



RECORD RETENTION SCHEDULE,
PERIODICITY OF DESTRUCTION
AND PROCEDURE TO
WEED OUT OBSOLETE RECORDS

IIT MANDI
KAMAND (H.P.) - 175005



PREFACE

To create, maintain and weeding out of records is ongoing process and thus record management plays an important role in any of the organisation. Indian Institute of Technology Mandi was established in 2009. Since then naturally, formal official communication is taking place within the Institute as well as with multiple external agencies. Being formal and in hard copies, this communication causes accumulation of records in the form of files, folders, registers and receipts etc. Down the line, IIT Mandi has taken ample care to switch towards digitization by adopting office automation system, admissions thorough JoSSA, JAM and COAP portals, online scholarship implementation and recruitment through online invited applications etc. Still, with the development of Institute, this stack is increasing in due course of time. Hence to save the office space and to better manage the office communications, it becomes necessary to weed out the obsolete records which are no longer required in the Institute. Although GFR and other Rules from GoI enumerate the retention schedule and periodicity of destruction, sometimes it becomes very difficult to interpret them in applicability of individual segment records in the perspective of IIT's autonomous role. Since IIT Mandi does not have any permanent policy on record management, piece meal destructions of records were being carried out whenever needed in an informal manner. Thus the Institute desired to have a simplified policy on records retention schedule, periodicity of destruction and a convenient procedure of weeding out the obsolete records. The details of this document cover the need of individual sections, mandate to constitute intra section committees for verification and certification of destructions of obsolete records of the Institute.

INDEX

Sl No.	Description	Annexure	Page No.
1.	Instructions and guidelines	-	4-5
2.	Format of destruction Certificate	A	6
3.	Format of Register of weed out records	B	7
4.	General Schedule	C	8
5.	Academics Section	D	9-10
6.	Establishment & Recruitment Section	E	11
7.	Directorate	F	12
8.	Registrar's Office	G	13
9.	Finance and Accounts & Internal Audit	H	14
10.	Construction Wing	I	15
11.	Library	J	16
12.	Medical Unit	K	17
13.	Store & Purchase Section	L	18
14.	Security Section	M	19
15.	SRIC & IR	N	20
16.	Students' Office	O	21
17.	School Office	P	22

Instructions on Process of Records Retention and Destruction

To weed out the obsolete records, following guidelines shall be adhered to:

- Every year, each segment should list out the obsolete records up to 31st December under its custody and weed them out before 31st January of the following year.
- A certificate in connection with such weeding out of records must be submitted to the Registrar before 15th February of every following year.
- In case no destruction has been carried out by any section, a certificate of “Nil Destruction” must be submitted.
- The Section/School Head will be responsible for the constitution of Obsolete Records Destruction Committee under his/her chairmanship. The committee should consist of at least 03 members to examine the details of obsolete records being proposed for destruction. Out of these 03 members, at least 01 member must be co-opted from other section/school.
- Section Head will be responsible to get the list prepared for records being proposed for destruction/retention.
- After segregation and examination by the committee, the Section/School Head will ensure for destruction/retention of the records and submit a certificate to the Registrar certifying that the records have been destroyed/retained as per Record Retention Policy of the Institute. A sample format of the certificate is attached at **Annexure “A”**.
- Registrar’s Office will be authorized and responsible to keep a record of such destruction certificates.
- In each section, a ‘Register of Records Destruction/Retention’ should be maintained showing the date and method of destruction. A sample format of the Register is attached at **Annexure “B”**.
- The records should be weeded out by way of shredding/burning in each section. As far as possible shredding of obsolete records should be adopted instead of burning as being eco-friendly without causing any harm to the environment. Destruction by burning may be adopted only if records are of highly sensitive in nature.
- In case no specific schedule has been maintained by any Section, a general schedule as placed at **Annexure “C”** will be applicable.
- In case the records are needed to be preserved because of any matter pending before court of law or any similar legal or other requirements, the specified periodicity for destruction shall not apply. Section head will be responsible for maintenance of such records.
- As far as possible, records of permanent nature should be digitized and preserved in duplicate. Keeping one copy in the custody of Section Head, second copy must be preserved at different geographic located repository (procedure and links etc. to be conveyed by the Wing after getting a feasible solution).
- After certification by the Section Head on preserving copies in duplicate as above, hard copies of permanent records shall be treated as obsolete from the date of uploading. The hard copies no longer required specifically in future can be destroyed following the above procedure.



