

RECORDS MANAGEMENT

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What is Record?

- Record is an information generated in the course of an organization's official transactions and which is documented to act as a source of reference and a tool by which an organization is governed
- Records arise from actual happenings
- They are a snap shot of an action or event
- They offer a picture of something that happened
- To serve their purpose in providing reliable evidence for greater accountability
- Records, both in paper and electronic form, must be accurate, complete and comprehensive

Records Management

- Records Management is the field of management responsible for the systematic control of the creation, maintenance, use and disposition of records
- Records Management addresses the life cycle of records
- The life cycle usually consists of three stages
 1. Stage – I – Creation
 2. Stage – II – Maintenance
 3. Stage – III – Disposal

Record Management - Importance

- Fundamental Activity of Administration
- Rule of Law and Accountability
- Crucial Source of Information
- Vital to Governance
- Effectiveness and Efficiency

Public Records Act 1993

- Records Officer
- Proper Arrangement, Maintenance and Preservation of Public Records
- Periodical Review of all Public Records
- Weeding out of Public Records
- Appraisal of Public Records which are old with State Archives
- Destruction of Public Records
- Retention for Public Records
- Periodical Review for De-Classifying

RTI ACT 2005 – Records Management

- Section 4 (1) (a) – Every Public Authority shall maintain all its records duly catalogued and indexed
- Section 4 (1) (c) – Every Public Authority shall publish all relevant facts while formulating important policies or announcing decisions which affect Public
- Section 4 (1) (d) – Every Public Authority shall provide reasons for its administrative and quasi-judicial decisions to affected persons
- GO Ms No 639 GA (RTI A/GPM & AR) Department dated 02.12.2011

DOM – Records Retention

- GO Ms No 1835 General Administration (O&M) Department dated 26.12.1959 – Totten Ham System of Office Procedure

Para 63 explains different types of File Disposals which are as follows

1. R (Retain) Disposals: Retained Permanently
 2. D (Destroy) Disposals: Destroyed after 10/20 years
 3. L (Lodged) Disposals: Destroyed after 1 year
 4. M Disposals: Sent out in Original
 5. F (Filed) Disposals: These are to be filed
 6. X/X-N/X-L Disposals: Not to be Registered
- GO Ms No 351 GA (Ser.C) Department dated 27.12.1982 – Special Retention by HoD after approval by the concerned Administrative Departments of the Secretariat

DOM – Records Retention

Para 70: No periodical should be entered in the Personal Register or be indexed

Para 71: Periodicals will, in no case, be given a R.D.(Retain Disposal) or L (Lodged) Disposal

- They will simply be filed
- They will be arranged in an annual bundle in which their order will be determined by their periodical number referred to in the last paragraph
- They need not obviously indexed

DOM – Records Retention

Para 97: Destruction of Records:

- Records must be destroyed punctually after prescribed periods
- Disposal Number System
- Lodged Papers must be destroyed after one year
- List of Records destroyed to be retained permanently
- These Lists which are certified by the Officer concerned will be carefully filed and preserved in the Records Room in a Special Bundle

DOM – Records Retention

Para 97 (2): added by GO Ms No 351 GA (Ser.C) Department dated 27.12.1981

- Permanent Records classified under 'R' series should be re-scrutinized once after every 50 years
- Destruction of 'R' Records should not be done straight away
- Re-scrutiny should be intimated to the Director of State Archives

Records Retention – District Office Manual

Para 98: Destruction of Filed Records: as shown in the Appendix D of DOM

- The Registers mentioned in the Chapter – V of DOM will be destroyed after the Periods specified against them in Appendix J of DOM

DOM – Chapter – 5 Registers

- Distribution Register
- Personal Register
- New case Register
- Fair Copy Register
- Dispatch By Post and Local Delivery Book/Register
- Stamp Account Register
- Periodical Register
- Security Register
- Records Issue Register
- Government Suits Register
- Register of Immovable Properties purchased by the Government in Civil Court Sales

DOM – Nature of Disposal

Para 58: Nature of Disposal to be entered on the Draft:

- R/D/L/N Disposal shall be noted on every Draft and Fair Copies
- Initial the Correspondence with Type of Disposal
- These initials are to be understood as a Certificate for proper method of Disposal of the File
- Where there is a Note File, a Note should end by referring to the proposed disposal of the file as R/D/L Disposal
- For classification under the 'R' Series, the Specific Orders should be obtained (GO Ms No 351 GA (Ser.C) Department dated 27.12.1982)

DOM – Disposal of Records

Para 64 – Disposal Number System - Disposal Register or Disposal List

- No new number was given to a Paper on Disposal but the letter R/D/L/N is prefixed to its Current Number or it is marked 'F'
- The same letter is entered in the Disposal Column of the Personal Register with the Date of Disposal

DOM – Disposal of Records

Para 65: Disposal Jackets: R and D Disposals are put into Brown Paper ‘Disposal Jackets’

Outside

- Name of the Department
- Name of the Office
- Number of Current preceded by the Letter R or D
- Date of Disposal
- Number of Pages in the File/Record
- Year of Destruction
- No Title is to be written on the Jacket

