

SUBJECT: Educational Management & Administration-Elementary. (SC4)
Human Resource Management
Dept of Education
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**TOPIC: RECORD MANAGEMENT, MATERIAL MANAGEMENT &
WORK SIMPLIFICATION**

2.RECORD MANAGEMENT:

Records management is “responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records”.

Records management (RM), also known as *records and information management (RIM)*, is an organizational function responsible for the creation and maintenance of a system to deal with records throughout a company’s lifecycle. RM includes everything from the creation of a record to its disposal. Essentially, it comprises anything that is part of a business transaction.

Note: *Document management* is part of records management since many documents are records. However, not all records are documents. Document management concerns more of the day-to-day activities involving physical or digital files, like capturing, storing, modifying, or sharing them.

We all rely on information to help us work effectively and to build the knowledge for ourselves and the Organization. Records management is the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. Records

management is the process of identifying and protecting evidence, which comes in the form of records.

It means that whenever you create or receive a document in the course of your work and it provides evidence of an activity, decision, or transaction, you need to keep it as evidence. That document becomes a record and must be stored safely so it remains accessible for as long as it's needed.

Records are “information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.” Examples include final reports, emails confirming an action or decision, spreadsheets showing budget decisions, photographs or maps of field missions, which need to be kept as evidence

A record is content that documents a business transaction. A record usually does not include drafts, duplicates, or convenience copies of documents.

A record serves as evidence of an event. Therefore, you can often take a record into a court of law to prove authenticity, reliability, integrity, and usability. Records can provide necessary documentation for an audit, court case, or other official uses.

A record can also be anything that includes personally identifiable information (PII). Companies that are in the financial services, health, government, or legal sectors must be particularly aware of this kind of record.

records management is by definition responsible for the creation and maintenance of records throughout their lifecycle. The function

includes many different but related elements, all with the goal of controlling access to company or organizational records while maintaining ease of use and security. Records management can be physical or electronic, and is frequently a combination of both.

In practice, records management usually includes a records manager. This is the person responsible for records management within the organization, but that person often has a team of people working together to create and maintain systems. In some companies and agencies, the top official, often the agency head, CEO, or CFO, is ultimately responsible for records management, even if they have hired others to do the work of actively managing records.

The first phase - **Create/receive** - starts when records are either received from an external source or created internally. The objectives of this initial stage are:

1. Create complete and accurate records that provide evidence of the functions, activities, decisions, transactions, procedures, etc.
2. Identify and apply an appropriate security classification
3. Distinguish between records and non-record copies or working documents to appropriately segregate them in the filing system
4. Place the record in an organizational classification scheme (or file on paper (e.g. in a filing cabinet or a binder) or in electronic version (e.g. drive or in a system) to ensure that it's preserved within its context

After the first phase records immediately enter an **Active phase** of the lifecycle. It means that they are often used, shared between colleagues, retrieved to support day-to-day business and referred to. The objectives of this stage are: Create complete and accurate records that provide evidence of the organization's functions, activities, decisions, transactions, procedures, etc.

1. Identify and apply an appropriate security classification
2. Distinguish between records and non-record copies or working documents to appropriately segregate them in the filing system
3. Place the record in an organizational classification scheme (or file on paper (e.g. in a filing cabinet or in a binder) or in electronic version (e.g. drive or in a system) to ensure that it's preserved within its context
4. Preserve the integrity of the record, which means ensuring that it is not altered after completion
5. Maintain its usability which means making it available for all who need an access to the record to do their job
6. Facilitate identification and preservation of records with permanent value

So now we are able to:

- Identify the records that are not required to be stored in the primary system (paper) or systems/shared drives (electronic)
- Organize and list them

- Transfer them to the local Records Center
- Retrieve only those records that are needed from time to time

Finally, **Disposition phase** is also present. Disposition actions involves either Archive or Destroy. It means that some portion of the records, usually about 5% of the total records' holdings of an office or a mission, that due to their historical value have a permanent retention, will be transferred to record center while the rest will be destroyed at some point. The objectives of this stage are:

