

## Manual VI

### A statement of the categories of documents that are held by it or under its control

[Section 4(1)(b)(vi)]

#### A statement of the categories of documents held.

S.No.	Nature of Record	Details of information available	Unit / section where available	Retention period, where available.
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#### 1. Engineering Division :-

1.1	Files and documents relating to Capital Expenditure incurred by Discoms	Details of Capital Expenditure incurred and proposed to be incurred project-wise with detailed cost estimates, cost benefit analysis etc.	Engg. Division	Ten years.
1.2	Operation & maintenance expenses related files.	For determination of O & M expenses.	Engg. Division	Ten years.
1.3	File relating to DERC Regulations on Technical Matters	Supply Code & Performance Standards Draft Regulations, orders, public comments, comments of Licensees.	Engg. Division	Permanent
1.4	File on Grid Code		Engg. Division	Permanent
1.5	Scheme on ABT		Engg. Division	Permanent
1.6	Monitoring performance of capacitors	Plan of licensees for installation of capacitors, monthly reports of performance	Engg. Division	Ten years
1.7	Files relating to Meters	Meter specs	Engg. Division	Ten years
1.8	Testing of Meters		Engg. Division	Ten years
1.9	Meter testing by DERC in association with CPRI	Correspondence with CPRI;	Engg. Division	Ten years
1.11	Ease of doing business	Correspondence with Ease of doing business.	Engg. Division	Ten years
1.12	Coordination Forum Meeting	For conducting meeting	Engg. Division	Ten years

#### 2. IT Division :-

2.1	Appointment of Consultant for Regulatory Information Management System (RIMS)	Selection process for the appointment for RIMS related to Application Development & other RIMS procurement, communication record with the licensees, payments regarding RIMS, RIM Monitoring	IT Division	Ten years.
2.2	ISDN Connection	Proposal related to connectivity for the internet DSL bills payments etc.	IT Division	Ten years.
2.3	Purchase of Software	Software Purchase record	IT Division	Ten years.
2.4	Preparation of website for DERC	Website hosting DNS payments & other web site related activities.	IT Division	Ten years.

2.5	Procurement IT Store	Purchase activities related to the computers.	IT Division	Ten years.
2.6	Purchase of UPS	UPS purchase record	IT Division	Ten years.
2.7	AMC for Computer System	Computers & its other peripherals AMC, payments of computer AMC	IT Division	Ten years.
2.8	AMC of UPS	Activities relating to the UPS AMC payments & maintenance	IT Division	Ten years.
2.9	Purchase of Public Addressing System	Purchase & other activities of PA system	IT Division	Ten years.
2.10	Purchase of Toner / Cartridge	Computer Consumable items purchase	IT Division	Ten years.
2.11	IT Stock Register-I	Stock Maintenance	IT Division	Permanent
2.12	IT Stock Register-II			
2.13	IT Stock Register-III			

### 3. Law Division :-

3.1	Petition filed before the Commission	Pleading and Orders passed by the Commission	Law Division / Bench Officer	Ten years.
3.2	Court cases filed before supreme court / High court / Appellate Tribunal of Electricity & other Courts	Pleading and Orders passed by the Commission	Law Division	Ten years.
3.3	Licenses	Copy of Distribution License & Transmission Licensee issued by the Commission	Law Division / Secretary Office	Permanent

### Pay & Accounts Division

4.1	Voucher : Payments/ Receipts etc.	These vouchers contain the details of payments made by the Commission and the details related to the receipts of the Commission during a particular year.	Accounts Division	3 years, or one year after completion of audit, whichever is later
4.2	Cash Book / Ledger	Contains the details of all accounting transactions related to payments & receipts that has taken place in the Commission.	Accounts Division	10 Years
4.3	File related to Budget Estimates / Revised Estimates for a particular year.	Contains the details of Budget Estimates and Revised Estimates of the Commission for a particular year.	Accounts Division	3 Years
4.4	Pay Bill Register	Contains the detail of Salaries arrear etc. paid to the employee.	Accounts Division	35 Years
4.5	Acquittance Roll	Contains the details of the payments/ disbursements made to the employees of the Commission.	Accounts Division	3 years, or one year after completion of audit, whichever is later.

