

CENTRAL MINE PLANNING & DESIGN INSTITUTE LIMITED

PRESERVATION OF DOCUMENTS AND ARCHIVAL POLICY 2022

(Effective from 04.11.2022)

CENTRAL MINE PLANNING & DESIGN INSTITUTE LIMITED

(A MINIRATNA COMPANY)

(A Subsidiary of Coal India Limited)

RANCHI- 834031

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1. PREAMBLE

Pursuant to Regulation 9 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations 2015 (Hereinafter called as “The Regulations”) every listed company shall frame a policy on preservation of documents. This Regulation is also applicable to CMPDI being the wholly owned subsidiary of Coal India Limited, a public listed company.

Government of India has enacted the Public Record Act, 1993 to regulate the management, administration and preservation of records of various departments of Central Government/Public Sector Undertaking and commissions or committees constituted by the Central Government. As such, the Public Record Act, 1993 is also applicable to CMPDI. Under the aforesaid Act, Government of India has issued Public Record Rules, 1997 which provides that each organization shall compile a schedule of retention of records. Accordingly, CMPDI has also finalized a schedule prescribing retention period for different documents.

This Policy (hereinafter referred to as “ the Policy”) shall be called as “ Preservation of Documents and Archival Policy” of Central Mine Planning & Design Institute Limited (hereinafter referred to as “the Company”). This Policy shall be governed by the provisions of the Public Record Act 1993, Companies Act 2013 and other applicable laws for the time being in force including rules and regulations made thereunder.

Save as otherwise provided in any law for the time being in force, no record shall be destroyed or otherwise disposed of except in such manner and subject to such conditions as may be prescribed in this Policy.

2. OBJECTIVE

This policy inter alia provides for preservation of documents so that records should be kept no longer than the period necessary for the proper conduct of company business. This policy shall cover all business records of the Company, including written, printed and recorded matter and electronic forms of records.

3. EFFECTIVE DATE

This Policy shall come into effect from - 04.11.2022

4. SCOPE

This Policy is applicable to all the Business Units, Functions, Departments and Regional Institutes of CMPDIL.

5. DEFINITIONS

- (1) **“Applicable Law”**- “Applicable Law” means any Law, rules, regulations, circulars, guidelines or standards applicable on the Company under which any guideline/provision with regard to the preservation of the Documents has been prescribed.
- (2) **“Document(s)”**: “ Document (s)” refers to papers, notes, agreements, notices, advertisements, requisitions, orders, declarations, forms, correspondence, minutes, indices, registers and or any other record (including those required under or in order to comply with the requirements of any Applicable Law) maintained on paper or in Electronic Form and does not include multiple or identical copies.
- (3) **“Electronic Records”**- “ Electronic Records” means maintenance of documents in any contemporaneous electronic device such as computer, laptop, compact disc, floppy disc, space on electronic cloud, or any other form of storage and retrieval device, considered feasible, whether the same is in possession or control of the Company or otherwise the Company has control over access to it.
- (4) **“Company”**- “ Company” means Central Mine Planning Design Institute Limited acting through its Board of Directors and authorized representatives.
- (5) **“ Record”**- The term “ Record” includes:
 - a) any document, manuscript, file and registers;
 - b) any microfilm, CD/DVD, microfilm and facsimile copy of a document;
 - c) any reproduction of image or images embodied in such microfilm (whether enlarged or not); and
 - d) any other material produced by a computer or by any other device.
- (6) **“Appraisal”**- The process of determining the value of records for further use, for whatever purpose, and the length of time for which that value will continue.
- (7) **“Record Retention Committee (RRC)”**- “Record Retention Committee”- means a multidisciplinary committee constituted by the CMD, CMPDIL headed by an executive not below the rank of General Manager and may include Departmental Heads of Finance, Projects, Administration and Secretarial Department. A member from the Audit Section shall be a compulsory member of the committee.
- (8) **“Record Retention Schedule (RRS)”**- The prescribed period of retaining a record/ document after which the record/ document is scheduled to be removed from a record room and destroyed or disposed off in accordance with this Policy.

