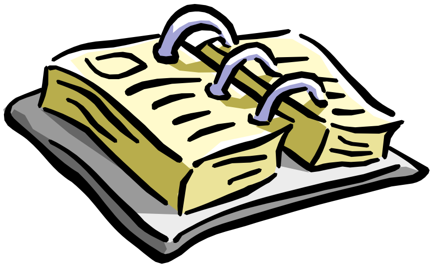
Appendix 5.4



REGISTRY PROCEDURES

FOR THE

SECRETARIAT
OF THE
CARIBBEAN REGIONAL FISHERIES
MECHANISM

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Department
April 2003

Introduction

All Organisations have correspondence registries in which Records Management functions are performed. Records Management has been defined as the systematic organisation of all recorded information - whether it be on paper, tape, disc, film or any other medium -from its creation, through its use, to its storage and final disposition, either in permanent archival storage or in its legal destruction. What this means is that the recorded information of an Organisation must be managed throughout its life cycle, from the moment it is created, throughout all the years that it might be kept, to the day it is destroyed.

The standard of records management practiced within an organisation has a direct impact upon the effectiveness and efficiency of the Organisation's operations. Speedy retrieval and reference service by Registry staff, accurate filing and control of files are all essential to the managers and technical officers if their work is to be carried out efficiently.

This manual is intended to be a guide for staff members in respect to the activities related to the Registry System. It attempts to put into perspective, agreed practices and procedures to assist staff to provide a more efficient reference service.

If employees themselves do not observe the procedures which are basic to the proper functioning of the Registry, no classification system or Registry administration can be expected to be successful.

April 2003

TABLE OF CONTENTS

Page

THE REGISTRY ……………………………………………………………………………5
The Functions ……………………………………………………………………………5
ACCOMMODATION AND LAYOUT OF THE REGISTRY ………………………………….5
RESPONSIBILITY OF THE OFFICER-IN-CHARGE OF THE REGISTRY ………………….5
INCOMING MAIL …………………………………………………………………………6
    Receipt ……………………………………………………………………………6
    Sorting ……………………………………………………………………………6
    Mail Opening ……………………………………………………………………..7
    Recording of Mail ………………………………………………………………...7
    Date Stamping ……………………………………………………………………7
CLASSIFICATION, NUMBERING AND INDEXING …………………………………..…7
    Classification - Subject Files ……………………………………………………..7
SUBJECT/NUMERICAL SYSTEM ……………………………………………………..…8
CLASSIFICATION - PERSONAL FILES …………………………………………………8
THE ALPHA/NUMERIC SYSTEM ………………………………………………………..8
CLASSIFICATION - CONFIDENTIAL FILES ……………………………………………9
INDEXING …………………………………………………………………………………9
MANAGEMENT OF CORRESPONDENCE ………………………………………………9
THE FILE …………………………………………………………………………………10
FILING PROCEDURES …………………………………………………………………..10
    Preliminary Sorting of Correspondence ……………………………………………10
    Placing Correspondence on Files ………………………………………………..10
TEMPORARY FILE ………………………………………………………………………11
REFERENCES AND CROSS-REFERENCING …………………………………………12
CORRESPONDENCE RECEIVED AND THE FILE FOR WHICH IS ALREADY WITH THE OFFICER ……………………………………………………………………..12
ISSUING AND CONTROLLING OF FILES ……………………………………………..12
CHARGE-OUT SYSTEM …………………………………………………………………12
THE MINUTE SHEET AND FILE JACKET ……………………………………………..14
THE MINUTE SHEET ……………………………………………………………………14
THE FILE JACKET ………………………………………………………………………14
FOLLOW-UP AND BRING UP …………………………………………………………..15
DISTRIBUTION OF FILES ………………………………………………………………16
SPLITTING OF FILES ……………………………………………………………………16
LINKING UP PAPERS ……………………………………………………………………16
DIVIDING BULKY FILES ………………………………………………………………16
CLOSING OF FILES ……………………………………………………………………...17
LOST FILES ………………………………………………………………………………17
FILE CENSUS ……………………………………………………………………………..18
RESPONSIBILITY FOR FILES …………………………………………………………..18
WEEDING OF FILES ……………………………………………………………………..18
PUTTING AWAY FILES …………………………………………………………………18

CARE AND MAINTENANCE OF FILES…………………………………………………...19
DISPOSAL OF FILES AND RECORDS……………………………………………………19
Types of Records ……………………………………………………………………..19
Archival Action ………………………………………………………………………19
INTERNAL MEMORANDA AND CIRCULARS…………………………………………..19
DISPATCH OF MAIL …………………………………………………………………….19
REGISTERED MAIL (Outgoing) ………………………………………………………21
BY HAND MAIL ………………………………………………………………………….21
MAIL SCHEDULE - COLLECTION/DISPATCH …………………………………….21
TELEFAX MESSAGES (Outgoing) …………………………………………………….22
TELEFAX MESSAGES (Incoming) ……………………………………………………22
COURIER SERVICE -INCOMING …………………………………………………….22
COURIER SERVICE – OUTGOING ………………………………………………….23

ANNEXES

Classification System for Subject Files ………………………………………………I
Classification System for Personal Files …………………………………………..II
Classification System for Confidential Files ………………………………………III
Minute Paper ……………………………………………………………………………IV
File Cover ………………………………………………………………………………V

REGISTRY SYSTEM

THE REGISTRY

The Functions

1. Most organisations have correspondence registries in which Records Management functions are performed. The basic functions carried out in these specialized sections are as follows:

   (a) controlling all incoming/outgoing correspondence of the organisation it serves;
   (b) receiving, opening, date stamping and registering of all official incoming-mail;
   (c) classifying, numbering, indexing and filing all correspondence appropriate to files;
   (d) routing of correspondence to appropriate subject officers;
   (e) controlling the movement of files;
   (f) maintain indices for files;
   (g) provision of "bring-up" (b.u.) service;
   (h) dispatch of outgoing correspondence;
   (i) custody, maintenance and security of files;
   (j) file examination for action taken before files are put away (p.a.).

ACCOMMODATION AND LAYOUT OF THE REGISTRY

2. The layout and planning of the records section will depend on the system of internal organisation adopted by the CRFM. However, it is important that sufficient space should be provided for:

   (a) adequate storage facilities;
   (b) a physical layout of work stations which permits the chain of work to proceed evenly over short distances from one operating point to another with the minimum of confusion or delay;
   (c) sufficient functionally designed furniture and equipment;
   (d) adequate lighting.

RESPONSIBILITY OF THE OFFICER-IN-CHARGE OF THE REGISTRY

3. The Officer-in-Charge of the Registry is required to:

   (a) supervise the Registry staff;
   (b) control and supervise the day-to-day operations within the Registry in accordance with accepted policies and procedures, and recommend any necessary changes;
   (c) ensure that the operation of the Registry is smooth and efficient;
   (d) ensure that the classification system is adequate for the needs of the CRFM and is modified as the need arises;
   (e) maintain the List of Authorised sub-project activities and Work Breakdown Structure (WBS) numbers, and other Registry Work documentation;

(f) arrange for disposal of non-current records by retirement to non-current storage or destruction.

4. The Officer-in-Charge of the Registry must supervise and check all Registry operations to ensure that they are proceeding according to plan.

5. The Supervisor must be available to answer queries and give advice. She should build up a good working relationship with her staff so that they will approach her readily with their problems.

6. One method of assessing efficiency is by random sampling of work done. The Officer-in-Charge should periodically examine files which have been already processed prior to delivery to action officers.

7. In addition, it is necessary to establish work priorities for those positions which have several types of work flowing into them at one time, for example, the file movement recording area and the faxing machine.