4.6	Bill Register	Contains the details of the bills/ vouchers prepared in the Accounts Section for processing the sanctions received from the Admin. Division.	Accounts Division	5 Years
4.7	Record such as files, registers etc. on the matters related to TDS of contractors / employees and filing of various Returns as per IT Act.	Contains the details related to calculation of Income Tax, deduction and remittance thereof etc. It also contains the office copies of the various Returns filed with the IT Authorities as per Income Tax Act.	Accounts Division	Not Available.
4.8	Files related to Grant-in-Aid provided by the Delhi Govt. to the Commission.	This file is important nature as this contains the details / papers etc. related to Grants released to DERC during a particular year.	Accounts Division	Not Available.
4.9	File pertaining to Annual Accounts and Files.	This file contains all the information / papers related to the preparation of Annual Statements of Account of the particular years. The file related to Audit of Annual Account contains the matter related to the audit half margins / paras etc. and also Audit Report, Audit Certificate issued by the O/o AG (Audit) Delhi in the particular year.	Accounts Division	Not Available.

**\* Note :- The retention period is as specified in the G.F.R.**

#### **5. Personnel & Administration Division.**

5.1	File relating to creation of posts in the Commission	The information available in the file relates to creation of various categories of posts in the Commission.	Personnel & Admn. Division	Permanent retention
5.2	File on HR Regulations	The information in the file relates to drafting and finalization of HR Regulations and HR Policies	Personnel & Admn. Division	Permanent retention
5.3	Files related to various policy issues on personnel matters	The files relate to grant of Provident Fund benefit to contractual employees, Retirement / Insurance benefit to regular employees, absorption of deputationists, housing facility etc.	Personnel & Admn. Division	Permanent retention
5.4	Recruitment of officers / staff	Information about selection process undertaken for filling up of various posts in the Commission.	Personnel & Admn. Division	Upto 10 years.
5.5	Personal files of the officers / staff	The files contain details of service history of employees	Personnel & Admn. Division	Upto 10 years.
5.6	Service Books of regular appointees	The books contain brief details of service particular of employees.	Personnel & Admn. Division	Upto 10 years.

5.7	Files on purchase of various items for use in the Commission and their maintenance	The files contain details of various purchases made in the Commission and also the record of their maintenance through Annual Maintenance Contract with concerned vendors	Personnel & Admn. Division	Upto 10 years.
5.8	Files on Miscellaneous references	The files contain details of various references received from various organizations and the replies given on the raised issues.	Personnel & Admn. Division	Upto 10 years.
5.9	Files related to various services availed by the Commission.	The files contain details of settlement of bill pertaining to various services such as electricity, water, speed post, telephones, internet, newspaper, security agency, cable connection, printing jobs, tea vending machine, etc.	Personnel & Admn. Division	Upto 10 years.
5.10	Files related to various personal claims	The files contain details of various personal claims preferred by the employees such as telephone reimbursement, newspaper reimbursement, LTC, OTA, TA/DA etc.	Personnel & Admn. Division	Upto 10 years.
5.11	Files related to building maintenance and repair etc. and outsourcing of other services.	The files contain details of various repair / maintenance jobs carried out in the office building from time to time. Some other files contain details of various outsourcing services availed by the Commission.	Personnel & Admn. Division	Upto 10 years.
5.12	Files related to publication / printing / advertising	The files contain details of various publication / printing / jobs and also settlement of bills of advertising etc.	Personnel & Admn. Division	Upto 10 years.
5.13	Files related to various service matters	The files related to leave sanction, leave salary / pension contribution, ACRs, release of increments, training etc.	Personnel & Admn. Division	Upto 10 years.
5.14	File related to various policy issues on Personnel matters	Implementation of Pay Scale, Lease, Promotion, MACP, Maternity Benefits etc.	Personnel & Admin Division	Permanent Retention
5.15	File Relating to Appointment of Consultants/ Staff Regulations	The Information Available in the File related to Regulations of Appointment of Consultant and amended to time.	-do-	Permanent Retention
5.16	File related to Training/ Membership	Information of Training , Seminar,Confrences and Institutional Membership of Officers/ Staff	-do-	Upto Ten years

