



**STEEL AUTHORITY OF INDIA LIMITED
BHILAI STEEL PLANT
RULES SECTION**



DATED: 31-01-2011

CIRCULAR NO.RULES- 04/2011

Sub: Record Retention schedule for Personnel Department.

The procedure for Record Retention and Destruction was notified vide guidelines issued under GM's Order No. GM/Admn/13/72 dated 10.3.1972 in Bhilai Steel Plant. This order specified the procedure and the time frame for record retention, and the list of records to be maintained in various departments including Personnel Department.

Over the years many records have been generated in Personnel Department which were not covered in the above cited guidelines. Hence, a new Record Retention Schedule of Personnel Department has been prepared and is annexed.

Henceforth, all records being maintained in various offices/sections of Personnel Department shall be retained as per the time schedule given in annexure to this circular.

The Statutory records will continue to be retained as per time schedule specified in the relevant notification/regulation. Records/Registers not listed in the circular but listed in SOPs under QMS of Personnel Department will be retained in accordance with the time frame laid down therein.

Weeding out of records shall be as per the guidelines issued vide circular No.O&M/Procedure/882 dated 13.10.2010.

This is a consolidated circular and shall supersede GM's Order No. GM/Admn/13/72 dated 10.3.1972 in respect of Personnel Department.

This issues with the approval of the Competent Authority.

--Sd--
(Manish Pant)
Dy. Manager (P-Rules)

ALL PERSONNEL EXECUTIVES

RECORD RETENTION SCHEDULE OF PERSONNEL DEPARTMENT,
BHILAI STEEL PLANT

INDEX

SL. NO.	AREA	PAGE NO.
1	INSTRUCTIONS	02
2	A - PERSONNEL OFFICES	03
3	B - RULES SECTION	04
4	C - MAN POWER SECTION	05
5	D - RECRUITMENT SECTION	05
6	E - HRIS	06
7	F - INDUSTRIAL RELATIONS SECTION	07
8	G - SC & CA	08
9	H - FINAL SETTLEMENT SECTION	08
10	I - COUNSELLING SECTION	09
11	J - ENQUIRY SECTION	09
12	K - GRIEVANCE CELL	09
13	L - SUGGESTION CELL	09
14	M - DGM (P-NON-WORKS) & PIO	10
15	N - MINES HEAD QUARTER	11
16	O - EXECUTIVE ESTABLISHMENT	11
17	P - CONTRACT LABOUR CELL	12
18	Q - COMMON RECORDS / ELECTRONIC DOCUMENTS	13

Record Retention Schedule, Personnel Department

Instructions

- (1) The retention period specified in column (3), in the case of a file, is to be reckoned from the year in which the file is closed i.e. action thereon has been completed.
- (2) In the case of records other than files e.g. registers, the prescribed retention period will be counted from the year in which it has ceased to be current.
- (3) In exceptional cases, a record may be retained for a period longer than that specified in the schedule, if such a course is warranted by the peculiar needs of the office. In no case, however, will a record be retained for a period shorter than that prescribed in the schedule.
- (4) If a record is required in connection with that of another record, the former will not be weeded out until after all the issues raised in the latter have been finally decided, even though the retention period of the former may have expired in the meantime. In fact, the retention periods of such records should be consciously “reviewed and, where necessary, revised suitably.”
- (5) The section issuing rules, policy etc. has to keep these records as Permanent. Other sections need keep only the standing rules and instructions etc; weeding out the superseded ones as and when they become obsolete.
- (6) For destruction of records, guidelines issued by O&M vide No. O&M/Procedure/882 dated 13.10.2010 will be followed.



