

RECORDS MANAGEMENT

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.**
- PROVIDE SUO MOTU INFORMATION[Section-4 (1) (b)]

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;**
- **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 weeding and review 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 Summery 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;
- '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