



STEEL AUTHORITY OF INDIA LIMITED

ALLOY STEELS PLANT

Personnel Department

RECORD RETENTION
AND DISPOSAL
MANUAL

Record Retention Policy

Alloy Steels Plant, Personnel Department is committed to provide efficient services to all stakeholders. To ensure this it is decided to:

- Retain relevant records for a reasonable period of time.
- Dispose of old and obsolete records.
- Keep the office space clean and organized.
- Provide information easily and promptly to all concerned.

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Section-A

Introduction & Procedure

- Introduction
- Objective
- Scope & Coverage
- Classification of Records
- Retention Schedule
- Procedure for Disposal of Records

RECORD RETENTION MANUAL

SECTION-A

INTRODUCTION

Records are information (stored in any form or medium) that are an important part of the functioning of an organization and are an essential aspect in fulfilling its legal obligations. It is therefore imperative to give due care to the maintenance of this vital resource.

OBJECTIVE

Over a period of time, a lot of records in the form of files, registers, dossiers etc are generated in an office and it is important to ensure their relevance and fast retrieval. The purpose of this Record Retention and Disposal Manual is to provide guidelines for the retention of official records of the Personnel Department in accordance with the requirements of the applicable laws and disposal of redundant records at the proper time. This would help in increase efficiency of operations and free up costly office space for better utilization.

SCOPE/COVERAGE

The manual has been designed to ensure a uniform approach in maintenance & disposal of records generated in the various offices of Personnel Department from time to time. This manual lays down norms on how long official records should be retained under ordinary circumstances, and steps to be taken in the cases involving pending or imminent investigation or dispute. Electronic storage method is both desirable and prudent and should be extensively used to retain important information. However, as digitalization has not yet been uniformly deployed across the Department, the same has been kept out of the purview of this manual for the time being. As greater use of electronic media is made in future, the manual may need to be reviewed.

CLASSIFICATION OF RECORDS

1. Personal file along with the documents contained in it for both Executives & Non-executives.
2. Common records/registers pertaining to Executives & Non-executives establishments.
3. Records/registers related to Executive establishment (OD Section).
4. Records/registers related to Non-Executive establishment (Works/Non-works).
5. Records/registers related to other sections of Personnel Department like Contract Labor Cell, Recruitment, Central Services, Estate Management Works, and Non-works etc.
6. Common records/registers for Personnel & Administration Department
7. Miscellaneous records/registers.

RETENTION SCHEDULE

The Official records of the Personnel Department will be maintained and disposed off as specified in the Retention Schedule. The period of retention will be reckoned from the date of closure of the file/register. The statutory records will continue to be retained as per time schedule specified in the relevant notification/regulation.

PROCEDURE FOR DISPOSAL OF RECORDS

Whenever action on a file or register or other records is complete in all respects, the same would be treated as closed & considered to be fit for deciding the disposal in each case separately as per the period lay down under retention schedule. The dealing Personnel Executive(s) of the section will identify the records, prepare a checklist with relevant information and place it to the HoP for approval. The HoP shall approve the list of proposed records for disposal. The records so decided for disposal shall be destroyed with a record for disposal. **However, any file, register or record required in connection with any disputes, legal or otherwise, or any matter for which clarification is pending, will not be processed for Disposal.**

(a) Identification of Records:

The respective Personnel Executive of the section shall identify the records that are required to be disposed as per the Retention schedule. He/she shall prepare a consolidated list of the same with details which shall be put up for approval by the competent authority.

Further, if a record relates to two or more subjects for which different retention periods have been prescribed, it will be retained for the highest of such periods. And, 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.

In no case however, will a record be retained for a period longer than that specified in the schedule.

(b) Approval by HoP:

The consolidated list (Annexure-I), duly signed by the Personnel Executive(s) will be put up to the HoP for approval. The HoP after screening will countersign the list of records placed to him/her.

(c) Disposal of records:

The mode of disposal shall be by shredding/other means.