- (9) **“Record Officer”**- a designate officer not below the rank of E3 as Record Officer to be posted at the Record Room at Headquarters (HQ) as well as at each Regional Institute (RI). The Record Officer shall be designated by the heads of the RIs, for the respective RI and the Director Incharge for Personnel & Administration, for CMPDI Hq.
- (10) **“Record Room”**- a storage space identified and exclusively designated for record retention as per this Policy at HQ and RIs.
- (11) **“Nodal officer”**- “ Nodal officer” means an officer designated by the HoD of each Department of CMPDI (HQ) and RI for records pertaining to that Department.

6. CATEGORIZATION OF RECORDS

(A). Physical Records- File may be recorded under any one of the following category:

- (1) **Category ‘A’** meaning ‘ keep and microfilm’-
 - (a) Files which qualify for permanent preservation for administrative purposes 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.
- (2) **Category ‘B’** meaning ‘ keep but do not microfilm’- This category will cover files required for permanent preservation for administrative purpose. 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.

(B) Electronic Records- e-Files/records may be recorded under any one of the category:

- (1) **Category-I** (e-Files/records of historical importance to CMPDI to be preserved permanently)- It shall be kept in the Server of CMPDI.
- (2) **Category-II** (e-Files/records of secondary importance and have a reference value for a limited period) - 10 years on the server of CMPDI. In exceptional cases, if the record is to be retained beyond 10 years it will be upgraded to Category-I.

The minimum retention periods for documents identified for various departments have been specified in RRS. However, retention of those documents that are not included in the

identified categories should be determined by the Record Retention Committee constituted by the CMD primarily by the application of the general guidelines affecting document retention identified above, as well as any other pertinent factors.

7. RECORD RETENTION SCHEDULE

Each department/RI shall classify all type of files that are dealt with in their respective department/RI, in the prescribed format, and in accordance with the relevant circulars, manuals, applicable laws, etc. It shall be ensured that all the Departments/RIs send the classification of files along with the retention period in the Format at Annexure VIII within 15 days of this Policy coming into effect after approval of the competent authority.

The Functional Directors, CMPDIL for the Departments and RIs under their Directorate , shall be the Competent Authority to approve the RRS.

8. RECORD ROOM AND STORAGE

8.1 All Documents must be properly classified, filed, labeled, indexed and stored by the respective departments. The Files shall be Transferred to the Record Room by filling the details as per Annex I.

8.2 The Head of each concerned Department/RIs shall designate a Nodal officer who shall ensure compliance with this Policy in the respective department/ RI.

8.3 The record room must be secure, clean, efficient and economical. The access to the Record room shall be secured by proper authorization as per Annex II. Proper arrangement shall be made for safety and security of the Record Room to ensure no tampering or destruction of the records on account of fire, pest infection, flood, natural disaster or any other factor which might threaten the safety of the records.

8.4 Most records held within the record room will be in file format. Steel racks shall be provided in the Record Room. However, it is likely that there will be a proportion of records that cannot fit into standard shelf spaces or standard chest of drawers or that demand special treatment. These include:-

a) Engineering Drawings

Engineering drawings, plans etc. are best kept in chest of drawers. If these are not available, cardboard tubes should be used. It would be acceptable to roll the maps, plans or drawings inside cardboard tubes, as this tends to protect them from accidental damage during use.

b) Photographs

Photographs generated from Public Relation Departments etc. should be kept in acid- free folders, individually, and kept in a controlled environment. They also need specialized indexing.

c) Electronic Records

Electronic records should be stored in areas free of dust and protected as much as possible from temperature and humidity.

- 8.5 A link between records must be made wherever any documents in specialised format have been extracted from their original context and stored elsewhere to trace the origin of the records.
- 8.6 The HoDs of concerned Departments and RIs will also review and prepare an indicative list of important documents, which are to be kept in Fire proof Safe/Almirah for safe custody. A copy of this list shall be sent to the Record **Officer**.

