

No. 14(6)/2010-O&M
Ministry of Heavy Industries & Public Enterprises
Department of Heavy Industry
O&M Section

Udyog Bhawan, New Delhi-110 011.
Dated the 11th June, 2014

OFFICE MEMORANDUM

Subject: Record Retention Schedule for Department of Heavy Industry.

The undersigned is directed to forward herewith a Record Retention Schedule for records pertaining to Administrative Sections - PE.I to PE.XII, AEI, HE&MT, NATIS Cell, TSW(A), TSW(B) and Co-ordination Sections.

2. A copy of the relevant provisions of Central Secretariat Manual of Office Procedure is enclosed as Annexure-A.
3. The other Sections viz., Administration Section, GA Section, Welfare, Vigilance, Hindi, Finance, Budget & Accounts, Cash, Parliament, RTI Cell, IT Cell etc. for which Records are common to all Departments, are covered under the provisions of Record Retention Schedule of Department of Administrative Reforms & Public Grievances – edition 2012 available on their website <http://darpg.nic.in> → Rules and Manuals → Records Retention Schedule.
4. All the Sections in Department of Heavy Industry are requested to undertake recording/reviewing/weeding of the records as per Record Retention Schedule enclosed or the Record Retention Schedule issued by DARPG, as the case may be.
5. It is proposed to initiate digitization of records through e-Office in DHI. All the Sections are, therefore, requested to immediately weed out the unwanted records as per the provisions of Record Retention Schedule, as applicable, and go for digitization for the remaining records to save expenditure on digitization.
6. For electronic records, the provisions of paragraph 92 of the Central Secretariat Manual of e-Office Procedure are applicable which is also available on website of DARPG under Rules and Manuals.
7. All the officers/Sections in DHI are requested to ensure strict compliance.


(Manjit Kumar)
Director

To

1. All Officers/Sections in DHI

Copy to:

1. PS M(HI&PE)/PS to MOS(HI&PE)
2. PPS to Secretary
3. PPSs/PSs to AS(S)/JS(RKS)/JS(VS)/EA(RKP)

**PROPOSED DEPARTMENT SPECIFIC RECORD RETENTION SCHEDULE
IN RESPECT OF DEPARTMENT OF HEAVY INDUSTRY**

PE I TO PE.XIII/ HE&MT/AEI/NATIS CELL/Coordination/TSW(A)/TSW(B)

Sl. No.	SUBJECT (Matters relating to CPSEs/Autonomous Bodies under administrative control of DHI)	Retention Period (Category-Years)
1.	Rehabilitation of loss making CPSEs	B-20
2.	Turn around, Revival, closure, Disinvestment of CPSEs	B-20
3.	Proposal to BIFR, BRPSE	B-20
4.	Matters relating to Share Holding, Equity, Rights, Shares, Dividends, Share allotment, Surrender of lands,	B-20
5.	Policy matters	B-20
6.	Cabinet Notes/EFC Note/BPRSE Note	B-20
7.	EFC Note	B-20
8.	Policy Matters relating to Capital Goods Sector/Auto Sector/Natrip/National Electric Mobility Mission Plan/National Automotive Board	C-20
9.	Financial package	C-10
10.	Appointments of Bard Level Officers in CPSEs	C-10
11.	Enhancement of retirement age	C-10
12.	Revision of pay scales	C-10
13.	Infrastructure, Winding up of Company, Disposal of old Machine Tools, Bank Guarantee	C-10
14.	Export & related matters	C-10
	Licensing Agreement with foreign countries/Foreign Investment	C-10
	Foreign Technology collaboration	C-10
	Foreign Agreement	C-10
15.	Setting up of Joint Working Group with foreign countries	C-10
	Foreign funding/Foreign Investment Proposals	C-10
	FIPB	C-10
	Transfer of Technology,	C-10
	Project Import/Essentiality Certificate,	C-10
	Foreign Training	C-10

16.	Constitution of Development Councils and Committees	C-10
17.	Court cases, Cases before Tribunals, Five year Plan	C-10
18.	Vigilance Cases, Disciplinary Proceedings	C-10
19.	Personnel matters/Service matters/Wage revision including VRS	C-10
20.	Policy Matter relating to Capital Goods including Heavy Engineering and Machine Tools. Formulation of Scheme Report for Capital Goods	C-10
21.	Reference from Ministry of Commerce on Foreign Trade Agreements (FTAs) with various countries, EU, Japan, Singapore, Malaysia, Thailand, China, Korea	C-10
22.	Meeting of Technical Sub Committee/Screening Committee, Cess Committee and release of cess funds to various organizations for R&D activities in Automobile Sector	C-10
23.	Reference from DGFT seeking comments on policy issues relating to matter concerning DHI	C-10
24.	MOU signing, settlements, Trademark	C-5
25.	Salary/wages and statutory dues to employees of CPSEs	C-5
26.	Extension of tenure	C-5
27.	Payment of productivity linked incentives	C-5
28.	Audit matters, C & AG paragraphs	C-5
29.	Annual Administrative Reports	C-5
	Audited Accounts	C-5
	Periodical returns	C-5
	Flash Report	C-5
	Annual Action Plan	C-5
	Strategic Plan	C-5
30.	Agenda for Board meetings	C-5
	Performance Review meetings	C-5
	Annual General meeting (AGM)	C-5
	Workshop, seminar	C-5
	Meetings (on miscellaneous matters)	C-5
	Extra ordinary General meetings	C-5
	Resolution adopted	C-5
	BRPSE meetings	C-5
	BIFR meetings	C-5
31.	Outcome Budget	C-5
	Plan Budget	C-5
	Demands for Grants	C-5
	Supplementary Demands	C-5
	Pre-Budget recommendations	C-5
	BE/RE	C-5