Disposal of records will be done in the presence of the dealing Personnel Executive at a time and place mutually decided by the HoP and the PE. After disposal, a Disposal Report will be prepared as per Annexure-II. A copy of the Disposal Report shall be pasted in the Disposal Register which will be in the custody of Head of Personnel. One copy of the Disposal Report shall be kept in the respective Section also. The original file along with all relevant records including Annexure-II shall be retained by the Head of Personnel and kept in safe custody. **The aforesaid original file and the register shall be treated as permanent record.**

SAVINGS

The Record Retention & Disposal Manual can be modified or amended with the approval of the GM (P & A)

Section-B

Retention Schedule

- Personal file (Executive & Non Executive)
- Common Records/ Registers (Executive & Non Executive)
- OD Section
- Non-Executive Establishment
- Final settlement cell
- Contract Labour cell
- Central Function
- Recruitment
- Common records/ Registers for Personnel Deptt.

PERSONAL FILE

S.No	DESCRIPTION	RETENTION PERIOD
1	Personal File	05 years from the date of final settlement of the employee

Documents contained in Personal File	
1	Offer of Appointment
2	Bio-data form as submitted at the time of appointment
3	Medical fitness at the time of joining
4	Joining report
5	Date of birth certificate
6	Mark sheet/certificate in support of qualification
7	Caste/Category certificate
8	Disability certificate
9	Attestation form
10	Charge sheet/memo issued (if any)
11	Order passed by the DA/AA
12	Order of selection against internal circular
13	Incentive for professional qualification
14	Incentive for small family norms
15	All promotion orders
16	Interplant transfer order
17	Declaration of dependent (addition/deletion declarations)
18	Proof of permanent address (only in case of change of address)
19	Reinstatement order
20	Reappointment order
21	Decisions to ascertain date of birth
22	Order for change of permanent address
23	Documents related to adopted children
24	Workman compensation order
25	Documents related to out of court settlements
26	Documents related to change of name

27	Confirmation orders (after completion of probation)
28	Internal transfer orders
29	Application for outside employment
30	Study leave/Maternity leave/Child care leave/Injury leave documents
31	NOC for Passport
32	NOC for VISA
33	NOC for pursuing higher qualification
34	Claim forms for Final Settlement of dues (separation cases)
35	Documents related to Employees Compensation Payment
36	LTA/LTC/LLTC related documents
37	Documents related to Processing of Resignation
38	Documents related to inclusion of Qualification
39	Application for HRA
40	LTE order
41	Documents related to Disciplinary Action (copy of Chargesheet/Memorandum, show cause/Enquiry Committee constitution/Order of DA etc)
42	Documents related to Suspension/Revocation and orders related to payment
43	Employer certificate related to Pension under EPS'95
44	Separation order

A list of Documents present in each Personal File will be pasted on the left inside cover of the Personal File duly endorsed by the Personnel Executive

COMMON RECORDS/REGISTERS (Executive & Non-Executive Establishment)

S.No	DESCRIPTION OF RECORD	RETENTION PERIOD
1.	Disciplinary case file/ other case file	05 years after separation of employee.
2.	Disciplinary case register (to be closed at the end of every 5 th FY)	10 years from the date of closure.
3.	Employees Compensation Register (to be closed at the end of every 5 th FY)	10 years from the date of closure.
4.	VR related documents	a) For VR Scheme involving monthly payment - 5 years from the date of last payment. b) For VR Scheme involving one time lump sum payment -5 years after the closure of the respective scheme.
5.	Manpower Reports	Permanent.

OD SECTION

S.No	DESCRIPTION OF RECORD	Retention Period
1	Records related to reporting/reviewing relationship under EPMS	01 year maintained in EPMS system
2	DPC file, constitution orders, approvals and other related documents	10 years
3	PRC folder	
4	Appraisal Dossier in EPMS	
5	Organization change (transfer/redesignation) documents	05 years from the date of approval
6	Register for issuance of NOC for VISA	05 years from the date of last entry
7	Laptop Advance Register	05 years from the date of last entry
8	Furniture/Furnishing Allowance Register	
9	Leave Register	05 years from the date of last entry
10	Documents related to retention of facilities on transfer	05 years from the date of discontinuation of facilities
11	LTC/LLTC & Tour Register	05 years from the date of last entry
12	Executive wage revision settlement/agreement	Permanent
13	Circulars relating to executive	Permanent

PERSONNEL OFFICES : NON-EXECUTIVE ESTABLISHMENT

(WORKS/NON-WORKS AREAS)

S.No	DESCRIPTION OF RECORD	Retention Period
1	ACR Dossier	5 year excluding current year
2	DPC files – Within cluster	5 year excluding current year
3	DPC files – Between cluster	5 year excluding current year
4	IR Report File	1 year excluding current year
5	Documents related to Medical Rehabilitation	5 years