INCOMING MAIL

Receipt

8. All Incoming mail, this includes hand delivered mail, mail delivered by courier service must be handled in the Registry. Any official mail/documents received through personal channels must be passed promptly to the Registry for processing. All mail should be received in a specific area of the Registry – the incoming mail tray on the desk of the Officer-in-Charge.

Sorting

9. All mail received in the Registry prior to opening, should be sorted into one of the following categories:

   (i) Urgent
   (ii) General
   (iii) Classified (confidential, secret, restricted)
   (iv) Personal

10. Urgent mail is opened immediately, recorded, date-stamped and taken urgently to the Executive Director or the addressee.

11. Incoming envelopes are examined by the designated Registry Officer. Mail authorized to be delivered unopened is distributed to the addressees concerned. Mail authorized to be delivered unopened includes personally addressed mail without the official designation of the officer and not bearing the stamp or identification of another organisation or associate Institution.

12. Mail addressed to the organisation but included in the address "attention Mr./Ms ...." is normally opened in the Registry.

13. If the contents of mail delivered to officers as personal, subsequently turns out to be official it should be returned promptly to the Registry for processing.

Mail Opening

14. A routine should be developed to ensure that all the contents of envelopes, packages etc. are removed by the Registry Officer. Enclosures must be identified and attached to the covering documents. Care must be taken to avoid damage to legal documents, certificates etc. In cases where all enclosures are not received, the sender should be contacted and arrangements made to obtain the missing documents. A note should also be made on the covering letter that the enclosures were not received in the Registry.

Recording of Mail

15. All official mail received in the Registry, after the opening and sorting processes, must be recorded in the "Incoming Mail Register". This register is ruled in columns to provide the following details:

    (i) Date of receipt
    (ii) Date of correspondence
    (iii) From whom sent
    (iv) Addressed to whom
    (v) Subject

16. Each piece of mail has to be read carefully so that its subject matter could be recorded accurately.

Date Stamping

17. Each piece of correspondence should be stamped with the date of receipt in the Registry. When stamping, care should be taken to avoid defacing legal or personal documents. These documents could, if necessary, be date stamped at the back of the document.

CLASSIFICATION, NUMBERING AND INDEXING

Classification - Subject Files

18. The key operation in the Registry System is that of classification. Papers may be arranged according to the alphabet, in chronological order, numerically, by geography, by sub-division of a subject or by a combination of any two or more methods. Underlying any system is the method of classifying the records, that is, determining the groupings that should be made and by which they should be kept.

SUBJECT / NUMERICAL SYSTEM

19. Under this system of classification file numbers for subject files would comprise the WBS numbers. Files within a particular series would be numbered in consecutive order starting from one. The series may be broken down into sub-series as the numbering process develops. For example:

Main Subject Heading	**WBS #**	**File title (Sub-project)**	**File No (WBS#)**
Fisheries Data Management Systems	300	Review and Refinement of the Data Collection Systems	310.1/320.1
		Enhance Data Collection Plans to Cover the Major Fisheries	310.2

20. New main headings could be added at the end of the list and the next number allotted.

21. Classification system for Subject Files is shown at Annex I.

CLASSIFICATION - PERSONAL FILES

22. Personal files present no problem in classifying but for ease of reference require some form of numerical identification and indexing.

THE ALPHANUMERIC SYSTEM

23. Under this system all files are first classified alphabetically, then numbered in sequence. For example, files for Jane Sargeant, Malcolm Peters, Sheila Alves, John Singh, Noreen Drakes will be indexed as follows:-

A/1	Alves; Sheila
D/1	Drakes, Noreen
P/1	Peters, Malcolm
S/1	Sargeant, Jane
S/2	Singh, John

24. The advantages of this system are:

(i) allocation of numbers and alphabetic indexing are done at the same time;
(ii) files are stored both in alphabetic and numeric sequence;
(iii) the alpha-numeric index could be sub-divided so as to accommodate, leave papers, confidential papers, etc.

25. The classification system for Personal Files is attached as Annex II.

THE ALPHABETICAL SYSTEM
CLASSIFICATION - CONFIDENTIAL FILES

26. Where it is necessary that confidential files should be classified separately, these files could be indexed in the same manner as that adopted for subject files. File covers, however, would be marked **"CONFIDENTIAL"** and be stored separately from the other files. The classification system for Confidential Files is shown at Annex III.

Under this system all files are classified alphabetically. With regards to the CRFM this system is used for Organizational, Institutional files:
example: CARICOM, FAO, IMA, ICCAT

INDEXING

27. In order to indicate what files exist on a subject, and to enable files to be traced it is necessary to maintain an index for files. The index could be done in loose-leaf form and would comprise:

(i) index sheets on which would be listed main Subject Headings;
(ii) an index sheet for each main heading on which would be listed all sub divisions of the particular main heading (file titles) together with the reference numbers.

28. The index would not only facilitate the identification of existing files but in addition it would indicate the numbers to be allotted to new main subject headings, subdivisions of subject headings as well as new file titles. Also it would provide:

(i) a numerical list of main subject headings
(ii) a numerical list of file titles under each main heading
(iii) an alphabetical arrangement of main subject headings

29. To operate any classification system effectively the index must be kept up-to-date. Failure to record the series of a file on the index may result in more than one file having the same number, or in correspondence not being able to be easily traced.

MANAGEMENT OF CORRESPONDENCE

30. **All official correspondence received at the CRFM Secretariat addressed to the Executive Director and all other Senior Officers must be put on file, minuted and routed to them the same day it is received.**

31. The Executive Director, and all other Senior Officers note the correspondence on the relevant files and then give specific instructions either on a routing slip attached to the filed correspondence or on the minute sheet to the relevant action/subject officers, which the Registry then complies with in a speedy manner.

THE FILE

32. All papers are arranged in files according to the "split" file method - minutes tagged inside the left hand file cover and all correspondence and enclosures, memoranda, reports etc. - in fact, everything except minutes - tagged inside the right hand cover. The papers are held together with a file lace or treasury tag. Enclosures are numbered from the bottom of the file upwards.

33. This method of filing is most practical and has the following advantages:

    (a) action is immediately apparent when the file is opened, since the latest minute and the latest correspondence are readily seen;
    (b) the minute sheet acts as a guide to the rest of the file;
    (c) with minutes written in one continuous sequence the possibility of overlooking one aspect of a case is minimized.

FILING PROCEDURES

Preliminary Sorting of Correspondence

34. The Officer-in-Charge of the Registry attends to the folder of opened correspondence. She allots filing priorities on the basis of deadlines for replies to correspondence, preparation for meetings/conference training courses, etc.

35. Also the Executive Director or other Senior Officers may direct that certain classes of correspondence receive priority treatment both in the Registry and in action areas.

Placing Correspondence on Files

36. The correspondence has been sorted and prioritized and the Officer-in-Charge/Registry Clerk now assigns file numbers to each piece of correspondence. In this exercise, she adopts the following procedures:

    (a) if the correspondence refers to a specific subject and file title she places correspondence on the appropriate file;
    (b) if it is found from reference to the subject index that no file exists on a particular subject, then a new file should be opened under the correct head and sub-head and allotted the next consecutive number;
    (c) if there is no suitable main Heading in the list of subject headings, this indicates that the subject has never been used. Therefore, she has to determine a new Head to add to the List of Subject Headings and create a new file under this Head.

37. The following procedures should be followed when placing correspondence on file:

(a) Correspondence must first be correctly "punched". (The standard setting for the double punch holes is one inch down from the top);
(b) Correspondence should be put up neatly in date-of-receipt order as far as is practicable. The correspondence is assigned a correspondence number e.g.: C1 in ascending order at the bottom right hand corner in either black, blue or red ink depending on the type of correspondence as follows: red ink for outgoing, black ink for interdepartmental and blue ink for outgoing.
(c) Pins, slide-on-clips should be removed from correspondence;
(d) All torn papers should be mended, and torn file covers replaced, i.e. files should be tidied up before being passed on to officers.