9. Duties and Responsibilities of Record Officer

- 9.1 The Record Room shall be provided with sufficient manpower headed by a Record Officer who shall be primarily responsible for the following:
- a) Receipt of records from other departments.
 - b) Verification of records with respect to categorization, indexing and file numbering.
 - c) Preparation and Maintenance of subject-listing of records after arrangement in their respective series.
 - d) Binding of files received from other departments.
 - e) Arrangement of record on the shelves and issue reminders to the concerned department for getting the files back in the Record Room
 - f) To issue the records and receive the returned records from the concerned departments including maintenance of File Movement Register (Annex III)
 - g) To arrange for proper dusting in the record room
 - h) To arrange for repair of torn, old and brittle records.
 - i) Maintain the list of certificates of destructed files provided to him by the Nodal Officer in Annexure VII.
 - j) Maintain the list of important documents provided by the Departments/RIs, which are to be kept in Fire proof Safe/Almirah for safe custody.

In addition to the above, the Record Officer shall also be responsible for:

- a) Records officer shall comply with the provisions under the Public Records Act 1993 with respect to the records which are more than 25 years old.
- b) The Record Officer shall supervise and maintain Record Accession Register (Annex II), Record Movement Register (Annex III)
- c) The Record Officer shall compile the record retention schedules.
- d) The Record Officer shall provide the files for reference purposes preferably.
- e) The Record Officer shall provide the records under RTI Act for inspection purposes. Record

Officer shall issue certified copies of the documents or records to the information seeker.

- f) A standing guard file shall be maintained by the Record Officer/Record keeper for keeping the policy, circulars and instructions pertaining to the Record Room.

9.2 When the Record creating Deptt requests the access of records, these should be retrieved in accordance with agreed procedures and in Annex IV. Record room staff shall track the movement of records issued to user departments and ensure that the records are returned within 15 days of issue of these records. If, the records are not returned within the prescribed period, a reminder shall be sent to the user department. If records are not returned within 3 days of issue of 1st reminder, the Record Officer shall issue a 2nd reminder. Failure to return the record after 2nd reminder shall be reported to the concerned Director of the defaulting Record creating Deptt for further action for custody of the records.

10. RECORD RETENTION COMMITTEE (RRC)

- 1) The Record Retention Committee shall compile the Record Retention Schedule and on approval from the competent authority ensure its publication on the official website of the Company.
- 2) The Record Retention Committee shall review the documents for disposal/destruction as per the procedure laid down in Clause 11 of this Policy.
- 3) The Record Retention Committee will also review the safety of the records and issue instructions to departments/RIs from time to time for proper storage and safety of records from various hazards like termite, seepage etc.
- 4) Record Retention Committee may also propose modification/ Improvement in the policy in view of latest amendments and best practices from time to time.

11. REVIEW, WEEDING AND DESTRUCTION OF RECORDS PROCEDURE

a. The disposal/destruction of documents/records shall be an annual exercise to be undertaken in the month of January every year. For this purpose, on the expiration of the indicated preservation period, as per the RRS to this Policy, the respective HoDs and RDs, with the help of the Nodal Officer, shall prepare a list of documents to be disposed/destroyed, in Annexure VII, and submit it to the Record Retention Committee for its recommendation, with the approval of the concerned Functional Director. The Record Retention Committee shall submit the recommendation to the D (T) I/C Personnel who shall further put up the recommendation with comments, if any, before CMD, CMPDI. On approval of CMD, CMPDI, the documents will be disposed of/destroyed by the respective department/RIs. The Details of such recommendation shall be maintained in the Register as **per Annexure V** by the concerned department/ RI and a copy of the same shall be sent to the Record Officer of HQ/RI as applicable.

b. The respective Departmental heads/RDs shall maintain a register containing the details of documents destroyed along with the date of destruction in Annexure IX. A consolidated list of such documents shall be published on the official website of the Company as and when the records are

destroyed.

c. The retention periods specified under the RRS are guideposts. In exceptional cases, i.e. if the record has certain special features or such a course is warranted by the peculiar needs of the department, the record may be retained for a period longer than that specified in the schedule with the approval of the competent authority mentioning the reasons thereof. On approval, the modification shall be intimated to the Record Officer for information and necessary updation in the RRS.

d. Physical records to be disposed off pursuant to the retention period specified in the retention schedule shall be disposed off using a shredder. The concerned HoDs/RDs shall adopt appropriate procedure to permanently dispose off any non-paper physical records such as Audio/Video Tapes, certificates etc. "Permanent Delete" function will be used to permanently dispose off electronic records.