FINAL SETTLEMENT CELL

S.No	DESCRIPTION OF RECORD	Retention Period	Remarks
1	Retirement file of Ex-employee	05 years	After Final Settlement of the employee
2	Consolidated No-Demand list from various areas	05 years	-do-
3	Final No-Demand File	05 years	-do-

WELFARE CELL

S.No	DESCRIPTION OF RECORD	Retention Period	Remarks
1	Medical Book Register (Without Medi-claim)	05 years	
2	EFBS Minutes & Files	03 years from the date of settlement of deposited amount to the member/nominee	After Maturity of EFBS membership
3	Life Cover Scheme Register	Permanent	
4	Long Service Award Register	02 years	From the last date of entry

CONTRACT LABOR CELL

SL. No.	Subject	File no.	Type	Retention period
1	Gate Pass for CL	ASP/PL/CL/1	Register	1 year
2	Provident Fund deposited for CL	ASP/PL/CL/2	File	5 years
3	ESI deposited for CL	ASP/PL/CL/3	File	5 years
4	Work Order File	ASP/PL/CL/4	File	2 years
5	Certificate of Registration with ALC(C)	ASP/PL/CL/5	File	Permanent
6	Return/ Report to Govt. Agencies	ASP/PL/CL/6	File	5 years
7	ESI Pehchan Card Register	ASP/PL/CL/7	Register	Permanent
8	ESI Sub-code Allotment Register	ASP/PL/CL/8	Register	Permanent
9	Monthly Engagement of CL	ASP/PL/CL/9	File	1 year
10	I.O.W. related to CL	ASP/PL/CL/10	File	3 years
11	Discipline mgt for CL	ASP/PL/CL/11	File	3 years
12	Registration of Contractors	ASP/PL/CL/12	File	6 years
13	VDA for CL	ASP/PL/CL/13	File	Permanent
14	CL Wage Agreements	ASP/PL/CL/14	File	Permanent
15	ESI for Casual Labourers	ASP/PL/CL/15	File	5 years
16	Contract Screening Committee Register	ASP/PL/CL/16	Register	3 years
17	CL Grievance/Disputes	ASP/PL/CL/17	File	1 year
18	Union Correspondence	ASP/PL/CL/18	File	1 year
19	Contractor Association Correspondence	ASP/PL/CL/19	File	1 year
20	CL database	ASP/PL/CL/20	Soft copy	Permanent

CENTRAL FUNCTION

S.No	Name of the Record	Retention period
1	Renewal of Licenses of Factories under Factories Act.	05 years
2	Returns under Workmen Compensation Act, 1923	05 years
3	Agreements between Management & Recognized Union	Permanent
4	Charter of Demand submitted by Trade Unions	10 years
5	Important Supreme / High Court judgments of interest	Permanent
6	Disbursement of Funeral Expenses	02 years
7	Documentation of Plant IR incidents	01 year
8	Number of Structured Trade Union Meetings	01 year
9	Annual return under Factories Rules, 1958	05 years
10	Half yearly return under Factories Rules, 1958	05 years
11	Annual return under Payment of Wages Rules	05 years
12	Annual return under Maternity Benefit Rules	05 years
13	ESI Return (Application for exemption from the provision of the ESI Act)	05 years
14	Circulars/ Guidelines/ Policy Matters/ Important Decisions	Permanent
15	Correspondence with SAIL Corporate Office	05 years
16	Correspondence with State / District Authorities	05 years
17	Date on Unauthorized Absenteeism	03 years
18	References received through Corporate Office	05 years
19	References received from MPs/ MLAs/ VIPs	05 years
20	File noting/ documents / records related to references	05 years
21	RTI applications/ First Appeals/ Replies	05 years
22	Documents related to Workmen's Extended Benefit Scheme	05 years
23	Circular Files	Permanent