38. ***If the correspondence has been incorrectly filed, or the subject officer feels that it might be better dealt with on another file, he/she should refer the file to the Registry immediately with a request for the change. The Registry appreciates having this drawn to its attention since this means that the system can be more efficient.***

39. Papers must not be detached from a file or put up in any other file without reference to the Registry.

40. Files on which action is being taken by officers should be kept where they are readily accessible to registry staff and not in cabinets, drawers or brief cases.

41. When you are going to be away from your office for any length of time - on official travel, vacation --.the files in your possession should either be dealt with or be given a bring up (b.u.) date for your return to office.

42. Files should not be taken away from the office without the approval of the Executive Director. If such approval is given then the Registry will be so informed.

43. If an officer is going on travel duty and wishes to take correspondence for reference purposes such correspondence should be copied from the file.

TEMPORARY FILE

44. As a general rule when a file is in use and is required for the insertion of new papers for action, the file should be obtained by the Registry. Where this is not possible, a temporary jacket (T.J.) could be used.

45. It must be emphasized that only in cases where it is impossible to obtain a file or where the file is already in action on another matter and the insertion of new correspondence will slow down action, either on the new correspondence or on that already filed, should a temporary jacket be opened.

46. As soon as action in a temporary jacket is completed the contents of the jacket should be placed in chronological order in the related main file.

REFERENCES AND CROSS-REFERENCING

47. In placing correspondence on file, if the reference quoted is in another volume of the file, this volume of the file should be put up with the action file and the reference flagged for the attention of the action officer.

48. When correspondence is received which deals with more than one subject, or is relevant to another file, copies or extracts are made and placed on the relevant files. A notation is made on the original letter as to the action taken.

CORRESPONDENCE RECEIVED AND THE FILE FOR WHICH IS ALREADY WITH THE OFFICER

49. When correspondence is received and the file is already with the officer who is dealing with the subject, the Registry will place the additional correspondence ***on the file***, and draw the officer's attention to this.

ISSUING AND CONTROLLING OF FILES

50. The ability of the Registry to fill requisitions for files quickly and accurately depends not only upon the excellence of the classification system and the expertness of the Registry Clerks. It also depends upon the degree of control exercised over the movement of files. The key operations in such control measures are:

(a) The keeping of charge-out records.
(b) The following-up at the proper time.
(c) The re-filing or putting away of files

51. If the Registry is expected to locate files out of its custody, then it must be kept informed of the location of files. This requires that a definite charge-out procedure be laid down and adhered to.

52. ***It is important that officers be made aware at the earliest possible moment that difficulty is being experienced in locating a file either in response to a file request or where there are papers for attachment. On no occasion, should an officer be asked to wait more than one hour without advice as to the position regarding his request.***

CHARGE-OUT SYSTEM

53. A plain record card is used for this purpose. ***Whenever a file is created a card is prepared on which the file number and file title are entered***. When a file is sent out of registry custody, the name of the officer to whom the file is sent and the date would be entered in pencil on the card. The cards would then be filed in numerical order with other similar cards in the card index cabinet.

54. When a file is returned to the Registry and is to be put away, an entry is made against the returned date p.a. and the card returned to its correct position in the card cabinet.

THE MINUTE SHEET AND FILE JACKET

55. Since we have introduced a new classification system, the file jacket and minute sheet which are in use are as illustrated at Annex IV & V .

THE MINUTE SHEET

56. All the filing procedures have now been completed and the file is now ready to be routed to the action officer. Using the Minute Sheet the file is minuted as follows:

    (a) the name/designation of the officer to whom the folio is "marked out" is entered on the minute sheet;
    (b) the particulars and number of the folio are entered on the minute sheet;
    (c) the officer preparing the minute inserts his/her initials.

THE FILE JACKET

57. The columns provided on the front of the jacket should be used for routing (charging) of files. In the columns provided would be recorded the name of the officer to whom the file is referred, the initials of the person referring the file, and the date.

58. The file jacket is also used by officers to indicate to Registry a request for a bring up (b.u.) date or a put-away (p.a.) for the file.

59. Communication between officers is normally conducted on the Minute Sheet. The Minute Sheet can be used to refer the file to several persons at the same time. If an officer wishes to refer an enclosure to several officers, the procedure is as follows:-

E. D.
D.E.D.
C.S.M.

Please note enclosure 4

Signed J.W.D.
Acct.
11/04/95

60. The file is then routed by Officer-in-Charge / Clerk to the first person named in the Minute by recording in the referred to column, E.D., her initials and the date. The E.D. would then initial and date the minute, and in the next line of the referred to column write D.E.D., his (E.D.) initials and the date. This process continues until all have seen and initialed the file.

61. The Registry Officer checks the file to see that all action is completed before putting away the file.

62. The Minute Sheet is also used to convey instructions to the Registry which should not be done on the file cover. For instance, if one officer wishes to pass the file on to another officer but also wishes the Registry to bring up the file at a later date, the only means of doing this is to write a Minute as follows:

"Registry"

1. **Please b.u. on 20/04/03**
2. **Please pass to C.S.M. to see folio 6**

Signed: H. Saul
E. D.
06/04/02

63. The file is then referred to the Registry on the file jacket. The Registry Clerk will make a note of the B.U. and then pass the file to the Corporate Services Manager (C.S.M.) to see folio 6.

64. If the matter on the file is urgent, you can indicate this to the Office Assistant that it must be taken to the Registry and dealt with immediately.

FOLLOW-UP AND BRING UP

65. Where a matter is pending or the file is to be held while awaiting additional information, the machinery for reviving it is set in motion by the action officer. When releasing the file, the officer should indicate the date on which he wishes it returned to him.

66. The procedure is as follows:-

The officer should write in the space provided on the outside front cover of the file **"B.U."**, the date the file will be required, his initials and the date the entry is being made. On receipt of the file in the Registry, the number of the file and the name of the officer is entered in a diary under the required bring up date. The file is then placed in its correct position in the file cabinet if no other action is required on it. The diary is consulted by the Registry each morning and the files required are withdrawn (or borrowed from officers) and distributed to the officers requiring them.

67. The file is then minuted to the requesting officer as follows:

“Biologist”
File **B.U.** as requested pl"

68. The Registry Clerk would initial and date this minute.

69. If it is found unnecessary by the action officer to bring up a file either because a reply has been received or he no longer wishes it, the Registry should be notified so that the necessary cancellation could be made in the diary.

70. The obvious virtue of the follow up system is that officers are enabled to release files from cluttering their desks.

71. ***Officers are advised that files should not be in their possession for more than two (2) days.***

DISTRIBUTION OF FILES

72. Files for action officers should be placed in the "In" tray on the officers desks. Each tray should be clearly labeled "IN" "OUT". Files tagged "Urgent" should, as far as possible, be given to the action officer and not placed in trays on their desks.

73. If it is found necessary to put two or three files together with related correspondence to send to the action officer, a cord or ribbon should be used. Files must never be placed one inside the other, because this causes the covers to get torn and there is a risk of the file inserted being overlooked.

SPLITTING OF FILES

74. Files tend to broaden their scope as time goes on and there comes a time when the file should be sub-divided into several files of related subjects. The Officer-in-Charge of the Registry should discuss the breakdown of files with the Officer dealing with the particular subject area and arrive at some agreement for the creation of new files.

LINKING UP PAPERS

75. Sometimes because of overlap in certain subject areas two files are opened on the same subject or on closely related subjects. As soon as the error is discovered the files should be merged. A reference should be made on the index that File No .... has been merged with File No .... A reference should also be put on the file retained that all correspondence from File No .... has been put up therein, and the movement card of the cancelled file should be extracted from the card index cabinet and destroyed. The file number can be re-allocated in due course.