RECORD RETENTION SCHEDULE OF PERSONNEL DEPARTMENT,
BHILAI STEEL PLANT

A. PERSONNEL OFFICES

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Personal file	10 years after separation
2.	Disciplinary case file/Any other case file	-do-
3.	Service Book	-do-
4.	Leave account	-do-
5.	DPC statements & related documents	10 years
6.	Roster Register	10 years
7.	Screening statement & related documents	10 years
8.	Absenteeism Reports	1 year
9.	Absentee Register	3 years
10.	Counseling Proceedings Register (Absenteeism cases)	3 years
11.	Suggestion receipt register and token gift account register	3 years
12.	Rejected suggestions	1 year
13.	Implementable suggestions	3 years
14.	Implemented suggestions along with evaluation sheets	3 years
15.	ZAC recommendation sheets	3 years
16.	List of awardees with amount awarded by ZAC	3 years
17.	LTE reimbursement claim forms	1 year
18.	LTE Register	3 years
19.	Festival advance Forms	1 year
20.	House Maintenance Expenses Reimbursement Forms	1 year
21.	OPD Book Issue Register	5 years
22.	Open Forum Register	1 year
23.	Gate pass Register	1 year
24.	EPS-95 register	3 years
25.	NRL Counseling Register	1 year
26.	EFBS Register	2 years after it ceases to be current
27.	LTC/LLTC/LTC Encashment/LTA Register	4 years
28.	Leave book issue Register	3 years
29.	Duplicate Gate Pass Register	3 year
30.	Shop Communication Forum Register	1 year
31.	Employees Feedback Form / Register	1 year
32.	Disciplinary Action Registers	5 years
33.	HRA Register	3 years
34.	Furniture and Furnishing Advance Register	8 years
35.	Periodic medical examination Register	5 years
36.	Appraisal reports	10 years

Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred

37.	Transfer / Posting file (where maintained)	5 years
38.	Circulars	Standing / current circulars only, weeding out the superseded circulars
39.	List of employees receiving Long Service Award	5 years

- Note:**
1. In case final payments have not been released due to absence of nomination, dispute in family, Court Case, pending Disciplinary case etc. the Personnel file is to be retained for 5 years after settlement of the above issues and release of payments or 10 years after separation, whichever is later.
 2. Records/registers specific to Mines will be retained as per schedule decided by Mines Personnel Group.

B. RULES SECTION

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Circulars/guidelines in vogue & related files	Permanent
2.	Superseded Circulars & related files	Permanent
3.	Wage Agreements	Permanent
4.	Wage revision related policy and decisions	Permanent
5.	Decisions maintained subject-wise	Permanent
6.	Voluntary Retirement Schemes	Permanent
7.	Records pertaining to processing of VR Applications	3years
8.	Nehru Award files	3 years
9.	List of Nehru Awardees	10 years
10.	APLRS / Bonus / ex-gratia / PLBS / SESBF files	10 years
11.	Guidelines related to Elections	5 years
12.	Approval of Increments/Promotions as per Incentive Scheme for National & All India Awards Winners.	3 years
13.	Approval for grant of Incentive for acquiring professional qualification/Hindi Incentive Scheme	3 years
14.	Approval for condoning delay in final payments	3 years
15.	Approval for condoning delay in EFBS	3 years
16.	Approval for condoning delay in journey for final settlement	3 years
17.	Approval for extending medical facility to major handicapped brothers.	25 years
18.	Approval for extending medical facility to dependants of trainees suffering from major disease or to spouse for delivery.	3 years
19.	Meal Vouchers / Gift Vouchers related files	5 years
20.	Meal Vouchers acknowledgements	1 year after closure
21.	LCS Files	10 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

22.	Replies given under RTI Act	2 years
23.	Private Foreign Visit Data	3 years
24.	Feedback forms received from Personnel Offices	1 year
25.	JO Policy file	Permanent
26.	Correspondence regarding JO Policy (including replies to RTI queries, Vigilance, National Commission)	5 years
27.	Screening data related to JO examinations	Till 3 years of date of declaration of result

C. MAN POWER SECTION

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Records related to manpower	10 years
2.	Records related to manning/restructuring/LOPs	Permanent
3.	Records related to discussion with Unions	Permanent
4.	Records related to recruitment	10 years
5.	Records related to regularization	10 years
6.	Records related to Promotions	5 years
7.	Records related to Re-appointment/re-instatement	10 years
8.	Employees opinion survey	5 years
9.	Incentive Scheme for some deptts.	10 years
10.	Officiating in EO	10 years
11.	Revision of Stipend Rates	10 years
12.	Introduction of New training scheme(TOT)	Permanent
13.	B-Form Registers & Files	Permanent
14.	Records related to HR plan	10 years
15.	Filling of VR/JO vacancies	Permanent
16.	All transfer files	10 years
17.	Policy file	Permanent
18.	Files related to multiskill	10 years
19.	Verification of caste certificates	10 years
20.	DAP review files	2 year
21.	RTI files	2 years
22.	Files related to release of employees	10 years
23.	Hindi reports	1 year

