)

(Renn)

[illegible]

Registered File Disposal Form

RSLAF 262F
(Revised 10/90)
PPG 100

FULL FILE TITLE:

Main Heading

Chapters & Descriptors

File Reference (inc Prefix)

Part (1, 2, 3, etc)

Date of last enclosure:

Protective Marking:

Date OPENED: (date of first enclosure)

Date CLOSED: (RSLAF 262F Raised)

Part 1 DISPOSAL SCHEDULE RECOMMENDATION

(to be completed when the file is closed) (tick choice)

a. Destroy immediately

☐

b. Destroy after _____ years

☐

Branch Reviewing Officer:

Reviewers Name _____ Rank _____ Signature _____

Date _____

Part 2 DESTRUCTION CERTIFICATE

It is certified that the specified file has been destroyed:

Destroyed by:

Witnessed by: (Secret and above only)

Signature _____

Signature _____

Name _____

Name _____

Rank _____ Date _____

Rank _____ Date _____

FOLIO TRANSFER SLIP

Folio number.....Reference.....Dated.....

Subject.....

.....

Security Grade.....

Is transferred to file/folder.....

As folio number.....

Date.....Signature.....

FOLIO SHEET

[illegible]