

NATIONAL HIGHWAY AUTHORITY

**REGULATIONS
FOR
RECORDS MANAGEMENT
AND
DISPOSAL**

RECORDS MANAGEMENT AND DISPOSAL

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1. The Regulations will be called "The National Highway Authority RECORDS MANAGEMENT AND DISPOSAL REGULATIONS".

2. **Definitions**

(1) In this Regulations, -

"Categorization" means categorization of files into various categories depending on the period for which they should be preserved.

"Classification" means classification of files into "Secret" or "Confidential" files.

"Preservation of records" includes:-

"Recording," mean the process of closing a file after action on all issues considered on it has been completed.

"Indexing" means preparation of index slips for each file and ultimately an Annual INDEX of the files of each wing of the Authority.

"Weeding" means sorting out and destroying of those records, which have outlived their utility and need no longer be preserved and retained for future reference.

Action on a file should not be treated to have been completed unless it has been properly recorded and indexed.

3.

Categorization of Files.

- (1) The files shall be categorized into one of the four categories mentioned below: -
- (i) **Category A-** Permanent Records.- This category shall include vital records of permanent value which are irreplaceable and have to be preserved with the utmost care. As a general rule, the following types of records shall be classified under this category:-
- (a) Files containing discussions or orders on important matters of Regulations, legislation, rules and regulations.
- (b) Files containing orders establishing important precedents that are likely to be required frequently for reference over a long period.
- (c) Files relating to individuals whose importance warrant retention of their cases permanently.
- (d) State documents such as treaties and agreements with foreign countries/ organizations.
- (e) NHA assets documents.
- (f) National Highway council and Executive Board working papers and minutes of meetings.
- (2) Permanent files shall be recorded, indexed and printed properly or otherwise reproduced, and at least three copies thereof including the original shall be maintained for placing in safe custody at office concerned, Regional Record Room and Record Room at NHA, HQ. The normal methods of reproduction are:
- Printing,- This method should be used if 25 or more copies are likely to be required.
- Photostat
Copies.- This Method should be employed if twenty-four or less number of copies are required.

Micro Filming:- This method of reproduction should be employed for preserving precious documents requiring special safety measures.

- (ii) **Category-B** Records to be retained for 10 to 20 years:-
This category shall include all those files, which are not important enough to be preserved permanently but are important enough to be retained for a period of ten or more years depending upon the extent of their utility. Service records of the servants of NHA should be classified under this category.
- (iii) **Category C-** Records to be retained for 3 to 9 years. This category shall include files which have limited utility and which may be required for only a few years.
- (iv) **Category D-** Records to be retained for less than 3 years.—This category shall include papers of routine or ephemeral nature which are not likely to be required beyond a period of three years. The files/record marked category “D” and ready for destruction will be reviewed by a committee headed by Director (Admn) and one representative, not below the level of Deputy Director, from the wing concerned and Deputy Director (Legal) to see the files which have some historical/national value. The files, which are established to have historical/national value, shall be transferred to the Department of Archives for preservation under intimation to wing concerned. The remaining files will be destroyed as per recommendations of Disposal Board with the approval of the Chairman, NHA.
- (3). Each document shall be graded and categorised on its merit i.e. according to the nature, source and importance of the information contained therein. Merit of a document in short is the assessment of its sensitivity.

- (4) Classified and non-classified documents should be kept separate from each other. All the classified record/ files shall be kept under lock and key in the custody of at least a Deputy Director.

Note: - *Each General Manager shall categorize the record of his section as deem fit.*

4. **Preservation and weeding of various registers.**

- (1) The various registers used in the Authority should be categorized as under and preserved/retained for the period indicated against each from the date of closing:-

(a)	Registers of files	Permanent
(b)	Section Diary Register/ Log Books of Vehicles	5 Years
(c)	Dak Book	3 Years.
(d)	Other Registers to be maintained by different wings.	Permanent

- (2) Each wing will maintain their important record in the Registers such as: -

- (a) **Administration Wing**
- Regular, Contract, Deputationists employees Registers
 - Vacancy Register.
 - Punishment Register.
 - House Hiring Registers.
 - Medical Registers.
 - Assets/Stores Registers.
 - Transport Registers.
 - NHA own Building Register.
 - Land Register project wise etc.etc.

(b) **Finance** **Wing**

- Contract wise Payments
- Budget Head wise allocation Register.
- Establishment Expenditures Register.
- Advances to Employees.
- Other Account Books.
- Panel Insurance Companies
- Private Sector Firms etc.etc.

