



HINDUSTAN ORGANIC CHEMICALS LIMITED

(A Government of India Enterprise)

Part I Order No. 13 /2007

Date: 26/12/2007

Sub: RECORD MANAGEMENT POLICY - MANUAL OF HOCL.

In order to classify the Public Records available in our Company, the Company has formulated a detailed Record Management Policy - Manual for the effective implementation of the Provisions under the Public Records Act, 1993. An elaborated Record Management Policy - Manual of the Company as given in **Annexure** hereunder ensures to handle various aspects of guidelines of National Archives of India (NAI) on Record Management.

This Record Management Policy - Manual is to facilitate proper maintenance of contemporaneous records and systematic destroyal of old records pertaining to the various Divisions/Departments of the Company and is prepared based on the details provided by the HODs and the information collected from nearby PSU's.

Whenever in the opinion of a Division/Department certain records are required to be retained for a longer period than what has been recommended herein, same may be done at the judgement of the HOD / Dept. based on broad guidelines of the Record Management.

In case of any dispute as regards the interpretation of any clause of the policy, decision of CMD shall be final

This order will be effective from 1st January, 2008.

For and on behalf of
Chairman & Managing Director,

(Mrs. Susheela S. Kulkarni)

Company Secretary

All Notice Boards

All Divisions/Sections



HINDUSTAN ORGANIC CHEMICALS LIMITED

RECORD MANAGEMENT POLICY

Preservation of Records in HOCL

Every Organisation maintains records to carry out its various functions. These records are to be closed after action on the issue considered thereon has been completed. While the files of purely ephemeral nature containing little reference or research value need not be formally recorded and may be destroyed after one year. Different other categories of records are however required to be retained for different specific periods, according to their importance and reference values.

One of the prerequisites of good records management is to ensure that records are neither prematurely destroyed nor kept for periods longer than required. In order to prescribe judicious retention period to different categories of records, a Records Retention Schedule (RRS) needs to be drawn by the concerned Organisation.

To facilitate proper maintenance of contemporaneous records and systematic destroyal of old records pertaining to the various Divisions/Departments of the Company the guidelines are prepared based on the details provided by the HODs and the information collected from nearby PSU's.

Whenever in the opinion of a Division/Department certain records are required to be retained for a longer period than what has been recommended herein, the same may be done at the judgement of the Head of Division/Department.

The general guidelines for maintaining the records are given from item 1 to 8.

1. Record Room

The Minimum requirement for maintaining a record room will be followed as per the guidelines issued by National Archives of India, a Nodal Agency, New Delhi.

2. Record Officers :

- 2.1 a) Mr. S.V. Deshpande, Manager (Personnel) has been nominated as Record Officer for Rasayani Unit and for Corporate Office.
- 2.1 b) Mr. N.Sajeevkumar, Asstt. Officer (Documentation-cum-Library) is being continued as Record Officer for Kochi Unit.
- 2.1 c) For other branches of the Company, the concerned branch Managers will act as record officer in respect of their respective branch records.
- 2.2 Record Officer is responsible for all the duties under the Public Records Act and Rules framed there under with particular reference to :-
 - a) The proper upkeep of the Record Room;
 - b) Maintenance and Preservation of various Records of the Company in the Record Room with proper Index and easy accessibility;
 - c) Effective & proper destruction of the records on timely basis once the records are due for destruction on completion of preservation period ;
 - d) Such other duties as may be imposed from time to time in compliance with the Public Records Act, 1963 and other allied rules framed there under.

3. Procedure for transfer of records from originating Dept. to the Record Room.

- a. The concerned HOD will ascertain the period for what the records are required to be transferred to the Record Room yearly basis;
- b. The concerned Dept. will make a list of records required to be transferred to the Record Room categorically specifying the period up to which the records are to be preserved in the Record Room;
- c. The said Departmental list of Records required to be transferred & preserved with period wise classification are given alongwith relevant records by the concerned HOD to the Record Officer with instructions to shift/transfer the said records from the concerned Dept to the Record Room.
- d. The Record Officer to make necessary arrangements to transfer the records from the concerned Dept to the Record Room as per the given list.

- e. The Record Officer then to place the records in the Record Room with proper index as per list & period wise and will preserve them up to the specified period.
- f. HOD should keep the details of the records transferred to Record Room including the control number of the record given by the Record Officer for retrieval purpose in future.
- g. No files / Records kept in the Record Room shall be given for reference without written consent of concerned HOD or Unit in Charge. The HOD shall return such files to the Record Officer within 14 days of receipt of the same.
- h. Any Records/file kept in the Record Room can be taken back permanently by the concerned HOD with the written consent of Unit in Charge.

