
RECORD RETENTION POLICY



The Record Retention
Policy of
Artificial Limbs Manufacturing Corporation of India 2019



एक कदम स्वच्छता की ओर

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ARTIFICIAL LIMBS MANUFACTURING CORPORATION OF INDIA
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RECORD RETENTION POLICY OF ALIMCO

1. Preamble

The policy will be known as “Record Retention Policy of Artificial Limbs Manufacturing Corporation of India” (hereinafter referred as “Policy”). The Policy shall be applicable to all documents of ALIMCO maintained at the Head Office and Centers.

2. Objective

- 2.1 The objective of the Policy is to ensure that all important documents, generated or received by the Corporation, are maintained and preserved in compliance with the applicable statutory provisions and to facilitate destruction of documents that are no longer required, at an appropriate time in specified manner.
- 2.2 The policy establishes the guidelines for management, retention, preservation and destruction of documents, both in physical form and electronic form by the Corporation.
- 2.3 On formulation of policy utmost care has been taken to ensure that files are neither prematurely destroyed nor kept for period longer than necessary.

3. Scope

- 3.1 This policy shall apply to all documents that include records maintained in the form of files/registers/books or in the electronic form like stored in a computer or external hard disc at ALIMCO.
- 3.2 The preservation of documents, as mandated under the policy, shall apply to all documents regardless of its location, including Centers.

4. Definition of Documents

- 4.1 “Documents” refer to all records that include papers, files, registers, agreements, circulars, judgments, orders, approvals, registration certificates etc. generated or received or maintained by the Corporation in the course of its business either in physical form or in electronic form.
- 4.2 Broadly, there are three kinds of records in the Corporation:
 - (i) **Permanent Records** include all documents that are intended to be kept permanently;
 - (ii) **Records to be kept for Specified Period;** and
 - (iii) **Temporary Records** include all documents that are intended to be superseded by final or permanent records, or which are intended to be used only for a limited period of time.

Temporary records can be destroyed or permanently deleted if it is available in electronic form when a project or matter closes. Upon closing of such temporary files, the respective departments shall gather and review all such temporary records.

5. Categorization of Records Physical Records -

- 5.1 Each Head of the Department shall identify and at all times maintain a schedule of documents as per policy.
- 5.2 The Record Retention Schedules of various departments of ALIMCO are divided into two parts i.e (i) Records Retention Schedule for Records pertaining to Substantive Functions of ALIMCO and (ii) Records Retention Schedule for Records pertaining to Facilitative Functions of ALIMCO.
- 5.3 Record Retention Schedule for Substantive Functions has been vetted by National Archives of India as required under clause (e) of sub-section (1) of Section 6 of the Public Records Act, 1993.
- 5.4 Record Retention Schedule for Facilitative Functions has been framed according to "Record Retention Schedule in Respect of Records Common to All Ministries/Departments, 2012" issued by Department of Administrative Reforms & Public Grievances, Ministry of Personnel, Public Grievances and Pensions, Government of India.

6. Prescribing of the Retention Periods:

- 6.1 For the purpose of prescribing the retention periods, the records are classified into three categories viz. 'A', 'B' and 'C'.

'A' Category: Records under this category are meant for permanent preservation pertain to subjects of prime administrative and / or historical importance, and are to be microfilmed because they contain:

- (i) Document so precious that it's original must be preserved intact and access to it in the original form must be restricted to the barest minimum; or
- (ii) Material likely to be required for frequent reference by different parties.

'B' Category: Records under this category are also meant for permanent preservation but they are not to be microfilmed. 'B' category files will be appraised by ALIMCO in consultation with the National Archives of India after 25 years of their life. The files selected for permanent retention after appraisal, may be transferred to the National Archives of India for permanent custody and scientific preservation as per provision of section 6(1)(c) of the Public Record Act, 1993 and the rule 5(2)(3)(4) of Public Records Rules, 1997 and para 112 (5) of Central Secretariat Manual for Office Procedures.

Records under this category also pertain to subjects of administrative and/ or historical importance mentioned under 'A' category above. These, however, do not contain any material that is so precious that its original must be preserved intact or which is likely to be required for frequent reference by different parties, thus requiring microfilming.

'C' Category: records under this category are meant to be maintained for a limited period, not exceeding 10 years. While prescribing the retention period for 'C' Category files, slabs of C-1, C-3, C-5 and C-10 may be followed, where the numerals represent the number of years that a file is to be retained after being closed or recorded.

Records under this category pertain to subjects of secondary importance having referral value for a limited period, not exceeding ten years. The concerned sections on the expiry of the specified retention period must review all Class „C“ files. While doing so, these files, if so required, may be granted a further lease of life not exceeding a period of ten years, or upgraded as B, depending upon the importance of the subject matter dealt with therein.