(c) **Operations Wing**

- Projects Main Information Register.
- Prequalified Consultants/Contractors(Local and Foreigners separately for each)
- Black Listed Contractors and Consultants.
- Register for Filling Stations and other ROW amenities established with NOC of NHA.
- Register of main bridges/tunnels etc. etc.
- Register of IPCs etc.etc.

(d) **Planning Wing**

- The Registers as shown in operations wing.
- Register of Projects under feasibility study.
- Register of Federalized/Nationalized Roads etc. etc.

5.

Disposal.

(1) The disposal of old record will be carried out on the recommendations of the following committee: -

- | | | |
|----|--|------------------|
| a. | Director (Audit) | President |
| b. | Deputy Director (Admn) | Member |
| c. | An officer not below BS-17 from the Wing whose records is to be destroyed. | Member |
| d. | Officer Incharge Record | Member/Secretary |

- (2) The Officer Incharge Record Room will prepare lists of files/ documents with the assistance of concerned wing/branch and produce before the Board for perusal.
 - (3) The period of retention in respect of commonly used documents are given at Annexure-A. No document will be declared obsolete before the expiry of specified period. Auditable documents shall not be destroyed prematurely or on completion of their normal period of retention as laid down in Annexure "A".
6. (a) Each file shall contain two portions:-
- i. Correspondence.
 - ii. Noting.
- However, in case of Personal File, it consist of four portions:
- i. Correspondence
 - ii. Noting
 - iii. Leave Record
 - iv. Service Book
- (b) In case of loss of a file, duplicate file will be constructed subject to formal enquiry at appropriate level fixation of responsibility and approval of Member (concerned).
- (c) Files shall be moved under proper entry in files Movement registers and Section Diary as well as receipt by authorized person.
7. For safe and long life, a file should not carry more than one hundred (100) leafs.
8. Each page in correspondence portion and each para in noting portion shall be numbered.
9. (a) Sectional Assistant will maintain the files and ensure their proper placement.

- (b) There will be files record movement registers in each section.

10. In general, the Record Room shall be classified in the following sections for the purpose of record keeping:-

- a. Record of Personnel Admn.
- b. Record of General Admn.
- c. Record of Confidential Nature.
- d. Record of Contracts and Specifications.
- e. Record of Feasibility Studies.
- f. Record of Pre-qualifications of Consultants and Contractors sub-divided in:-
 - Local Consultants/Contractors
 - Foreign Consultants/Contractors
- g. Construction projects (Region-wise)
 - GOP Funded
 - Internationally Funded
- h. Maintenance works (unit-wise)
- i. Record of Planning.
- j. Record of Audit and Inspections.
- k. Record of Accounts: -
 - Establishment Expenditures.
 - Works payments.
 - Maintenance payments.
 - Afforestation Payments Record.
 - Land Payments Record.
 - Hiring of buildings.
 - Loans and Advances.
 - Pension Record.
 - CP/GP Fund Record.
 - Miscellaneous Expenditures.
- l. Record of Budget (Year-wise).
- m. Record of Motorways (project-wise).
- n. Secretary, NHA office record.
- o. Media Advisor's office record.
- p. Chairman, NHA office record.
- q. Member's offices record (Separate section for each member).

- r. Enquiries Record.
- s. Black listing record of consultants, contractors and companies.
- t. Land and Infrastructure Record.
- u. Afforestation Programme Record.
- v. Any other head.

Note: - *On receipt of file(s) in record room, the Record Keeper will be responsible for safe custody and movement of record.*

- 11. If a file is not received back in the section upto one week of its move, the dealing Assistant should depute his clerk to locate the file.
- 12. An employee on his written request may be allowed with the approval of Regional GM or DG (Admn)/Director (Admn): -
 - i. To see his Personal File/Service Book/Assets Return for information or to get any fact/figure for service matter in the presence of Deputy Director (Personnel/Admn). However, noting portion or any confidential paper will not be allowed to be perused in this regard.
 - ii. To get information regarding officers who have initiated and countersigned his ACRs with period or with whom his ACRs are pending. However, status of ACRs (except adverse remarks as per rules) will not be intimated.
 - iii. If an employee has not asked for information about ACRs by May of the subsequent year of ACR, his request about ACRs at later stage will not be entertained, and ACRs placed on record stands final and should not be changed.
- 13. (1) No employee shall be allowed to carry his case/file personally/by hand from one office to the other.
- (2) Copies of documents will be allowed with the prior approval of Director concerned, to investigating agencies i.e. Police, FIA etc. in the cases related to NHA.
- (3) Copies of Noting and classified documents shall never be allowed.

