

भारतीय राष्ट्रीय राजमार्ग प्राधिकरण  
(सड़क परिवहन और राजमार्ग मंत्रालय)  
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No.11041/9/2002- Admn.

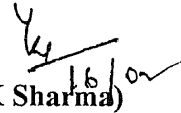
16<sup>th</sup> Feb., 2004

**POLICY MATTER – ADMINISTRATIVE/FINANCE (71/2004)**  
(Decision taken on Admin. Division File No. 11041/9/2002- Admn.)

**Sub: Guidelines on filing of documents and maintenance of records**

A comprehensive guidelines on filing of documents and maintenance of records are circulated herewith for strict compliance.

This issues with the approval of Chairman.

  
(V K Sharma)  
General Manager (Admn.)

All Officers at HQs  
All PDs/SPVs

## GUIDELINES ON FILING OF DOCUMENTS AND MAINTENANCE OF RECORDS

1. All the documents generated or received by the Unit/Division should be kept neatly in the chronological order in proper files.
2. Each file will contain documents pertaining to a particular subject. The broad subjects may be decided by the respective Unit/Division.
3. Each file will have a distinctly unique number, which will be indicated in all the documents generated on the subject and kept in that file. Normally, if the number of documents filed becomes more than 100, another volume may be opened with the same number alongwith an indication of the number of the volume.
4. The file index system to be followed for allotment of number to the files shall be as follows:
  - (i) Each main subject or main head under each functional group is assigned consecutive, Arabic numerals beginning with "11" which also could go up to "99".
  - (ii) Similarly, the sub-subjects or sub-heads under each functional group is assigned consecutive, Arabic numerals beginning with "11" which also could go up to "99".
  - (iii) The subject numerals and sub-subject numerals are separated by "0" the group of numerals to the left of "0" refer to the main subject while that to the right of its sub-subject, topic, aspect or factor.
  - (iv) Files opened under the same subject etc. are given serial numbers 1, 2, 3 and so on and separated from the group of numerals identifying the main subject and the sub-subject by a slant stroke.
  - (v) The year in which the file is opened is shown separately from the file number by a slant stroke.

- (vi) At the end of each file code, number is to be indicated by the dealing division or unit by a suitably chosen abbreviated group of letters separated from the year by a hyphen.
- (vii) Each subject and sub-subject thus having been identified by an alpha-numeric code, a brief content of the subject is indicated in the rectangle on the file cover marked "subject".

Illustrations:

- (a) In a file numbered "11012/3/96-Admn", the first group of Arabic numerals "11" stands for the main subject heading "Establishment". The figure "0" is a separating sign. The second group of Arabic numerals "12" stands for the subordinate subject "Recruitment". The number "3" between slant strokes denotes that it is the 3<sup>rd</sup> file opened under this subordinate heading. The figure "96" indicates the year of opening the file and the abbreviating letters "Admn." stands for Administration Division.
- (b) In a file numbered "11020/5/2001-DM II", the first group of Arabic numerals "11" stands for the main subject heading "Procurement". The figure "0" is a separating sign. The second group of Arabic numerals "20" stands for the subordinate subject "EOP". The number "5" between slant strokes denotes that it is the 5<sup>th</sup> file opened under this subordinate heading. The figure "2001" indicated the year of opening the file and the abbreviating letters "DM II" stands for Delhi-Mumbai II Division.

5. The documents will be filed in the following manner:

- (i) Each file will consist of two parts, the correspondence received/issued on a particular subject and noting sheets.
- (ii) All the correspondence papers (letters, orders, instructions etc. issued/received by the Unit/Division) will be arranged in the chronological order of date of issue/receipt in the respective folder. Separate folders will be maintained for each distinct file number.