DIVIDING BULKY FILES

76. When files become bulky, a second file known as a "part file" should be created, bearing the same classification and number as the first file. The original part may be distinguished by such terms as Part I, Part II and Part III or Volume I, Volume II etc. It is also useful to show on the file cover the dates on which the file begins and ends.

CLOSING OF FILES

77. Files are closed when they become too bulky. The thickness should not exceed 3/4". Closed files fall into two categories:

(a) those which are closed permanently;
(b) those which are closed as they reach the standard thickness;

78. The procedure for closing both types of files is as follows:
"CLOSED" should be stamped or printed on the cover of this file. Also CLOSED, and the date should be stamped or printed on the last correspondence in the file.

79. When the (b) type of file is to be closed NEXT PART VOL. is printed beneath "CLOSED". The new PART VOLUME opened of this type of file carries the same file number and the next part/volume in the series.

80. All closed files, and closed parts of files should be filed away in the same place i.e. in cabinets separate from those in which current files are stored.

81. With regard type (b) file, reference to the next part/volume opened should be made on the file index. The movement/charge-out card should ***bear the number of the current PART / VOLUME***.

LOST FILES

82. Suggested action where files are lost:

If the missing file is not marked out on the charge-out card:

(a) Search the desks and tables in the Registry.
(b) Search the filing cabinets. First in the compartment where the file should be, then under all possible combinations of the number of the missing file.

If the missing file is marked out on the charge-out card but cannot be traced:

(a) inquire of the officer to whom the file is marked out, what recollection he has of its whereabouts;
(b) search the desk and room of the officer concerned and also the unit to which he is attached.

83. Finally, if the file has not been located a general search file by file through all the files in the cabinets of the Registry must be undertaken.

84. If after all the above steps have been taken the file is still missing, a "temporary file" should be opened. This file should be given the same number as the missing file. On the file cover should be marked "Temporary File - original file missing from …… date." The records staff should keep a "watch out" for the original file in case it turns up.

FILE CENSUS

85. To enable file movement cards to be kept up to date and to keep track of files, a file census should be carried out **periodically**. On a nominated day, each officer is visited by the Registry Clerk/Registry Assistant who lists on a census sheet all files held by that officer. The file movement cards are checked against the lists and any necessary amendments are made on the movement cards.

86. For a file movement control system to achieve its purpose the full cooperation of all officers is essential.

RESPONSIBILITY FOR FILES

87. The Registry is the custodian of all files but once a file has been minuted and charged out to an officer, it is that officer's responsibility to ensure that the file is returned to the Registry. **Under no circumstances should a file be forwarded for further action directly by the officer to whom the file was minuted.**

WEEDING OF FILES

88. Files should be pruned periodically of all valueless information. Closed files containing important information can be purged, indexed and made available as part of the information service provided by the CRFM.

PUTTING AWAY FILES

(File examination)

89. Files are examined to ensure that:

(a) all necessary action has been taken;
(b) papers are correctly filed and they do not differ from the subject topic of the file;
(c) "bring-up" dates are noted;

90. It is essential that the Registry should know the next action that is required to be taken on a file. When there is doubt as to the next action to be taken, the file must be returned to the action officer who should give some direction. In all cases responsibility should not rest with the Registry to see that outstanding matters are finalised but with the officer dealing with the matter. It is the responsibility of the Registrar to see that correspondence reaches the respective action officers on time but not to ensure that all subsequent action is taken.

91. When action is completed on a file and it is being released to the Registry for storing, the action officer writes the abbreviation "P.A." on the front of the file cover or **on the minute sheet (preferably)** and **initials and dates the entry**.

92. **This notation on the file is the Registry's authority to put away the file in the correct position in the storage cabinet**.

CARE AND MAINTENANCE OF FILES

93. Files must receive constant attention. They often become ragged and "dog-eared" with frequent handling. Every time a file is handled by Registry staff protruding papers should be re-inserted in the file and ragged edges of papers smoothed neatly and patched where necessary with transparent tape.

94. In all cases previous correspondence referred to should be tagged and not folded or turned out. No file should leave the Registry unless it is in good condition.

DISPOSAL OF FILES AND RECORDS

Types of Records

95. Records pass through three main phases during their life cycle:

(a) **a current phase** when they are in constant use in the organisation;
(b) **a semi-current phase** when, after a time they cease to be used in the day to day transactions, but are required for reference purposes, e.g. to locate precedents and sometimes to provide information for public use. The length of the semi-current phase varies from a few months to as much as 10-12 years in case of personal files;
(c) **non-current phase** when records are no longer referred to for the conduct of current business. The length of time these records are kept depends on archival value.

Archival Action

96. Every organisation should have a policy for retention and arrangements for disposal of its old correspondence files and other records. The question of the disposition of records is usually one which is discussed and decided by a special committee set up for this purpose.

INTERNAL MEMORANDA AND CIRCULARS

97. A register for this exercise has been set up and numbers will be allocated by the Registry.

DISPATCH OF MAIL

98. All correspondence for dispatch must be placed inside the cover of the appropriate file and sent to the Registry.

99. Files returned to the Registry with outgoing correspondence are passed to the Dispatch Clerk, who must ensure that:

(a) the letter or memo is signed and dated;
(b) the file number appears on the correspondence for dispatch;
(c) any enclosures mentioned are attached and are securely fastened to the correspondence;
(d) the appropriate number of copies accompany letters/memoranda for dispatch e.g.
    (i) original for dispatch;
    (ii) if letter/memorandum is carbon copied (cc) then the appropriate number of copies should be provided;
    (iii) copies for relevant files i.e. 2 copies

100. It is expected that there will be exceptions, in cases where the dispatch is of a highly confidential or sensitive nature, no copies of dispatch will be left in the Registry. In these instances the Officer-in-Charge will have the necessary notations made in the Mail Dispatch Register.

101. A record of each dispatch is made in the **"Mail Dispatch Register."**

102. If the dispatch has to be stamped **"Confidential or Secret",** this stamp is placed on the inner envelope, in other words, for this category of mail, two envelopes are used.

103. The originators of correspondence for dispatch are expected to provide appropriately addressed envelopes. Care should be taken to avoid using abbreviations in addresses. Also, all envelopes should be unsealed for franking purposes.

104. A copy of the outgoing correspondence is date-stamped as evidence of dispatch and placed in the appropriate file.

105. A further copy must be date-stamped as dispatched and placed in a third copy file (monthly chrono file) which is kept in the Registry.

106. If the correspondence being dispatched has enclosures, this should be noted on the dispatch stamp by adding these words e.g. Dispatched "with encls". See specimen below:

DISPATCHED

With enclosures

JULY 20, 1995

REGISTRY
CRFM Secretariat

107. If enclosures are sent under separate cover, this fact must be stated in the letter.

108. ***Officers signing memoranda, letters for dispatch should indicate on the file copy what action they require taken on the file after correspondence is dispatched. This will enable the dispatch clerk to deal with files accordingly after completing the dispatch.***

REGISTERED MAIL (Outgoing)

109. Mail to be registered is handled in the same manner as the regular dispatch but in addition to the normal postage rate the registration fee is included and franked on the envelope. Delivery of this mail is made to the post office counter and g receipt is obtained for each registered letter. This receipt is stored with the postage in the dispatch mail register.

BY HAND MAIL

110. A record of letters dispatched by hand should be kept in a hard cover note book labeled "by hand" which should have the following particulars:

- Date sent
- Ref. No of Correspondence
- Ministry / Organisation to which sent
- Signature of Officer/Agent receiving letter
- Time received

111. The correspondence being dispatched by hand should also have these words added to the dispatch stamp e.g. Dispatched "by hand" and initialed. See specimen below:

DISPATCHED

By hand
JULY 20, 1995

REGISTRY
CRFM Secretariat

MAIL SCHEDULE – COLLECTION / DISPATCH

112. Dips are cleared once in the morning and once in the afternoon. The clearance times are approximately 9:30 a.m. and 2:30 p.m.