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- Any procedure/period not covered in the above recommendations, shall be governed by the General Financial Rules (GFR).
 - The decision of the Director IIT Mandi will be final to approve any amendment, exemption or deviation required with respect to the periodicity of destruction/retention of records.

Individual segments of the Institute shall maintain the periodicity of retention of records as defined specifically from Annexure “D” to Annexure “P”. In case no specific schedule has been maintained by any Section, general schedule will be applicable.



Certificate of Record destruction and retention

A Committee as following was constituted in School/Section to verify and recommend the destruction/retention of obsolete records for the year ending 31st December

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.....
.....
.....

On the recommendations of committee, obsolete records due for destruction have been destroyed as entered in the Register of Destruction. However, the files/register/records listed in the attached Annexure.... have not been destroyed irrespective of scheduled periodicity and were retained for the purpose as mentioned against each.

Certified that:

1. No action is pending in respect of the records recommended for destruction.
2. No recovery is pending as on date where the destroyed records shall be required in future.
3. No court proceeding/Enquiry is pending or contemplated as on date where the records proposed for destruction shall be required to be produced.

Signature member-1

Signature member-2

Signature member-3

Date.....

Signature of Chairperson/Section Head

Copy to:

1. Registrar Office
2. School/Section records

Annexure-“C”

Record Keeping & Destruction of Records
in case of section not specifically defined

Sl. No.	Description	Permanent	Periodicity
1.	Policy Files	Yes	Generally not to be destroyed/may be destroyed following due procedure after digitization of records.
2.	Correspondence files	No	3 years after date of last enclosure and no action pending.
3.	Registers	No	1 year after last day of statutory audit, if there is no pending audit observation.
4.	Receipts & Folders	No	1 year after last day of statutory audit, if there is no pending audit observation.

Annexure “D”

Records related to Academics section

Sl.No.	Description	Permanent	Periodicity
1	Personal files of the students	Yes (Digitised version on OAS)	Hardcopy files: <i>5 years after Graduation/ Removal of name from the Rolls of the Institute</i>
2	Master Grade Reports	Yes	
3	Tabulation Records / Result Sheets	Yes	
4	Semester Grade reports of courses received from the instructors	Yes	
5	Evaluated answer books available with/returned by the Instructors after each Semester-end / Term end exam	No	Till the end of following semester (1 Semester)
6	Course Evaluation forms (TCF) submitted by the students for the courses of a semester	No	3 Years (Access is with the Director)
7	Minutes of the Senate and Agenda papers and reports of the various committee appointed by the senate	Yes	Maintained at Registrar’s Office also.
8	Admission forms/records of UG/PG/PhD candidates a) Rejected applications b) Selected ones	 Yes	 a) Six months after closure of process, if applicable (e. g. UG applications and Few PG (GATE, JAM) are accepted/Rejected by the conducting agency) b) To be treated as Personal File records.
9	PhD / MS Evaluation / Viva Reports	Yes	
10	Degree certificate register records	Yes	
11	Files related to correspondence with Central/State Govt. regarding award/renewal of Scholarships to UG/PG students		10 years
12	Convocation Registers	Yes	

13	Scroll (Registrar's Office)	Yes	
14	No Dues form	No	06 months after graduation
15	Correspondence files	No	03 years after closure
16	Thesis submitted by students	Yes	A hardcopy and softcopy shall be maintained in the Library.
17	Inward/outward Registers	No	1 year from the date of closing
18	Minutes of Scholarship Committee Meeting	No	Ten Years

Annexure "E"

