

No.GAD/O&M/Circular/ 1
Maharashtra State Elect.Board,
Mercantile Bank Building,
M.G.Road, Fort,
Bombay-400023.

Date :

26 AUG 1974

CIRCULAR 22

Subject : Filing System.

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At present there is no uniform system of filing introduced in Head Office and in the field Offices. Each Office is following a different system suitable to them. In the circumstances, it goes very difficult to trace old record and also to dispose off the Old unwanted record.

In order to review the entire position, and to bring uniformity, it is proposed to prescribed procedure, regarding filing of the papers, numbering of files, indicating the method of filing etc.

A copy of the proposed Circular regarding filing system is enclosed herewith, for information and remarks if any, before implementation of the same.

The information and or remarks should reach to this Office on or before 10th September, 1974.

Encl : 1 copy.

Copy to:

Mantab
ESTABLISHMENT OFFICER (G).
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- 1) C.E. (II) Nagpur/Addl.C.E, Nasik.
- 2) All Dv. Chief Engineers in the field
- 3) All Superintending Engineers/Sr.Power Station Supdts./ Power Station Supdts.
- 4) All Dv. Establishment Officer in Head Office.
- 5) All Administrative Officers in the field.

RRL/-18-7-74.

CIRCULAR

Sub : Revised filing procedure.

With a view to facilitate quick location of papers, reference and files and for proper maintenance of record, a systematised uniform filing procedure based on alpha-numerical system is prescribed, for the GAD with due approval of the Chairman as detailed below :

1) Opening of files.

(a) A separate file should be opened for each distinct subject or even for an individual case depending on the noting and correspondence expected on the subject. The authority competent to decide whether a separate file should be opened for a particular subject, sub-subject or a individual case will be the Sectional Head in Head Office/Officer in charge of the Unit.

(b) If, however, the correspondence expected on a particular subject is not estimated to exceed a few pages and is also not considered to be important, two or more allied subjects may be grouped together under a general heading or the papers may be filed in a miscellaneous file; this should, however, not be normally resorted to save in exceptional cases because classifying different subjects under one general head would tend to make the file unwieldy and also delay disposal of other pending letters for obvious reasons. In fact, as far as possible, separate files should be opened for each subject.

(c) To begin with, each Section/Group should list out the subjects and sub-subjects thereunder, if any, required to be dealt with by them. This list should be got duly approved by the Sectional Head/Officer in charge of the Unit concerned. The list of main subjects (known as "Standard Heads") should bear consecutive serial numbers. This list should be scrutinised and brought up-to-date at the beginning of every calendar year. As far as possible, Standard Heads should be allotted the same numbers year after year. If found necessary, a new head may be added to the list, during the course of the year, with the approval of the Sectional Head/Officer in charge of the Unit. The Sub-heads, if any, to each of the Standard Head should also be incorporated in the list and separately numbered. For instance, 'Grant of Advances' is a subject by itself and it is, therefore, a Standard Head. Under this, there can be several sub-heads viz. House Building Advance, Motor Car Advance, Bicycle Advance, Pav Advance, Festival Advance etc. If, however, a substantial and intermittent correspondence and or noting is anticipated on any of the aforesaid sub-heads, that sub-head should be treated as a subject by itself and the individual cases thereunder should be treated as sub-subjects for the purpose of numbering and opening of files. The same principle should similarly apply to other subjects and sub-subjects. /_Sub-

(d) The receipts on which no action is required should be got filed straight away. The receipts which require action should...

be brought on to a current file if a file already exists on the subject; if not, a new file should be opened for initiating action on the receipt. It would be necessary to open a new file as and when new subjects or extension of the subject arise. The Asstt. should first determine the 'Standard Head' under which the receipt (or issue) should fall in. He should then prepare a suitable title and allot it a serial number under the 'Standard Head', after consulting the File Register & with due approval of the Sectional Head. To ensure that this is done, the Head of the Section or the Supervisory staff may not entertain any paper or file, if it does not bear the file number.

2) Title:

Every file should carry a title on its cover to indicate the subject/Sub-subject matter; space for writing the subject/sub-subject and 'number' of the file should be provided on the front page of the file cover, so that pasting of paper slips containing these information is avoided.

3) Numbering of files:

The numbering of the files should be done on the lines of alpha-numerical system. Alphabetic codes should be used to denote the name of the Department and the Section while numerical codes should be used to denote the subject and sub-subject, if any. The alphabetic code should normally consist of the first letter with which the word to be denoted begins with e.g. capital letters 'GAD' would denote 'General Administration Department', while the capital letter will denote the 'Establishment Section' and so forth. The General Administration Department is now divided into 3 parts, which are under the control of Secy/Jt. Secy (G) and Jt. Secy. (Tech.). The Sections which are strictly under the control of Secy., i.e. Board Secretariat, Labour and Industrial Relations and Legal Department, bear a separate code letter, BS/LIR/L. With a view to facilitate whether the reference has originated from the Sections, which are under the control of Jt. Secy (Gen) or Jt. Secy. (Tech.) after the code letter 'GAD', letters 'ET' or 'EG' should be added. The letters, denoting the name of the Department and the Section should be separated from each other by a oblique in order to avoid mix up and consequential confusion. In case the letter used to denote the name of a Section is also the first letter of the name of another Section in the same Department, a combination of 2 or 3 letters should be used to denote the one or both the Sections to avoid any possible confusion in identifying the Section, e.g. Inspection and Insurance, both of which start with the letter 'I' could be denoted by letters 'IP' and 'Ins' resp., In case there are groups under a particular section, the same should be indicated by a Roman number. The subject matter should be indicated by a serial number; in order, however, not to mix up the 2 numbers, an oblique should separate the 2 numbers. Thus if the subject of advances is numbered as 25 and sub-subject 'Car-advance' as 20, the file dealing with the subject, should be numbered as GAD/E 47/25/20.

