

# RECORDS MANAGEMENT

OLD IS GOLD

# RTI Act, 2005

- MAINTENANCE OF RECORDS [Section-4 (1) (a)]
  - **MANDATORY** FOR THE PUBLIC AUTHORITY TO –
    - ❖ MAINTAIN ALL RECORDS
      - CATALOGUED;
      - INDEXED.
- TO FACILITATE RIGHT TO INFO.**

# RECORDS

## DEFINITION: RECORD INCLUDES-

- (a) any document, manuscript & file;**
- (b) any microfilm, microfiche & facsimile copy of a document;**
- (c) any reproduction of image or images embodied in such microfilm; and**
- (d) Any other material produced by a computer or any other device.**



# RECORDING

**Process of closing a file after action on all the issues has been completed and includes operations like –**

- **Completing references;**
- **Removing routine papers;**
- **Changing the file cover, if required;**
- **Recording rulings in Precedent Book;**
- **Categorizing the file;**
- **Stitching the file.**

# RECORDS MANAGEMENT

**Records Management is that part of general administrative management concerned with –**

- Achieving economy and efficiency in the:**
  - Creation;**
  - Maintenance; and**
  - Disposal of records during their life cycle.**



# NEED

- **Information cannot be retained by human memory;**
- **Legal requirement in some cases;**
- **Fixing responsibility for matters coming before Audit, Parliament, other public bodies;**
- **Historical value;**
- **To make available needed facts, figures, correspondence etc. for future planning;**

# NEED

- **Ensure continuity in administration;**
- **For providing evidence in cases of certain disputes.**



# PRINCIPLES

**APPRAISAL: Review starting from the stage of last action on a current file;**

**ACCESSIBILITY: Easily accessible storehouse of information as & when needed;**

**CONTROL: on growth of record since creation till the final disposal stage;**

**SPEED IN RETRIEVAL: capable of being retrieved quickly;**



# PRINCIPLES

**ECONOMY: Cost in terms of Space, equipment for storing, retrieving.**

**RETENTION SCHEDULE: Provide for a uniform and systematic schedule for retention and disposal of records;**

**WEEDING: Constant review and weeding of records so that the cost of maintenance of records is kept to the minimum.**

# ACTIVITIES

- **CREATION;**
- **CLASSIFICATION;**
- **CUSTODY AND TRANSFER;**
- **MAINTENANCE;**
- **PRESERVATION;**
- **REVIEW AND WEEDING.**



# CREATION

- **External Activities;**
- **Internal Activities;**
- **Mini Records:**
  - **Running Summary of Facts;**
  - **Standing Notes;**
  - **Standing Guard Files.**



# CONTROLLING CREATION

- **Less number of files;**
- **Forms Management;**
- **Reply on original communication;**
- **Use of standard forms;**
- **Guidelines – DOP& AR OM No. 24013/3/80 dated 7.10.1980.**

# CATEGORISATION

## ➤ CATEGORIZATION OF RECORDS:

### ❖ Category 'A' – 'keep & microfilm'

- Permanent preservation for administrative purposes. (Appendix 25)
- Of historical importance.

### ❖ Category 'B' – keep but don't microfilm.

- Permanent preservation for administrative purposes ( As at Appendix 25 – Part A)



# CATEGORISATION

- ❖ **Category 'C' – keep for specified period not exceeding 10 years**
- **Files of secondary importance;**
- **If required to be kept beyond 10 years after review - up-graded to category 'B'.**



# RECORDS MANAGEMENT

## ➤ STAGE OF RECORDING:

- ❖ After action is completed;
- ❖ Files ephemeral value e.g. CL records, circulars of temporary nature need not be recorded – destroyed after 1 year.

# PROCEDURE FOR RECORDING

## ➤ ACTION FOR RECORDING:

- ❖ Indicate appropriate category of record;
- ❖ Get the file indexed – not for files retained for <10 years;
- ❖ Extracts, decisions, documents added to the Guard File/Precedent.
- ❖ Remove all superfluous papers;
- ❖ Mark previous & later references;



# PROCEDURE FOR RECORDING

## ➤ ACTION ON RECORDED FILES:

- ❖ Entry in the File Register;
- ❖ Entry in the Register for Watching Progress of Recording (App. 24)
- ❖ Write 'Recorded' in red ink in the 'File movement Register'
- ❖ Write the page numbers in ink.
- ❖ Indicate the year of review on the cover;



# PROCEDURE FOR RECORDING

- ❖ Prepare fresh covers, if necessary.
- ❖ Hand over for stitching.
- ❖ Kept in the bundle of recorded files;

# INDEXING

- Indexed at the time of recording;
- Index cards only for category 'A' and 'B';
- Index prepared as prescribed in Appendix 26;
- Two sets index cards – one in the alphabetical order of heads; other in the sequence of file numbers;
- Kept for each year in clip folders;



# CUSTODY OF FILES

- Current files – The case processor;
- Semi-current files – The section;
- Non-current – Departmental Record Room
- Archaic/Antique or historical – National Archives.



# AIDS TO RETIEVAL

- Standing Guard File;
- Standing Notes;
- Precedent Book;
- Reference Folder;

# REVIEW & WEEDING

- Category 'C' files reviewed;
- ❖ Weeded out; or
- ❖ Retained for a further period; or
- ❖ Up-graded to category 'B'.
- Review done every year in January;
- 'A' & 'b' records on attaining 25 years in consultation with National Archives;



# RECORD RETENTION SCHEDULE

- Existing Schedules:
  - ❖ Appendix 28 of manual;
  - ❖ Appendix 13 of GFR;
  - ❖ Record Retention Schedule of Records common to all Min/Dept. Prepared by Department of Administrative Reforms & Public Grievances;
  - ❖ Prepared by each Department.



# RRS-SUBSTANTIVE FUNCTIONS

- **S. 6, Public Records Act, 1993;**
- **Para 105, Central Secretariat Manual of Office Procedure.**
- **STEPS:**
  - **Study the Structure and Functions of the Organization;**
  - **Study the Work Distribution amongst various Divisions/Branches/Sections/ Units/Cells etc.**

# RRS-SUBSTANTIVE FUNCTIONS

- **Study the Current and Semi-Current Records;**
- **Listing of Subject-heads (including sub-heads) and Record Groups;**
- **Prescribing the Retention Schedules;**
- **Preparation of draft RRS;**
- **Forwarding draft RRS to National Archives for vetting;**





**THANK  
YOU**