- (4) Instructions as laid down in Chapter-iv of Security Booklet " Security of Classified Matters in Government department" (as amended from time to time by the Federal Government) shall strictly be followed to prevent leakage of information.
- (5) Copies to general public will be permissible with the approval of GM concerned.
- (6) Files from one section to other section in the same wing will be moved through Directors concerned and in case from one wing/office to the other, it will be moved through GM concerned or Member if matter is important enough.
14. Attestation of documents for production in courts will be made by an officer not below the level of Director.
15. Files can be shifted with the approval of Director Incharge of an office or section to Record Room after under mentioned period of it's closing date, if not required in the office/section: -
- | | |
|-----------------|---------|
| -Category "A" | 5 years |
| -Category "B&C" | 3 years |
| -Category "D" | 1 year |
- 16 (1) No official document will be transmitted to any person without approval of the competent authority.
- (2) Copies of references shall only be endorsed to the officers/section wherever deemed necessary. All concerned should avoid distributing copies un-necessarily.
- (3) On receipt of copy of a reference the office/officer concerned should see if any action is to be taken or instructions are required to be issued.

- (4) If it is proved through an enquiry that any office paper/record/document is lost or destroyed due to carelessness or given to any body by an employee un-authorisedly, he will be awarded a major penalty under the relevant rules.

17.

In preparation of a case following guidelines shall be kept in mind.

- a. Paper under consideration should be placed on file concerned with Flag PUC/FR and page number shall be given.
- b. A note containing the points mentioned below shall be drafted by dealing Assistant which will be scrutinized/ examined by Office Superintendent before his signature: -
 - i. The facts of the case.
 - ii. The points on which decision is required.
 - iii. The statutory or customary procedure to be adopted in dealing with the case.
 - iv. Rules/Regulations/Regulations position in the case.
 - v. Any other related fact or merits/demerits of the case
 - vi. Any precedence relevant to the case under consideration
 - vii. Suggestions/Proposals.
- c. No note should be signed by an official below BS-16.
- d. References of pervious papers should be indicated by giving page number with pencil in the margin of note i.e. (P.P. 14-15/c etc.). Whereas, reference to notes should be given by indicating paragraph/para numbers in bracket e.g. (para-17/N). If deemed necessary, flags with alphabetical slips also are punched in correspondence references in addition to giving page numbers in the margin.
- e. Reference books should not be put up with a file, but relevant pages to which attention is to be drawn should be indicated in margin and extract of page be placed in correspondence file duly page numbered.
- f. Two or three blank note sheets shall be added in note portion as courtesy pages.
- g. PUC, F.R and other relevant papers be indicated clearly in the note by flagging and giving pages numbers.
- h. The draft (if any) pinned with a "DFA" slip shall be placed on top of "Correspondence" portion of file.
- i. Competency of an authority with rules or delegation of powers should clearly be mentioned in the note.

- j. A follow-up register shall be maintained by dealing Assistant/ Official to ensure timely issuance of reminders and decision of a case.
- 18 (1) In those matters where these Regulations are silent, the Regulations and practice of the Federal Government shall be followed.
- (2) Any matter having full justification up to entire satisfaction of the authority concerned and need special consideration on merit, in relaxation of codal requirements/formalities, but not in violation of any bar specifically prohibited under the rules/regulations, shall be treated as "Special Case". Provided, such cases will be approved by the next higher authority of the actual competent authority.
- 19 Following SOP/TOR will be adopted for receipt and dispatch of official mail: -
1. All out going & incoming communications/mail/letters etc. of the NHA shall be routed through the R & I branch, which will be responsible for: -
 - i. Receipt and distribution of all fresh receipts.
 - ii. Dispatch of outward mail.
 2. The R & I Branch will maintain separate Diary/Despatch Registers for the incoming and out going mail for all NHA Wings and the Ministry of Communications & Railways, President/Chief Executive Secretariat, establishment Division and other offices of the Federal Government.
 3. Envelopes of fresh receipts addressed to an officer by name shall be sent to him unopened. If the officer is on tour or on leave, the same should be sent to the officer looking after his job/appointment.
 4. Receipts addressed to an officer will preferably be opened by the officer himself or if he has so authorized, by any of his staff member in his office.
 5. Receipts marked "Top Secret" "Secret" or "Confidential" shall be handled in accordance with the Govt. instructions on the subject and Regulations of NHA in respect of security and record management.
 6. If an envelope/receipt is containing only address of NHA, it will be opened/marked by Dy. Director (Admn).
 7. The procedure observed for receipt and transmission of classified documents and other ordinary (un-classified) mail will be as under:-

I. General

- a. The sender should properly check the accuracy of contents before signing the mail. The recipient should also do the same on receipt.
- b. The classified mail/document required to be sent by post will have a receipt in the inner cover, for acknowledgement by the recipient and record of the sender.
- c. Separate diary registers will be maintained for diarizing the classified and ordinary (un-classified) mail. When a communication is received, it will be diarized accordingly.