Inside

- Back Numbers should be marked
- Forward Number for Back Number
- **This “Chaining” is very important**

DOM – Disposal of Records

Para 65:

- R and D Disposals - Subject Clerks (Jackets)
- Filed Papers - Record-Keeper (No Jackets)
- K and L Disposals (No Chaining) – Record Keeper
- N Disposals – Gist/Precise Wording is necessary and must be entered in the Disposal Column of the Personal Register

DOM – Disposal of Records

Para 80 (1):

- For Disposal, the File will be sent to the Record-Keeper
- New Case Register
- Record Keeper will check/scrutinize the Disposed File
- Current File in **Red Ink** and Note File in **Black Ink**
- Jackets if they are R and D Disposals
- File them in his bundles
- Put the Disposals in their proper order

DOM - Disposal of Records

Para 8o (2): Certify as shown below

“To be destroyed straightaway/sent back for re-scrutiny/in the yea after the prescribed retention period”

or

“To be destroyed straightaway in the year i.e., after the prescribed retention period”

- Records can be called at any time before their Destruction (GO Ms No 351 GA (Ser.C) Department dated 27.12.1982)

DOM – Disposal of Records

Para 81: Disposal Bundles:

- Separate Bundles for R, D and L Disposals
- Arranged in the order of their Current Numbers
- XL Disposal Papers (which have no numbers) – Chronologically based on Date of Disposal
- Year-Wise Bundles for all types of Disposals (GO Ms No 351 GA (Ser.C) Department dated 27.12.1982)

DOM - Disposal of Records

Para 82 & 84: Filing: Papers which are arranged in Records, according to their Subjects in Special Bundles, are said to be 'filed'

- They should be kept loose
- They should be arranged according to their own numbers
- They will not be registered at all in the Personal Registers
- They will be registered in order to watch the correspondence or to arrange them in Record Room
- Papers, which are to be filed, are marked 'F' by the Competent Authority when he/she opened the Tappal

DOM – Disposal of Records

- All Government Orders and Proceedings – Filed
- A separate Bundle for each series of Government Orders/Proceedings
- The Government Orders/Proceedings will be arranged as per their own numbers (Department-Wise)
- Periodical Bundle for Each Year arranged in Sub-Bundles
- Sub-Bundles will be arranged according to the Periodical Numbers
- General Record Files (Circulars, Communications, Papers of Leaves/Appointments etc.,) will be arranged according to their own number or chronologically

DOM – Disposal of Records

Para 91 – Confidential Records – Own Custody of HOO

- They will be registered in the ordinary way but title is 'Confidential'
- Confidential Correspondence is kept with Head of Office

Para 93: Demi-Official Correspondence will be dealt with in the same manner as Confidential Correspondence

Para 94: All records will be filed on the Record Racks vertically

- Record Bundles may be preserved on Steel Racks in all possible cases (GO Ms No 351 GA (Ser.C) Department dated 27.12.1982)

Destruction of Official Records connected with Accounts

- **Art 326 of APFC Volume I:**

- (a) The following should on no account be destroyed
 - (i) records connected with expenditure which is within the period of limitation fixed by law
 - (ii) records connected with expenditure on projects, schemes or works which have not yet been completed even though the expenditure is not within the period of limitation fixed by law
 - (iii) records connected with claims to service and personal matters affecting Government Servants who are still in service
 - (iv) orders and sanctions of a permanent character until revised

Destruction of Official Records connected with Accounts

(b) HoD to issue orders on destruction of Financial Records on the expiry of the retention Period counting from the last day of the latest financial year to which the records relates

- Before the head of an office allows any pay bills or Acquittance rolls to be destroyed, he/she should take care to satisfy himself/herself that the procedure in regard to the maintenance and verification of Service Books prescribed in the subsidiary Rules 6 & 12 under Fundamental Rule 74(a) (iv) (Part III of Annexure II of the Fundamental Rules) has been strictly followed in regard to those pay bill Acquittance rolls

(c) HoD is competent to sanction the destruction of other Financial Records and forward a list of such records as properly ascertain to the accounts audited by the Indian Audit Department to the Accountant General and await

(d) Every head of an office should see that lists, showing full details of all records destroyed from time to time, are properly prepared and retained permanently.

AP PWD CODE – Appendix - XV

- Sub-File should be closed as soon as their particular subject is disposed of. Main files should also be closed as soon as the main subject is disposed of
- When a file or sub-file is closed, extract any papers which should be retained permanently and made into a separate sub-file and retained
- Record Keepers in each office should prepare list of the files to be retained permanently or to be destroyed and submit the lists for approval of the Head of Office.

AP PWD CODE – Appendix - XV

- Files and Sub-Files
- R Disposals being put first
- Chronologically according to the Year of Destruction
- Head of Section to be decide the Type of Disposal
- HOO should give orders in cases where the retention period is not clear
- Destruction of Files shall be done generally in February
- Record Keeper should prepare a list of them and submit it to the Head of the Office for approval
- The list should then be filed and kept permanently