RECRUITMENT

S.No	Name of the record	Retention Period
1.	Roster Registers (02/07/1997)	Permanent
2.	Administrative Decisions	
3.	SELECTION FILE : <ul style="list-style-type: none"> • Approval & Relevant Note Sheets • Copy of Corporate Office Clearance • Copy of advertisement published • Copy of notification to Employment exchange (in case of Non-Executives Recruitment) • Mark sheets of written test/ interview & Tabulation sheet • Selection note 	05 years from the date of approval of selection
4.	<ul style="list-style-type: none"> • Application forms (in case of off –line application) of finally selected candidates. • Scrutiny List of applied candidates. • Specimen call letter for written test/interview. • Attendance Sheets of Written Test & interview • List of short listed candidates for interview • Interview particulars along with attachments of finally selected candidates • Mark sheets of written test/ interview & Tabulation sheet. • Selection notes. • Offer of Appointment • Medical Examination Report • Joining Report • Relevant correspondences / Notices. 	05 years from the date of approval of selection
5.	Contract File (in case of outsourcing of Rectt. exercise) <ul style="list-style-type: none"> • Processing & Approval Notes. • Work Order & relevant documents 	05 years from the date of approval of selection
6.	Application forms along with enclosures (in case off-line application) of Not eligible / Not selected candidates	01 year from the date of approval of selection

S.No	Name of the record	Retention Period
7.	Returned or rejected DDs/BCs or other instruments submitted towards Application/processing fees (not applicable in case of on-line submission of Application/processing fees)	01 year from the date of approval of selection
8.	Internal Circular Related selection File	05 years from the date of approval of selection
9.	Compassionate Employment related records	05 years from the date of approval of selection
10.	Miscellaneous Applications for seeking employment related information	6 months from the date of receipt.
11.	Official record for joining (erstwhile UO Register)	Permanent
12.	Recruitment approval Files	Permanent
13.	Circulars/Office order/ notification related to recruitment procedure	Permanent
14.	RTI related to recruitment	05 years
15.	Legal matters related to recruitment	Permanent
16.	Committee reports related to recruitment	Permanent
17.	HR Plans and Corporate Office manpower budget	Permanent
18.	Files related to Medical Invalidation	Permanent

ESTATE AND MAINTENANCE

Estate			
Sl. No.	Name of Record	Retention Period	Place/Room No
1	House Allotment Rules	permanent	Room No -11
1	Field Register A-Zone	10 Years	Room No - 11
2	Field Register B-Zone	10 Years	Room No - 11
3	All Type Cardex Register-A-Zone	10 Years	Room No - 11
4	All Type Cardex Register-B-Zone	10 Years	Room No - 11
5	POS Machine Collection Register	10 Years	Room No - 11
6	System Input Register	5 Years	Room No - 11
Maintenance			
Sl. No.	Name	Retention Period	Place/Room No
1	Complain Register (Plumber, Carpenter, Electrical, Masonary, Sewer Line)	2 Years	Room No - 4
2	Fan Issue & Deposit Register	3 Years	Room No - 4
Guest House			
Sl. No.	Name	Retention Period	Place/Room No
1	Guest House Register	Yearly	Room No - 22

COMMON RECORDS / REGISTERS: ALL PERSONNEL OFFICES

S.No	DESCRIPTION OF RECORDS	Retention Period
1	Diary/Dispatch Register	02 years
2	Peon Book	02 years
3	Attendance Register	05 years
4	Leave Register	05 years
5	Supplementary Statement	01 year excluding the current year
6	Bills (Entertainment, printing, repair & maintenance of office furniture/ equipments, consumables, spares, etc)	05 years
7	Record Disposal Original File, Register & Report containing list of records destroyed as per Retention Schedule	Permanent

Section-C

Annexures

- Annexure-I: Check List for Disposal of Records
- Annexure-II: Record Disposal Report
- Annexure-III: Register for Disposal of Records

Annexure – I

CHECK LIST FOR DISPOSAL OF RECORDS

S.No	Description of Record	Retention Period	Disciplinary Case Pending

Signature of Personnel Executive (s)

Date:

Signature & Seal of HoP

Date:

Annexure – II

RECORD DISPOSAL REPORT

S. No	Description of Record	No of Pages	Retention Period	Mode of Disposal	Disciplinary Case Pending

Signature of Personnel Executive (s)

Date:

Signature & Seal of HoP

Date:

Annexure – III

REGISTER FOR DISPOSAL OF RECORDS

S. No	Description of Record	No of Pages	Retention Period	Mode of Disposal	Litigations/Complaints, pending, if any

Signature of Personnel Executive (s)
Date:

Signature & Seal of HoP
Date: