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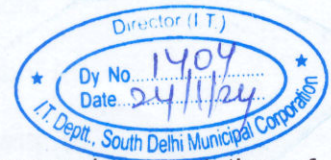


No.: Addl. Comm. (Engg.) / MCD/2024/D-18

Date: 18/01/2024

**CIRCULAR**

**SUB: Record Management.**



The system of record management is required for proper documentation of records, its maintenance, retention and retrieval. The Manual of Office Procedure contains detailed instructions with regard to 'Record Management' which are reproduced below for ensuring strict compliance by all concerned: -

**ACTIVITIES INVOLVED IN RECORDS MANAGEMENT** - Records management covers the activities concerning recording, retention, retrieval and weeding out.

**STAGE OF RECORDING** - Files should be recorded after action on the issues considered thereon has been completed. However, files of a purely ephemeral nature containing papers of little reference or research value may be destroyed after one year without being formally recorded.

**PROCEDURE FOR RECORDING**

- (1) After action on the issue(s) considered on the file has been completed, the dealing hand/initiation officer, in consultation with his supervisory officer, should close and record the file in the manner prescribed.
- (a) indicate the appropriate classification of record and in the case of class 'C' also specify the retention period and the year of destruction on the file cover;
  - (b) where necessary, revise the title of the file so that it describes adequately the contents at the stage;
  - (c) get the file indexed unless it is to be retained for less than 10 years from the date of closing;
  - (d) extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference and add them to the standing guard file/precedent book;
  - (e) remove from the file all superfluous papers such as reminders acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc and destroy them;
  - (f) complete all references and, in particular, mark previous and later reference on the subject on the file cover;
  - (g) pass on the file to the record clerk;
- (2) The record clerk will :
- (a) complete columns 4 and 5 of the file register and correct the entry in column 2 where necessary;

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- (b) enter the file number in column 2 of the register for watching progress or recording.
- (c) write the word 'recorded' prominently in red ink, across the entries in the file movement register.
- (d) indicate page numbers and other references (except references to alphabetical slips) made in pencil in ink;
- (e) indicating the year of review on the file cover in respect of class 'C' files;
- (f) prepare fresh covers, where necessary, with all the entries already made thereon; and
- (g) hand over the file to the daftly.

### **CLASSIFICATION OF RECORD**

Files may be recorded under any one of the following classes:-

- (1) Class 'A' meaning "keep and microfilm". This classification will be adopted for:
  - (a) files which qualify for permanent preservation for administrative purpose and which have to be microfilmed because they contain:
    - (i) a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum; or
    - (ii) material likely to be required for frequent reference by different parties.
  - (b) files of historical importance
- (2) Class 'B' meaning 'keep but do not microfilm' - This class will cover files required for permanent preservation for administrative purposes,
- (3) Class 'C' meaning 'keep for specified period only' - This class will include files of secondary importance and having references value for a limited period not exceeding 10 years.

**STAGE OF INDEXING** - Files will be indexed at the time of their recording. Only those files which are categorized as 'A' and 'B' and those in the 'C' category which are to be retained for 10 years.

**MANNER OF INDEXING** - While preparing a file for record the dealing hand or the desk assistant will underline:

- (a) the 'index head', i.e. the standard head or the most important catch-word in the standard head which will naturally occur to any official searching for the file and which will determine the position of the relevant index slip in the consolidated index; and
- (b) the 'index sub-head, i.e. the catch worked or catch-words in the standard sub-heads and/or the 'content' of the title which will give a further and more specific clue to the file under search.



- (2) Where the functional filing system is followed, files need not be indexed under the basic, primary, secondary and tertiary heads for which the classification scheme itself will provide the master index. However, such files will have to be indexed under the catch-words used in the 'content' part of the title which falls outside the standardized headings.
- (3) After index heads and sub-heads in the title have been approved by the section officer/desk functionary, the record clerk/desk assistant will :
  - (a) type out, in duplicate, as many index slips as there are index heads and sub-heads, underlined in the title;
  - (b) distinguish the index heads from the sub-heads by typing the former in capital letters;
  - (c) indicate at the top of the index slips, all the heads and sub-heads mentioned in the title, one below the other, followed by the complete title of the file and the file number;
  - (d) arrange the index slips in two sets, one in alphabetical order of the heads/sub-head for use in the section and the other in the sequence of file numbers for the use of the compiler of the departmental index;
  - (e) keep each set of paper index slips in separate spring clip folders for each year; and
  - (f) indicate the date of indexing on the file cover and initial it in the space provided for the purpose.
- (4) Index slips will normally be typed on good quality paper. In the case of important files requiring frequent and urgent reference, however, card indexes could also be prepared. Even here, the duplicate set meant for incorporation in the departmental index will be kept according to an alphabetical order of their respective catch-words, in a single series for all the years. Each department will issue departmental instructions specifying the classes of files in respect of which card indexes will be maintained.
- (5) To ensure consistency and facilitate consolidation of departmental index, files relating to parliamentary business will be indexed not only under the appropriate standard heads and sub-heads but also, under the nature of such business. e.g. Parliament questions, cut-motion, resolutions, etc.