113. If you need a file urgently you can always request it from the Registry.

114. Mail is collected two times weekly (Tuesdays and Thursdays) by the Courier at approximately 9:30 a.m. The Mail for dispatch is taken at the same time.

TELEFAX MESSAGES (Outgoing)

115. After faxes are dispatched they are logged and coded and the dispatch with the activity sheet attached are filed in the appropriate file and returned to the sender to note the dispatch.

TELEFAX MESSAGES (Incoming)

116. On receipt these are date-stamped, logged and sent immediately to the addressees for necessary action. After action is taken these are filed on the appropriate subject file.

COURIER SERVICE - INCOMING

117. The Receptionist signs for incoming courier packages, then sends the packages to the Registry. The packages are opened by the Registry Officer and the Airway Bills are extracted and date stamped.

118. The documents/letters are then handled as incoming mail for urgent distribution. A file is kept of the Incoming Airway Bills.

COURIER SERVICE - OUTGOING

119. On receiving a package to be sent by Courier – the Officer-in-Charge

(a) calls the relevant Courier Service immediately;
(b) signs the Airway Bill which was brought with the envelope/package and has the parcel/letter ready for collection by the agent of the Courier Service;
(c) an entry of the transaction is made in a book provided for this purpose and the Agent signs his name, time of collection and date;
(d) Charges are allotted according to project, individual, etc.

120. A file is kept of all outgoing Airway Bills.

Annex I

CRFM Filing Index

	Technical Cooperation Meeting (MBRS, CFU, Fisheries Department, CZMAI)
	CRFAMP Assets
100	CFRAMP – Management and Support
	Letters of Agreement – CFU
	Contracts by CAC
110	General Administration Policy and Procedures Manual
	Florasol
	Belize Telecommunications Limited
	Christmas Party
100.1	General Correspondence
100.2	CFRAMP Finance
	CIDA Audit
	Extension of CFRAMP's Offices
	MIP Consultancy Contract
110.2.1	Monthly Financial Highlights
110.2.2	Transfer of Funds to CFU
110.2.3	Member States Contributions
110.2.4	Bank Documents
110.2.5	Vat File Correspondence
110.2.6	Financial Monitoring
110.2.7	Reconciliation of Country Advances
110.3	CFMU Staff Training
	Revised Contribution Formula Consultancy
	Fish Inspection and Quality Control Conference
110.3.1	Press Releases and Conference
110.3.1.2	Caribbean Biodiversity Workshop
110.3.1.3	ACS Conference
	Marine Biodiversity Workshop
	Marine Reserve Study
	Clawrenet Workshop
	IICA Conference
110.3.2	Newspaper Clippings
110.3.3	CPACC – Caribbean Planning for Adaptation to Global Climate Change
110.4	Personnel Correspondence
	Clerk / Typist Applications
110.4.1	Job Applications
110.4.1.1	Jaime Gonzales
110.4.1.2	Mariska Weijeiman
110.4.1.3	Ministry of Foreign Affairs
110.4.1.4	Lilly Waight

110.4.1.5	Youth Development Programme
110.4.2	Lobster and Conch Application / Int. Grid
	Official Motor Vehicle Form of Guarantee
110.5	Curriculum Vitaes (CVs)
110.5.1	Consultants Correspondence
110.6	Technical Report Correspondence
110.7	Document on Marine Law
110.8	Fisheries Laws and Regulations
110.9	Socio-economic studies on CARICOM Fisheries Sector
110.10	General Correspondence (Fish Disease)
110.11	COTED Correspondence
110.11.1	COTED Planners Meeting
	COTED Planners Forum Correspondence
110.11.2	COTED Agenda / Minutes
111	General Administration
111.1	Management Staff
111.1.1	Staff Management Development
	Weekly Telephone Meetings / Telecon
	General Staff Meeting
	CFU Meeting
	Senior Management Meeting
	Technical Staff Meeting
	Weekly Unit Meeting
111.1.2	CFRAMP Emergency Response Plan
	Hurricane Preparedness
111.2	Equipment Maintenance
111.2.1	Computers
111.2.1.1	CFRAMP Web Site
112	Procurement Operations - Belize
112.1	Consumables
112.2	Subscriptions
113	Housing Complex – Principle Documents
113.1	Housing – Repairs / Maintenance Contracts
113.2	Housing – Finance Correspondence
113.3	Housing Correspondence
114	CARICOM Long-term Personnel
114.1	Emolument Packages
114.2	Insurance Premiums – CFRAMP / CARISEC Personnel
114.3	CFMU Insurance Policy (Office and Housing)
114.4	CFMU Insurance Policy (Vehicle)
114.5	CFMU Insurance Correspondence
114.6	Health and Life Insurance Claims
	Vehicle Log Books
120	St. Vincent and the Grenadines RAU – Operation Policy and Procedures Manual
	CFU – SVG Principle Document
120.1	CFU – SVG General Correspondence

120.2	CFU – SVG Finance Correspondence
	CFU – SVG Transmittal Form – Delivery
	CFU – SVG Personnel
120.2.1	SVG RAU Closure
121	General Administration
121.1	Management Staff (Job Application)
121.1.1	Staff Management
121.2	Equipment Maintenance
121.2.1	Computers
122	Liaise with Belize Office
122.1	Progress Reports
122.2	Other Management Forums
123	Procurement – St. Vincent Operations
123.1	Consumables
130	Trinidad and Tobago RAU Operations Policy and Procedures Manual
130.1	Trinidad and Tobago RAU General Correspondence
130.1.1	Trinidad and Tobago RAU Closure
130.1.2	Special PRC Meeting
130.2	Finance
	Issues on the Withdrawal of Trinidad and Tobago from CFRAMP
	Relocation of Shrimp and Groundfish RAU
	CAUCUS Meeting: Trinidad and Tobago
131	General Administration
131.1	Management Staff Correspondence
	Management Staff (Job Application)
131.2	Equipment Maintenance
131.2.1	Computers
132	Liaise with Belize Office
132.1	Progress and Annual Reports
132.2	Other Management Forums
132.3	Report Correspondence
133	Procurement – Trinidad
133.1	Consumables
140	Programme Coordination – Principle Documents
140.1	Programme Coordination Correspondence
140.1.1	Monthly Travel Schedule
140.2	Quarterly Progress and Financial Report (Actual Reports)
140.2.1	Quarterly Progress and Financial Report Correspondence
140.2.2	Sub-project Activity Quarterly Report
	Monthly Status and Implementations Reports
	Monthly Implementation Report
140.2.3	Quarterly Workplans
140.3	Annual Workplan / Workplanning Session Correspondence
140.3.1	Annual Workplan (Activity Reports)
	PRC – Correspondence 1992 (2)
140.4	Programme Review / Technical Committee Correspondence

140.4.2	Programme Review / Technical Committee (Agenda / Minutes)
	CARICOM CAUCUS Meeting – Roseau, Dominica
	CFRAMP January Meeting: 1998
	Evaluation Costs Delivery of Technical Outputs
140.5	Revised Management Structure
	CFRAMP’s Operational Manua;
141	Management of RAUs Liaison with Organization
141.1	RAU / CEA
141.2	RAU / SCMA
141.3	RAU / CIDA
141.4	RAU / CARISEC
141.5	RAU / DOFs
142	Newsletters (Principle Document)
142.1	Newsletter Correspondence
142.1.1	Newsletter Articles
200	Inception
300	Fisheries Data Management Systems (Principle Documents)
310	Data Collection (Catch and Effort)
310.1	Tip Testing
311	Identify and Compare Systems
311.1	Progress and Annual Reports
311.2	Data Management Reporting
312.1	Progress and Annual Reports
312.2	Report Correspondence
313	Provide Resources for Implementation (Catch and Effort)
313.1	Antigua and Barbuda (Catch and Effort)
	Questionnaire for review of Data Collection sub-project
	Ian Horsford
313.2	Barbados (Catch and Effort)
313.3	Belize (Catch and Effort)
313.4	Dominica (Catch and Effort)
313.5	Grenada (Catch and Effort)
	Leslie Straker
313.6	Guyana (Catch and Effort)
313.7	Jamaica (Catch and Effort)
	Sandra Grant Attachment
313.8	Montserrat (Catch and Effort)
	Melissa O’Garro’s Attachment
313.9	St. Kitts / Nevis (Catch and Effort)
313.10	St. Lucia (Catch and Effort)
313.11	St. Vincent and the Grenadines (Catch and Effort)
313.12	Trinidad and Tobago (Catch and Effort)
	Project Proposals / Collaboration
314	Short Term Training and Technical Assistance
	Regional Statistical Training Workshop
	National Fisheries Atlas