II. Movement/Dispatch

- i. Movement of all the mail received in the R & I Branch will be recorded in the Diary Registers indicating the name & designation of the sender and recipient, reference number, date and subject properly.
 - ii. In case of movement of the classified documents, full details such as office of origin, exact date and time of dispatch, name & designation of the dispatcher, exact date time and name of dispatcher of receipt, full particulars of the reference will be recorded, in relevant register (s) properly.
 - iii. The same procedure will be adopted for distribution of classified mail within the same office.
8. The classified mail received through ordinary covers will be opened in the R & I Branch and sorted out for section wise distribution. Due care will be observed while opening the envelopes and it will be ensured that the respective envelope is attached with the fresh receipt. The R & I Branch will be provided with upto date lists showing the subjects dealt with by the offices separately, by each wing/section.
 9. All the receipts should be stamped in the R & I branch, giving the date and time of the receipt, section diary number and its further disposal accordingly.
 10. The fresh receipts should be passed to the concerned offices with the intervals of 1 to 2 hours regularly during the day. However, the mail captioned as "Secret" "Top Secret" or "Classified" shall be distributed immediately on receipt. The F.R. if not specifically addressed to an office shall be sent to the dealing GM or Director of the subject matter.

11. Ordinary mail received after office hours will be held over for distribution on the next working day. However, in case of the classified matters, the concerned officer will be informed on telephone. If it is not possible to make a contact with him, any other responsible officer of the concerned section will be informed.
12. The receipts wrongly marked to a section will immediately be returned to the R & I branch.
13. Official mail within the station will be distributed through the D.R. however, the out going mail to other stations will be dispatched as under:-
 - a. Communications of ordinary nature not requiring immediate attention will be dispatched through ordinary mail.
 - b. The mail requiring having proper record of receipt by the recipient may be dispatched through registered post.
 - c. In case a quick disposal of the mail is required, the venue of U.M.S or the Courier Service will be adopted. In any case, proper record of receipt/acknowledgement will be maintained in the diary register. Mail through special courier shall be allowed on requisition slip through the Director concerned and approval of Director (Admn) or an officer so authorized for it by DG (Admn)/Regional GM.
 - d. Separate Diary Registers for dispatch of mail through ordinary service, Registered post/UMS and through Courier Service will be maintained.
 - e. As for as possible, the mail of different sections, which is addressed to same office, shall be dispatched in one envelope after entry in concerned dispatch registers.
14. A proper contract for distribution of communications through Courier Service will be maintained with a firm of international repute on discounted rates. The validity of agreement may be renewed after every year keeping in view the performance of the firm, with the approval of the Director (Admn)/Regional GM.
15. The R & I section will maintain record of expenditures on account of stamps, UMS and special courier service etc.

16. No separate/independent arrangements for mail receipt and dispatch will be made by different wings/sections at their own etc.
17. In case of mail coming after working hours, will be received by security staff, which will be handed over to R & I section on next day.
18. All mail/envelopes should be addressed by all concerned properly with due care.
20. No reply/reference will be sent to any Division of the Federal Government, Provincial Governments, President and Prime Minister/Chief Executive Secretariats from any office of NHA without approval of the Chairman, NHA. However, any communication in continuation of earlier reference having approval of Chairman, NHA may be routed with the approval of the Member concerned.
- 21 (1) Letters signing authorities in NHA will be as under: -
- | <u>Addressee</u> | <u>Signing Officer</u> |
|---|--|
| a. Head of a Department | Officers concerned in BS-20 or above as situation demands. |
| b. Officers in BS-21/20 | Not below BS-19. |
| c. Divisions of Federal Government when reference is addressed to Dy. Secretary or Section Officer. | Not below BS-18. |
| d. Prime Minister/Chief Executive/ President/Chief Minister/ Governor Secretariats. | BS-19 or above. |
| e. Attestation/certificates and forwarding enclosures. | BS-17/18 officers. |
| f. Orders related to the officers in BS-20 and above. | BS-19 |
| g. Others | Not below BS-17 officers or as situation demands. |
- 21 (2) No official reference/circular etc. will be issued by sub-ordinates without approval of the next higher authority.

