

DOCUMENT MANAGEMENT POLICY



**ASSAM POWER GENERATION
CORPORATION LIMITED
GUWAHATI, ASSAM
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1. Introduction

1.1. Purpose

- a) Assam Power Generation Corporation Ltd. (APGCL) has decided to implement many reforms within their organisation as a part of the Asian Development Bank funded Assam Power Sector Investment Program including implementation of an Enterprise Resource Planning (ERP) system. Currently, APGCL is in the preparatory phase of the ERP implementation process. As is well known, the success of any ERP implementation is heavily dependent on the organisation's clarity about its business objectives, its decision support requirements and how to achieve these through proper management of its documents and records. This policy has been prepared keeping in mind the smooth transition from the current manual environment to the ICT enabled environment and also to ensure proper adherence of procedures in the future.
- b) Record Management has always remained a critical activity of the government departments. Records can be paper files, electronic documents, correspondence (including letters, faxes and emails) and data used in business applications and databases. A Document Management Policy helps establish a uniform rule across the organization with regards to prioritisation, classification on the base of confidentiality and retention period of the documents. The length of time for keeping records varies greatly depending on the record type.
- c) A Document Management Policy not only assists the organization with which records to retain, it also serves as a guide for when certain records can be destroyed due to physical or electronic space constraints. There is a cost of physical and electronic storage for large volumes of data. A good record retention policy can also reduce legal risks and discovery costs, as well as recovery effort time, associated with legitimate lawsuits. Destroying documents in accordance with a reasonable document management policy can help protect organizations from legal, financial and reputational risks.

- d) This Document management policy has been prepared in line with Manual of Office Procedure Secretariat 1981, Assam Administrative Reforms Commission – Report 2005 and Record Retention Schedule In Respect Of Records Common to All Ministries/ Departments, Government of India, 2012. Assam administrative Reforms Commission- Report 2005 recommends that the officer concerned should make priority markings on the body of important Dak/Documents so that the importance of the paper is well understood by the staff. To ensure time-bound disposal of Dak and files, the senior most officer in the department should review the pendency list every fortnight.

- e) This policy provides a framework and outlines responsibilities for the various operations of document management. It has been developed in consultation with Officials of APGCL and will be revised on a regular basis.

1.2. Audience

- a) This manual, upon its approval by the competent authorities, is to be read and used in all the offices of APGCL so that utmost care is taken by the various officials and staff to ensure that files are neither prematurely destroyed nor kept for period longer than necessary.

1.3. ***Approach adopted***

- a) It should be noted that the entire document is closely linked to the Assam Rules of Executive Business, 1968 and is based on the same.
- b) Any document can have many attributes which combine together to provide unique identity to that document and also provide guidance to its beholder regarding its utility, longevity as well as importance to be accorded to it. In the absence of clear demarcation of such attributes, a very important document may be destroyed without a thought whereas another document which has lost its relevance may be retained for years. The fundamental approach to document management is that the attributes of a document need to be captured at source i.e. by the person who has created it first. In such scenario, the subsequent users of that document become aware of its relevance and can accord due importance to it. This document management policy is to ensure that all officials and staff of APGCL adopt an uniform approach to documents. The three distinct sections of this manual deal with the three key attributes of any document which are:
 - i) Document Priority Type
 - ii) Document Confidentiality
 - iii) Document Retention Category
- c) Each of these attributes are explained more clearly below.
- d) Document Priority Type deals with the priority to be accorded by the officials and staff is dealing with a document. For example, any letter from the office of the Hon'ble Governor or Hon'ble Chief Minister needs to be dealt with immediately whereas a letter from a citizen inquiring whether APGCL is having a holiday on any particular day can be dealt with more sedately.
- e) Document Confidentiality deal with the level of secrecy to be accorded to any document. For example, a "shortlist of selected candidates" should be accessible to only a select few before it is announced whereas the corporate newsletter should be made accessible to all APGCL stakeholders.

- f) Document Retention Category deals with the time period up to which a document needs to be retained or after which it can be destroyed. For example, a blueprint of a building has to be retained as long as the building exists. On the other hand, a casual leave application can be destroyed one year after the closure of the financial years pertaining to which the leave has been availed as long as the leave record of the employee has been duly updated.

- g) The implementation of this policy is not just about publishing the document. It will involve creation of awareness across all offices about the policy and ensuring that the officers and staff not only understand the guidelines but start to imbibe them and follow them in their day to day work. A few surprise audits may be conducted to verify the level of implementation in each of the offices and appropriate rewards/ punishment mechanisms may be adopted to encourage APGCL officer and staff to abide by the policy.

2. Document Priority Type

The important DAK/ Files/ Documents may be marked under the following priority type:-

Priority Type	Priority Status	No of Days to Put-up	Example of Documents
A+	Fixed Date Document	Should be responded within the last date mentioned in the letter. The reply should be drafted at least one day ahead of the mentioned date to seek feedback from the competent authority.	<ul style="list-style-type: none"> ✓ Fixed date letter from Govt., regulatory body etc.
A	Top most priority	By the end of day on the same day of receipt	<ul style="list-style-type: none"> ✓ Assembly questions ✓ Correspondence from CM office, Power Minister etc. ✓ Correspondence regarding Machine Break Down ✓ Daily Generation status report preparation ✓ etc.
B	Immediate	Within two working days of receipt.	<ul style="list-style-type: none"> ✓ Letter from Power Secretary ✓ Letter from ADB/ PFCL related to loan. ✓ Letter from AG/ CAG ✓ etc.
C	Urgent	Within five working days of receipt.	<ul style="list-style-type: none"> ✓ Letter from AERC ✓ Letter from MP/ MLA ✓ Correspondence from Assembly ✓ Correspondence from Statutory Auditor. ✓ etc.
D	Normal	Within seven working days of receipt.	<ul style="list-style-type: none"> ✓ Vendor correspondence ✓ All routine documents / letters

Note 1: This is prepared based on Manual of Office Procedure Secretariat 1981 and Assam Administrative Reforms Commission – Report 2005

Note 2: Every document with a priority type A+ , A, B & C will be given a internal document no. This no should be a unique no with 12 digits code. The First 8 digit shall be date of the document received in DDMMYYYY format and three digits shall the running serial no and the last digit will be I for incoming document.