- (iii) The notings pertaining to the decisions recorded will be kept on top of the correspondence folder, neatly tagged.
  - (iv) All the noting sheets as well as the correspondence papers (each page) will be serially numbered in **ink**.
  - (v) The noting sheets will also have the file numbers typed on each sheet at top right corner (in small fonts).
  - (vi) Both the noting sheets and the correspondence folder will always be kept tied together neatly by a binder/tag.
  - (vii) So long as the file is current, the noting sheets will be kept on **top** of the folder and tied with the binder.
  - (viii) Once the file (or its volume) is closed, the noting sheets will be kept inside the folder and tied neatly.
  - (ix) The date of opening and closing the file will be indicated neatly on top of the file/volume.
6. Each Unit/Division will have a file register which will contain the record of all the files maintained in the Unit/Division. This register will be maintained by the PA of the PD (in PIUs)/GM or DGM (in the Hqs) concerned. It will be the personal responsibility of **all** the officers of the respective Unit/Division to ensure that a file opened on any subject is first entered in the file register. It will also bear the signatures of the officers of the respective Unit/Division against the details of each file opened in the Unit/Division. This register will be inspected once in three months **by the PD/GM concerned**.
7. The documents like DPRs, survey records, register on various subjects etc. will also be included in the file register and assigned a distinctive number which may even be the serial number of the file register.
8. The PD/GM or DGM concerned will render a certificate to the Administration Division latest by **15<sup>th</sup> March, 2004** that the file register has been opened and is being maintained in accordance with these guidelines.

9. The new folders alongwith binders will be made available to the Divisions in the Hqs., by the Admn. Division, latest by **15.3.2004**. The PIUs may obtain the samples from Admn. Division and procure the folders/binders from local market.
10. The new system will come into effect immediately.

### **Recording & Weeding Out**

11. The old records which have outlived their utility and the prescribed period of retention may be weeded out by destruction. The periods for which the records are required to be maintained are prescribed in the various instructions issued by NHAI, MoRT&H and Ministry of Personnel, Public Grievances and Pension.
12. A copy of the Record Retention Schedule for the substantive functions of the National Highways Authority of India which has been prepared on the basis of the Record Retention Schedule prescribed by the Ministry of Road Transport & Highways is enclosed as Annexure I.

For the areas not covered in the schedule of the NHAI, a reference may be made to the Record Retention Schedule prescribed by the Ministry of Road Transport & Highways in particular and to the Record Retention Schedule prescribed by the Ministry of Personnel, Public Grievances and Pensions (Department of Administrative Reforms and Public Grievances).

13. The relevant extracts of the instructions of the Ministry of Personnel, Public Grievances and Pensions relating to Records Management and Security of Official Documents are attached as Annexure II & III respectively.

#### **14. Some Important Points to be kept in mind**

- (i) While flagging the correspondence, the flags should not be stapled, as it is bound to cause damage to the paper. There should rarely be any need to put a flag because page number of the paper referred to in the section of correspondence, should generally be mentioned in the margin on the note sheet.

- (ii) While typing on the noting sheets, it should be ensured that adequate margin is left, particularly on the right hand side.
- (iii) While submitting the drafts for approval, the page number of the letters, which are being referred to in the draft, should be clearly indicated in the margin.
- (iv) While submitting the notes to the higher authorities, it may be ensured that adequate space is left at the bottom of the note sheet for the higher officer to record their remarks. Wherever necessary, the last sentence of the noting may be carried to the next page so that adequate space is available for recording the notes by the higher officers. The note should never be carried to the bottom of the note sheet as it gets frayed over a period of time and note becomes indecipherable. Moreover, it should be ensured that the final authority passing orders on the proposals on the file does not have to put his/her signatures on the margin or at the bottom of the note sheet, which gets frayed after sometime or on a blank page. Such possibilities should be anticipated and note should be carried on to the next page.
- (v) It should always be ensured that courtesy note sheets are attached to the file i.e. there should always be at least one clear note sheet following the sheet on which last note is recorded.
- (vi) The drafts for approval should be kept below the note sheets, duly flagged.
- (vii) Part cases should not normally be opened. Wherever it becomes absolutely necessary to open a part case, it should be merged with the main file as soon as possible. Part cases opened should also be recorded in the document register kept with the GM concerned.

**15. Space for Records in the HQs.**

The space for records is being provided at Basement Level-2 in the Headquarters. A Record Keeper along with an Assistant will be positioned in the Basement. The records to be taken out of the Basement by the concerned division should be entered in the register kept with the Record Keeper in the Basement.

## RECORD RETENTION SCHEDULE FOR NATIONAL HIGHWAYS AUTHORITY OF INDIA

PART-A

Sr. No	Documents	Period of retention from the date of recording
1.	Documents related to DPR Consultant	
(i)	Pre-Qualification Documents	<p><u>Unqualified Bids</u> : 2 years from the date of Pre-Qualification .</p> <p><u>Qualified Bids</u> : 3 years from the date of Pre-Qualification except finally successful Bid.</p> <p><u>Finally Successful Bids</u> : 2 years after expiry of professional liability period. In case of arbitration 2 years after settlement of the arbitration or legal disputes, whichever is later.</p>
(ii)	Bid Documents for Consultancy Services	<u>Unsuccessful Bids</u> : 3 years from the date of award of the contract. Original financial bids of unsuccessful bidders to be preserved for 2 years from date of completion of consultancy contract.
(iii)	DPR Consultancy Contract Document	5 years after expiry of professional liability. In case of arbitration 2 years after settlement of the arbitration or legal disputes, whichever is later.
(iv)	Detailed Project Report (DPR) all volumes	Permanent
2.	Supervision Consultancy	
(i)	Pre-Qualification Document	<p><u>Unqualified Bids</u> : 2years from the date of Pre-Qualification .</p> <p><u>Qualified Bids</u> : 3 years from the date of Pre-Qualification except finally successful Bid.</p> <p><u>Finally Successful Bids</u> : 2 years after expiry of professional liability period. In case of arbitration 2 years after settlement of the arbitration or legal disputes, whichever is later.</p>
(ii)	Bid Documents for Consultancy Services	<u>Unsuccessful Bids</u> : 3 years from the date of award of the contract. Original financial bids of unsuccessful bidders to be preserved for 2 years from date of completion of consultancy contract.
(iii)	Supervision Consultancy Contract Document	5 years after expiry of professional liability. In case of arbitration 2 years after settlement of the arbitration or legal disputes, whichever is later.
(iv)	Proof Checking designs, final completion drawing handing over report.	Permanent

3.	Civil Work Contract	
(i)	Pre-Qualified Documents	<p><u>Unqualified Bids</u> : 2 years from the date of Pre-Qualification .</p> <p><u>Qualified Bids</u> : 3 years from the date of Pre-Qualification except finally successful Bid.</p> <p><u>Finally Successful Bids</u> : 2 years after expiry of defect liability period. In case of arbitration 2 years after settlement of the arbitration or legal disputes, whichever is later.</p>
(ii)	Bid Documents	<u>Unsuccessful Bids</u> : 3 years from the date of award of the contract except L-2 and L-3 which shall be destroyed 2 years after completion of work.
(iii)	Contract Agreement for Civil Work	5 years from the date of actual completion or 2 years after expiry of defect liability period or settlement of arbitration or legal disputes, whichever is later.
(iv)	Measurement Books	10 years from the date of actual completion.