- 6.2 'B' category files will be appraised by ALIMCO in consultation with the National Archives of India after 25 years of their life. The files selected for permanent retention after appraisal, may be transferred to the National Archives of India for permanent custody and scientific preservation as per provision of section 6(1)(c) of the Public Record Act, 1993 and the rule 5(2)(3)(4) of Public Records Rules, 1997 and para 112 (5) of Central Secretariat Manual for Office Procedures.
- 6.3 The Corporation may keep documents specified in policy in the electronic form.
- 6.4 The minimum retention periods for documents identified for various departments have been specified in policy. However, retention of those documents that are not included in the identified categories should be determined by the **Record Retention Committee constituted by the CMD** primarily by the application of the general guidelines affecting document retention identified above, as well as any other pertinent factors.
- 6.5 ALIMCO will nominate a nodal officer for coordinate to all Departments of the Corporation for maintaining important records in compliance of section 5 of the public record Act 1993 who will also a Member of the Record Retention Committee.
- 6.6 Where documents are maintained permanently in physical form, electronic version(s) of records also need to be maintained additionally.
- 6.7 Retention period has been fixed considering the usage value of each record. The usage value has been determined considering the compliance to statutory requirements and utility of the document based on the experience of the department.

7 Record Maintenance and Storage

- 7.2 All Documents must be properly classified and labeled mentioning the retention period of the document, indexed and stored by the respective departments/desks.
- 7.3 The Head of Department of each concerned department shall ensure compliance of this Policy.

8 Disposal of Documents

- 8.2 The disposal/destruction of documents/records shall be an annual exercise. For this purpose, a multi disciplinary **Record Retention Committee** shall be constituted by CMD. The committee will be headed by **DGM/GM** and may include Departmental Heads of Finance, Projects, Administration, and Secretarial Department. After the expiration of the indicated preservation period as per schedule to this policy, the documents will be disposed of / destroyed by the respective department on recommendation of Record Retention Committee and approval of the competent authority i.e. CMD.
- 8.3 The Record Retention Committee will also review the safety of the records and issue instructions to departments from time to time for proper storage and safety of records from various hazards like termite, seepage etc. The committee will also review and prepare an indicative list of important documents like Government Guarantees, MOAs, Bank Guarantees, Post Dated Cheques, Fixed Deposit Receipts etc. which are to be kept in Fire Proof Safe/Almirah for safe custody.
- 8.4 The Respective Departmental heads shall maintain a register containing the details of documents destroyed along with the date of destruction with the approval of the competent authority.
- 8.5 The retention periods specified under the policy are guideposts against which requirements of concerned department need to be compared. 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 with the approval of the competent authority mentioning the reasons thereof.
- 8.6 In no case, a record will be destroyed without the approval of the competent authority. Any such violations shall be reported to the Record Retention Committee immediately by any employee of the concerned department. If any such violation is done, disciplinary action as per the CDA rules will be taken against the delinquent employee/official.
- 8.7 Physical records to be disposed off pursuant to the retention period specified in the retention schedule shall be disposed off using a shredder. The Record Retention Committee shall adopt appropriate procedure to permanently dispose off any non- paper physical records such as Audio/Video Tapes, Certificates etc. "Permanent Delete" function will be used to permanently dispose off electronic records. Exception/Exclusions:- The policy does not cover social media like twitter, facebook etc.

9 Amendments to the Policy

- 9.2 In case of any modification / amendment / re-enactment of any existing acts, rules, regulations, guidelines, etc. or an enactment of any new act, rules, regulations, guidelines, etc., which are inconsistent with this policy, then such modified / amended / re-enacted provision or new provisions shall prevail over the policy.
- 9.3 The Chairman and Managing Director is authorized to amend this Policy to be consistent with the prevailing provisions of Acts, rules, guidelines, regulations and in accordance with administrative / business requirements of the Corporation with the consent of National Archives of India.

