

West Bengal Transport Corporation

Paribahan Bhavan

12 R.N.Mukherjee Road, Kolkata-700001

No. 002/87/MD/WBTC

Date: 14.06.2023

ORDER

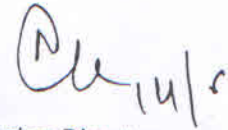
It has been noticed that the system of recording and keeping the office files needs to be reorganised in a systematic manner by indexing, classifying and categorising with guidance from WB Secretariat Manual Record Management rules (Chapter 15).

For proper planning, execution and monitoring the following officers will guide different offices of respective STUs and reorganise the filing and record storing system.

CSTC	WBTC	WBSTC
FA cum CAO, CSTC	CE (Civil)	CE(Marine)
Sr.LO	CAO (Incharge)	FA cum CAO, WBSTC
Dy.CME	SE(HO) Bus	ADO
COSP	SE (OHC)	All Depot in Charges
SAO	OSD(P)	
Retainer, CSTC	L&CO	
All Depot Managers	All Depot in Charges	

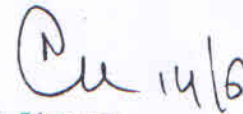
A copy of Record Management Rules under Chapter 15 is attached herewith as ready reference.

Jt. Managing Director will co-ordinate with the teams and place a progress report after 15 days.



Managing Director,
West Bengal Transport Corporation

- cc: 1. The Secretary, Transport Department
2. The Joint MD
3. Dy MD(IW/B)
4. All above members



Managing Director,
West Bengal Transport Corporation

CHAPTER – 15

Record Management

- 15.1** Records management covers the activities concerning recording, retention, retrieval and weeding out. Each record creating agency (Department, Branch or Wing) will nominate, a Departmental Records Officer (DRO) who is not below the level of a Section Officer for overall records management.
- 15.2** Files (including e-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 records or circulars of temporary nature) containing papers of little reference or no research value may be destroyed (deleted if e-file) after four years without being formally recorded.
- 15.3** **Uploading in Departmental website:** Before the action to record a file is initiated by the dealing Assistant, he shall necessarily upload the gist of the important decisions contained in that file, on the website of the Department/Office in order to comply with the provisions of the RTI Act, 2005, if this has not been already done.
- 15.4** **Process of recording:** After action on the issue(s) considered on the file has been completed, the dealing Assistant, in consultation with his Section in charge, should close and record the file in the manner prescribed below:-
- 15.4.1** indicate the appropriate category of records and in the case of Category II, also specify the retention period and the year of destruction on the file cover;
 - 15.4.2** where necessary, revise the title of the file (including e-file) so that it describes adequately the contents at that stage;
 - 15.4.3** get the file indexed (as described below);
 - 15.4.4** 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;
 - 15.4.5** in the case of physical files, remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working- sheets, rough drafts, surplus copies, etc., and destroy them;
 - 15.4.6** complete all reference and, in particular, mark previous and later reference on the subject on the file cover;
 - 15.4.7** pass on the file to the Record Room;
- 15.5** **Classification:** There will only be 2 categories of recorded files i.e. Category I & II. Category I will contain such files which qualify for permanent preservation for administrative purposes or which are of historical importance such as:
- 15.5.1** files containing evidence of rights or obligations of or against the government, e.g., title to property, claims for compensation not subject to a time limit, formal instruments such as awards, schemes, orders, sanctions;
 - 15.5.2** files relating to major policy decisions, including those relating to the preparation of legislation;