	L. Paul Fanning
	Regional Database Planning Workshop
	Foxpro Training Workshop
314.2	Vessel Inspection Training
314.3	Fisheries Data Management Training
314.4	Workshop Documents / Consultants
	Economic Data Collection
	Economic Data Consultancy
315	Communications
315.1	Workshop Correspondence
315.2	Attachments Correspondence
315.3	Report Correspondence
316	Fisheries Management Data Systems Terminal Workshop
	Stephen Willoughby
	Conceive Integrated Biological Data System
320	Licensing and Registration System
323	Provide Resources for Implementation
323.2	Barbados
323.4	Dominica
323.5	Grenada
323.7	Jamaica
323.10	St. Lucia
323.11	St. Vincent and the Grenadines
323.12	Trinidad and Tobago
325	Communications
400	Fisheries Resource Assessment
400.1	General Correspondence
410	Pelagic and Reef Species Resource Assessment Unit
410.1	General Correspondence
410.2	Finance Correspondence
410.3	Progress and Annual Report
412	Organize and Implement Regional Workshop
	Coastal Pelagic and Flyingfish Workshop
413	Provide Resources for Implementation
431/414.1	Antigua and Barbuda (Provide Resources for Implementation)
431/414.2	Barbados (Provide Resources for Implementation)
431/414.3	Belize (Provide Resources for Implementation)
431/414.4	Dominica (Provide Resources for Implementation)
431/414.5	Grenada (Provide Resources for Implementation)
431/414.6	Guyana (Provide Resources for Implementation)
431/414.7	Jamaica (Provide Resources for Implementation)
431/414.8	Montserrat (Provide Resources for Implementation)
431/414.9	St. Kitts and Nevis (Provide Resources for Implementation)
431/414.10	St. Lucia (Provide Resources for Implementation)
431/414.11	St. Vincent and the Grenadines (Provide Resources for Implementation)
431/414.12	Trinidad and Tobago (Provide Resources for Implementation)

414	Pelagic and Reef Stock Assessment Correspondence
414.1	Large Pelagic Assessment
414.2	Shallow Shelf Fishes Assessment
414.3	Deep Slope Fishes Assessment
414.4	Coastal Pelagics Assessment
414.5	Flying Fish Assessment
414.6	Age and Growth Laboratory
415	Short Term Training and Technical Assistance
	Estimation of Habitat-based Demersal Fin-fish Biomass and Potential Yield on the Self Areas
415.1	Consultants – Peter A. Murray
415.2	Workshop Documents
416	Communication / International RA Forum
416.1	Workshop Correspondence
416.2	Report Correspondence
417	CFRAMP Pelagic and Reef Fishes Final Workshop / Stock Assessment
	Pelagics Workshop
420	Shrimp and Groundfish Resource Assessment
420.1	General Correspondence
420.2	Finance Correspondence
	Letter of Agreement
421	Identify and Compare FRA Techniques and Data
422	Shrimp and Groundfish Sub-project Specification Workshop
422.1	Report Correspondence
422.2	Organize and Implement Regional Workshop
423	Biological Data Collection and Production Correspondence
	Shrimp and Groundfish
423/424.1	Antigua and Barbuda (Shrimp and Groundfish)
423/424.2	Barbados (Shrimp and Groundfish)
423/424.3	Belize (Shrimp and Groundfish)
423/424.4	Dominica (Shrimp and Groundfish)
423/424.5	Grenada (Shrimp and Groundfish)
423/424.6	Guyana (Shrimp and Groundfish)
423/424.7	Jamaica (Shrimp and Groundfish)
423/424.9	St. Kitts and Nevis (Shrimp and Groundfish)
423/424.12	Trinidad and Tobago (Shrimp and Groundfish)
424.3	Observer Programme
	Observer Programme Documents
425.1	Thematic Mapping
426	Short Term Training / Technical Assistance
426.3	Short Term Training / Attachment
426.4	System Monitoring
426.5	Technical Assistance in Data Analysis
	Consultant: Dave Kulka – Training and Orientation Programme for Observers to Operate on Vessels
427	Communications / International RA Forms

428	Stock Assessment Workshop BELEM, Brazil
428.1	Stock Assessment Workshop
428.2	Guyana / Suriname Workshop
430	Lobster and Conch Resource Assessment
	Biological Data Collection in Participating Countries
	LC Assessment SSW/WP/5
430.1	Lobster and Conch Resource Assessment Correspondence
431	Identify and Compare FRA Techniques and Data Lobster Symposium
	Lobster and Conch Workshop Documents
433	Biological Data Collection and Production (Lobster and Conch)
434	Provide Resources for Implementation
433/434.1	Antigua and Barbuda (Provide Resources for Implementation)
433/434.2	Barbados (Provide Resources for Implementation)
433/434.3	Belize (Provide Resources for Implementation)
433/434.4	Dominica (Provide Resources for Implementation)
433/434.5	Grenada (Provide Resources for Implementation)
433/434.6	Guyana (Provide Resources for Implementation)
433/434.7	Jamaica (Provide Resources for Implementation)
433/434.8	Montserrat (Provide Resources for Implementation)
433/434.9	St. Kitts and Nevis (Provide Resources for Implementation)
433/434.10	St. Lucia (Provide Resources for Implementation)
433/434.11	St. Vincent and the Grenadines (Provide Resources for Implementation)
433/434.12	Trinidad and Tobago (Provide Resources for Implementation)
435	Lobster and Conch Stock Assessment
435.1	St. Lucia Lobster Maturity Study
435.2	Conch Biomass Survey (Antigua and Barbuda)
435.3	Lobster Puerulus Monitoring Programme
	Stock Assessment Documents (Lobster and Conch)
	Workshop Documents (Originals)
436	Short Term Training and Technical Assistance
436.1	Workshop Documents / Consultants
436.3	Jamaica Census
437	Communications / International RA Forums
437.1	Workshop Correspondence
437.2	Progress and Annual Reports
438.1	Lobster / Conch Terminal Workshop
438.2	Spiny Lobster Workshop
438.3	Conch Assessment Workshop
500.1	General Correspondence
510	Strengthen National Fisheries Management
510.1	National Consultants
	Fishery Management Planning Workshop
	Study Tour of the Belize Fishing Industry
511	Formulate Policy, Regulatory and otherwise
511.1	Ownership Intellectual Property Rights and Use of Data Proposes Project on Marine Planning and Management

