

**WELCOME
TO
THE SESSIONS
ON
RECORDS MANAGEMENT**

WHAT CONSTITUTE “RECORDS”?

- All documents with future reference value
- Informational documents to carry out various functions
- Can be on paper media or non-paper media
- Tools of management, memory of an organization

Why “Records”

- For planning & scheduling Govt. activities.
- For legal requirements (Court of Law)
- For fixing responsibility (Audit, Parliament)
- For historical values (For posterity)
- For rational & impartial decision making
- For continuity in Administration
- To avoid irregularity in financial transaction.

KINDS OF RECORDS

- Files – Deals with problems/facilitates decision making
- Folders – Chronologically collected copies of orders/decisions communicated on the subject
- Books, Charts & Maps
- Ledgers and Registers
 - Cash Book, Pay Bills, Diary Register, File Regis
- Master Records
 - Standing Guards Files, Standing Notes, Precedent Books, Reference Folders
- Non-paper Records
 - Floppy, CD, Film, Microfilm

LIFE CYCLE OF RECORDS

Creation

Utilization

Storage

Retrieval

Disposition

RECORDS MANAGEMENT

- **Records Management is defined as that branch of general administrative management which is concerned with achieving economy and efficiency in creation, maintenance and disposal of records during their life cycle**

PRINCIPLES OF RECORD MANAGEMENT

- Appraisal
- Weeding
- Accessibility
- Control
- Speed in Retrieval
- Economy
- Retention Schedule

CONTROL AT CREATION STAGE

- Open file only if ----
- Papers of ephemeral value----
- Be to the point and brief----
- Avoid unnecessary corres----
- Avoid noting in routine cases---
- Use standard forms/process sheet ----
- Review/redesign forms
- Avoid intra-unit/depptt/wing corres-----
- Reduce no of levels----
- Review reports/returns
- Constant review/weeding-----

CATEGORISATION FOR RECORDING

- Category “A” meaning “keep & microfilm”
 - for files of administrative nature with precious documents, where access to original must be restricted and material needed often for reference.
 - For files of historical importance
- Category “B” meaning “keep but not microfilm”
 - Files of administrative importance requiring to be preserved but not falling under “A”
- Category “C” meaning files of secondary importance having reference value for limited period. To be kept for not more than 10 years

CUSTODY/TRANSFER OF RECORDS

<u>Position/Period</u>	<u>Stage</u>	<u>Custodian</u>
Action yet to be completed	Current	Decision maker/ Case processor
File recorded but may be required	Semi-current	Section/Desk Daftry or clerk
One year after recording	Non-current	Departmental Records Room
After 25 years of opening	Archaic Historical	National Archives Of India

RECORD RETENTION SCHEDULES

Appendix 28 to Manual of Office Procedure	Common office Management
Appendix 13 to General Financial Rules	Cash, Account and Budgetary records
Retention Schedules issued by Department of AR&PG	Records on subjects common to all Departments
Departmental Retention Schedules	Records specific to any Department

PROCEDURE FOR RECORDING

When all issues on a file are complete close the file by doing the following:

- Complete referencing.
- Remove routine papers.
- Place copies of important decisions in Guard files / Precedent Book
- Revise file title if required.
- Change file cover.
- Record under proper class A,B,or C
- Index A and B class files
- Get the file stitched.

WHAT IS INDEXING

- A procedure used to locate important files
- Done only for “A” & “B” files.
- Catch words in title of the file arranged in order of decreasing importance.
- Typed in duplicate as many index slips as there are catch words
- Index slips contain title of files arranged in catchwords and the file nos.
- Index slips maintained alphabetically yearwise in section and in Departmental Records Room

Review/Weeding

- Beginning of every quarter Record Room to send to sections, files due for review that year.
- Files under category “C” reviewed after the retention period.
- Either destroyed or continued further. Further retention and earlier period not to exceed ten years, otherwise upgraded as cat.”B”.
- Upgradation requires approval of BO

Review/Weeding (Contd.)

- Files under Cat. “A” & “B” to be reviewed after 25 years in consultation with National Archives of India.
- Category “A” & “B” files transferred to National Archives if continued beyond 25 years

REVIEW/WEEDING

Class 'C' Record	Review after retention period	<ul style="list-style-type: none">■ Weed out■ Retain further upto 10 yrs■ Upgrade to class 'B'
Class 'B' Record	Review after 25 yrs from date of opening	<ul style="list-style-type: none">■ In consultation with NAI■ Weed out or retain■ Upgrade to class 'A'
Class 'A' Record	Review after 25 yrs from date of opening	<ul style="list-style-type: none">■ In consultation with NAI■ Weed out or retain

Public Records Act-1993/Rule1997

- Govt. have passed a Public Records Act.1993 and a Public Records Rules.1997.
- Applicable to offices of Central Govt./UT Administrations
- Also applicable to statutory bodies, corporations Committees/Commissions controlled/financed by Central Govt./UT
- DG, NAI/Head of Archives. UTs authorized to coordinate/supervise records management of public records of all offices.

Contd....

- Each office to have Departmental Records Room
- Each record-creating agency to nominate one officer (not below SO) as Records Officer and inform NAI.
- Record Officer to maintain a standing guard file for directions of DG, NAI
- Record Officer to intimate DG, NAI by 31st January files due for appraisal and carry out appraisal with help from NAI

HOW CAN YOU RETRIEVE A FILE?

You need pointers to trace a file.

The pointers are:-

- **Index cards**
- **File Register**
- **Standing Note**
- **Guard Files.**
- **Reference Folders.**
- **Precedents Books.**
- **Departmental History**

STANDING NOTE – is a continuing note explaining the history and development of the policy and procedure, designed to serve as :-

- a complete background material for review of the existing policy of procedure;
- a brief for preparing replies to Parliament Questions or notes for supplementaries thereto; and
- induction of training material.

It is a continuously updated note on a subject – any subject and not necessarily a ‘Type’ subject

STANDING GUARD FILE –

Standing Guard File on a subject means a compilation consisting of the following three parts:

- A running summary of the principles and policy relating to the subject with number and data of relevant decisions or orders quoted in margins against each;
- Copies of decision or orders referred to, arranged in chronological order; and
- Model forms of communications to be used in different stages.

Standing Guard Files are prepared on `type' subjects like promotions, pay fixation, reservation for physically handicapped, compassionate appointment, etc

- **PRECEDENT BOOK** – is a register, in the prescribed form given below, for keeping note of important rulings and decisions having a precedent value for ready reference. Entries in this book can be made at the earliest opportunity and, in any case, at the stage of recording the file.

Heading -----

Decision or ruling in brief

File No.

■ REFERENCE FOLDER :--

Reference Folder is a folder containing copies of relevant rules, orders, instructions etc., on a particular subject issued by various authorities arranged in chronological order.