Exception/Exclusions:- The policy does not cover social media platforms.

e. The proforma of the destruction certificate of record/s is given **in Annex VI**. The certificate will be countersigned by the concerned HoD/ RD. The department/ RI shall keep a copy of this certificate permanently for future reference and the original certificate shall be sent to Records Officer of HQ/RI as applicable.

f. The Nodal officer shall weed out the records, approved for destruction, in presence of the Records Officer.

12. DOCUMENTS WITH PRESERVATION PERIOD SPECIFIED BY STATUTORY AUTHORITIES

If there are reasons to believe, that Company records are relevant for potential litigation, then the department must preserve those records until the Legal or Respective Department determines that the records are no longer needed.

Notwithstanding anything contained in this Policy, if a higher period of retention of documents is stated in any Act/Statute or prescribed by Statutory Authorities in the form of orders, direction or otherwise, such higher period becomes applicable.

With respect to destruction and appraisal of records beyond 25 years, it shall be ensured that this Policy is implemented in accordance with the Section 3 (2) of Public Records Act 1993 and Rule 5 of the Public Records Rules ,1997 made thereunder.

13. DISCLOSURE ON WEBSITE

A copy of the Policy including Amendments thereto shall be hosted on the website of the Company.

14. AMENDMENTS TO THE POLICY

(i) In case of any modification/amendment/re-enactment of any existing acts, rules, regulations, guidelines, etc or an enactment of any new act, rules, regulations, guidelines etc which are

inconsistent with this policy, then such modified/amended/re-enacted provision or new provisions shall prevail over the policy.

- (ii) The Chairman and Managing Director, CMPDI is authorized to amend this Policy to be consistent with the prevailing provisions of Acts, rules, guidelines, regulations and in accordance with administrative/business requirements of the Company.
- (iii) The Record Retention Policy and RRS shall remain in force for a period of three years from the date of its being published on the website or the Notice Board of CMPDIL and on expiry of three years, a comprehensive review of the Schedule will be undertaken by the Company.

Annex I

Proforma for transferring of files to Record Room

Department/Section _____

Date _____

Sl. No.	File No.	Subject	Classification	Year of destruction
1	2	3	4	5

Signature: _____

(Name of Officer)

(HoD)

(Record Officer)

Annex II

<u>Record Room Accession Register</u>							
Date Received	Record Room Serial Number	Name of Depositing Deptt.	File Number & Subject	Action Category (add date when completed)	Location	Year of Destruction	Remarks

Annex IV
Record Requisition Proforma

Date:

File No......

Category under Classification

Purpose of requisitioning

.....

.....

.....

(Requisitioning Officer)
Signature

HOD
(Signature)

Record Officer
(Signature)

(For Record Room Purpose)

Remarks _____

HOD

Record Officer

Annex VI

**Central Mine Planning & Design Institute
Limited, {Place-Pin} Record
Destruction Certificate**

Name of the Department/Section/RI: _____

“Name of the record/document/file: _____

Page Nos. _____ from _____ to _____

Date _____ from _____ to _____

This is to certify that the above mentioned record/document/file/ _____ was destroyed on _____/_____/20____ by shredding/other than by shredding/other means _____ in the presence of the Record Retention Committee.”

Place:

Date:

Time:

{.....}

Name and designation:

{.....}

Name and designation:

(HoD of the Department of Record Holder)

Annex VII

List of files due for destruction after completion of retention period

Sl. No	Name of Deptt.	File No. of Record Room	Date of receipt in the Record Room	Subject	Original File no.	Date of Completion of Retention Period	Instruction of Reviewing Authority
1	2	3	4	5	6	7	8

Annex VIII
Classification of Files with Retention Period

SI No	Description of record		Retention Period	Remarks	
	Main Head	Sub Head			

Annex IX

Name of Record/Document/File	RetentionPeriod (years)	Date of Destruction		

HOD
(Signature)