



## ONGC MANGALORE PETROCHEMICALS LIMITED

Mangalore Special Economic Zone, Permude, MANGALURU - 574509

**CIN No: U40107KA2006PLC041258**

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### CORPORATE POLICY ON PRESERVATION OF DOCUMENTS AND THEIR ARCHIVING

#### 1.0 Preamble

In terms of Regulation 9 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 it is provided as under:

#### ***Preservation of documents***

*9. The listed entity shall have a policy for preservation of documents, approved by its board of directors, classifying them in at least two categories as follows-*

*(a) documents whose preservation shall be permanent in nature;*

*(b) documents with preservation period of not less than eight years after completion of the relevant transactions:*

*Provided that the listed entity may keep documents specified in clauses (a) and (b) in electronic mode.*

**Accordingly, to comply with the aforesaid Listing Regulations, this policy has been framed.**

**1.1 This Policy shall be known as Corporate Policy on Preservation of Documents and their Archiving.**

**1.2** This Policy is effective from the approval of the Board of Directors of the Company on July 21, 2017.

**2.0 APPLICABILITY:** This policy shall be applicable to all documents of ONGC Mangalore Petrochemicals Limited (OMPL) maintained at the Registered Office and the various other Offices, if any.

**3.0** The word **document** shall mean and include books, paper, registers, vouchers, books of accounts etc. It shall also include "book and paper" as per section 2(12) and "books of accounts" as per section 2(13) of the Companies Act, 2013.

**4.0** The Preservation of the Documents shall be as follows:

Sl. No.	Name/ Description of the documents	Period of preservation	Remarks
<b>Company Secretariat</b>			
1	Agenda Items which have been put up before every meeting of the Board of Directors alongwith the approval of the Competent Authority	Permanent	
2.	Minutes of every Meeting of the Board of Directors after their approval and signature by the Chairman	Permanent	
3	Agenda Items which have been put up before every meeting of the Board level Committee alongwith the approval of the Competent Authority	Permanent	
4.	Minutes of the meetings of all Board Level Committees after their approval and signature by the Chairman	Permanent	
5	Attendance Sheet/Register of Directors attending the meetings of Board/Board Level Committee.	8 years	
6.	All files of the past and present Directors of the Company containing their appointment letters and other material and important correspondences.	Permanent	
7.	All original Agreements, MOUs, Contracts, Guarantees, Share / Security Certificates / documents given for custody to Company Secretariat.	Permanent	
8.	Annual Reports of the Company from inception.	Permanent	
9.	Statutory Registers as per Companies Act, 2013	Permanent	
10	Files of Legal cases of Shareholder/ Investor Complaints	8 years	However, it is required to keep the file till disposal of the case.
11.	All other documents and correspondences pertaining to Company Secretariat.	8 years	

**Finance & Accounts**

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**(A) Financial Statements /Books of Accounts**

All Books of Accounts at Corporate Accounts/Assets/ Basins/ Units/ Institutes/ Centres/ Offices etc including those relating to Cost Accounts. These will include Financial Statements, vouchers, entries, supporting documents etc.

**(B) Pre audit****Payment through LC**

- Commercial Invoice
- Bill of lading (shipping document)
- Packing list
- Certificate of Test and Inspection from manufacturer/ third party agency (TPI)
- Certificate of origin from economic chamber of commerce of exporting country
- Certificates of warranty to quality from manufacturer
- Correspondence with vendors
- Copy of Purchases order /LOI

**Payment through LSC**

- Complete set of Invoice i.e. commercial invoice and tax invoice
- Lorry receipt/ Good transport receipt as a proof of dispatch
- Packing list
- Certificate of warranty to quality
- Inspection cover note in the name of OMPL
- Correspondence with vendors.
- Copy of Purchase Order/ LOI

**Payment against GRV**

- Complete set of Invoice i.e. commercial invoice and tax invoice
- Certificate of warranty
- Inspection certificate
- Copy of Purchase Order/ LOI

**Works/ Service Contracts**

- Letter of Intent/ contract
- Invoice (Vendor Invoice as well as third party invoice)
- Inspection report/ Third party inspection certificate
- Insurance document
- Guarantee and warranty certificate
- Installation & Commissioning certificate/

8 years from the end of the relevant Financial Year

However, where the Tax assessment of the same has not been completed, the same to be kept till assessment is over and the concerned department has certified that there is no further need for the same to be stored.