**RECORDS RETENTION SCHEDULE FOR RECORDS
PERTAINING TO SUBSTANTIVE FUNCTIONS**

Finance Department

Sl.No.	Description Of Record	RETENTION PERIOD	Remarks
1.	Financial Statements/ Books of Accounts, All Books of Accounts. These will include Financial Statements, Supporting Vouchers, other documents .	C-10	
2.	Cash & Bank Original Payment Vouchers with supporting documents Bank Reconciliation, Bank Statement, Cash / Bank Receipt and Payment Book, Petty Cash, Centers Imprest Record	C-10	
3.	Journal Book-Journal Travels voucher utilization certificates vouchers	C-10	
4.	Records relating to Fixed Assets Register from 2001-01 onwards	B	
5.	FDRs, Bank Guarantees, Indemnity Bond	C-5	From date of Maturity of the Records
6.	Taxation Records relating to Direct Indirect Taxation&.	C-10	
7.	Other Misc. Files Important Correspondence files with vendors, outside agencies, statutory authorities. Important Correspondence files with ministry,	C-10	
8.	MOU related Files – performance evolution of corporation etc.	C-10	
9.	Annual Accounts	B	
10.	Investment proposal Files	C-10	
11.	Correspondence with DPE & PE Survey	C-5	
12.	General/Miscellaneous Correspondence	C-5	

System Projects Coordination and PS8 Department

S.No	Description of Record	RETENTION PERIOD	Remarks
1.	Modernization/CAPEX related file/ Correspondence & minutes of meetings with Deloittee/EPIL/Tirupati/EOI	B	
2.	Correspondence with Ministry	C-10	
3.	General/Miscellaneous Correspondence	C-5	
4.	Correspondence with AAPC's/RMC's	C-5	
5.	Software Development/Implementation	B	
6.	Inter department correspondence/ ION	C-5	
7.	MIS to various Deptt./ MIS report to unit Offices	C-3	
8.	Complaint to Internet Service Provider Hardware/ Software	C-3	C-3 or 1 yr after completion of audit whichever is later
9.	Staff car ownership/Condemnation papers /document, Insurance	B	
10.	Non official journey, servicing/ Repairs and replacement	C-3	C-3 or 1 yr after completion of audit whichever is later
11.	Consent and authorization from pollution control board	B	
12.	AMC of Software/Hardware	C-3	C-3 or 1 yr after completion of audit whichever is later
13.	Tender Documents/ Catalogue of machinery	B	
14.	Condemnation/ disposal of unserviceable articles	C-3	C-3 or 1 yr after completion of audit whichever is later
15.	Calculating & accounting machine, other office machine	C-3	C-3 or 1 yr after completion of audit whichever is later
16.	Maintenance & Repairs	C-3	C-3 or 1 yr after completion of audit whichever is later
17.	Gate pass of Employee/Materials Correspondence	B	
18.	KESCO electricity documents	C-10	

Secretarial (SY) Department

S.No.	Description Of Record	RETENTION PERIOD	Remarks
1.	Approved agenda items which have been put Members up before Board.	B	
2.	All meeting of Minutes	B	
3.	All files of the past and present Directors of The Corporation containing their appointment letters and other material and important	B	
4.	All original Agreements, MOUs, Contracts, Guarantees, Share/Security Certificates/ documents given for custody to Corporation Secretariat	B	
5.	Annual Reports of the Corporation.	B	4 copies to be kept in Library as 'B'
6.	Companies Act, Statutory Registers as per 2013	B	
	Register of Charge	B	
	Register of Members	B	
	Register of renewed and duplicate certificates	B	
	Register of contracts in which directors are interested	B	
	Register of Directors/MD/Manager/Secretary	B	
	Register of Directors Shareholding	B	
	Register of Inter corporate Loans & Investments	B	
	Register of Allotment	B	
Register of Directors" Attendance	C-10		

	Register of Proxies	C-10	
	Register of Transfer of shares	B	
7.	General correspondences of secretariat	C-10	
8.	Internal Audit Reports	C-10	
9.	Statutory Audit Reports	B	
10.	Share Capital	B	
11.	Cabinet Notes	B	
12.	Incorporation Files, Memorandum & Articles of Association	B	
13.	Annual Returns	C-10	
14.	Delegation of Powers	B	
15.	Rules (general aspects), and Orders	B	
16.	Moveable/Immovable property	B	
17.	General/Miscellaneous Correspondence	C-5	

Legal Matter Court and Arbitration Cases –Legal Cell

S.No.	Description of Records	RETENTION PERIOD	Remarks
1.	Court cases Pertaining to the ALIMCO employees	C-10	Copy of judgment keep as "B"
2.	Court cases relating to Channel Partners Pertaining to Channel Partners in which ALIMCO is also one of the respondents.	C-10	Copy of judgment keep as "B"
3.	Court cases (Civil / Criminal Proceedings) filed by ALIMCO	C-5	Copy of judgment keep as "B"
4.	Court cases (Civil Proceedings) filed by Other Individual/ Agency against ALIMCO	C-5	Copy of judgment keep as "B"
5.	Misc. Documents/ Files Pertaining to periodic reports	C-10	
6.	Court cases pertaining to employees in case of death / superannuation/ cessation from the Corporation	C-5	Copy of judgment keep as "B"
7.	Arbitration cases	C-10	Copy of judgment keep as "B"
8.	General/Miscellaneous Correspondence	C-10	