	Release of funds(Plan/Non Plan)	C-5
	Release of loans (Plan/Non Plan)	C-5
	Re-appropriation of funds	C-5
	Post Budget Action/Proposal	C-5
32.	Parliamentary Questions/Assurances/other matters Input/Report of Department Related Parliamentary Standing Committee	C-5
33.	Miscellaneous, O & M	C-5
34.	Issue of Excise duty concession certificate for purchase of car by physically handicapped persons	C-5
35.	Issue of Project Import Certificate	C-5
36.	Proposals from industry associations relating to sanction of grant-in-aid for participation in conference etc.	C-5
37.	IEBR – Monthly/Quarterly Reports	C-3
38.	Material for press/media and for address by PM, President and Minister/Secretary	C-3
39.	Export Oriented Unit	C-3
40.	RFD and related matters	C-3
41.	Visit of Delegation/Officers to foreign countries	C-3
42.	VIP Reverences, PMO References, References from President Secretariat	C-3
43.	Reference received from Ministries/Departments seeking comments on Cabinet Notes and other issues	C-3
44.	Export Oriented Unit	C-3
45.	Visit of delegation from foreign countries	C-3
46.	Tour Programme of CMD	C-3
47.	Proposals/Representation from Associations/Public Grievances/Representation for non receipt of shares/Representation from dealers	C-2
48.	Public Grievances	C-2
49.	RTI matters	C-2
50.	Issue of Photo pass	C-2
51.	Information sent to Coordination Section as received from CPSEs	C-2
52.	Governing Council meeting of ARAI	C-2
53.	Leave Application of CMD	C-1

Note:-

- The Records not covered above may be intimated to O&M Section for inclusion in Record Retention Schedule.
- For category of records, paragraph 105 of Central Secretariat Manual of Officer Procedure refers.

CHAPTER XII

RECORDS MANAGEMENT

102. Activities involved in records management

- (1) Records management covers the activities concerning mainly recording, retention, retrieval and weeding out.
- (2) Each record creating agency will nominate, in pursuance of provisions of the Public Records Act, 1993 and the Public Records Rules, 1998, a Departmental Records Officer (DRO) who is not below the level of a Section Officer for overall records management of the organization as a whole and liaison with the National Archives of India.

103. **Stage of recording**—Files should be recorded after action on the issues considered thereon has been completed. However, files of a purely ephemeral nature (such as casual leave records or circulars of temporary nature) containing papers of little reference or research value may be destroyed after keeping for one year without being formally recorded.

104. Procedure for recording —

- (1) Action for Recording :

After action on the issue(s) considered on the file has been completed, the dealing hand/ initiating officer, in consultation with his supervisory officer, should close and record the file in the manner prescribed below :

- (a) indicate the appropriate category of record (vide para 105 below) and in the case of category 'C', also specify the retention period and the year of review/weeding on the file cover; for non-file documents, indicate the number of years for retention on the front cover.
- (b) where necessary, revise the title of the file so that it describes adequately the contents at that stage;
- (c) get the file indexed (vide para 107 below) 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/standing note/precedent book/reference folder, etc.;
- (e) remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough work drafts, surplus copies, etc., and destroy them;
- (f) complete all references and, in particular, mark previous & later references on the subject, on the file cover;
- (g) pass on the file to the record clerk;

(2) Action on Recorded Files

The record clerk will thereafter :

- (a) complete columns 4 and 5 of the file register and correct the entry in column 2 (i.e. the subject, if revised), where necessary;

- (b) enter the file number in column 2 of the register for watching progress of recording (**Appendix 24**);
- (c) write the word 'recorded' prominently in red ink (*make suitable entries in computer environment*), across the entries in the file movement register;
- (d) indicate page numbers and other references (except references to alphabetical slips) in ink which were earlier made in pencil
- (e) indicate the year of review on the file cover in respect of category 'C' files;
- (f) prepare fresh covers, where necessary, with all the entries already made thereon; and
- (g) hand over the file to the daftly/peon.