Records related to Establishment & Recruitment Section

Sl.No.	Description	Permanent	Periodicity
1	Service Books	Yes	To be destroyed after 05 years of retirement
2	Personal Files	No	To be destroyed after 05 years of retirement
3	Shortlisted Applications	No	To be destroyed after six months of the completion of process of selection.
4	Not Shortlisted Applications	No	Within three months after completion of process.
5	Best Papers - *Faculty Rectt.	No	To be destroyed after Interview
6	Reference Letters	No	To be destroyed after Interview
7	Recruitment Correspondence	No	To be destroyed after 06 years of the completion of process of selection.
8	Earned and other kind of Leave File	No	To be destroyed after inspection of service book by officer /official concerned or 01 Year
09	Muster Roll	No	01 year
10	Establishment File	No	05 years
11	Casual Leave Register	No	01 year
12	Inward Register	No	01 year
13	Outward Register	No	01 year
14	Personal files of staff on Contract/ Consolidated salary	No	To be destroyed after 5 years of date of relieving
15	Digital Records for Recruitment with OAS/ Rectt. Team	No	To be destroyed after 6 months of the completion of process of selection.

Annexure “F”

Records related to Directorate

Sl.No.	Description	Permanent	Periodicity
1.	IIT Director's meetings	No	10 years
2.	IIT Council file	No	10 years
3.	Visits file of Director	No	5 years
4.	Director's letters	No	5 years
5.	Director's Notifications file	No	5 years
6.	Schedule file	No	5 years
7.	Vehicle file	No	10 years
8.	Registrar Interview file	No	5 years
9.	MHRD File	No	5 years
10.	Panel for Administration Group “A”	No	5 years
11.	Panel Experts File for each School	No	5 years
12.	New IIT Director's	No	5 years
13.	Faculty Interviews file	No	3 Years
14.	MOU File	No	5 years

Records related to Registrar's Office

Sl.No.	Description	Permanent	Periodicity
1	Constitution of BOG/FC/Senate/B & WC/ISC/Deans Committee	Yes	
2	Legal Open Court Cases	Yes	
3	Legal Closed Court Cases		2 Years after decision
4	Scrolls	Yes	
5	MoUs	Yes	3 Years after expiry
6	Annual Reports		1 Year
7	Index/Minutes of the Statutory Committee Meetings Like; BOG/FC/Senate/B & WC/ISC/Deans Committee	Yes	
8	Creation of Corpus Fund	Yes	
9	Land related documents	Yes	
10	Appointments of Deans/Associate Deans/Chairpersons/CVO/Nodal Officers, etc	No	Till Tenure
11	Faculty Roles Responsibilities	No	1 Year
12	General Notifications/Office Memorandum/Office Orders, etc.	No	1 Year
13	Correspondence with MHRD	No	1 Year
14	RTI Replies/Appeals/Quarterly Reports/Index Register	No	1 year (after uploading on website as per RTI Act)
15	IIT Council/All IITs Directors/Registrar 's Meeting agenda Minutes	No	1 Year
16	Correspondence with Local Administration/State Authorities/MHRD, etc	No	1 Year (other than continuing cases)
17	Inquiry Reports	No	1 Year after closure of the case
18	Grievances	No	1 Year
19	Policy matters	Yes	
20	Foundation Day/Convocation, etc	No	1 Year
21	Creation of new posts	Yes	
22	Peer Review/ScSc	No	2 Years
23	Appointment of Director/Chairman BoG	No	1 Year after completion of the tenure
24	Handing taking over of Buildings	No	1 Year after completion of the tenure
25	Handing taking over register of Registrar	Yes	
26	Agreements copies	Yes	
27	NIRF	No	1 Year
28	Visitor's Nominees	No	1 Year after validity
29	General files	No	1 Year
30	Record of Destruction Certificate	Yes	

Annexure “H”

Records related to
Finance and Accounts/Internal Audit

Finance and Accounts/Internal Audit shall follow the record retention and destruction schedule as mentioned in Appendix 9 to General Financial Rules (GFR) -2017 (as amended time to time)

Annexure "I"