Development Department

1.	Job Work Order Register	C-5	
2.	Tool work order register	C-5	
3.	Master Product list, drawing, bought out items	B	
4.	New Development product record	C-5	
5.	SCN details, TRN details	C-5	

Quality Control Department

S.No.	Description Of Record	Retention Period	Remarks
1.	Office order Circulars from Management.	C-10	
2.	Goods Receipt Note(GRN) Copy & Inspection test Report	C-10	
3.	Communication with Ministry	C-10	
4.	Purchase order copy & inspection test Report	C-10	
5.	Sample inspection/test report for Limited tenders/open Tender	C-10	
6.	Cash purchase	C-3	C-3 or till the Audit whichever is later
7.	In house inspection sheet	C-10	
8.	Calibration certificate of equipments & work order	C-10	
9.	General/Miscellaneous Correspondence	C-5	

Material Management Department

S. No.	Description Of Record	Retention Period	Remarks
1.	Tender related files	C-10	
2.	Advertisement of tender	C-10	
3.	Projections copy	C-3	
4.	Doc sheet, GRN entry, drawing files PO folders	C-10	
5.	Credit /debit note register	C-10	
6.	Material issue note, Bin card	C-3	
7.	Scrap files	C-10	
8.	Maintaining of incoming materials against purchase order	C-10	
9.	Generating goods receipt notes, sifting of materials'	C-5	
10.	Maintain rejection of material records	C-5	
11.	General correspondence files	C-5	

Marketing Department

S. No.	Description Of Record	Retention Period	Remarks
1.	District wise file of ADIP Camp along with assessment forms & U.C.	C-10	
2.	District wise file of ADIP Special Camp along with assessment forms & U.C.	C-10	
3.	District wise file of CSR Camp along with assessment forms & U.C.	C-10	
4.	District wise file of RVY Camp along with assessment forms & U.C.	C-10	
5.	District wise file of SSA/RMSA Camp along with assessment forms & U.C.	C-10	
6.	LFC file along with Assessment forms & U.C.	C-10	
7.	Cash Order, Dealer, MPLAD, Fabrication Agency, Vendors/ Contractors file, TOC & TRC files	C-10	
8.	Proforma Invoice, Purchase/Sales GST vouchers, TDS Records, Stock Reports, Debit notes and Credit notes file	C-10	
9.	Fixed Assets Record	B	
10.	Transportation file, Tender Transport	C-5	
11.	Annual Sales projections	C-5	
12.	Dispatch planning sheet & dispatch in Invoice	C-10	
13.	Transport bills, customers complaint, price list	C-5	
14.	Packaging register	C-5	
15.	dispatch register challan register	B	
16.	General/Miscellaneous Correspondence	C-5	
17.	Marin Transit insurance for material dispatch	C-10	
18.	Bincard	C-3	

RECORDS RETENTION SCHEDULE FOR RECORDS
PERTAINING TO FACILITATIVE FUNCTIONS

RECORDS RELATING TO P&A DEPARTMENT

S.No.	Description of record	Retention period	Remarks
1.	Main Head Sub Head Creation and classification of posts	B	
2.	Revision of scales of pay, Increment	C-10	
3.	Re-designation of Posts	C-10	
4.	Recruitment	B	
5.	Estimate (annual) of vacancies	C-3	
6.	Maintenance of roster	B	
7.	Framing of recruitment rules & Promotion policy	B	
8.	Notification to and release of vacancies	B	
9.	Contractual Engagement/ Engagement of casual labour	C-3 or 1 Year after completion of Audit whichever is later.	
10.	Scheduled Castes/ Scheduled Tribes/ OBC/PH and other notified reserved categories Reservation in services	B	
11.	Proceedings	B	
12.	Personnel files, Services Books of all employees	B	
13.	Postings and transfers, Seniority, Leave records	C-10	
14.	Annual Performance Appraisal Report	B	
15.	Promotion/ Reversion	C-10	
16.	Training/ in India and abroad	C-5	
17.	Delegation of powers	B	

18.	Moveable/Immovable property		B	
19.	Telephones/internet bill		C-3 or 1 Year after Completion of audit whichever is later.	
20.	Security	Rules (general aspects)	B	
		Departmental security seals register		
		Register of identity cards		
		Confidential and secret box	C-3 or 1 Year after completion of audit whichever is later.	Suitable entries regarding distribution and custody of boxes and keys to be made in the appropriate register
		Duplicate keys : maintenance thereof		
		Issue of identity cards - correspondence thereof	C-1	Suitable entries to be made in the register of identity cards.
		Loss of identity cards		
Temporary passes arrangements				

