

## Activities for Developing DMS-Hard documents

Functions: All

Codes for activities: TH01-TH12

Source: SH01-For hard documents (Annexure 34A)

(Refer Chapter:12)

List of activities	Codes for steps and (no of activities)	Function applicable	Responsibility
<p><b>Identifying hard</b> documents &amp; manual types (hard) that need to be stored as summarised below:</p> <ul style="list-style-type: none"> <li>● <b>Core documents:</b> types &amp; codes (Annex 22A)</li> <li>● <b>Statutory documents:</b> types &amp; codes (Annex 23A)</li> <li>● <b>Functional manuals:</b> types &amp; codes (Annex 17)</li> <li>● <b>Statutory manuals:</b> types &amp; codes (Annex 18)</li> <li>● <b>Similar type manuals:</b> types &amp; codes (Annex 19)</li> <li>● <b>Engineering &amp; Architect drawings, as relevant</b></li> </ul> <p>Each type's volume/ number of documents may run into several hundred /thousand/lacs per financial year.</p>	TH01	All, similar	Nominated user by Each HOD
<p><b>Identifying</b> the form of <b>hard</b> documents &amp; manual types that need to be stored, such as summarized below:</p> <ul style="list-style-type: none"> <li>● Hard paper form -usually in A8, A4, A2 or equivalent sizes etc. as original like stamp papers or and signed in original</li> <li>● Hard plastic film form -usually is in A1 size or more extensive &amp; used for Engineering or Architect drawings or layouts</li> <li>● Photocopies of above</li> <li>● laminated copies of above</li> </ul>	TH02	All, similar	Nominated user by Each HOD

And so on			
<b>Classifying each hard</b> document into three categories: <ul style="list-style-type: none"> <li>• Statutory type</li> <li>• Confidential</li> <li>• Operational</li> </ul>	TH03	All, similar	Each HOD
<b>Selecting</b> storage locations for <b>hard</b> documents vis a vis activity TH02 & TH03 <ul style="list-style-type: none"> <li>• a) In Central house location Central repository</li> <li>• b) In house within the respective function or</li> <li>• c) external outsourced location</li> </ul>	TH04	All, similar	CFT (users from IT, Legal, key functions) nominated by CEO
Evolving <b>hard</b> Document retention policy with inputs from Heads of functions, legal & corporate finance team, independent of storage location	TH05	All, similar	CEO/MD
Sanctioning following for <b>hard</b> documents planned to be stored at Central Repository in the organisation for all functions as per option “a” in TH04: <ul style="list-style-type: none"> <li>• Physical storage place &amp; infrastructure for storing documents with the required capacity</li> <li>• Resource for indexing, receiving, accessing, viewing, retrieving, issuing documents</li> </ul>	TH06	All, similar	CEO/MD
Identifying storage location <b>within each function</b> & providing guidelines to users for storage retrieval of <b>hard documents</b> planned to be stored <b>within each function</b> as per option “b” in TH04	TH07	All, similar	Each HOD
Developing system for at least following features based on inputs from functional HOD vis a vis <b>hard documents</b> to be stored in the house at central repository as per option “a” in activity at TH04 <ul style="list-style-type: none"> <li>• Indexing of hard files</li> <li>• Receiving</li> <li>• Viewing</li> <li>• Retrieving</li> <li>• Security</li> <li>• User activity monitoring</li> </ul>	TH08	All, similar	CFT

<ul style="list-style-type: none"> <li>● Access from multiple locations</li> <li>● Storage space requirements in racks, bins &amp; under lock &amp; key/locker</li> <li>● Scalability</li> <li>● Costs per month</li> </ul>			
<p>CFT (users from IT, Legal, Consultant &amp; Contracts Function) <b>evaluating facilities &amp; processes</b> of external storage (Service provider’s facility) for <b>hard documents planned to be stored at outside storage location</b> as per option “c” in TH04. A few of <b>the</b> evaluation parameters are as below.</p> <ul style="list-style-type: none"> <li>● Building’s construction features (like RCC building, lightings, handling facilities)</li> <li>● Fire protection arrangements</li> <li>● Water logging prevention</li> <li>● Termites &amp; insects protection</li> <li>● Accessibility of storage but at not prominent locations</li> <li>● Security arrangements</li> <li>● Reputation for ensuring safety and confidentiality</li> <li>● Layouts efficiency</li> <li>● Handling &amp; logistics arrangements for physical/hard copies of the document or &amp; manual for safe storage, pick up &amp; delivery.</li> <li>● Confidentiality of client’s name on boxes/files for document or &amp; manual at storage premises</li> <li>● Storage capacity</li> <li>● Features of software for indexing, storage, retrieval of documents</li> <li>● Throughput times for pick up &amp; delivery, photocopying etc</li> </ul> <p>After that, negotiating pricing &amp; placing the order on the service provider &amp; communicating the name of the agency to HOD’s Also communicating agency details to each HOD and the methodology for documents storage &amp; retrieval.</p>	TH09	All, similar	CFT
<p>Developing SOP covering below activities vis a vis <b>hard documents</b> to be stored outsourced facility as per option “c” in TH04</p>	TH10	All, similar	CFT

<ul style="list-style-type: none"> <li>● Requisitioning service provider - pickup timelines of the document (for different modes) from user location &amp; transporting to the service provider's an outside storage warehouse</li> <li>● Retrieval &amp; transporting of documents- delivery timelines of the document (for different modes) from the outside storage location of the service provider to user location</li> <li>● Retrieval of documents for weeding out/ retention policy</li> <li>● Conducting Periodic audit of user documents at service provider's storage location</li> <li>● Obtaining photocopy of prescribed documents lying in outside storage location</li> <li>●</li> </ul>			
Evolving rights for requisitioning pick up or & retrieval or & return or & storage or & weeding out of <b>hard documents</b> irrespective of storage location options as captured as "a or b or c" in activity TH04	TH11	All, similar	Each HOD with inputs from CFT
Availing day to day <b>hard</b> document pickup & retrieval services from service provider vis a vis <b>hard documents</b> to be stored outside <b>function</b> as per option "c" in TH04	TH12	All, similar	Nominated user by Each HOD
Additional activities proposed per function for meeting future activity requirements of any function for " <b>developing DMS</b> " for <b>hard documents</b>	TH14-TH15-T H16	@1/function	

**Note:** Annex numbers **Annex 17, 18, 19, 22A, 23 A** are a part of the **handbook in Ethics -Volume 1**. The remaining activity codes are reserved for other functions