	<ul style="list-style-type: none"> <li>Completion certificate</li> <li>Site acceptance test reports</li> <li>Correspondence with vendors</li> </ul> <p><b>Employees' payments</b></p> <ul style="list-style-type: none"> <li>Bill having approval of competent authority</li> <li>Relevant original invoice</li> </ul> <p><b>(B) Cash and Bank</b></p> <ul style="list-style-type: none"> <li>Original Payment Vouchers with supporting documents</li> <li>Bank Guarantees</li> <li>Challans of tax payments etc.</li> </ul> <p><b>(C) Other Sections</b></p> <ul style="list-style-type: none"> <li>Instructions, Decisions and Circulars from management</li> <li>Instructions, Decisions, Circulars and assessment orders from statutory Authorities and Ministry</li> <li>Important correspondence files with vendors/ outside agencies, certified financial statements/ audit reports etc.</li> </ul>		
13	Records where legal disputes are ongoing should be separately categorized and maintained.	8 years or till closure of all legal issues, whichever is later.	
14	Records relating to direct and indirect taxation to be maintained.	8 years or till completion of final assessments, whichever is later.	
15	Records relating to on-going vigilance cases may be kept.	8 years or conclusion of the cases whichever is later.	
<b>PLANT</b>			
16	Inbuilt engineering drawings, manuals, standards, SOPs w.r.t process units, power plant , utilities and waste treatment unit etc	Permanent	Digitised form.
<b>PLANT</b>			
17	Inbuilt engineering drawings, manuals, standards, SOPs well data, etc of process units, power plant , utilities and waste treatment unit etc	Permanent	Digitised form.
	Equipment manual	Life of equipment	Manual
	Equipment maintenance history	Permanent	Digitised form
	Piping Isometric drawing	Permanent	Manual

	Shift engineer/incharge log book, Operators log book & Log sheet, Lab result, Monthly operational report may be fixed as four years ( In consultation with Operations section), period for Maintenance records like preventive & predictive maint reports, calibration record and other records maintained by Maint sections may be fixed with their consultation.	5 Years	Manual
	Project FR, FDP, Land Records, Asset Annual Report PEL/ ML, EC/FC	Permanent	Digital
18	DPR, Frequency Authorisation Licences to operate Radio Equipment. SACFA Clearances, EC/ Board Agenda, Policy documents-ISMS & Access Control, Audit Related  Departmental approvals, communication with external agencies by department  Various project reports ( As bar charts, monthly reports, approvals given to contractors, communication with contractors) , Project Closure Reports  Technical Services & Inspection Engineering 1. Engineering drawings 2. Vendor final documents 3. Standards / specifications 4. Procedure / manuals	Permanent  4 Years  4 Years  Permanent	
19	Financial systems Logs such as SAP, Procurement case documents, Payment details etc., Financial, Legal & OEC proceedings, ISO Standard Certification documents, Projects and Tenders, Tender processing file & Contract documents	Not less than eight years after completion of the relevant transaction.	SAP Data will be LIVE till we are using the SAP system
20	Bank Guarantee, Contract Copies, IT Systems Logs ( e-mails, Servers, Network, Security, Applications etc.), Correspondence, Fax Messages, Audit Observation, Management Information Reports, General, Administrative, HRD Related, Work Planning, Technical Administrative approval case files and other miscellaneous documents.	Not less than eight years after completion of the relevant transaction.	Preservation of e-mails / Correspondence, Fax Messages depend on user wisdom
<b>Fire Department</b>			
21	Third party permission like license issued for cylinders import  RTO papers for vehicles	Permanent  Permanent	
<b>Marketing</b>			
22	Agreements with the customers  Approvals for sale of products, procurement of feedstock etc.,	Permanent  8 Years	

<b>HR &amp; ALLIED DEPT. - RECORD RETENTION SCHEDULE</b>
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**A. EMPLOYEES RELATION**

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	<b>Corporate Policy</b>	<b>General:</b>	
		Government Directives/Guidelines	Permanent
		Deputation	Permanent
		<b>Manpower Maintenance:</b>	
		Service Rules	Permanent
		Pay Fixation Rules	Permanent
		Wage/Pay Negotiation	Permanent
		Wage/Pay Revision	Permanent
		Pay Scales	Permanent
		Pay Anomaly/Revision	Permanent
		Increment	Permanent
		Welfare Based Allowances	Permanent
		Statutory Allowances	Permanent
		Traveling Allowances	Permanent
		<b>Benefits:</b>	
		Statutory	Permanent
		<b>Separation:</b>	
		Gratuity Rules	Permanent
		Separation & Terminal Benefits	Permanent
		<b>Performance Linked Benefits</b>	
		Annual Incentives	Permanent
		Performance Incentives	Permanent
		<b>Medical</b>	
Regular Employee	Permanent		
2.	<b>Establishment and Personal Claims/ Loan &amp; Advances</b>	Personal Files/Service Records of Regular employees	Permeant
		In case of death, resignation & retirement	10yrs
		Property Return	Separation +3