S.No.	Description Of Record		Retention Period
	Main Head	Sub Head	
21.	Progressive use of Hindi in government offices	General aspects and Hindi Committees	B
		Hindi workshop Hindi week/month	C-3
		Circulation of orders by Hindi Department	C-5
		Registration of telegraphic address in Hindi	C-1
		Periodical reports regarding use of Hindi for official purposes	C-3
		Constitution of Hindi Committee	C-5
		Meeting and Follow up action of Hindi Committee	C-3
22	Hindi Teaching Scheme	General aspects and Hindi Committees	B
		Training Programme	C-3
		Examinations	Applications: C-1 Results: C-5
		Grant of advance increments	C-3 or 1 Year after completion of Audit, Whichever is later.
		Grant of awards	C-3 or 1 Year after Completion of Audit, Whichever is later.
		Conduct of Hindi Competition	C-5
23.	Translation into Hindi	Books, reports, periodicals etc.	C-3 after the publication is printed/ cyclostyled
24.	Hindi Inspection	At Department level	C-5
		By Administrative Ministry	
		By Home Ministry	
		By Parliamentary Committee	

RECORDS RELATING TO P&A DEPARTMENT/ VIGILANCE Cell at HQ

S. No.	Description Of Record		Retention Period	Remarks
	Main Head	Sub Head		
1.	ALIMCO Conduct, Disciplinary and Appeal Rules	a. General notifications b. Schedule regarding appointing Authority, Disciplinary Authority and Appellate Authority c. Regarding charge sheets, documentary evidence, Enquiry Officer, examination of witnesses and show-cause notices d. Regarding penalties e. Regarding appeals and petitions f. Regarding suspension and subsistence allowance	B	
2.	Complaints	(a) Those leading to vigilance / Disciplinary enquiries (b) Anonymous or pseudonymous Complaints on which no action is taken.	C-10	
		(c) Other Complaints not resulting to Disciplinary enquiries.	C-10	
3	Disciplinary Proceedings	(a) Resulting in imposition of penalties,	C-10	

S. No.	Description Of Record		Retention Period	Remarks
	Main Head	Sub Head		
4.		(b) Resulting in exoneration of the accused officials with or without warning,	C-10	
5	Prosecutions,	a) Resulting in imposition of penalties, b) Resulting in exoneration of the accused officials with or without warning,	C-10	
6.	Appeal	a) Resulting in imposition of penalties, b) Resulting in exoneration of the accused officials with or without warning,	C-10	
7.	Petitions	-	C-10	

S. No.	Description Of Record		Retention Period	Remarks
	Main Head	Sub Head		
8.	Radio Broadcast, contribution of articles, editing or managing of newspapers, publications		C-10	-
9.	Evidence before		C-10	-
	Periodic Report of CVC		C-10	
	General/Miscellaneous Correspondence		C-10	
10.	Vigilance Administration	a) General Aspects b) Acts, rules, manuals, c) Vigilance setup,	B category, in the case of Departments issuing the orders/instructions etc. and the departments concerned; other departments need keep only the standing orders, weeding out the superseded once, as and one they become obsolete.	-
		d) Meetings	i. For departments organizing such meetings : appropriate period to be prescribed by the department concerned ii. for other departments : C-10	Subject to follow-up action where necessary being taken on appropriate subject files to which relevant extracts may be taken
		e) Appointment of Vigilance Officer	C-10	-
		f) List of officers of doubtful Integrity g) Cases of difference of opinion with Central Vigilance Commission h) Cases of difference of opinion with other	C-10	-

Records Relating to RT I Cell

S.No.	Description Of Record	Retention Period	Remarks
1.	RTI Cases disposed without attracting any 1st Appeal	C-10	
2.	RTI Cases attracting 1st Appeal	C-10	
3.	RTI Cases attracting 2nd Appeal (without any remarkable decision)	C-10 or till the compliance of CIC orders, whichever is later	
4.	RTI Cases attracting 2nd Appeal (involving a remarkable decision)	C-10	Judgment/CIC ruling to be B category
5.	1st Appeal cases files	C-10	
6.	2nd Appeal cases files	C-5 or till the compliance of CIC orders, whichever is later	
7.	Files relating to the administrative aspects of RTI Act, 2005 i.e. implementation, suggestions, guidelines, etc.	C-10	
8.	File Register of RTI Applications i.e. records other than file.	B	
9.	Inspection Register	C-5	
10.	General/Miscellaneous Correspondence	C-10	