4 The proposal of retention of records in HOCL will be as under :

- 1. Permanent Records : Records which are necessarily to be preserved permanently, like records relating to Assets, Agreements, details of processes, Equipment, Drawings etc. are to be retained permanently .
- 2. Records to be preserved for ten years (C10) : Other than the permanent records the maximum period for which destroyable records shall be preserved for ten years. Books of accounts in respect of receipt, expenditure, sales, etc. shall be retained for a period of ten years from the closure of financial year to which the transaction relates. However such records can be either destroyed/retained only after due consultation with the departmental head.
- 3. Records to be preserved for five years, three years and one year
 - 3.1 Five Years (C5): Under this category all records which need not be kept for ten years but may be required for five years, will be maintained.
 - 3.2 Three Years (C3): All records which are required to be preserved for 3 years will be maintained.
 - 3.3 One Year (C1): All Records which are to be maintained for 1 year and then systematically destroyed in the next year, will be kept.

4. In determining the categories of records which are to be retained for the period mentioned above, the following will be the broad guidelines and at the same time it is to be noted that the judgement of concerned HOD is of paramount importance while retaining the documents for longer periods :
 - a. Files containing papers which are important as source of information, political, social or economic, biographic or antiquarian-permanent.
 - b. Orders/sanctions of a permanent character.
 - c. Papers regarding formulation of policy matters and general orders issued as a result should be retained permanently in the originating office.
 - d. All records pertaining to legal cases, disputes, arbitration, unsettled balances, pending claims, excise, income tax, sales tax, vigilance matter etc. are to be kept till the matter is finally disposed off or settled.
 - e. Records connected with transaction shall be preserved till the expiry of the periods of limitation fixed by law.
 - f. Records relating to contracts are to be retained for 10 years after the contract is fulfilled or terminated.
 - g. Records connected with expenditure on projects, schemes or works not completed although beyond the period of limitations fixed by law, shall be preserved till completion.
 - h. In cases where audit objections have been raised, the relevant files documents shall not be destroyed till such time the objections have been cleared to the satisfaction of the Audit Department or have been reviewed by Parliamentary Committee on Public Undertakings and action completed.
 - i. All Records, Registers, Documents which are statutorily required to be maintained by the Co. permanently under the various Acts, Laws, Rules, Guidelines, Regularisation etc.
5. Subject to the above guidelines, an illustrative list of files, which could be maintained and which can be destroyed periodically, have been drawn up with duration of retention indicated against each category, as per Annexure.
6. Every year, soon after 30th September, the records to be destroyed in conformity with above guidelines will be identified and destroyed action completed before 31st December. The Record Officer shall identify the records to be destroyed as per the policy and shall provide a copy of the list of Records so prepared to the concerned HOD. The Records so identified shall be destroyed with the approval

of Unit in Charge and the mode of destruction shall be decided by the Unit in Charge based on the nature of the Records. The destruction shall be done by the Record Officer in the presence of representative from concerned Departments.

7. The records which are required to be preserved permanently and records which are to be preserved and to be destroyed - period wise are given in Annexure hereunder.

For and on behalf of
Chairman & Managing Director,

(Mrs. Susheela S. Kulkarni)

Company Secretary

ANNEXURE

A RECORDS WHICH ARE OF PERMANENT NATURE

- 1.0 Asset Record/Register
- 1.1 Correspondence with Government/Statutory authorities.
- 1.2 Orders and circulars on procedure/policy matters including ISO Manuals.
- 1.3 Personal files/Service Cards (to be maintained for 3 years after cessation of employment)
- 1.4 Papers regarding creation of posts
- 1.5 Seniority lists
- 1.6 Process manuals
- 1.7 Plant & Equipment drawings
- 1.8 Feasibility studies/Detailed project cost estimates
- 1.9 Annual Performance Report
- 1.10 Codified information on accidents/explosions
- 1.11 Materials code, Bin cards
- 1.12 Accounts code
- 1.13 Certified copies of the Wage Settlements
- 1.14 Standard measurement book
- 1.15 Maintenance history card for major/critical equipments.
- 1.16 Annual Property Returns, Annual Accounts, P&L, B/S and Annual Report of the Company.
- 1.17 All Statutory Registers, minutes books and all other Secretarial Department records /documents etc, which are required to be maintained under the various Laws/Acts and Records/files maintained in CMD's Office.
- 1.18 GOI guarantees, and related market Borrowings, and Corporate Guarantees, Annual Plans, Government Grants etc.
- 1.19 Income Tax Returns
- 1.20 Process Equipments Manuals
- 1.21 Plant and Equipments drawings.

- 1.22 ISO 9000 related documents
- 1.23 Patents documents.
- 1.24 Safety Manual
- 1.25 Disaster preparedness plan
- 1.26 Licences of various storages under Chief Controller of Explosives,(Nagpur, Maharashtra State)
- 1.27 Certificate of Boilers
- 1.28 Original files pertaining to CCOE approvals.
- 1.29 Original files pertaining to factory inspectorates approval.
- 1.30 List of hospital assets
- 1.31 Register for Birth
- 1.32 Register for Death
- 1.33 Medical termination of pregnancy (M.T.P.)
- 1.34 Records of operations (operation theatre)

B RECORDS TO BE PRESERVED FOR THE LIMITED PERIOD

UPTO 10 YEARS :

- 1. P.R. related correspondences and other corporate matters of general nature.
- 2. Documents/correspondences relating to Working Capital Arrangements, Govt. Correspondence relating to MOU, Quarterly Review, Performance Budget and Correspondence Relating to Standing Committees, COPU and other Parliamentary Committees.
- 3. Returns of routine nature and correspondence relating there to at the CMD's office.
- 4. Price list / price approvals.
- 5. Annual Turn out Schedule.
- 6. Documents related with issued of materials in stores/dispatch documents.