(3) The multi skilled staff will repair the damaged papers, if any, stitch the file and, show it to the record clerk for making entries in the register for watching progress of recording (**Appendix 24**) before keeping it in the bundle of recorded files.

105. **Categorization of records** :—Files may be recorded under any one of the following categories :

- (1) *Category 'A' meaning 'keep and microfilm'* -This categorization will be adopted for :
 - (a) files which qualify for permanent preservation for administrative purposes (vide part 'A' of **Appendix 25**) 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 to avoid its damage or loss; or
 - (ii) material likely to be required for frequent reference by different parties simultaneously/frequently.
 - (b) files of historical importance such as those listed in Part 'B' of **Appendix 25**.
- (2) *Category 'B' meaning 'keep but do not microfilm'*-This category will cover files required for permanent preservation for administrative purposes, such as those listed in part 'A' of **Appendix 25**. It will, however, exclude the nature of material falling under the category described in (i) or (ii) of sub-para (1) (a) above and therefore need not be microfilmed.
- (3) *Category 'C' meaning 'keep for specified period only'*. This category will include files of secondary importance having reference value for a limited period not exceeding 10 years. In exceptional cases, if the record is required to be retained beyond 10 years it will be upgraded to B Category.

106. **Stage of indexing** - Files will be indexed at the time of their recording. Only those files which are categorized as 'A' and 'B' (vide para 105) will be indexed.

113. Review and weeding of records —

- (1) A Category '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, including the period already retained. If a file was originally retained for a period of 10 years, any further retention will require up-gradation of the category.
- (2) Category 'A' and category '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 categorization of category 'B' files may also be considered.
- (3) The year of review of category 'C' files will be reckoned with reference to the year of their closing and that for category 'A' and category '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 the form at **Appendix 31**, in four lots in January, April, July & September.
- (5)
 - (i) Files received for review will be examined by, or under the direction of, the section officer or the desk functionary concerned and those files which are no longer required will be marked for destruction. Other files may be marked for further retention vide sub-paras (2) & (3). It may, however, be ensured that in case an inquiry has been initiated departmentally or by a Commission of Inquiry or as a result of Court proceedings having a bearing on the subject matter contained in the files/documents concerned or the files/documents which are required in connection with the implementation of order/judgment of any court of law, such files/documents will not be destroyed, even if, such files/documents have completed their prescribed life as per the Record Retention Schedule.
 - (ii) Files/documents referred to above may be, destroyed only after submission of the Report by the Commission or completion of inquiry or implementation of the judgment/ order of the court(s), with the approval of the concerned Joint Secretary/Head of the Department concerned. In case the implementation of the court order has been challenged/appealed against either by the Government or by the applicant in a higher court, the relevant files/documents will not be weeded out until, such time the appeal/ challenge is considered and finally decided. In such cases the limitation period prescribed for appeals should also be kept in mind.
- (6) After review, the record clerk/desk assistant will make entries of revised categorization/ retention period in the file registers and return them to the departmental record room along with the list (**Appendix 31**) after completing column 3 thereof.
- (7) The Departmental Record Room, under the supervision of Departmental Record Officer (DRO), will :
 - (a) transfer category 'A' and category 'B' files surviving the review undertaken at the 25th year of their life vide sub-para (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 (**Appendix 29**); 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 category 'C' files;

(8) Records not falling within the definition of file, e.g., publications, spare copies of circulars, orders, etc., 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 form at **Appendix 32**.

(9) Considering the urgency to reduce the volume of records being retained without any significant need for their retention, the following measures may be taken in the Ministries/ Departments :

(a) A special drive may be launched every 6 months to record/review all old files and to weed out those no longer needed. The results of such special drives will be submitted to the DAR&PG in the proforma shown in **Appendix 33**;

(b) Each Joint Secretary may review every quarter the state of indexing/recording/review/weeding out of files in his wing and allot such time-bound tasks towards this and to the members of the staff;

(c) Inspecting officers may be asked to pay special attention to the stage of Records Management in the sections as well as the Departmental Record Rooms during their inspections.

(10) The following manner of Weeding/Destruction of records will be adopted :

(a) Routine files/records will be manually torn into very small pieces and disposed.

(b) Other documents including classified files/records will be destroyed by incinerating (burning) or by shredding.

(c) Secret files/records will also be incinerated after being shredded as per provision under 'Departmental Security Instructions' issued by the Ministry of Home Affairs.

114. Records maintained by officers and their personal staff—Each department will issue detailed departmental instructions to regulate the review and weeding of records maintained by officers and their personal staff.

115. Requisitioning and restoration of records—

(1) No recorded file will be issued from the sections, departmental record room or Archival records except against a signed requisition in form prescribed under Public Records Act, 1993/ Public Records Rules, 1998 in the case of Archival records, and in the form at