#### **CUSTODY OF INDEX SLIPS**

- (1) Index slips will remain in the custody of the record clerk.
- (2) After all the files relating to a year have been recorded, the set of index slips in respect of that year meant for use within the section (viz. that arranged in alphabetical order) will be neatly stitched and the stitched compilation kept at a convenient place for reference by all concerned.

#### **COMPILATION OF DEPARTMENTAL INDEX**

- (1) The index slips pertaining to files relating to a year will be sent to the compiler of the departmental index one year after the close of the year to which they relate. If some files of that year still remain current even at the time of sending the index slips as envisaged above, the dealing hand with the approval of the section officer will prepare index slips in respect of such files as are likely to be retained



for 10 years or more from the date of recording. These will also be added to the set of slips being sent to the compiler of the departmental index.

- (2) The compiler of the departmental index will :
- (a) edit the index slip by :
    - (i) allowing the full title to appear only on the main index slips, i.e. those indexed under the index heads: and
    - (ii) scoring out the title on the subsidiary index slips. i.e. those indexed under the index sub-heads and giving a cross reference to the relevant 'index head',
  - (b) arrange the index slips received from different sections, in alphabetical order in a single series for the department as a whole; and
  - (c) arrange for the printing or cyclostyling of the consolidate, departmental index for each year.

**PRECEDENT BOOK** - Every section will maintain a precedent book in the prescribed form for keeping note of important rulings and decisions having a precedent value for ready reference. Entries in this record will be made at the earliest opportunity and, in any case, at the stage of recording the file.

#### **RECORD RETENTION SCHEDULE**

- (1.) To ensure that files are neither prematurely destroyed nor kept for periods longer than necessary, every department will:
- (a) in respect of records connected with accounts, observe the instructions contained in Appendix 13 to the General Financial Rules;
  - (b) in respect of records, relating to establishment, personnel and housekeeping matters common to all departments, follow the schedule of periods of retention for records common to all departments issued by the Department of Administrative Reforms and Public Grievances;
  - (c) in respect of records prescribed in this Manual, observe the retention periods specified in Appendix 28; and
  - (d) in respect of records connected with its substantive functions issue a departmental retention schedule prescribing the periods for which files dealing with specified subjects should be preserved in consultation with the National Archives of India.

#### **APPENDIX 28**

Retention schedule for records prescribed in the Manual of Office Procedure

Sl. No. A	Description of Record B	Retention period (year) C
1.	Dak Register	1
2.	Invoice	1
3.	Section Diary	3
4.	Movement slip of receipts	To be destroyed after the relevant receipts have been received in the section concerned.



5.	Assistant's diary	1
6.	Standing guard files becomes available	Permanent, The earlier version of these records will normally be weeded out as soon as the revised version becomes available.
7.	Standing note	
8.	Distribution Chart	1
9.	Typist's diary	1
10.	Issue diary	1
11.	Dispatch register	5
12.	Postal registration books	5
13.	Receipts of telegrams	1
14.	A register of daily abstract of stamps used	5
15.	Messenger book	1
16.	Stamps account register	5
17.	Weekly statement of case disposed of without references to Minister	1
18.	File register	15
19.	File movement register	1
20.	Register for watching the progress of recording	3
21.	Index Slips	5 years or till printed departmental index becomes available, whichever is latter
22.	Consolidated departmental index	Permanent
23.	Precedent book	Permanent
24.	List of files transferred to : (a) Departmental record room (b) National Archives	25 Permanent
25.	Record review register	1
26.	List of files received for review	1
27.	Register of spare copies of publications, circulars, orders etc.	1
28.	Record requisition slip	To be destroyed after the requisitioned file has been returned to the National Archives.
29.	Record Requisition card	To be destroyed after all the space for entries has been used and the last file requisitioned has been returned to the sectional departmental records.
30.	Weekly arrear statement	1
31.	Case sheets of cases pending disposal over a month	1
32.	Numerical abstract of cases pending disposal for over a month	1



33.	Consolidated numerical abstract of cases pending disposal for ever a month in the various sections of the department	3
34.	Call book	1
35.	Monthly progress report on recording of files	1
36.	Reminder diary	1
37.	Register for keeping a watch on communication received from MPs	1
38.	Register of Parliamentary assurances	1
39.	Check-list for periodical reports	1
40.	Inspection reports	1 year after the date of next inspection

*NOTE: The retention period will be reckoned with reference to the date from which the record cease to be current/active. Where, however, it is proposed to weed out a register wherein certain entries are still current, e.g. file movement register where certain files entered therein have not been recorded or the register of assurances. Where certain assurances have not implemented, the current entries will first be transferred to the new register and the old register weeded out thereafter.*

- (2) The above schedules should be reviewed at least once in 5 years.  
Custody of records - Recorded files will be kept serially arranged in the sections/desks concerned for not more than one year, after which they will be transferred to the departmental record room.