- 22 (1) Periodical inspections shall be carried out by the officers of Headquarters to sub-ordinate officer to see/check the record keeping/maintenance for safety and security.
- 22 (2) The visiting officers from HQ on official tours should inspect the record lying in different sections and give reports to Member/DG (Admn).
23. Every official concerned will dispose off the file within five days of receipt of case/reference except in cases where consultation with other agencies/offices will be required. However, time limited cases will be moved and finalized within the prescribed period.
24. Files/cases in all respects will be moved through proper channel. Bypassing the seniors in official business shall be liable to disciplinary action.
25. Any sub-ordinate shall not use personal remarks in official business for seniors.
26. An officer below BS-17 will not handle classified, accountable and secret cases/documents. All files/cases in these matters will be maintained/moved at least by BS-17 officers personally. Instructions given in Regulations for Security Arrangements for classified matters will be followed.

Note: - *“In case of change of nomenclature of posts mentioned in the Regulations due to re-organization, the newly created posts shall replace the old one and the officers so posted with new designations will exercise powers as are vested in existing posts of same status”.*

LIST OF DOCUMENTS AND THEIR PERIOD OF RETENTION**1. Administration**

S.No.	Nature of documents	Period of retention
1.	Personal Files/Service Books	10 years after retirement or 5 years in case of death of an officer/official
2.	DPC Proceedings regarding Promotion, Move-over, Selection Grades etc.	10 years
3.	Regulations Files/Letters	Permanent
4.	Court of Inquiries	10 years
5.	Seniority Rolls of NHA Officers/officials	Permanent
6.	Important Correspondence regarding pension and gratuities	5 years after settlement of claims
7.	Annual Confidential Reports	5 years after retirement or death which ever is earlier
8.	Purchase and use of Service Stamps record	10 years
9.	Certificates of Handing/ Taking over charge	Permanent
10.	Record of losses if any	20 years
11.	Record of documents destroyed	Permanent
12.	Stock Taking Certificates/ Records.	15 years
13.	Hiring of official vehicles for private use	3 years
14.	Telephone and Utility Bills etc.	5 years
15.	Purchase and auction of Vehicles/Stores.	5 years after auction
16.	Purchase, repair and maintenance of office equipment.	10 years
17.	Repair/maintenance of vehicles including POL receipts & issues.	10 years
18.	Record of TA/DA and over time claims.	3 years
19.	House Hiring Records.	5 years
20.	Record regarding payment of Medical Bills to Panel Hospitals, Doctors and re-imbursement to officers/staff	5 years

21.	Dependent Rolls.	1 year after death or retirement
22.	Imprest Accounts	10 years
23.	Purchase and issue of stationary items	10 years
24.	Routine Circulars	3 years
25.	All Manuals, Regulations, and Minutes of Meetings.	Permanent

2. **Accounts & Audit.** Destruction of Accounts and Audit records will be carried out strictly in accordance with Annexure-H to Chapter-xi, para-343&344 of the Auditor General Manual of Standing Orders under the instructions of Member (Finance)/ General Manager (Audit).

3. **Planning.**

a.	<u>Design</u>	
	i. Feasibility & Design Documents	10 Years after completion of the project.
	ii. Construction Drawings	Permanent.
b.	<u>Contract & Specifications</u>	
	i. Tender Documents including Bidding Documents	15 Years after completion of the project.
c.	Agreement with Foreign Governments/Organizations	Permanent

4. **Operations/Construction**

a.	PC-1/BOQ's.	Permanent
b.	Contract Documents.	Permanent
c.	Contract Agreements.	Permanent
d.	Progress Reports of NHA on-going projects prepared by the consultants.	Permanent
e.	Record of IPC's of the Contractor.	Permanent
f.	Record of Invoices of the Consultants.	Permanent
g.	Variation Orders of Contractors and Consultants.	Permanent

h.	Various claims of Contractors and Consultants.	Permanent
i.	Routine official correspondence with Contractors, Consultants and other Govt. agencies.	Permanent
j.	Briefing, Presentation given to Ministers, Governors an other VVIP's.	Permanent
k.	Record of Maintenance Contractors i.e. RM, PM and EM Contracts.	Permanent

5. Inspection Permanent