RECORD RETENTION SCHEDULE FOR NATIONAL HIGHWAYS  
AUTHORITY OF INDIA

PART - B

Sl. No	Documents	Period of retention from the date of recording
1.	<p><b>Execution of National Highways</b></p> <p>i) Survey Investigation</p> <p style="padding-left: 20px;">a) Major Works</p> <p style="padding-left: 20px;">b) Minor Works</p> <p>(ii) Land Acquisition</p> <p>(iii) Technical Appraisal</p> <p>(iv) Administrative approval of works (less than Rs.50 lakhs)</p> <p>(v) Enquiry committee</p> <p>(vi) Inspection Reports</p> <p>(vii) Quarterly Progress report on National Highways from States &amp; Monitoring thereof</p> <p>(viii) Project Completion records</p> <p>(ix) Consultative Committee Minutes &amp; Meetings</p> <p>(x) VIP reference</p> <p>(xi) Alignment of Roads (angle wise)</p>	<p>10 Years</p> <p>5 Years</p> <p>Permanent</p> <p>5 years</p> <p>10 years</p> <p>5 years</p> <p>3 years</p> <p>3 years</p> <p>Permanent</p> <p>3 years</p> <p>3 years</p> <p>Permanent</p>
2.	<p><b>Maintenance and Development of National Highways</b></p> <p>a) Policy</p> <p>b) Others</p> <p>ii) Bridges</p> <p>iii) Roads</p> <p style="padding-left: 20px;">a) Original work for widening &amp; lengthening the road</p> <p style="padding-left: 20px;">b) Maintenance/Repair of roads</p>	<p>Permanent</p> <p>3 years</p> <p>Permanent</p> <p>10 years</p> <p>3 years after completion of work</p>

3.	<u>New Additions in the National Highways System</u>  (i) State wise Proposal i) Accepted ii) Rejected (ii) Examination of Proposals regarding 4 laning of National Highways  (iii) VIP References  (iv) Misc. correspondence	5 years 3 years Permanent  3 years  1 year
4.	<u>Private Sector Finance for National Highways</u>  (i) Legislation - Identification of Specific Projects for  (ii) Proposals i) Accepted ii) Rejected (iii) Meetings of Ministerial Committee/High Power  (iv) Seminar  (v) Misc. correspondence	Permanent  5 years 3 years  10 years  3 years or 1 year after audit is over, whichever is later. 1 year
5.	<u>Roads of Inter-State &amp; Economic Importance</u>  i) State wise proposals a) Accepted b) Rejected  ii) Approval of Programme a) Policy b) Others  iii) Misc. Correspondence	5 years 5 years  Permanent 3 years after implementation  1 year
6.	<u>Tender Cases</u>  i) Bridges ii) Roads	Permanent 3 years after completion of work
7.	<u>Sanction of Original Estimates/Revised cost Estimates</u>  i) Major	10 years

	ii) Minor	5 years
8.	Processing of Estimate Finance Committee (EFC) cases (up to 200 crores)	5 years
9.	Public Investment Board (PIB) cases (from 200 C-10 to 500 crores)	10 years
10.	Extension of Licence deeds in respect of Petrol Pump/Waterpipe line/Cables etc.	Permanent
11.	Technical operational matters relating to Build Operate and Transfer (BOT) Projects	Permanent
	1. Empanellment of consultants for National Highway Projects	3 years
	2. Empanellment of Arbitrators of both domestic funded schemes and externally aided projects	3 years
	3. Traffic and Transportation on National Highway	5 years
	4. Wayside amenities - approval of	5 years
	5. V. I. P. references	3 years
12.	<u>National Highways</u>	
	i) Policy	Permanent
	ii) National Highway Act 1956 & Amendments thereto	Permanent
	iii) Draft Ribbon Development Act & Rules thereunder (under progress)	Permanent
	iv) VIP references	3 years
13.	<u>Meetings</u>	
	i) With outside agencies	3 years
	ii) Transport Development Council (TDC)	5 years
	iii) Indian Road Congress (Indian National International Bridge & Structural Engineers (IRC-ING-IABSE)	3 years
14.	<u>Plan Scheme Project</u>	
	Five year plan of the NHAI	10 years
	Annual Plan NHAI	3 years
	20 years plan	10 years
15.	<u>Road Development-Foreign Assistance</u>	
	i) Asian Highway Policy	Permanent

	ii) Meetings	5 years
	iii) Treaties/Agreements to which India became Party	Permanent
	iv) Seminars/Conferences	3 years
	v) Training abroad under Colombo Plan	3 years
	vi) World Bank Assistance International Development Association/Asian Development Board (IDA/ADB)	5 years
	vii) Permanent International Association of Roads Congress (PIAEC) Indian National Group of the International Associations for Bridges and Structural Engineering (ING IABSE)	5 years
	viii) Misc. Correspondence	1 year
16.	<u>Training of Highway Engineers Local Training</u>	
	i) Training	3 years
	ii) Conferences/Seminar/Workshops	-do-
	iii) Annual Membership	-do-
17.	<u>Traffic Census Data</u>	
	i) Traffic Census	5 years
	ii) Traffic Statistics	5 years
	iii) Misc. Correspondence	1 year
18.	<u>Reports &amp; Returns</u>	
	i) Monthly/Quarterly/Fortnightly/weekly/Annual	1 year
19.	Misc. Correspondence	1 year
20.	<u>Institutional Improvements/Research and Development/Introduction of new techniques</u>	
	i) Policy	Permanent
	ii) Institutional improvement/Standing Committee, etc.	10 years
	iii) Introduction of new machines/literature (item-wise)	5 years
	iv) Follow up action (item-wise)	5 years
21.	<u>Repair Estimates</u>	
	i) Policy	Permanent
	ii) Repair Estimate	3 years

	iii) Estimate for missing parts	3 years
22.	<u>Hire Charges:-</u> i) Policy ii) Recovery of Hire charges iii) Hire out of machines to other organisation	Permanent 3 years after recovery 3 years or 1 year after audit is over where-ever financial matters are involved
23.	<u>Cement</u> i) Policy ii) Correspondence	Permanent 1 year
24.	<u>Bitumen</u> i) Policy ii) Others	Permanent 3 years
25.	<u>Maintenance &amp; Repair (M&amp;R) Grants</u> i) Budget Provision - Release of funds under M&R grants	3 years
26.	Technical literature Bitumen work/Earth Work/Bridge Work	3 years
27.	<u>Inspections</u> Audit inspection of section	3 years or 1 year after audit is over whichever is later
28.	<u>National Highways</u> 1. Policy matters/decisions relating to all aspects of National Highways 2. National Highways Act, 1956 framing of Rules for levy of fee on National Highways 3. Agency Charges on National Highway Works 4. Registration of Land 5. Correspondence regarding Railway level crossing 6. Encroachment of National Highway lands correspondence 7. Maintenance and Repairs of National Highways - Sanction letters	Permanent Permanent 3 years Permanent 3 years 3 years 3 years or 1 year after the audit is over whichever is later

8	Quality Control :	Permanent
	i) Policy	5 years
	ii) Others	
9	Inauguration Ceremonies of National Highways	3 years or 1 year after the audit is over whichever is later
		3 years
10.	Landscaping/Plantation of trees along the Roadside	3 years
11	Electrification of Bridges - references received from the States	3 years
12	Erection of Structures after completion of Structure	1 year
13	Speed Breaks	

## CHAPTER XI

## RECORDS MANAGEMENT

96. *Activities involved in records management.*—Records management covers the activities concerning recording, retention, retrieval and weeding out.

97. *Stage of recording.*—Files should be recorded after action on the issues considered thereon has been completed. However, files of a purely ephemeral nature containing papers of little reference or research value may be destroyed after one year without being formally recorded.

98. *Procedure for recording.*—(1) 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 classification of record (vide para 99 below) and in the case of class 'c' also specify the retention period and the year of destruction on the file 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 101 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/precedent book;
- (e) remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc. and destroy them;
- (f) complete all references and, in particulars, mark previous and later references on the subject on the file cover;

99. *Classification of records.*—Files may be recorded under any one of the following classes :

- (1) *Class 'A' meaning 'keep and microfilm'*—This classification 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 ; or
    - (ii) material likely to be required for frequent reference by different parties.
  - (b) files of historical importance such as those listed in Part 'B' of Appendix 25.

(2) *Class 'B' meaning keep but do not microfilm*—This class will cover files required for permanent preservation for administrative purposes, such as those listed in part 'A' of Appendix 25, but not containing material of the kind mentioned in (i) or (ii) of sub-para (1) (a) above.

(3) *Class 'C' meaning 'keep for specified period only'*—This class will include files of secondary importance and having reference value for a limited period not exceeding 10 years.