7. Part II Orders and Circulars.
8. Lan data and back-up files.
9. MSEB / KSEB records / Energy, Water consumption etc.
10. Selection and Recruitment Procedures/Transfer of employees.
11. Files relating to disciplinary cases
12. Documents related to stores
13. Scrap disposal details and relevant documents.
14. Inter departmental correspondence.
15. Cash payment vouchers
16. Cheque payment vouchers
17. General ledger
18. Cash Book
19. Cheques Counter file / issue of cheques register
20. Sundry Creditors
21. Sundry Debitors
22. Excise / Modvat (maintained by FPS)
23. All subsidiary books of Purchase Orders

24. MRVs purchase raw materials / spare parts

25. MRVs Project

26. Material refundable MRVs

27. Work Orders

28. Register of Security Deposit

29. MB Book maintained by concerned division

30. PDS register

31. Insurance register in all respect maintained by PDS Section

32. Stock verification reports related to raw material / finished products

33. Reports of surplus / discrepancies notice if any

34. Sales invoices/sales day book/marketing register file related to sales tax/Income Tax.

35. Material Code, Bin Card, Account Code etc.

36. Excise Modvat (FPS), all subsidiary books of PO, Modvat counter files.

37. MRVs' Purchase raw material / Spare parts, MRVs' Project

38. Material Returnable MRVs and Work Orders, register of Security Deposits.

39. Stock verification reports related to RM and Finished Products.
40. Documents related to monthly returns under rule 57.AE
41. Documents related with Form No. ER-1 (under rule 12)
42. Documents related with registration.
43. Records regarding Annual Maintenance Contract etc.
44. Records regarding enforcement of Work Orders/ Purchase Orders.
45. Records regarding instrumentation of various plants and control, engineering drawings, specifications etc.
46. Records regarding classification of Code Nos. of various instruments, spares, inventories etc.
47. Documents related to Licensed Software and its manual.
48. Data base related to core business activities, e.g. matters related with core activities of various divisions.
49. Documents related with training manuals.
50. Productivity Report
51. Papers related to more importance aspect of Scientific and Research development, Energy and Production activities.
52. Codified information on accident.
53. Codified information on explosion

54. Documents on safety Policy

55. Minor Operation (I & D suturing)

56. Medico Legal Case (M.L.C.)

57. OPD/Indoor patient's records for the last 10 years.

58. All Books of Accounts & vouchers covered by the Companies Act.

59. Price lists / price approvals

60. Annual turnaround schedules

61. Measurement Books

C RECORDS WHICH ARE TO BE RETAINED FOR A PERIOD OF 5 YEARS.

1. Monthly Production Reports
2. Accident reports in Safety Department
3. Documents connected with receipt & issue of materials in Stores/Dispatch documents / L.R./Rejection Notes/Sales related documents.
4. Vigilance classified documents
5. Lan data and back up files
6. KSEB records, energy and water consumption records etc.
7. Purchase /Work Order files
8. Inter Departmental Correspondence
9. Inward - Outward Register (centralised)
10. All correspondence with Hospital (Hospital performance Report etc.) Horticulture and Security.
11. Leave Register (other than Payroll)
12. Dispatch Register

D RECORDS TO BE PRESERVED FOR THE PERIOD OF THREE YEARS (3)

1. All the documents related with ISO 9000.
2. Material Gate Pass, Material Requisition.
3. Allotment of Quarters.
4. Books of Accounts of all respective Heads.
5. Demand Note issued by Stores.
6. Approval and Work Order of all Departments.
7. Analysis Report of LAB.
8. Plant Log Book.
9. Casual Labour Requisition.
10. Calibration documents
11. Leave register in payroll.
12. Attendance Register/reports
13. Muster Rolls
14. Cheques counter foils
15. Administrative approval and concurrence after payment
16. Recovery lists in Finance Departments for Payroll deduction.

E. RECORDS WHICH ARE TO BE RETAINED FOR A PERIOD OF ONE YEAR (1)

1. Leave applications
2. Employee gate pass
3. Overtime authorisation /Casual labour requisition
4. Shift change request to Time Office.
5. Material pass & material requisition in originating Departments
6. Receiving Reports in Indenting Departments.
7. Daily Absentee Reports
8. Daily production reports / Dispatch reports
9. Daily maintenance Reports

10. Telephone/Fax/E-mail bills/registers
11. Daily Lab Analysis Report
12. All routine circulars/Instructions of a temporary nature
13. Time Cards
14. Used shorthand books (3 months after use)
15. Vehicle log book

For and on behalf of
Chairman & Managing Director,

(Mrs. Susheela S. Kulkarni)
Company Secretary