

**RECORDS RETENTION SCHEDULE  
PERTAINING TO SUBSTANTIVE  
FUNCTIONS**

**Board of Practical Training (ER)**

Under Ministry of Human Resource Development  
Department of Higher Education  
Govt. of India

Block-EA, Sector-1, Salt Lake City, Kolkata-700064

Website : [www.bopter.gov.in](http://www.bopter.gov.in)

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**2016**

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F.No.17-5/2015-RS  
Government of India  
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तीव्रगामी  
**SPEED POST**

29 NOV 2016

To,  
Shri, S.M Ejaz  
Director,  
Board of Practical Training (ER)  
Block E-A, Sector-1  
Opposite Labony Estate, Salt Lake City  
Kolkata- 700064

**Subject:** - Vetting of Records Retention Schedule for Records pertaining to Substantive Functions of Board of Practical Training (ER) & Board of Apprenticeship training Kanpur (NR), Ministry of Human Resource Development - reg.

Sir,

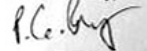
Please refer to your letter No. BOPT/ORG/280/03/32 dated 16<sup>th</sup> January, 2016 on the subject cited above. In this connection, I am to forward herewith the vetted common Record Retention Schedule along with the study report and prefatory note appended therein based on the spot study of record/files of substantive functions of the Board of Practical Training (ER) carried out by Dr. L. Das Mohapatra Assistant Director on 29<sup>th</sup> -30<sup>th</sup> June 2016 and at Board of Apprenticeship Training Kanpur (NR) by Dr. Pradeep Kumar, Archivist of this Department on 11-12 August 2016. (Copy enclosed)

The vetted Records Retention Schedule (RRS) may now be issued for implementation to the concerned Divisions for their guidance in matters relating to records management for recording, reviewing and weeding out of records. It is also requested that the vetted RRS may kindly be circulated to all the Board of Practical Training under MHRD. In case of any clarification on any points referred to the RRS, the same may please be communicated to this Department within one month of the receipt of this letter. A copy of your Office Memo (OM) circulating the Records Retention Schedule for implementation may also be endorsed to this Department for our Record.

Lastly, this Department would like to convey its thanks to all the concerned officers of your institute, for extending full cooperation to our officers during their visit.

Kindly acknowledge the receipt this letter.

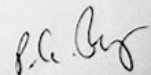
Yours faithfully,



(P.K. Roy)  
Assistant Director of Archives  
Government of India  
Tel No. 2338 1477  
Fax No. 2338 4127

Encl: As above

1. Prefatory Note & Study Report
2. Records Retention Schedule pertaining to the substantive functions of the Board of Practical Training.
3. A note on minimum requirements of the Departmental Records Room.
4. Training Courses in School of Archival Studies, National Archives of India.



(P.K. Roy)  
Assistant Director of Archives  
Government of India

**GOVERNMENT OF INDIA  
NATIONAL ARCHIVES OF INDIA  
JANPATH, NEW DELHI-110 001**

**2. Prefatory Note**

The records created by the Board of Practical Training (hereafter 'Records Creating Agency or RCA') fall under three categories i.e. (i) Records relating to housekeeping jobs and common office service functions (ii) Records dealing with financial matters, and (iii) Records relating to substantive functions, peculiar to the said Records Creating Agency. These records, among other things, require proper recording, classification, reviewing and timely transfer to the Departmental Records Room (DRR) or to the National Archives of India (NAI), as these are prerequisites of a sound records management system.

1. For recording and classification of files relating to the house-keeping jobs, common office service records and those relating to financial matters, appropriate instructions given in the Record Retention Schedule for Records Common to all Departments, 2012 issued by the Department of Administrative Reforms and Public Grievances of the Ministry of Personnel, Public Grievances & Pensions and Rule 289 and Appendix-XIII of the General Financial Rules, 2005 issued by the Ministry of Finance respectively should be followed.
2. The enclosed Retention Schedule, which has been vetted by the National Archives of India as required under clause (e) of Sub-section (1) of Section – 6 of the Public Records Act, 1993 and para III of CSMOP should be followed while recording and classifying the records of substantive functions. The recommendations of the National Archives of India regarding Retention Period are given in column 3 of the Retention Schedule.
3. The present Retention Schedule may be got reviewed after five years to ensure that any change that may occur in the activities of the RCA are covered in it.
4. The Retention Period for category 'A' and 'B' files are 25 years from the date of opening of the files. In case of class 'C' files the retention period is reckoned from the date of their recording. The

classification of each file should be distinctly written with the red ink on the top left corner of the each file cover.

5. While prescribing the retention period for the category 'C' files in the enclosed Retention Schedule slabs of C-1, C-3, C-5 and C-10 may be followed, where the numeral stands for number of years of retention of a file. The concerned sections on the expiry of the specified retention period must review all Class 'C' files. While doing so, these files, if so required, may be granted a further lease of life not exceeding a period of ten years, or upgraded as 'B', depending upon the importance of the subject matter dealt with therein.
6. 'A' and 'B' files may be appraised by the said Records Creating Agency in consultation with the National Archives of India after 25 years of their life. The files selected for permanent retention after appraisal, may be transferred to the National Archives of India for permanent custody and scientific preservation as per provision of section 6(1)(c) of the Public Record Act, 1993 and the rule 5(2)(3)(4) of Public Records Rules, 1997 and para 112 (5) of CSMOP.
7. All Section/Branch/Divisions may be advised to transfer their one-year-old files to the Departmental Records Room so that the semi-current files do not unduly clutter the precious working space in the Sections.
8. Generally, the files need to be recorded as and when the action considered therein is completed, but efforts should be made to record all files in the month of January every year. While opening a new file, action pending in the previous file should be succinctly reflected on the first page of the 'Notes' portion of the new file in which the reference of the old file should also be given. However, files of purely ephemeral nature containing information of little reference value may be destroyed after one year without being formally recorded.
9. It is likely that the files grow bulky in the course of their currency. Therefore, efforts should be made to keep the routine correspondence such as routine reminders and acknowledgements

in a subsidiary file along with the main file so that the former could be easily weeded out while retaining the main file intact without its being unnecessarily bulky. During the stage of currency of the file when either the 'Notes' or the 'Correspondence' portion becomes bulky (say exceeds 100 pages), it may be stitched and marked Volume-I. Further papers on the subject may be kept in a new folder of the same file, which should be marked Volume-II and so on.

10. In order to facilitate retrieval of information from old files it is desirable that for every file, which has been recorded and marked as 'A' and 'B', index slips should be prepared as per para 107 of CSMOP. In addition to the subject entries given on the file cover, all the important items dealt with in each file should also be reflected in the index slips. Thereafter, the annual Index of files of the organisation as a whole should be compiled for easy reference/retrieval.
11. It should be ensured that four copies each of all printed reports/proceedings should be deposited with the Departmental Library for reference purposes. In case the proceedings are secret/confidential, these may be transferred to Library after their down-gradation.
12. The present Retention schedules should be followed meticulously at the time of recording and classification of files/Registers as also at the time of their review. The recording, indexing and reviewing of files by different Divisions/Sections may also be regularly monitored by way of monthly progress report.
13. In case, any particular contract/case/file is under Arbitration, Litigation, Enquiry or Audit by any Authority, all documents and records shall be required to be retained till the final clearance from Arbitration, Litigation, Enquiry or Audit as the case may be or till the prescribed retention period, whichever is later. This is applicable on all the Divisions/Sections of Board of Practical Training.

It may be concluded that the present exercise of compiling/reviewing/vetting the Records Retention Schedule would prove worthwhile only if it is implemented in letter and spirit.

### **3. Study Report regarding review/vetting of Records Retention Schedule relating to substantive functions and other matters relating to Records Management of the "Board of Practical Training".**

The Public Records Act, 1993 (No. 69 of 1993) clause (e) of sub-section (1) of section 6 and the Central Secretariat Manual of Office Procedure, (XIII edition, 2010) para III (1) (d) envisage that the Records Officer of every records creating agency shall be responsible for compilation of a schedule for retention of Public Records in consultation with the National Archives of India. Sub-para (2) of para 111 of the Central Secretariat Manual of Office Procedure further stipulates that Records Retention Schedules should be revised at least once in five years, so as to include in it the expanding activities of the organisation, reallocation of subjects and organizational changes which take place from time to time.

In this connection, request was received from the Record Centre Bhubaneswar for the vetting of RRS of the Board of Practical Training (Eastern Region), Kolkata; vide their letter No. BOPT/org/280/03/32 dated 12th January 2016 & BOPT/org/280/03/3173 dated 11th May 2016. Accordingly, on the spot study of records was carried out by Dr. L. Das Mohapatra, Assistant Director of Archives for reviewing/vetting the Records Retention Schedule of the office of the Board of Practical Training (Eastern Region), Kolkata on 29th-30th June 2015. Dr. Pradeep Kumar also carried out the spot study at BOAT Kanpur on 11th-12th August 2016.