- 15.5.3 files regarding constitution, functions and working of important committees, working groups, etc.;
- 15.5.4 files providing lasting precedents for important procedures, e.g. administrative memoranda, historical reports and summaries, legal opinions on important matters;
- 15.5.5 files concerning rules, regulations, Departmental guides or instructions of general application;
- 15.5.6 files relating to salient features of organization and staff pattern of Government Departments and offices;
- 15.5.7 files relating to important litigation or 'causes celebres' in which the administration was involved;
- 15.5.8 files relating to the creation of a Department or agency of Government; how it was organized, how it functioned and (if defunct) how and why it was dissolved;
- 15.5.9 data about what the Department/agency accomplished. (Samples by way of illustration may be enough; but the need for such samples may be dispensed with where published annual reports are available);
- 15.5.10 files relating to a change of policy. This is not always easy to recognize, but watch should be kept for (a) summary for a Minister, (b) the appointment of a Departmental or inter-Departmental committee or working group, and (c) note for the Cabinet or a Cabinet Committee. Generally there should be a conscious effort to preserve all such papers, including those reflecting conflicting points of view. In the case of inter-Departmental committees, however, it is important that a complete set of papers be kept only by the Departments mainly concerned - usually the one providing secretariat assistance;
- 15.5.11 files relating to the implementation of a change of policy, including a complete set of instructions to executing agencies etc., and relevant forms;
- 15.5.12 files relating to a well-known public or international event or cause celebre, or to other events which gave rise to interest or controversy;
- 15.5.13 files containing direct reference to trends or developments in political, social, economic or other fields, particularly if they contain unpublished statistical or financial data covering a long period or a wide area;
- 15.5.14 files cited in or noted as consulted in connection with, official publications;
- 15.5.15 files relating to the more important aspects of scientific or technical research and development;
- 15.5.16 files containing matters of local interest of which it is unreasonable to expect that evidence will be available locally, or comprising synopsis of such information covering the whole country or State or a wide area;
- 15.5.17 files relating to obsolete activities or investigations, or to aborted scheme in important fields;

- 15.5.18** any other specific category of records which, according to the Departmental instructions issued in consultation with the State Archives, have to be treated as genuine source of information on any aspect of history-political, social, economic, etc., or of special interest.
- 15.6** Category II will include files of secondary importance and having reference value for a limited period not exceeding 20 years. In exceptional cases, if the record is required to be retained beyond 20 years it will be upgraded to Category I.
- 15.7** Files relating to employees such as their personal files, leave files and files relating to sanction of loans and advances will be preserved till one year after their retirement. Service Books and pension files are to be preserved till death of the pensioner and all family members who are likely to become eligible for grant of family pension.
- 15.8** In case of physical files falling under Category I, all contents including the covers are to be scanned for digital preservation. Whenever any content therein is needed for reference in future, a copy of the same from the digital version will be supplied.
- 15.9** In the Record Room entry will be made in the File Register and the Index of Current Files regarding recording of the file with date. An entry will be made in a register to be maintained to monitor progress of recording and review of files. The date of review will also be mentioned therein.
- 15.10** Torn or mutilated papers and covers in the file will be repaired. "Recorded" will be written on the file cover. Then it will be placed in shelves in order of the date of review.
- 15.11** All Category I files will be reviewed after expiry of 20 years to consider whether to retain the same further or to downgrade to Category II and weed out by an officer not below the rank of Joint Secretary. It may be retained for a further period of 5 years in the Departmental Record Room, beyond which it should be reviewed again in consultation with the State Archives and transferred to them for preservation, if so decided.
- 15.12** Category II files will be reviewed after the period specified at the time of recording by the Section-in-Charge whether to retain the same for any further period, not beyond 20 years from the original date of recording. If it is to be retained beyond 20 years, it should be upgraded to Category I. The decision to upgrade or to weed out will be taken by an officer not below the rank of Joint Secretary.
- 15.13** The DRO will ensure that all files which become due for review are sent to the concerned section. A Section may also requisition a file from the record room for further action thereon, if it becomes necessary or for referencing. Whenever a file is sent to the Section either for review or on requisition, necessary noting will be made in the record review register, file register and the index of current files. When a file, sent to a Section for review, has not been returned within two months with a decision thereon, the DRO will remind the concerned Section-in-Charge for the same.
- 15.14** Every section shall return all files to the Departmental Record Room after review with a decision to retain, transfer to the State Archives or destroy the same.
- 15.15** Files containing records relating to any departmental enquiry, Commission of Enquiry, Court proceedings or which may be required in future in connection with implementation of orders/ judgements of a Court of law, will not be destroyed, even if, such files/ documents have completed their prescribed life as per the Record Retention Schedule.