D. RECRUITMENT SECTION

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Advertisement & Notification	10 years
2.	Office Copy of call letters issued for selection process & for medical examination	10 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

3.	Office copy of offer of appointment & posting order of appointed persons.	10 years
4.	Release issued to Executive Cell.	10 years
5.	Records related to external recruitment / selection formalities including release of panels.	Permanent
6.	Applications (eligible as well as not eligible) in response to an external recruitment exercise.	6 years
7.	Question/Answer set in respect of an external recruitment exercise.	6 years
8.	Records related to employment / recruitment of local Displaced Persons (LDP)	Permanent
9.	NMR/DPR case files	Permanent
10.	Internal Circular related selection files	8 years
11.	Question/Answer set in respect of an internal recruitment exercise.	8 years
12.	Permanent Medical Unfit (PMU) cases	15 years
13.	Compassionate employment related applications	15 years
14.	MIS reports (half yearly/quarterly/annual)	15 years
15.	Unsolicited applications seeking employment under sports / cultural quota etc.	3 years
16.	Applications for posts like DNB/Resident House Officers/ Registrars/ Sr.Registrar etc. that are no more taken up by Rectt. Section.	1 year
17.	Roster Registers (1996 onwards)	Permanent
18.	Records of Works accident / Road accident / Total permanent disablement cases	15 years

E. HRIS

Sl.#	Name of the Record	Retention Period
1	2	3
1.	HRIS Database	Permanent
2.	Changes in Date of Birth	10 years
3.	Circulars from Rules	10 years
4.	Changes in DOJ/Gratuity	5 years
5.	Succession Certificate Nominee Change	5 years
6.	Creation of old employee data	5 years
7.	Change of Home Town	5 years
8.	MPS Selection related order	5 years
9.	Requisition for module making	5 years
10.	Changes in LTC/LTA/LLTC	Tenure of main block year
11.	Sticker File – Transfer out cases	4 years
12.	Stationary File for HRIS	3 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

13.	Exit survey Reports & files	3 years
14.	Exit survey filled Questionnaire	3 years
15.	Change in Qualification	3 years
16.	Change in EL/HPL balance	3 years
17.	Personnel number generation file	3 years
18.	Office copy of attendance Exe of HRIS	2 years
19.	Misc. Changes in HRIS data base	2 years
20.	Sticker File – Handicapped brother	1 year
21.	Attendance sheet distribution	1 years
22.	OPD sticker file (Normal)	1 year
23.	Monthly Hindi Report	1 year
24.	Miscellaneous file	1 year
25.	Exe Cell order copy	1 year
26.	General File	1 year
27.	Creation of New Dept/Section/Design	1 year
28.	Basic mismatch	1 year
29.	Basic Mismatch Ex-employee letter to FCC	1 year
30.	Monthly transaction list	3 months
31.	Edit Statement (on 22 nd of every month)	3 months
32.	Edit attendance (18 th of every month)	3 months

F. INDUSTRIAL RELATIONS SECTION (IR)

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Half Yearly Return Form No.28	10 years
2.	Yearly Return Form No.27	10 years
3.	Yearly Return Form No. KLM	10 years
4.	Renewal of License Form No.4	10 years
5.	Annual Report Workmen Compensation	10 years
6.	Yearly Returns Form No. XIII	10 years
7.	Renewal of Certificate in Registration of Township Vehicle Pool	10 years
8.	Shram Kalyan Nidhi Adhinyam	10 years
9.	Circulars/Guidelines on Implementation of reservation Policy for SCs/STs and OBCs.	Permanent
10.	De-reservation proposals	10 years
11.	HR Monthly Report	2 years
12.	SC/ST Quarterly Report	5 years
13.	Ex-Serviceman Half Yearly Report	5 years
14.	PM's 15 Point Programme for Welfare of Minorities(Half yearly/Annual)	5 years
15.	Annual Report for SC/ST/OBC	10 years
16.	SAIL ST/SC/Federation Meeting Correspondence	5 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