The study was confined to records dealing with substantive functions only as records relating to common office services, house-keeping jobs and financial matters are covered by Records Retention Schedule Common to All Departments, 2012 issued by the Department of Administrative Reforms and Public Grievances (Ministry of Personnel, Public Grievances and Pensions) and General Financial Rules, 2005 (Rule No. 289 and Appendix, XIII) issued by the Ministry of Finance, respectively.

Although utmost care has been taken to compile comprehensive Records Retention Schedule, yet if any subject/record group of

any Divisions of the Board of Practical Training (Eastern Region), Kolkata and of apprentice training, Kanpur has escaped attention during the study, the same may please be included at the appropriate place in the enclosed Records Retention Schedule and the retention period of the same may be got prescribed in consultation with the National Archives of India, New Delhi.

#### **4. Procedure of Study :-**

The Officers visited various Divisions/Sections of the Board of Practical Training, Kolkata, Kanpur and examined their Files/Registers so as to ensure that all possible recurring subject heads covering the activities of the Divisions of the Board of Practical Training etc., are included in the Records Retention Schedule, Suitable retention periods have been prescribed to various groups of records, keeping in view their administrative, legal, and financial and research values. Discussions with the concerned officers were also held before prescribing suitable retention periods to the subject heads.

#### **5. Observations / Recommendations and Suggestions**

1. The files should be recorded and their retention period be prescribed in accordance with the enclosed Records Retention Schedule and also as per paras 103, 104, 105 of the Central Secretariat Manual of Office Procedure (XIII Edition 2010) hereafter CSMOP.
2. All the Divisions of the Board of Practical Training may be directed to maintain the File Register as prescribed in Para 97 and Appendix 22 of the CSMOP.
3. Proper index slips should be prepared for records, which are to be categorized as 'A' and 'B'. In this connection procedure as laid down under paras 106-108 of the C.S.M.O.P. may be followed.
4. A regular programme of recording/reviewing/Weeding of records should be undertaken by each Division/Section and progress in this regard should be monitored.
5. An organized Departmental Records Room ensures the proper preservation, upkeep and maintenance of records. It is, therefore, recommended that the Departmental Records Room should be organized in the Board of Practical Training.
6. A copy of the 'Note on Minimum Requirements for a Records Room' is enclosed herewith for guidance and necessary action.
7. Timely transfer of all semi-current records to the Departmental Records Room may also be ensured, as per provisions of para 112 of the C.S.M.O.P.
8. Departmental Record Officers may be trained in the Orientation Course in Records Management.
9. In case, any particular contract/case/file is under Arbitration, Litigation, Enquiry or Audit by any Authority, all documents and records shall be required to be retained till be final clearance from Arbitration, Litigation, Enquiry or Audit as the case may be or till the prescribed retention period, whichever is later. This is applicable on all the Divisions/Sections/Branches of Board of Practical Training.

**Note :** Not Printed with this Publication and separately kept.

Action on the above recommendations may be initiated under intimation to this Department so as to strengthen the records management activities in the Board of Practical Training.

**Records Retention Schedule pertaining to Substantive Functions:  
BOPT (ER) & BOAT (NR)**

6. Records held at the Regional Office/Training Section/Head Training Group (Deputy Director of Training)

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
1.	Implementation of Apprentices (Amendments) Act-Connected with Engineering Graduates/ Diploma Holders and Technician (Vocational) category. Regional Advisory Committees/Board : BOPT(ER) on Apprenticeship Training a. Constitution b. Agenda c. Minutes d. Follow up action	B B B C-5	
2.	Appreticeship Training Programme ; a. Policy b. Others	B C-3	
3.	Progress/Achievement of BOPT(ER) in mplementation of apprentices Act.		

7. Records held at the Regional Office/Training Section/Common to TS I/II/III/IV

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
1.	Apprentices Acts : a. Amendments b. Interpretations c. Exemption d. Press Cuttings/Gazette Notifications relating to Act. I	B C-10 C-10 B	'B'n in case of court case.
2.	Assessment Reports of training facilities for implementation of Training Programme.	C-5	'B' in case of court case
3.	Implementation : Apprenticeship Contract Registration Card	C-5	
4.	Implementation : Payment of stipend to Apprentices Implementation : Miscellaneous correspondence on	C-5	
5.	ACRCI Stipend etc. Collection Statistical Data of Apprentices under BOPT(ER) Absorption of apprenticeship under Apprentices Act, 1961.	B	
6.	Implementation of Apprentices (Amendments) Act- Progress and follow up connected with Graduate/Technicians/10+2 (H.S.) (Voc.)	C-5	

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
7.	Implementation of Apprentices (Amendments) Act-Record of Progress of apprentices connected with Graduatel Technicians/10+2 (H.S.) (Voc.)	C-5	
8.	Quality Improvement programme a. Agenda b. Minutes c. Follow up	C-10 C-10 C-10	
9.	Publications on Apprenticeship Training by BOPT (ER)	C-5	
10.	Subject Fields under Apprenticeship Training : Graduate/Diploma Engineers, Diploma Tech & 10+2 Voc. Tech Category (E-document)	B	
11.	Appreticeship Training Programme for PWDs/ Women/SC/ST/Minority Community etc (E-document)	B	
12.	Court cases pertaining to apprenticeship Training	B	
13.	Grievances related to apprenticeship training	C-10	

8. Records held at Regional Office/Training Section/Deputy Director of Training

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
1.	Implementation of Apprentices Act—Misc. matter-e-records pertaining to online data submitted by Students/Establishment/ Institutions in Departmental Server/Server at co-location centers. (E-documents)	C-10	
2.	Implementations of Apprentices Act—Misc. matter-e-records pertaining to notes, files, reports, returns, correspondence available in internal sever.	C-10	
3.	Implementations of Apprentices Act-Files pertaining to important policy decisions on ICT matters and related contracts with third parties including procurement.	C-10	

Regional Office/Training Section/Deputy Director of Training/  
Certificate

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
4.	Papers pertaining to applications for issue of proficiency certificates.	B	
5.	Records/Registers/Computer generated print outs on issue of Training Certificates to apprentices.	B	
6.	E-records of Issuance of certificate	B	

9. Records held at Regional Office / Common to All Training Section / Accounts Section (Stipends)

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
1.	Payment of Stipend to Apprentices (a) Rules/Guidelines (b) Implementations (i) Stipend Bill  (ii) Record of disbursement of Stipend to apprentices (E records)	B  C-3  C-3	Or after completion of Audit.  Or after completion of Audit.



10. Records held at Regional Office / Deputy Director of Training / Administrative Section

Sr. No.	Subjects/Records-groups	Retention Period Recommended by National Archives of India (NAI)	Remarks
1.	Apprentices Act : Implementation & follow up  (i) Training Section wise Internal Dask Forwarding Registers.	C-5	

**11. Categorization of Records**  
**'A' Category**

Records under this category pertain to subjects of prime administrative and / or historical importance, viz.

**A - Records of value for administrative purposes**

- (1) Papers 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, fonnal instruments such as awards, schemes, orders, sanction, etc.
- (2) Papers relating to major policy decisions, including those relating to the preparation of legislation.
- (3) Papers regarding constitution, function and working of important committees, working groups, etc.
- (4) Papers providing lasting precedents for important procedures, e.g., administrative memoranda, historical reports and summaries, legal opinions on important matters.
- (5) Papers concerning rules, regulations, departmental guides or instruction of general application.
- (6) Papers relating salient features of organisation and staffing of government departments & offices.
- (7) Papers relating to important litigation or causes celebres in which the administration was involved.

**A - Records of Historical importance**

Much of the material likely to be preserved for administrative purposes will be of interest for research purpose as well; but papers of the following categories should be specially considered as of as of value to historians:

- (1) Papers relating to the origin of a department or agency of government; how it was organised; how it fimctioned; and (if defunct) how and why it was dissolved.
- (2) 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).

- (3) Papers relating to a change of policy. This is not always easy to recognise, but watch should be kept for (a) summary for a ministry, (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 this 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.
- (4) Papers relating to the implementation of a change of policy, including a complete set of instructions to executive agencies etc., and relevant forms.
- (5) Papers relating to a well-known public or international event or causes celebrated, or to other events which gave rise to interest or controversy on the national plane.
- (6) Papers containing direct reference to trends or developments in political, social, economic and other fields, particularly if they contain unpublished statistical or financial data covering a long period or a wide area.
- (7) Papers cited in or noted as consulted in connection with, official publications.
- (8) Papers relating to the more important aspects of scientific or technical research and development.
- (9) Papers 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 a wide area.
- (10) Papers relating to obsolete, activities or investigations, or to abortive schemes in important fields.

- (11) any other specific category of records which, according to the departmental instructions issued in consultation with the National Archives, have to be treated as genuine source of information on any aspect of history-political, social, economical, etc., or are considered to be of biographical or antiquarian interest

#### **‘B’ Category**

Records under this category also pertain to subjects of administrative and/or historical importance mentioned under ‘A’ category above. These, however, do not contain any material that is so precious that its original must be preserved intact or which is likely to be required for frequent reference by different parties, thus requiring microfilming.

#### **‘C’ Category**

Records under this category pertain to subjects of secondary importance having referral value for a limited period, not exceeding ten years.