- 15.16 Precautions before destruction:** To ensure that files are neither prematurely destroyed, nor kept for periods longer than necessary, every department will:
- 15.16.1** in respect of records connected with accounts, observe the instructions contained in Financial Rules;
 - 15.16.2** in respect of records, relating to establishment, personnel and housekeeping matters common to all Departments, follow the 'Record Retention Schedule' in respect of Records Common to All Departments', issued by the Department of Personnel and Administrative Reforms;
 - 15.16.3** in respect of records prescribed in this Manual, observe the retention periods specified;
 - 15.16.4** 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 State Archives;
 - 15.16.5** in respect of files relating to employees such as their personal files, leave files and files relating to sanction of loans and advances, preserve till one year after grant of pension. Service Books and pension files are to be preserved till death of the pensioner and all family members who are likely to become eligible for grant of family pension;
 - 15.16.6** in respect of records relating to disciplinary proceedings, preserve till the final closure of the proceedings, appeals under relevant rules, any possible subsequent court cases and appeals thereon;
 - 15.16.7** in respect of other records, consider whether the same is likely to be required in connection with any litigation, Commission of Inquiry, Public Accounts Committee or any other Committee of the Assembly or the Parliament.
- 15.17 Transfer of files:** 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 by transferring them.
- 15.18** 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.
- 15.19 Record review register:** The Departmental Record Room will maintain a record review register in which a few pages will be allotted for each future year. Recorded files marked for review in a particular year will be entered in the pages earmarked for that year in the register.
- 15.20 Transfer to State Archives:** Files surviving the review undertaken on their attaining the 25th year of life will be stamped prominently as "transferred to the State Archives" and will be transferred to the State Archives accompanied by a list (in triplicate), one copy of which will be returned by the State Archives, duly signed, to the Departmental Record Room.

- 15.21 Transfer of Deeds etc.:** Deeds relating to right, title or interest of the State Government or any registered agreement to which the State Government is a party will be transferred to the Inspector General of Registration for safe custody. The same process in para 15.20 will be followed.
- 15.22** All title deeds, conveyances and similar other legal documents belonging to the Government of West Bengal should be deposited with the Inspector- General of Registration, West Bengal.
- 15.23** In the event of transfer of work from one Section to another or to another Department or to the State Archive, the relevant e-files will be transferred and a report will be generated in the form available in the e-Office system.
- 15.24 Record rooms:** Record Rooms will be properly ventilated, with adequate lighting and fire-safety equipment and avoid exposure to moisture. The records will be arranged serially Section-wise and will be regularly dusted. For proper preservation the records will be periodically fumigated and moth-balls will be used.
- 15.25** In a computerized environment, it would be useful to maintain a list of records in electronic form, in the Departmental Record Room.
- 15.26** The archiving of digital records i.e. disposed/closed e-files and correspondences has to be taken at regular intervals. Two copies of the archived digital records has to be maintained - one with the Data Center / Digital Record Room to be set up as part of e-Office and the other at the location of Disaster Recovery Site. This will be responsibility of NIC / any other agency designated by the Government.
- 15.27 Weeding of records:** The following method of Weeding/Destruction of records will be adopted:-
- 15.27.1** Routine files/ records will be manually torn into small pieces and disposed.
- 15.27.2** Classified files/records will be destroyed by use of shredder, and
- 15.27.3** Secret files/ records will also be incinerated after being shredded.
- 15.28** Each Department may issue departmental instruction to regulate the review and weeding out of records maintained by officers and their personal staff.
- 15.29 Requisitioning of records:** For process of requisitioning of records will be as below:
- 15.29.1** No records file will be issued from the Sectional, Departmental or Archival records except against a signed requisition.
- 15.29.2** Requisition for files belonging to another Department and in the custody of the State Archives will be got endorsed by the Department concerned before they are sent to the Archives. If the requisitioned file happens to be a confidential one, the Archives will not supply the file direct to the requisitioning Department but route it through the Department to which it belongs.
- 15.29.3** The requisition will be kept in the place of the file issued.
- 15.29.4** If the requisitioned file is one that has been scanned, copy and not the original will be issued to the requisitioning Department.
- 15.29.5** 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 duftly or sent to the Departmental Record Room or the State Archives, as the case may be, for replacing the original requisition which will be returned to the office concerned. In the case of records obtained from the State Archives, the fresh requisition slip will be prominently marked 'change slip'.

- 15.29.6** On return, the requisitioned file will be restored to its place and the requisition returned to the Section/ official concerned.
 - 15.29.7** 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.
 - 15.29.8** Files obtained by a Department from the State Archives will not normally be retained for more than 6 months except with the latter's specific knowledge and consent.
- 15.30** Considering the urgency to reduce the volume of records now being retained without any significant need for their retention, the following measures may be taken in the Departments:-
- 15.30.1** 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 sent to the Head of the Department
 - 15.30.2** Each Joint/ Deputy Secretary may review every quarter the state of indexing/ recording review/weeding out of files in his wing and allot time bound tasks towards this to the members of the staff;
 - 15.30.3** 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.