Records related to Construction Wing

S.No.	Description	Permanent	Periodicity
1	Files pertaining to works which consist of Estimates, NITs, Quotations /tender documents, technical & financial evaluation, award letters and correspondence with the agencies for which final bills are paid	No	1 year of the date of payment
2	Attendance Registrar	No	6 months
3	Measurement books	No	5 Years
4	Files related to procurement of Cement or any other material	No	1year
5	Working Drawing for the works/built in drawings	No	1 year after the final bill is paid. Soft copies shall be retained.
6	Circular file	No	1 year
7	Original agreements related to works	No	5 Year after the final bill is paid
8	Files pertaining to replies to Statutory Auditors	No	3 months after the audit paras are closed
10	Files relating to applications for allotment and Minutes of meetings	No	6months
10	Allotment of accommodation	No	6months
11	Occupation /Vacation reports File)	No	6months
12	Electricity -bill generations files	No	6months

Annexure "J"

Records related to Library

Sr.No.	Description	Permanent	Periodicity
1	Policy decision files	Yes	
2	Correspondence files	No	3 Years
3	Purchase Orders files	No	5 Years
4	Attendance records	No	1 Year
5	Vendor empanelment files	No	3 Years after completion of tenure
6	LAC minutes records	Yes	
7	Recommendation form (Print Books & E-resources)	No	3 Years
8	Orders (Print Books & E-resources)	No	5 Years
9	Bill Entry Registers	No	3 Years
10	Accession Register (Print Books, E-books, Periodical)	Yes	
11	Consumable Registers	No	3 Year
12	Minor/Major Registers	Yes	
13	Invoice Registers (Receive Bills) Record	No	3 Years
14	Users visit entry registers	No	1 Year
15	Circulation Reports	No	1 Year
16	Fine Record	No	1 Year
17	TA duty related registers	No	1 Year
18	Despatch Register	No	1 Year
19	License Agreements	Yes	

Annexure "K"

Records related to Medical Unit

Sl.No.	Description	Permanent	Periodicity
1.	ECG& Physiotherapy /X-Ray Register	No	01 year
2.	Indent/medical order Registers (medicine/surgical items consumable).	No	01 year
3.	Blood, Urine, and laboratory /Miscellaneous registers	No	01 year
4.	Indoor paper file/register (for future plan)	No	03 Years
5.	Stores Store's ledgers for consumables items (medicine)	No	03 years
6.	Ledgers for Tools/Equip/ F & F items (major items)	Yes	
7.	Imprest cash A/cs	No	01 year
8.	Physical/ Fitness Certificate books	No	01 Year
9.	OPD Register	No	01year
10.	Policy matter files	Yes	
11.	Correspondence Files	No	03 Years
12.	Handing Over taking Over Book	No	01 year

Annexure "L"

Records related to Stores and Purchase Section

Sl.No.	Description	Permanent	Periodicity
1.	Purchase Files upto 3 Lakh	No	10 Years
2.	Purchase Files Above 3 Lakh : <ul style="list-style-type: none"> • Machinery, Equipment, Instrument, Server etc. • Computer Desktop, Laptop, Computer Workstation, Software etc. • Furniture • Annual Rate Contract/Empanelment/Services etc. 	Yes No No No	 10 Years 10 Years 5 Years
3.	Stock Registers-Minor & Major	Yes	
4.	Stock Registers-Consumables	No	3 Years
5.	Purchase/Tender file opening Register	Yes	
6.	GST Certificate Issue File	No	3 Years
7.	File/Document/Bill etc. Movement Register Internal	No	5 Years
8.	Bill Register –Finance	No	10 Years
9.	Bill Register –Audit Section	No	10 Years
10.	Dak Received Register-External	No	10 Years
11.	Indent / Requisition Form file	No	2 Years
12.	RTI File, GPC, Dean committee & notifications etc. other correspondence files.	No	3 Years
13.	News Paper Advt. File	No	3 Years
14.	E-Procurement (Digital Signature) & Central Public Procumbent Portal File	Yes	
15.	GeMpurchase File	Yes	

Annexure "M"

Records related to Security section

Sl.No.	Description	Permanent	Periodicity
1	Key In/Out Register	No	3 years
2	Vehicles In/Out Register	No	1 year
3	Visitors detail Register	No	1 years
4	Material/Equipment out Gate Pass Register	No	1 year
5	AMC personnel/Courier/Milkman In/Out Register	No	1 year
6	Night time vehicles crossing South Campus to Navlaya Register	No	1 year
7	Record of FIRs/Police case file	No	3 years after closing of case
8	Students Indiscipline cases file	No	1 year after closing of case
9	Reports and Returns file	No	1 year after settlement of audit para if any
10	Security orders by SO file	No	3 years
11	E- Tender for Security Services file	No	5 Years after closing of file
12	Correspondence with Security Service Provider	No	5 years after closing of file
13	Future Security Deployment Plan Approved by Competent Authority and other ongoing sanctions for hiring of new Security staff	No	5 years
14	Training program and Physical Test Record file	No	3 years after completion of contract
15	Attendance Register of outsourced Security Staff	No	2 years
16	Handing/Taking over duties by Security Staff Registers	No	1 year
17	Security Checking Registers	No	3 years
18	Weekly Duty deployment Roster file	No	1 year

Annexure "N"

Records related to Dean (SRIC& IR) Office

Sl.No.	Description	Permanent	Periodicity
1	Projects Files	No	Three years after the closure of the project
2	International students Files	No	08 years from the date of visit of student
3	MoU Files (IR)	Yes	
4	Temporary appointments files	No	Three years after the closure of the project
5	Rejected Project proposals	No	Six months on receipt of intimation regarding of rejection of proposal by the PI
6	Project Leave (Staff & faculty)	No	Three years
7	Miscellaneous records	No	Two Years
8	Institute Policy Approvals, Decisions, Notifications, OM	Yes	

Annexure "O"

Records related to Dean (Students) Office

Sl.No	Description	Permanen t	Periodicity	Remarks
1	Mess Bill Files (Hostel Wise)	No	3 years	File with Hostel
2	Voucher Files all hostels	No	1 year	File with Hostel
3	Gymkhana File (papers related to gymkhana members and event reports)	No	5 years	File with Dean (S) Secretariat
4	Canteen File (contract and letters issued and received from vendor)	No	1 year after completion of contract	File with Dean (S) Secretariat
5	Mess file (contract and letters issued and received from vendor)	No	1 year after completion of contract	File with Dean (S) Secretariat
6	Disciplinary File (details about SWDC meetings and letters issued to students)	No	3 years after student graduation	File with Dean (S) Secretariat
7	Insurance File (contract and letters issued and received from vendor)	No	1 year after completion of policy	File with Dean (S) Secretariat
8	Hostel file (hostel occupancy data, wardens' details, request received from students)	No	5 years	File with Dean (S) Secretariat
9	Exodia File	No	3 years	File with Dean (S) Secretariat
10	Alumni File (alumni data)	No	5 years	File with Dean (S) Secretariat
11	Stock Registers	No	10 years	File with Dean (S) Secretariat
12	Sports Section files	No	5 years	File with Sports
13	C&P Cell files	No	5 years after student graduation	File with CnP

Annexure "P"

Records related to School/s Office

Sl.No.	Description	Permanent	Periodicity
1	Policy matter files	Yes	
2	Correspondence files with external agencies/invitation letters, etc.	No	3 Years after date of last enclosure
3	Lab/School Records (Stock Register): Minor Items	Yes	
4	Lab/School Records (Stock Register): Major Items	Yes	
5	Student Lab. records	No	1 Year
6	PG Students admission files/ records (other than selected candidates)	No	1 Year
7	RTI/CAG/Parliamentary replies	No	1 Year
8	Internal notifications on policy decisions	Yes	
9	Internal notifications on routine issues	No	1 Year
10	Temporary Appointment & Invitation Files	No	05 Years
11	Student related personal files (Selection, National Conferences/DC Constitution/Comprehensive Exam/JRF to SRF/Field Work etc.)	No	05 Years after release
12	Other misc. routine communications	No	1 Year