### **CUSTODY OF RECORDS**

- (1) Recorded files will be kept serially arranged in the sections/desks concerned for not more than one year, after which they will be transferred to the departmental record room.
- (2) In the event of transfer of work from one section to another, the relevant files also will be transferred, after being listed in duplicate one copy of this list will be retained by the section taking over the files for its record and the other acknowledged and returned to the section transferring them.
- (3) Files transferred by a section to the departmental record room will be accompanied by a list of files in duplicate. The departmental record room will verify that all the files mentioned in the list have been received, retain one copy of the list and return the other, duly signed to the section concerned. In the record room, these lists will be kept section-wise in separate file covers.
- (4) The departmental record room will maintain a record review register in which a few pages will be allotted for each future year. Class 'C' files marked for review in a particular year will be entered in the page earmarked for that year in the register.
- (5) Files surviving the review undertaken on their attaining the 25th year of life will be stamped prominently as 'transferred to NAI' and retired to the National Archives. Files transferred to the National Archives will be accompanied by a list of files in



triplicate, one copy of which will be returned by the National Archives, duly signed, to the departmental record room.

## **REVIEW AND WEEDING OF RECORDS**

1. A class 'C' file will be reviewed on the expiry of the specified retention period and weeded out unless there are sufficient grounds warranting its further retention. Justification for retaining a file after review will be recorded on the file with the approval of branch officer/divisional head concerned. Retention after a review will be for a period not exceeding ten years.
2. Class 'A' and Class 'B' files will be reviewed on attaining the 25th year of their life in consultation with the National Archives of India. In these reviews, the need for revising the original classification of class 'B' files may also be considered.
3. The year of review of class 'C' files be reckoned with reference to the year of their closing and that for class 'A' and class 'B' files with reference to the year of their opening.
4. Beginning in January each year, the departmental record room will send to the sections/desks concerned, the files due for review in that year, together with a list of files in four lots - in January, April, July and September.
5. Files received for review will be examined by or under the directions of the section officer or the desk functionary concerned and those no longer required will be marked for destruction. Other files may be marked for further retention vide sub-para (2) and (3)
6. After review the record clerk/desk assistant will make entries of revised classification/retention period in the file registers and return them to the departmental record room along with the list.
7. The departmental record room will:
  - (a) transfer class 'A' and class 'B' files surviving the review under taken at the 25th year of their life vide sub paras (3) above to the National Archives;
  - (b) in the case of other files:
    - (i) destroy those marked for destruction after completing column 4 of the list of files and
    - (ii) restore the rest i.e. those marked for further retention to the departmental record stacks after making the required entries in the record review register in the case of class 'C' files;
8. Records not falling within the category of files e.g. publications, spare copies of circulars, orders, will also be subjected to periodic reviews at suitable intervals and those no longer needed should be weeded out. To facilitate such reviews each section will maintain a register in the prescribed form.

**RECORDS MAINTAINED BY OFFICERS AND THEIR PERSONAL STAFF** Each department may issue departmental instructions to regulate the review and weeding out of records maintained by officers and their personal staff.



## REQUISITION OF RECORDS

- (1) No recorded file will be issued from the sectional, departmental records except against a signed requisition.
- (2) Requisition for files belonging to other department will be got endorsed by the department concerned before they are sent back.
- (3) The requisition will be kept in the place of the file issued.
- (4) If the requisitioned file is one that has been microfilmed or printed normally a microfilmed or printed copy and not the original will be issued to the requisitioning department.
- (5) If a requisitioned file initially obtained for being put up in one case is subsequently put up on another, a fresh requisition should be given to the section daftry or sent to the departmental record room for replacing the original requisition which will be returned to the party concerned.
- (6) On return, the requisitioned file will be restored to its place and the requisition returned to the section/official concerned.
- (7) Files obtained by a section from the departmental record room will normally be returned within 3 months. If they are not received back within this period, the departmental record room will remind the section concerned. For this purpose, the record room will maintain a simple register for keeping a record of the files issued to the various sections each month. A similar register will be maintained by each section as a record of files borrowed from it by other Sections.

This issue with the approval of Competent Authority.

1. All Addl. Commissioners
2. All Head of the Departments
3. All Zonal Dy. Commissioners

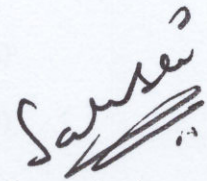
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27/11/17