17.	Quarterly meeting with BSP SC/ST Emp. Association	5 years
18.	Study tour to the Office bearer of BSP, SC/ST Emp. Association	3 years
19.	Dr. Ambedkar Jayanti Correspondence	3 years
20.	Verification of Caste Certificate documents	Permanent
21.	Review of Safeguard of SC/ST Employees. Study of Implementation of Reservation policy audits.	10 years
22.	Correspondence with SAIL Corporate Office	10 years
23.	Agreement between Management & recognized unions	Permanent
24.	Correspondence with Registered Unions	10 years
25.	Correspondence with State Authorities	10 years
26.	Periodical Medical Examination of Workers	5 years
27.	LSR Report (Daily / Monthly / Yearly) Imprest Amount (Funeral / Misc.)	5 years

G. SC&CA

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Release/Tour/Joining orders	3 years
2.	Letters and Approval for facilities	5 years
3.	Purchase/Contract and other financial files	3 years
4.	Establishment file, Diary Despatch, leave records	3 years
5.	Reports & returns file, PR, Weekly/ Monthly	3 years
6.	Correspondence with local, Govt., Semi Govt. and President/ Secretaries of BSP Clubs.	5 years
7.	Stock/issue record of dinner sets and Briefcase.	5 years
8.	Indent/ requisition.	3 years
9.	Records of booking/approval of Civic Amenities facilities (NHC, KM, OAT & Ispat Club)	3 years
10.	Sports stores record receipt, issue bin cards & bills/challans	3 years
11.	NHA/SAA/Day boarding scheme records stores	3 years

H. FINAL SETTLEMENT SECTION (FSS)

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Office copy of forwarding letter of Superannuation/others cases	5 years
2.	Office copy of forwarding letter of other than superannuation cases	5 years
3.	Original Mediclaim enrolment forms / renewal for Mediclaim	10 years
4.	One standard office copy of notice & reminder alongwith list of eligible mediclaim members	3 years
5.	EFBS files	Up to Maturity

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

6.	Diary & Despatch register	3 years
7.	SESBF application forms	3 years
8.	Register for registering other than superannuation cases	5 years
9.	Quarters NDC	3 years
10.	Complaints related to Mediclaim	2 years
11.	Joint meeting of disputed cases related to Mediclaim	3 years

I. COUNSELING SECTION

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Register for Counseling Registration & Progress	10 years
2.	Case file of employees	3 years
3.	Quarterly / Annual Review File	5 years
4.	Agreement Register	5 years

J. ENQUIRY SECTION

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Index Register	7 years
2.	Programme Register	2 years
3.	Enquiry Files	7 years
4.	Leave Register	2 years
5.	General Files	3 years
6.	Monthly / Weekly progress file / reports	2 years
7.	Files of Terminated cases Court cases files	5 years after the case is settled
8.	All other files	3 years

K. GRIEVANCE CELL

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Staff Position Report/papers	1 year
2.	Grievance/Grievance Register	6 years on closing of action
3.	Grievance Stage-3 records	5 years

L. SUGGESTION CELL

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Suggestions Records	2 years
2.	INSAAN Awards - Records	5 years
3.	Apex Award- Records	5 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

M. DGM (P-NON-WORKS) & PIO

Sl.#	Name of the Record	Retention Period
1	2	3
1.	ISO-SOPs: a. Review meeting, Office copies file b. Final recommendation of Nehru Award Scheme c. Corrective Action taken d. Review of quality objectives(DAP) e. Employee feedback f. Internal Audit Report g. External Audit Report h. Training Record i. Review of Executives Task & Targets j. Monthly report k. Review meeting l. Organization chart	3 years 1 year 1 year 1 year 1 year 1 year 1 year 1 year 1 year 1 year 1 year 1 year
2.	Office Copies File	3 year
3.	Suggestion	1 year
4.	Surprise check	1 year
5.	Grievances	1 year
6.	Exe. Estt. file	1 year
7.	Rules Circulars O&M & General	1 year
8.	Posting/Relieving file, GE Section	1 year
9.	Canteen file	1 year
10.	Shop communication module	1 year
11.	Shop communication status Report	1 year
12.	Strike call	1 year
13.	G. Pass	1 year
14.	Vocational training	1 year
15.	HRD Interactive session.	1 year

PIO

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Register for Application, Registration & Action taken on Application(case file)	2 years
2.	Appeal Register	2 years
3.	Records of Appn. fees and Cost of information fees	1 year
4.	Records of the misc. correspondence with the Applicants	1 year
5.	Dairy Register	2 years.

