

Chapter -6:

The statement of the categories of documents that are held by CESL or under its control;

Every assignment or task undertaken by CESL is initiated by the officer(s) through a written noting, which runs in a file to the senior officer(s) to seek approval of the relevant/ applicable authority of CESL. All tasks to be carried out by CESL have to be explained in detail in such file noting and views or opinions of every officer involved in the approval process are also recorded in this same document. Further, all these records are retained as per the record retention rules of the Government of India.

In addition to this, the following are the indicative categories of documents/ other records being held/ stored by various departments of CESL in their official capacity:

Documents pertaining to incorporation, license, etc:

1. Memorandum and Article of Association.

Custodian of such records: Company Secretary Department

Documents pertaining to Company Affairs:

1. Statutory Registers under the Companies Act, 2013.
2. Annual returns under the Companies Act.
3. Returns and forms under the Companies Act filed with the Registrar of Companies
4. Annual Reports of the company.

Custodian of such records: Company Secretary Department

Documents pertaining to Board Meeting and General Meetings:

1. Agenda Papers of Board Meetings
2. Minutes Book of meetings of the Board of Directors
3. Agenda Books of General Meetings
4. Minutes Book of General Meetings of the shareholders

Custodian of such records: Company Secretary Department

Documents pertaining to financial matters and accounts:

1. Books of Accounts
2. Statement of Quarterly Financial Results
3. Accounts Manual
4. Documents pertaining to payment of income tax, tax deducted at sources etc.
5. Vouchers
6. All communication and records on statutory audit(s)
7. Certain records on employee reimbursements and expenditures

8. Financial statements

Custodian Finance Department

Documents pertaining to contracts, works, sales, procurements and inventory:

1. SCM is repository of Contract Agreement of each contract signed with successful bidder related to Goods, Works and Non-consulting services.
2. Contract and procurement procedure document(s)
3. Procedure Manuals
4. Tender Documents & internal files pertaining to procurement.

Custodian of such records: Supply Chain Management Department or Contracts Department

Document(s) pertaining to different projects and schemes of CESL.

1. Invoices/ bills.
2. Letter of Award and contractual agreements.
3. Memorandum of Understanding (MoU).
4. Test reports.
5. Supply and quantity records of commodities.
6. Verification reports.
7. Licenses and authorizations.
8. Work Orders and certificates
9. Documents of different services providers and vendors held under fiduciary relationship.
10. Note sheets, procedural file and approval documents pertaining to a certain project/ assignment.

Custodian of such records: the respective indenting department/ CESL technical department responsible for execution of that particular project/ scheme.

Documents pertaining to general administration:

- 1) Land, rent, lease and property related documents.
- 2) Documents related to general administrative assignments carried out in CESL.
- 3) Office renovation and furnishing.

Custodian of such records: HR and Administration Department

Documents pertaining to Legal matters:

1. Petition and/or writ petition
2. Consumer complaint
3. Criminal complaint
4. Legal notice

5. Legal opinion(s)

6. Contracts

Custodian of such records: Company Secretary department of CESL

Documents pertaining to HR & Admin

1. Recruitment Process Documents

2. Performance Appraisal Documents

3. Employee Personal Files

4. Compliance Register/Challan/Amendment

5. Attendance Records

6. Land, rent, lease and property related document(s), Office renovation and furnishing

7. Documents related to general administrative assignments carried out in CESL.

8. All documents pertain to transfer/ joining of employees

9. RTI/ Grievances Documents

10. Work Orders and certificates

11. All communication and records on statutory audits

12. Board Resolution records

13. Separation Records

14. Invoices/Agreements

15. Training and Development Record

Custodian of such records: HR and Administration Department