104. *Precedent Book*.—Every section will maintain a precedent book in the prescribed form (Appendix 27) for keeping note of important rulings and decisions having a precedent value for ready reference. Entries in this record will be made at the earliest opportunity and, in any case, at the stage of recording the file.

105. *Record Retention Schedule*.—(1) To ensure that files are neither prematurely destroyed, nor kept for periods longer than necessary, every department will :

- (a) in respect of records connected with accounts, observe the instructions contained in Appendix 13 to the General Financial Rules;
  - (b) in respect of records, relating to establishment, personnel and housekeeping matters common to all departments, follow the 'schedule of periods of retention for records common to all departments' issued by the Department of Administrative Reforms and Public Grievances;
  - (c) in respect of records prescribed in this Manual, observe the retention periods specified in Appendix 28; and
  - (d) 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 National Archives of India.
- (2) The above schedules should be reviewed at least once in 5 years.

107. *Review and weeding of records*.—(1) A class '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.

(2) Class 'A' and class '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 classification of class 'B' files may also be considered.

(3) The year of review of class 'C' files be reckoned with reference to the year of their closing and that for class 'A' and class 'B' files with reference to the year of their opening.

(8) Records not falling within the category of files, e.g., publications, spare copies of circulars, orders, 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.



CHAPTER XII

SECURITY OF OFFICIAL INFORMATION AND DOCUMENTS

110. *Unauthorised communication of official information.*—Unless authorised by general or specific orders, no official will communicate to another official or a non-official, any information or document which has come into his possession in the course of his official duties.

111. *Treatment of classified papers.*—(1) The provisions contained in this manual apply primarily to unclassified papers. In handling classified papers, the official concerned will have to exercise special care and follow the provisions of 'Departmental Security Instructions' issued by the Ministry of Home Affairs. Since, according to these instructions, classified papers (other than confidential) are expected to be handled either by officers themselves or in sections designated as 'secret' or 'top secret', it is essential that in sections not so designated:

- (a) a separate set of registers and other records (e.g., dak register, section diary, file register, file movement register, precedent book, index slips, various arrears and disposal statements, is maintained for such papers by section officer himself; and
- (b) the recording of such files and their review is also undertaken by him personally, keeping in view sub-para (vii) of para 2 in Chapter II of the Departmental Security Instructions.

(2) Every classified file will be reviewed once in five years for declassification. A declassified file considered fit for permanent preservation will be transferred to the National Archives.

112. *Confidential character of notes.*—(1) The notes portion of a file referred by a department to another will be treated as confidential and will not be referred to any authority outside the secretariat and attached offices without the general or specific consent of the department to which the file belongs.

(2) Where the general consent has been obtained under sub-para (1) above, such consent will not be construed to apply to classified files or to files in which the officer to whom the file is supposed to be referred or shown, is personally affected or in which his official conduct is under consideration.

113. *Communication of information to the press.*—(1) Official information to the press and other news media, i.e. radio and television, will normally be communicated through the Press Information Bureau.

(2) Only Ministers, Secretaries and other officers specially authorised in this behalf may give information or be accessible to the representatives of the press. Any other official, if approached by a representative of the press, will direct him to the Press Information Bureau.

(3) Whenever it is proposed to release an official information to the press, or to hold a press conference or press briefing, or to give publicity to an official report, resolution or any other publication, the department concerned will consult the accredited information officer in advance. The accredited information officer will meet the authorised officials from time to time and collect information worthy of publicity.

(4) Detailed procedure in respect of matters mentioned in this para, as laid down by the Ministry of Information and Broadcasting, should be followed.

114. *Use of restrictive classification for printed reports etc.*—(1) The restrictive classification 'For official use only' will not be assigned to any printed report, pamphlet or compilation unless it contains information which it would not be desirable in the public interest to disclose. In doubtful cases, the test that may be usefully applied is whether the publication, whose circulation is proposed to restrict to official use only, is such that the Minister would be justified in refusing to lay it before the Parliament.

(2) No official publication will be marked 'For official use only' except with the prior approval of the branch officer, who will obtain the orders of the Secretary or Minister in doubtful cases.