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Leave Records-Casual	Online. All data are available in SAP.
		Leave Records-Others	-do-
		Grievance/Representation	Settlement +2 yrs
		Disciplinary Matters	Separation +3 yrs
		Any manual claims like OPA/OTA claims/Leave request/ attendance regularisation / tour request/medical certificate against commuted leave	2
		Monthly attendance report, Late IN/Out deduction report, Single punch report / reverse report/OTA/OPA report/Shift Allowance report / SCDO report	3
		PF loan related papers / Passport NOC of employees	5
		VIP Reference	2 Years
		Budget Provision	3 years
3.	<b>Administration (Services)</b>	Job Contracts & Agreements	Closure +2 years All contract files to be scanned for backup-
		Billing & Payment	Settlement +2 years
		Budget Provisions	3 years
		Approvals	Permanent
		Purchases	Settlement +2
		Sports & Recreation	3
		Audit Para & Reply	Settlement +3
		Component Plan/ Social obligation	3
		Employees welfare	3
		Hospitality (Records)	3
		Hospitality (Bills & Payments)	Settlement +3
		Railway/Air booking & Reservation (Records)	3
		Railway/Air booking (Bills & Payment)	Settlement +3
		Hiring of properties on lease	3 (after lease period)

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Event Management	3 years
		Dispatch (Record)	3/10 years
		Dispatch (Postage Stamps Record)	3 years
4.	<b>Industrial Relation</b>	Grievance Policy	Permanent
		Standing orders	Permanent
		Legal Compliance and Court Matters	Permanent
		Periodical Negotiation	10
		Correspondence with Unions/Associations	5
		Accident Compensation/Financial Assistance	Settlement +3/10 yrs
5.	<b>Miscellaneous</b>	Correspondence with Government	5
		External Correspondence	5
		Internal Correspondence	3
		VIP references	2
		Budget Provision	3
		Audit Paras	Settlement +3

#### B. HUMAN RESOURCE DEVELOPMENT

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	<b>Manpower Acquisition</b>	Recruitment and Promotion Regulations	Permanent
		Creation & Sanction of Posts	Permanent
		Continuance/abolition/revival of posts.	Revision +5
		Up gradation/ Re-designation of Posts	10
2.	<b>Recruitment</b>	Recruitment Plan & Approvals	10
		Recruitment Procedure including hiring of Agencies	10
		Recruitment Proceeding & Approvals	5
		Empanelment	2
		Reservation implementation	5
		Statutory Compliance	5
		Selection Committee Reports	5



Sl.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Appointment Formalities & Correspondence with candidates	2
		Retention of Applications	1
		Medical Examination Rules	Permanent
		Medical Examination (Findings)	1
		Proposals for campus recruitment- approval for Institutes/Universities and qualifications	4
		Recruitments file containing- Sanction orders of posts, Roster points, notification- Advertisement requisition to employment exchange	5
		Online registration and application data, written test results, CV of the candidates, approvals for selections Committee, all type of payments, public grievances ,OMR answer sheets, Question Book let and answer key	3
3.	<b>Placement</b>	Discipline wise Postings(Transfer proposals)	2
		Job Rotation and Transfer Policy	Permanent
		Deputation out cases	Till repatriation+1 year
		Special Studies	3Years
4.	<b>Performance Appraisal</b>	Performance Appraisal Rules	Permanent
		Recording of PARs	Separation +3
		Communication of Ratings	3
		Representations	Settlement +2
		PAR Appeal & review representations	Settlement +3
		PAR Appeal & review decisions and communications	Till separation
5.	<b>Seniority</b>	Relevant Rules	Permanent
		Fixation of seniority in individuals cases	5
		Seniority Lists Discipline wise	5

Sl.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Representations	5
6.	Promotion	Promotion Policies	Permanent
		Promotion Plans & Approvals	Permanent
		Departmental Promotion Committee: Constitution & Proceedings	5
		Representations	3
7.	Service Matters	Extension of Service	Settlement +1
		Deputation	Tenure +2
8.	Hiring of Contractual Manpower Services	Proceeding & Approvals	5
		Placement	2
9.	Training & Development	Training Calendar	2
		Training Schedule	2
		Training Records, Approvals etc.	5
		Annual Training Records	5
		Training Feedback Forms	2
		Correspondence Internal	5
		Correspondence External	5
		Retention of Training Bond	Bond period +2
		Attendance Sheet	2
		Training Feedback analysis records	5
10.	HR initiatives- ADC/Mentoring/Business Games/Fun team game etc.	Proceedings & Approvals	10 years
		Short listing of candidates, office orders, representations, Correspondence with participants, feed backs	5
		Correspondence with Government	5
		External correspondence	5
		Internal correspondence	3
		VIP references	2
		Budget provisions	3