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

N. MINES HEAD QUARTER

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Bipartite & Tripartite agreements/Record Notes of discussion with various unions of Mines	Permanent
2.	List of office bearers of various unions functioning in Mines.	5 years
3.	Grant-in-aid sanctioned for Rajhara, Nandini & Hirri	3 years
4.	Reimbursement records of cultural expenses of IOC, Nandini & Hirri Mines by CESS Fund Organisation..	3 years
5.	Annual SRC budget.	3 years
6.	Production & Cess payment data of Rajhara, Nandini & Hirri Mines.	3 years
7.	IDs related to workmen of IOC, Nandini	3 years
8.	CGIT cases/FOC cases of workmen of Mines	5 years
9.	Revision of quarterly DA of DPR and contractual workmen of Mines-circulars thereof.	3 years
10.	Wage revision of contractual & DPR workmen of Mines	Permanent
11.	Payment of Annual Bonus/ex-gratia to Contractual Workers of IOC Rajhara	3 years
12.	V.R. Scheme of DPR	Permanent
13.	Labour Situation Reports	2 years
14.	Paper related to DPR/contractual workmen of Mines on various issues.	5 years
15.	Apex Welfare Advisory Committee meeting related records.	5 years

O. EXECUTIVE ESTABLISHMENT

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Records related to reporting/reviewing relationship under EPMS	1 year
2.	Circulars related to EPMS	5 years
3.	SRF file	5 years
4.	Correspondence file on KPAs, Tasks & Targets	5 years
5.	Stationary file	2 years
6.	Letters on communication of non-promotable ratings	5 years
7.	Management Trainee training marks/grading file	5 years
8.	RO (O) file	5 years
9.	Correspondence file on transfer cases	5 years
10.	PRC folder	10 years
11.	Appraisal Dossiers register	2 years

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

12.	Appraisal Dossiers	10 years
13.	Transfer Policy file	Permanent
14.	Approval Notesheets	10 years
15.	Transfer/Relieving/Joining orders	5 years after the settlement of final dues
16.	Charge report	1 year
17.	Placement Register	1 year
18.	Organization chart	1 year
19.	Personal file	10 years after the settlement of final dues
20.	Records related to probation completion/confirmation/extension/reversion	5 years

P. CONTRACT LABOUR CELL

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Statutory Dues Clearance and related documents	3 years after the issue of NDC
2.	No Dues Certificate and related documents	3 years after the issue of NDC
3.	Gate Pass Register	3 years
4.	Gate Pass NOC	1 year after issue of NDC
5.	Bio data sheet	3 years
6.	File related Court Cases	Permanent
7.	Replies to Corporate Office reference	5 years
8.	Replies to Parliamentary Questions	3 years
9.	Certificate of renewal of Group Insurance Scheme of LIC of India in lieu of EDLIS-1976	Permanent
10.	EDLI receipt	Permanent
11.	Individual case file of EDLI claim	2 years after settlement
12.	Registration certificate under the CL (R&A) Act. 1970	Permanent
13.	Yearly Returns to ALC	5 years
14.	Documents related to Special Allowance	3years
15.	Documents related to Additional Welfare Amenities	3 years
16.	ALC reference	2 years after settlement
17.	Circular issued from CLC	Permanent
18.	Grievance Register	3 years from the date of last entry
19.	Register pertains to PF withdrawal	Permanent
20.	Individual case file of PF withdrawal	3 years after PF final withdrawal
21.	Manpower report	5 year

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*

22.	Manpower variation report of CWs (HSLT) sent to CPF	3 years
23.	Diary/Despatch Register	3 years
24.	Peon Book	3 years
25.	Attendance Register	2 years
26.	Individual case file of workmen compensation	3 years after settlement
27.	Annual PF return submitted by the contractor	3 years after ensuring that PF slips are issued
28.	Half yearly ESI Return submitted by the contractor	3 years

Q. COMMON RECORDS MAINTAINED IN ALL OFFICES / SECTIONS OF PERSONNEL DEPARTMENT

Sl.#	Name of the Record	Retention Period
1	2	3
1.	Court Case file	5 years after the decision by the highest court
2.	Staff position/Attendance Register	1 year
3.	Reports & Returns	1 year
4.	Dak book	1 year
5.	Record Retention and Destruction records	Permanent

*Mode of Disposal: For Secret & Confidential records & documents – Burn
For other Records & documents - Shred*