- Identify records with archival value (permanent retention), list them, organize them and sent them to ARMS
- Identify records due for disposal/destruction, list them, gather necessary approvals for the destruction and proceed with an environmentally friendly destruction process

Essentially, For example, a final response to a proposal is a record, but the drafts, comments about the drafts, and correspondence about the proposal might not be. Personnel files are records, as are social media posts and instant messages (therefore, records management does not just involve paper documents). According to [The Global Trade Association for Information Management Companies \(PRISM\)](#), courts consider all of the following to be records: doodles on a paper napkin, core samples from oil exploration, a pipe with a part number on it, and sections of frozen tissue samples.

Records management is a requirement for many governmental agencies, and other companies also have systems in place. RM

provides a framework to gain control over piles of paperwork and locate documents, and ensures that needed information is easily accessible and readily available.

Proper organization can help provide consistent service to clients and partners while simultaneously increasing staff efficiency and productivity. Records management is also a way to tell an organization's history, but that job often falls under the expertise of an archivist, rather than under that of a records manager.

A records management redundancy(not needed or not useful) plan should address the following:

- Creating a records and information inventory
- Labeling vital records and designating them for redundancy
- Identifying who has access to records and including a third party located off site

Not having proper records management systems in place.

Important information lost like:

- government grants
- financial penalties or possible requirements to return grant funds.
- the penalty might be fines, criminal charges, or imprisonment,
- irregularities in record keeping, falsified documents, and improper destruction of documents.
- The law also allows fines of up to \$1 million and prison sentences of up to ten years for CFOs and CEOs who falsely report their company's financial status.

Records management exists to provide a history of documents and

decisions and to ensure continuity. These benefits apply to all companies and organizations, no matter how big or small. They even apply to individuals.

A records manager is someone who is responsible for records management in an organization and does the following¹

- setting policies and standards
- assigning responsibilities and authorities
- establishing and promulgating procedures and [guidelines](#)
- providing a range of services relating to the management and use of records
- designing, implementing and [administering](#) specialized systems for managing records
- integrating records management into business systems and processes

Thus, the practice of records management may involve:

- planning the information needs of an organization
- identifying information requiring capture
- creating, approving, and enforcing policies and practices regarding records, including their organization and disposal
- developing a records storage plan, which includes the short and long-term housing of physical records and [digital](#) information
- identifying, classifying, and storing records
- coordinating access to records internally and outside of the organization, balancing the requirements of business confidentiality, [data privacy](#), and public access.
- identification and maintenance of records per a specified [retention period](#)

- executing a retention policy on the disposal of records which are no longer required for operational reasons; according to organizational policies, statutory requirements, and other regulations this may involve either their destruction or permanent preservation in an [archive](#).

Some information on Electronic Records Management

As technology becomes an increasingly significant aspect of business, records management systems have had to keep up. *Records management applications (RMAs)* are software applications that manage records electronically by using features to categorize and locate active records as well as identify records for disposition. These apps must be secure, reliable, permanent, and comprehensive, and they must comply with rules and regulations.

When using any kind of electronic system, it's important to note that simply scanning an existing paper document might not be sufficient to make it a record. Some software systems require a person to declare something a record, so the system can properly manage it. Each record must have a unique identifier to work with some systems.

Look for something that is easy to use and has the necessary security to protect files. Some systems include *document management systems (DMS)* within the scope of records management. Also, look for something that guarantees an enforceable chain of custody, so you can see what a record said, how the content within it evolved, and who was involved with any changes. That kind of system can prevent unauthorized access and changes.

Electronic records management systems need to be able to adapt and

grow as technology changes. Formats change, and the documents and records saved in a particular format might also need to change. For example, floppy discs were the best technology available in the mid 1990s. Now, hardly anyone has a drive to read those discs. Records management occurs in the long term, not the short term.

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(Please refer to websites for more information)

WRITE NOTES ON 1.IMPORTANCE OF Record MANAGEMENT in an Educational Institute

2. Issues if records are not maintained in a company)

NEXT CLASS WILL BE ON

1.Material management

2.Work simplification

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