Sl.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		RTI applications	Settlement + 1
		Audit paras	settlement +3
		Parliamentary Questions	3 yrs
		Parliamentary Committee Information	5 yrs
		Court Cases	Settlement +2
11	Summer/winter training for students	Training approval, certificates, records etc.	2years

### C. MEDICAL

Sl.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	OPD Records	Registration Record	3
		OPD treatment	3
		OPD Attendance	3
		Investigation record (Lab/X-ray etc)	3
		Medical certificates	3
2.	Indoor Records	Indoor treatment records	10
		Investigation record (Lab/X-ray etc)	10
3.	Medico legal records	Indoor treatment and investigations (Lab/X-ray etc.)	30
		Medico legal Exam records	30
4.	Immunization records	Vaccination details	10
5.	Stores	Requisition- Stores	2
		Approvals	2
		Medicine issue voucher	2
		Inventory Book	2
		Medicine record	2
		Capital items record	Permanent
6.	Administrative	Composite Hygiene Score	1
		Medical Expenses- Employees	2
		Medical Facilitators report	1

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Birth/Death Record	Permanent
		Referrals	2
		Service Contracts	Closure +2
		Attendance Register	1
		Absentee Statements	1
		Staff Roasters	1

### C. CORPORATE COMMUNICATION

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	Advertising	Tender related	2
		Recruitment related	2
		Courtesy/Casual	2
		Corporate Campaign	2
		Event	2
		Artworks etc.	2
		Agency Profiles	5
2.	Sponsorships	Approvals	2
		Annual Reports	3
		Profile	2
		Files	3
4.	Others	Photography	Permanent
		Films/CDs	Permanent
		Invoices	2
		Exhibitions	1
		Budget Provisions	3
		Correspondence- Internal	3
		Correspondence- External	3
		Miscellaneous	1

#### D. LEGAL SERVICES

Sl. No.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1	Legal Documents	Contracts, Agreement & Deeds	The terms of Agreement/ Contracts & 5 years
		Agreement with foreign Govt. or international organization	Permanent.
		Indemnity Bonds executed in favour of Govt.	Permanent.
		Property documents	Permanent.
		Arbitration	Settlement + 2 yrs.
		Court Cases	Settlement + 2 yrs.
2	Legal Matters	Arbitration & Litigation	Settlement + 3 yrs.  Subject to the files not being closed until the award/ judgment become final in all respect by limitation or final decision in appeal/revision.
		Cases involving important issues or containing material of a high precedent/reference value.	Permanent.
		Notices under Section 80 of Civil Procedure Code, (If such a notice is followed up by a civil court, it would become arbitration/ litigation cases	3 years.

#### E. SECURITY

Sl. No.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	Security	Gate Passes	3
		Audit	3
		Purchase of Security items	3
		Incident Report	5
		Contracts with Security Agencies	Closure +2
		Correspondence with Security Agencies	2
		Correspondence with State/Local Security Authorities	3
		Bills and Payments	Settlement+2
		Court Cases	Final disposal+6
		C&A Verification reports of contractors workmen	3

SI. No.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
		Visitor passes	3
		Occurrence Report	3
		Data sheet for Foreigners Visit	3
		No Objection Certificate	3
		Material In Slip	3
		Pass request for Foreigners.	3
		Requisition for issue/renewal of passes	3

#### F. OFFICIAL LANGUAGE

SI.	MAIN HEAD	SUB HEAD	RETENTION PERIOD (YEARS)
1.	<b>Progressive Use of Official Language</b>	Govt. Rules and Regulations	Permanent
		Periodical Reports regarding use of Official Language	3
		Constitution of Official Language Committees	5
		Meeting and Follow-up action of Official Language Committee	3
2.	<b>Training (Official Language)</b>	Incentive scheme/General orders	Permanent
		Training Programme	1
		Awards- Correspondence/Records	3
		Conduct of Official Language Competitions	5
3.	<b>Translation</b>	Books, reports, periodical etc.	3

- 5.0 The documents shall be kept in physical/electronic mode as per the practice being followed by the concerned Department.
- 6.0 The Protected Document Format (PDF) of Annual Reports shall be uploaded on the website of the Company for the past 8 Financial Years. Thereafter, they shall be kept in the archives.
- 7.0 The electronic back up/PDF/scanned version etc. of all other documents shall be kept according to the needs of the relevant department.
- 8.0 **Amendment** – The policy may be amended with the approval of the Board of Directors.

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