The subject matter of the document will be entered into a resister against the running serial no and the serial no will be recorded on the top right corner of the document. Further, when the letter is sent to a particular officer/staff by the CGM/GM , the name of the officer will be captured in the resister. The officer will also record the name of the file in which the document is been kept in the Document Register mentioned above.

Codification structure of Document no is

NNNNNNNN	NNN	A
Date in DDMMYYYY format	Running Serial No	I - For Incoming Document

Note 3: All outgoing document will be given a document no. This no should be a unique no with 12 digits code. The First 8 digit shall be date of the document received in DDMMYYYY format and three digits shall the running serial no and the last digit will be O for outgoing document.

Codification structure of Document no is

NNNNNNNN	NNN	A
Date in DDMMYYYY format	Running Serial No	O - For Outgoing Document

3. Document Confidentiality

Based on confidentiality, documents may be categorized under any one of the following category :-

Category	Description
Classified	This kind of documents is meant only to few select persons on 'need to know' basis. Should not be assessable by even documentation administrator
Confidential	This kind of documents is meant only for limited circulation. Should be circulated only within the identified group (e.g. HR or Finance or TPC or ZPC)
Internal circulation	These kinds of documents are meant only for internal circulation. Assess should not be given to outsiders. (e.g. internal memos)
Business correspondence	This kind of documents are meant for general business purpose communications i.e. information which can be shared with outside world.

4. Document Retention Category

Documents may be categorized under any one of the following category:

Category	Description
Class I	A document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum to avoid its damage or loss.
Class II	This category will include documents having reference value for a period 25 years . Class II -13, Class II -15 & Class II -20 means Class II documents to be kept for 13 years, 15 years and 20 years respectively.
Class III	This category will include documents of secondary importance having reference value for a limited period not exceeding 10 years. Class III -3, Class III -5 & Class III -10 means Class III documents to be kept for 3 years, 5 years and 10 years respectively.

Note: - This is prepared based on Record Retention Schedule In Respect Of Records Common To All Ministries/ Departments, Government of India, 2012 issued by Department of Administrative Reforms & Public Grievances , Govt. of India .

5. Annexure

Sl. No.	Dept.	Description of Records	Proposed Retention period	Category
1	F&A	Arrear claims Sanction	10 Years	Class III- 10
2	F&A	GPF Nomination	3 years after issue of final pension/ gratuity payment order.	Class II -25
3	F&A	GPF annual statements	Service Period	Class III
4	F&A	T.A/Transfer T.A. claims	3 years, or one year after the completion of audit, whichever is later.	Class III-1
5	F&A	Budget Estimates/ Revised Estimates – after completion of audit	3 Years	Class III-3
6	F&A	Pay Bill register	20 Years	Class II - 20
7	F&A	Office copies of Establishment pay bills and related schedules	20 Years	Class II - 20
8	F&A	Schedules to the Establishment pay bills for the period for which pay bill register is maintained	3 years, or one year after the completion of audit, whichever is later.	Class III - 3
9	F&A	Papers relating to Festival Advance	1 Years	Class III - 1
10	F&A	Papers relating to GPF Advance	1 Year after settlement	Class III - 1
11	F&A	Papers relating to Pay Advance	1 Year after settlement	Class III - 1
12	F&A	Papers relating to T.A. Advance	1 Year after settlement	Class III - 1
13	HR	Service Books	Hard Copy for 5 years after issue of final pension and soft copy is perpetual.	Class II
14	HR	Leave Account	3 years after issue of final pension	Class II
15	HR	Papers relating to Casual	1 year	Class III - 1

Sl. No.	Dept.	Description of Records	Proposed Retention period	Category
		Leave		
16	HR	Papers relating to Earn Leave	2 Years	Class III - 2
17	HR	Papers relating to Medical Leave	2 Years	Class III - 2
18	HR	Papers relating to Maternity Leave	2 Years	Class III - 2
19	HR	Papers relating to Child Care Leave	5 Years	Class III - 5
20	HR	Nomination relating to family pension	1 Year	Class III - 1
21	HR	Civil List Gradation/ Seniority List	5 Years	Class III - 5
22	HR	Arbitration litigation cases	Perpetual	Class I
23	HR	Papers relating to Recruitment	5 Years	Class III - 5
24	HR	Pension/ Retirement rules & Orders	Perpetual	Class I
25	HR	Family pension sanctioned	3 years after issue of final pension	Class II
26	General	Contractor Correspondence	3 Years after contract period is over	Class III - 3
27	General	Drawings, Manuals etc.	Perpetual till asset is available.	Class I
28	General	Gate Pass or similar matter	1 Month	Class III - 1
29	General	General Files, Papers and documents etc.	3 Years	Class III - 3