512	Short Term Training and Technical Assistance
512.1	Workshop Documents / Consultants
	Post-Evaluation of National Fisheries Administration / CFRAMP Review
512.1	Antigua and Barbuda (Post-Evaluation of National Fisheries Administration)
512.2	Barbados (Post-Evaluation of National Fisheries Administration)
512.3	Belize (Post-Evaluation of National Fisheries Administration)
512.4	Dominica (Post-Evaluation of National Fisheries Administration)
512.5	Grenada (Post-Evaluation of National Fisheries Administration)
512.6	Guyana (Post-Evaluation of National Fisheries Administration)
512.7	Jamaica (Post-Evaluation of National Fisheries Administration)
512.8	Montserrat (Post-Evaluation of National Fisheries Administration)
512.9	St. Kitts and Nevis (Post-Evaluation of National Fisheries Administration)
512.10	St. Lucia (Post-Evaluation of National Fisheries Administration)
512.11	St. Vincent and the Grenadines (Post-Evaluation of National Fisheries Administration)
512.12	Trinidad and Tobago (Post-Evaluation of National Fisheries Administration)
512.13	Post-Evaluation Survey / CFRAMP Extension
520	Strengthen Regional Fisheries Management
521	Regional Mechanism
521.1	Correspondence
	Comments on RFM Legal Document
	Letter of Agreements: Mr. Reuben Charles Mr. Trevor Hamilton Mr. Duke Pollard Mr. Robin Mahon Mr. Barton Scotland
	RFM Working Group Minutes
	Fifth Technical Workshop on the Regional Fisheries Mechanism
	Rules of Procedures of the Organs of the Regional Fisheries Mechanism
	Meeting of the Working Group on the Caribbean Regional Fisheries Mechanism (April 17th – 19th, 2002)
	Meeting of the Working Group on the Caribbean Regional Fisheries Mechanism (June 15th and 17th, 2002)
524	Short Term Training and Technical Assistance
524.1	Operation Policies and Procedures
	Caribbean Regional Fisheries Mechanism General Correspondence
524.2	Working Group
	Drafting Committee Meeting / Legal Text for CRFM
524.5	Strategic Plan for the CRFM
	Medium Term Plan
	Mr. Ronald M. Gordon (Letter of Agreement)
524.7	Carlton James Consultancy
525	Communication / Fisheries Management Forum
	Spiny Lobster Monitoring Programme
	LC Assessment SSW/WP/7
	Jamaican Conch Fishery Economic Study Terms of Reference – Draft

	LC Assessment SSW/WP/9
	Budget for Assessment Subproject Activity
	LC Assessment SSW/WP/10
525.1	Progress and Annual Reports
525.2	Report Correspondence
525.3	Report Correspondence
530	Fishers and Community Involvement and Education
530.1	General Correspondence
530.2	Finance Correspondence
531	Community Baseline Survey Principle Documents
531.1	Community Baseline Survey
532	Strategy for Fishers and Community
533	Provide Resources for Implementation
533.1	Antigua and Barbuda (Provide Resources for Implementation)
533.2	Barbados (Provide Resources for Implementation)
533.3	Belize (Provide Resources for Implementation)
533.4	Dominica (Provide Resources for Implementation)
533.5	Grenada (Provide Resources for Implementation)
533.6	Guyana (Provide Resources for Implementation)
533.7	Jamaica (Provide Resources for Implementation)
533.8	Montserrat (Provide Resources for Implementation)
533.9	St. Kitts and Nevis (Provide Resources for Implementation)
533.10	St. Lucia (Provide Resources for Implementation)
533.11	St. Vincent and the Grenadines (Provide Resources for Implementation)
533.12	Trinidad and Tobago (Provide Resources for Implementation)
534	Technical Assistance Training
534.2	Workshop Correspondence
	2nd Fisheries Field Officers Training Workshop
	Sharon Almerigi (Letter of Agreement)
	Reuben Charles (Letter of Agreement)
	Charles Conway (Letter of Agreement)
	Phillip Jackman (Letter of Agreement)
	Mohammed Khan (Letter of Agreement)
	S. Mohabir (Letter of Agreement)
	Second Institutional Strengthening Workshop for CARICOM Fisherfolk Organizations
535	Publications and International For a
540	Long Term Training
540.1	General Correspondence
541.1	Training Needs Survey Correspondence
542	Develop Training Strategy
543	Academic Students Principle Documents
	Jiselle Allport
543.1	Academic Students General Correspondence
	Scholarship Applicants
	Leroy Ambroise
543.2	James Finlay

543.3	Cheryl Jardine
543.5	Williana Joseph
543.6	Garret Manwaring
543.7	Patrick McConney
543.8	Justin Rennie
543.9	Raymond Ryan
543.10	Leslie Straker
543.11	Irvin McLennan
543.12	Melissa O’Garro
543.13	Diann Black
543.14	Dawn Shepherd
543.15	Angela Hackett
543.16	Ingrid Peters
543.17	Lora Farreira
	Stephen Smikle
543.18	Sarah George
	Andre Kong
543.19	Jaime Villanueva
	Ann Marie Jobity
	Elizabeth Mohammed
620	Project Management and Support Canada – CEA
620.1	Long Term Management
620.2	Rents
	Belize
	Guyana
	Jamaica
	St. Lucia
710	Biodiversity Project Principle Document
710.1	Biodiversity General Correspondence
	Strengthening of Fisheries and Biodiversity Management in ACP Countries Programme (SFBM) Phase 2
710.2	Biodiversity Financial Correspondence
710.3	Quarterly and Annual Progress Financial Reports
710.5	Procurement
710.6	Job Applications
	Minutes of Biodiversity Meetings
	Cloffsca Workshop
712.5	Regional Coordination Workshop
713.1	Antigua and Barbuda
713.2	Bahamas
713.3	Barbados
713.4	Belize
713.6	Dominican Republic
713.8	Guyana
713.9	Haiti
713.10	Jamaica

713.12	St. Kitts and Nevis
713.13	St. Lucia
713.14	St. Vincent and the Grenadines
713.15	Suriname
713.16	Trinidad and Tobago
714	Short Term Training and Technical Assistance
714.1	Establishing of a Regional Collection for Marine Fish
715	Workshop Documents / Consultants
716	International RA Forms
717	Reports
	Biodiversity One Day Workshop
	Biodiversity Phase II

"Organizational"

Status of projects implemented by CFU (Belize) with emphasis
CFRAMP
ACP – EU Dialogue
Belize Institute of Management (BIM)
Belize Fisheries Department
CANARI
Cana's Broadcast News
Caribbean Action Plan Workshop
CARISEC
Caribbean Federation of National Fisherfolk Organizations Documents

- Second General Meeting between the representatives of the UN System and of CARICOM and its Associate Institutions (Nassau, The Bahamas, March 27th – 28th, 2002)
- Draft Summary Report of the Symposium on the Sustainable Utilisation of Fisheries and other Ocean Resources, Rex Halcyon Cove Hotel (St. John's, Antigua and Barbuda, April 26th – 28th, 1999)

CARICOM / CIDA Cooperation
CARICOM / CUBA Technical Fisheries Workshop
CARICOM / CUBA Meeting
Horace Walters Consultancy
CARICOM / JAPAN Cooperation
Seminar on Fisheries Management in Japan
CARICOM / SPAIN Meetings / Cooperation
CFCL Roche
CGIAR
Response from Member States re: CFRAMP AWP FY 1997/98
CFRAMP / CIDA
CIDA Audit
CIDA's Project Review of CFRAMP
CIDA
CIDA's Workshop

CIDA’s Regional Oceans Initiative Workshop
Coasral Zone Management Unit
FAO
FAO Documents
Fish Kill Workshop
Gulf and Caribbean Fisheries Institute (GCFI)
Government of Belize – News
ICCAT
Working Group on Large Pelagics
ICLARM
IMA
Marine Research Center
MAREMP
MBRS
Monitor
OECS
University of the West Indies (UWI)
WECAFC Working Party
Women in Development

“IDRC”