#### 6. Secretary Office :-

6.1	Files related to Correspondence with all department of GoNCTD	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
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6.2	Files related to Correspondence with all department of GoI	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
6.3	Files related to Correspondence with CERC, FOR, FOIR, SAFIR, etc.	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
6.4	Files related to Parliament Questions, Assembly Question	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
6.5	Files related to Correspondence with MP, MLA and other VIPs.	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
6.6	Files related to Correspondence with Delegations visiting DERC.	All correspondence, approval, drafts and forwarding letters	Joint Secretary	Ten years.
6.7	Files relating to recruitment of staff for the office of Electricity Ombudsman and CGRFs	Details relating to the applications made by the candidates, screening of applications, selection of candidates.	Joint Secretary Office	Ten years.
6.8	Files relating to setting up of Consumer Grievances Redressal Forums (CGRFs) and the institution of Electricity Ombudsman	Notification of the positions of Electricity Ombudsman and Members of CGRFs in newspapers inviting applications, tabulated synopsis of the applicants, screening / selection details.	Joint Secretary Office	Ten years.
6.9	Files relating to Pay & Allowances of Chairman, Members of CGRFs and Electricity Ombudsman, Staff of Electricity Ombudsman.	All correspondences related to Pay & Allowances of Chairman, Members of CGRFs and Electricity Ombudsman, Staff of Electricity Ombudsman.	Joint Secretary Office	Permanent.
6.10	Files relating to budget of the office of Electricity Ombudsman	Estimates received from CGRFs and the office of Electricity Ombudsman, critical analysis of the estimates, evolving basis for apportioning the share among the Licensees seeking contributions from the Licensees and forwarding the same to the Ombudsman.	Pay and Accounts Division	Permanent.
6.7	Applications under Right to Information Act, 2005	Application made by the applicant, processing thereof and reply	Joint Secretary / PIO	Permanent.
6.8	Files related to correspondence of RTI with AR Dept. GoNCTD, CIC etc.	All correspondence	Joint Secretary / PIO	Permanent.
6.9	Files related to Hearing of 2 <sup>nd</sup> Appeal at CIC / Complaints at CIC etc.	All correspondence and Orders of CIC	Joint Secretary / PIO	Permanent.
6.10	Files related to	All correspondence and Minutes of	Joint Secretary	Permanent.

	Commission Meeting.	Meetings		
6.11	Files related to State Advisory Committee, DERC	All correspondence and Minutes of Meetings of each meeting including reconstitution of SAC	Joint Secretary	Permanent.
6.12	Files relating to Complaints received on PGMS and CPGRAMS portal.	Complaints received and necessary action taken on complaints for its disposal.	Deputy Director Consumer Assistance Office	3 years.
6.13	Files relating to Monthly/ Quarterly / Annual Report of CGRFs and Electricity Ombudsman	Monthly/ Quarterly/ Annual status Report received from all the CGRFs and Electricity Ombudsman in compliance of SOP Regulation.	Deputy Director Consumer Assistance Office	3 years.
6.14	Files relating to consumer complaints pertaining to Discoms (BRPL, BYPL, TPDDL, NDMC) and other complaints related to SOP Regulations, Tariff related issues.	Complaints, intimation to consumer of SOP regulations, Provisions of Tariff Order, Public Awareness Bulletins based on the nature of complaint. Forwarding letters to Discoms, Response of Discom on the complaint.	Deputy Director Consumer Assistance Office	3 years.

**7. Tariff Division :-**

7.1	Files related to ARR & review petition filed by the licensees	Year wise ARR petition, supplementary information, and review petitions file by the licensees	Tariff	Permanent.
7.2	Appointment	Bids from various consulting agency, their technical & financial analysis & award of contract	Tariff	Ten Years
7.3	Correspondence with other Electricity Regulatory Commissions & State Govts.	Information provided to other Regulatory Commissions and State Govt. as sought by them from time to time.	Tariff	Ten Years
7.4	Files related to approval of PPA of LTA etc.	Observations from the licensees and approval by the Commission and Commission's views etc.	Tariff	Ten Years
7.5	Files related to Tariff Regulations.	Observations from the licensees and approval by the Commission and Commission's views etc.	Tariff	Ten Years
7.6	Files related to SLDC.	Observations and approval by the Commission and Commission's views etc.	Tariff	Ten Years