IDRC Principle Documents
Instituto Internacional del Oceano (IOI)
Community-Based Coastal Resources Management (Phase 2)
IDRC General Correspondence
IDRC Phase 2
IDRC Finance Correspondence
IDRC Web Page
IDRC Progress Reports Correspondence
Programme for Belize: Capacity Building for the Sarteneja Fishing Community
University of the West Indies (Belize): Exploring Spirituality, Income Generation and the use of Coastal Resources among the Garifuna in Southern Belize
Dominica: Promotion of Management of Marine Protected Areas through Community Groups and Stakeholder Participation
Dominican Republic: Perspectives of communal co-management and integration of the users of the fishers of the conch, *Strombus Gigas* in the Jaragua National Park
Grenada: Fisheries-Based Participatory Research for Facilitating Biodiversity Co-management in Grenada
Guatemala: Garifuna reefs – characterization of the ancestral fishing of the Gariganu people in reefs of Amatique Bay (Guatemala); their geographical position and ecological evaluation; and technical proposals for their protection and sustainable management by the community
Panama: Symbolic territorial representation of the Kuna indigenous community of the Kuna Yala (San Blas)
Integrated Conservation Management of the Nariva Swamp – Phase 2
IDRC OLA Deployment Workshop

IDRC Global Knowledge Workshop
Regional Conference for IDRC – CBCRM Programme in the Caribbean
Sandra Grant Proposal
Problematica del Micropresario Turistico de la Costa Rica (Atlantica, Costa Rica)

“ICRAFD / CARIFORUM”

	CARIFORUM Project Principle Document
	Reuben Charles – LOA (Work Programme for ICRAFD)
	Work Programme
	CARIFORUM – Status of implementation
	CARIFORUM General Correspondence
	CARIFORUM Finance Correspondence
	Bahamas General Correspondence
	Haiti General Correspondence
	Suriname General Correspondence
	Bahamas Finance
	Dominican Republic Finance
	Haiti Finance
	Suriname Finance
111.5.3	Vehicle Insurance
112.3	Computers and Software
112.5	Quotations for CARIFORUM Vehicle
113.3.1	Lease and Rental
114	CARIFORUM Personnel – Long-term Staff
114.1	Biologist
114.2	Data Manager / Analyst
140.3	Annual Workplan (Subprojects)
140.3.1	Workplan and Correspondence (Suriname)
140.3.2	Workplan and Correspondence (Dominican Republic)
140.3.3	Workplan and General Correspondence
140.3.4	Workplan and Correspondence
140.3.5	CFRAMP Member States (Three-year Workplan)
141	Auditing
	ICRAFD Review (CARIFORUM)
150.1	Progress Reports Correspondence
150.2	Progress Reports
	CARIFORUM Inception Mission
200.1	Inception Suriname
200.2	Inception Dominican Republic
200.3	Inception Haiti
200.4	Inception Bahamas
330	Multidisciplinary Surveys
310.1/320.1	Review and Refinement of the Data Collection Systems (Suriname)
310.1/320.1	Review and Refinement of the Data Collection Systems (Dominican Republic)

310.1/320.1	Review and Refinement of the Data Collection Systems (Bahamas)
310.2	Enhance Data Collection Plans covering the Major Fisheries
310.3	Train Fisheries Staff in Data Collection (Bahamas)
310.3	Train Fisheries Staff in Data Collection (Belize)
310.3	Train Fisheries Staff in Data Collection (Dominican Republic)
310.3	Train Fisheries Staff in Data Collection (Suriname)
	Dr. Paul Medley’s Consultancy File
310.4/314.1	Database Software Upgrading of TIP & LRS (Workshop File)
	CARIFIS Workshop
	First Workshop of Regional Experts to Review and Upgrade Trip Interview Programme (TIP) and Licensing and Registration Systems (LRS) Software Programmmes
	TIP / LRS Testing / Comments
310.5/320.4	Train Department of Fisheries Staff in Data Entry, Analysis and Reporting (TIP & LRS) (Suriname)
310.6/320.3	Provide Resources for Implementation (Computer and Data Collection Equipment) (Bahamas)
310.6/320.3	Provide Resources for Implementation (Computer and Data Collection Equipment) (Dominican Republic)
310.6/320.3	Provide Resources for Implementation (Computer and Data Collection Equipment) (Suriname)
310.9	National Fisheries Survey (Haiti)
330	Multidisciplinary Surveys
330.2	Multidisciplinary Surveys (Dominican Republic)
330.4	Bahamas Baseline Survey
330.4	Haiti Baseline Survey
330.4	Suriname Baseline Survey
330/532	General Correspondence
	National Fisheries Workshop (Bahamas)
	National Fisheries Workshop (Dominican Republic)
	National Fisheries Workshop (Suriname)
400.4	Monitoring and Provision of Technical Assistance
410.1	Review and Analysis of Historical Data / Bibliographic Study (Dominican Republic)
424.4	Observer Programme (Guyana)
430.1	Assessment of Conch Fishery (Dominican Republic)
430.2	Assessment of Lobster Fishery (Dominican Republic)
510/520	Policy Formulation
510/520.1	Policy Formulation (Suriname)
511.1	Preparation of Comprehensive National Fisheries and Aquaculture Policy
511.2	Fisheries Consultation on Impact of Climate Change
550.1	Suriname
512.1	Strategic Review and Upgrading Organizational Structure of Fisheries Department (Bahamas)
512.1	Strategic Review and Upgrading Organizational Structure of Fisheries Department (Dominican Republic)
512.1	Strategic Review and Upgrading Organizational Structure of Fisheries Department (Guyana)

512.1	Strategic Review and Upgrading Organizational Structure of Fisheries Department (Haiti)
512.1	Strategic Review and Upgrading Organizational Structure of Fisheries Department (Suriname)
512.4	Development of Mechanism for Conflict Resolution
534	Data Training and Capacity Building Workshop (Bahamas)
534	Data Training and Capacity Building Workshop (Barbados)
534	Data Training and Capacity Building Workshop (Dominican Republic)
534.2.1	Data Training and Capacity Building Workshop (Suriname)
	Job Applications / Correspondence
	Job Applications: Data Manager / Biologist / Assistant Scientific Director
540.1	Long Term Training and Scholarship (General)
	Yolanda Babb-Echteld
	Estanislao Balbuena Guillandeaux
	Elvis Clarke
	Ian Jones
	Mauro Gongora
	Richard Kelly
	Tamika Rahming
	Wilner Romain
	Leslie Straker
	Harold Guiste
540.2	Short Term Training
540.3	Short Term Training and Attachments, Suriname
560	Regional Strategy for Improved Port Harvest, Processing and Marketing
	Ronald M. Gordon
	CTA Project Proposals
570.2	Aquaculture Development

Annex II

CLASSIFICATION SYSTEM FOR PERSONAL FILES

ALPHA / NUMERIC SYSTEM

Under this system of classification, all files are first classified alphabetically, then numbered in sequence. For example, all files for persons whose surnames begin with the letter A should be grouped together, and the first numbered A/1, the second A/2, and so on. An alphabetically sequenced book could be used for this purpose.

The Alpha-numeric system could be sub-divided so as to accommodate confidential papers, appointment and leave papers.

Files for Jane Sargeant are numbered as follows:-

C.S/1 - Sargeant, Jane (Confidential Papers)
S/1 - Sargeant, Jane (Appointment etc.)
S/1/1 - Sargeant, Jane (Leave)

Annex III

CLASSIFICATION FOR CONFIDENTIAL FILES

Confidential files are classified, numbered and indexed in the same manner as subject files.

File covers, however, would be of a different colour, usually blue or yellow, with "CONFIDENTIAL" labeled boldly on the top right hand corner.

These files are stored separately from other files.

Annex V

MINUTES

Caribbean Regional Fisheries Mechanism Secretariat

Annex IV

FILE BEGINS

FILE ENDS

PART

FILE TITLE

FILE NO.

MAIN SUBJECT HEADING

SUB-DIVISION

REFER TO	INTLS	DATE	REFER TO	INTLS	DATE	REFER TO	INTLS	DATE