GAD/E 47/25/20

∟ and the sub-subject if any, should also be indicated by a serial number;

Note - 'GAD denotes the name of the Department.

viz. General Administration Department.

'ET/EG' denotes the name of the Section,

viz. Establishment Technical/Establishment General.

'I' denotes Group I in the Establishment Section,

which deals with the subject of 'advances'

'25' denotes the serial number allotted in the

list to the subject of 'advances'. 120' denotes the number in the list allotted to the sub-subject of car advances.

b) Based on the above principle, the alphabetic codes in respect of sections in the GAD, as existing at present are given below:

<u>Department</u>	<u>Section Name</u>	<u>Code Letter/s</u>
General Administration Department (Code letter - GAD)	1. Establishment (This Section is separated into 8 groups, each is denoted by I, II, III, IV, V, VI, VII & VIII resp.)	E
	2. General	G
	3. Board Secretariat	BS
	4. Labour & Industrial Relations.	LIR
	5. Legal	L
	6. Vigilance & Security	VS
	7. Publicity	P

c) For the purpose of indexing the personal files to be maintained by the Establishment Section, the following system should be adopted.

All employees of the Board are classified into 3 different classes for the purpose of seniority, State/Circle/Division. Personal files of employees in the State seniority are maintained in the H.O. as well as the resp. Circle/Division, in which the employee is working. The file maintained by the Field Officer, is transferred from one Circle to another Circle or Division, alongwith the service book, as and when the employee is transferred from one Office to another.

The position in respect of the Circle Office is almost similar. In the case of employees in the Circlewise seniority, a personal file of the employee is maintained at the Circle Office and also in the Division, in which he is working. All papers pertaining to the employee, irrespective of the nature of work, are filed in the personal file. Due to this, the files become bulky and there is un-necessary accumulation of record.

In order to avoid this, the following system is proposed. The personal file should be divided into 2 parts:

Part I/IA/II/IIA.

Part I - should contain only very imp.papers,pertaining to the employees. It should commence with application, initial appointment order, orders regarding representation and decision/office notes of importance, etc./transfers/promotions/demotions/pay fixation. These files should

be treated as a permanent record.

Part IA- should contain papers of minor importance, i.e. Earned leave application, joining report, relieving report, handing over charge, etc.

Part II- is the personal file of the same person maintained in field. It should be also of 2 parts, Part II and part IIA, similar to Part I / IA maintained in H.O. Part II should contain imp. papers, i.e. it is a file corresponding to Part I file, maintained in H.O. Part II-A file should contain other papers, i.e. Corresponding to Part IA file maintained in H.O.

The part I/IIA files should be preserved for one year, i.e. file for 1972 should be kept upto 1973 and destroyed afterwards. This will avoid accumulation of record. Papers to be filed in Part IA / II A should be destroyed after verifying that the necessary entries have been made in the service books.

/ part

When the employee is transferred from one Circle to another, only Part IA and latest II A should be sent alongwith the service book to Office, where the employee is transferred.

The position of the files to be maintained at the employees in the Circle-wise seniority, should be also similar to files to be maintained at Circle Office and 2 corresponding files to be maintained at Divisional Office. However, in the case of employees in the Division-wise seniority, there should be only 2 files, Part I / II of the personal files.

Numbering of files.

The Procedure of numbering of files should be as follows:-

The number of the personal files in the State-wise seniority should be controlled by H.O. of the Circle-wise seniority by the Circle office and the Division-wise seniority by the Division.

Numbering should be as follows:-

1. Personal file - PF
2. Initials of the employee.

Surname / his / her name / father's name (Husband's name).

Viz. Kulkarni Madhukar Gopal - KMG .

3. The seniority, i.e. State/Circle/ Division- S/C/D
4. The cadre to which he / she belongs may be indicated.

T - technical

A- account.

G- GAD

S- Stores.

5. In the case of Circle/Division, after T/A/G/S, the first letter of of the Circle or Division may be mentioned, viz.

- a) Amravati - C/Am
- b) Aurangabad - C/Au
- c) Poona Rural - C/PR
- d) Poona Urban - C/PU.

Names of all employees to be classified, as per surname and to be further classified, as his/her name.

The same number should be used by all Offices, H.O./Circle/Division, whenever making any reference, pertaining to the same employee.

In the case of employees in the state-wise seniority, there is no possibility of change in the number for ever. In the case of employees in the Circle-wise seniority, the file number will change only once. When he comes from Circle-seniority to State seniority by promotion, whereas it will change in the case of employees in Division seniority, when he comes to Circle seniority.

The same number should be allotted to the C.Rs. files and also the service book.

This will facilitate proper maintenance of record and also tracing the record, pertaining to any individual.

4) Filing.

a) The noting and correspondence portions of the file should be maintained separately, as per the instructions contained in Chapter IV of the Manual of office procedure.

b) After disposal of a case all flags, slips and pins should be removed from the file.

c) If any papers are torn or have come out of the file, they should be pasted properly and filed.

d) Blank papers should be removed.

e) The receipts and issues should be filed chronologically, i.e. according to the date in which they are received and issued. If papers are required to be filed in a General or a Miscellaneous file, it may be more advantageous to file them case-wise, in a chronological order; each case arranged separately. It may not be possible to maintain noting and correspondence portions separately. The main advantage in filing papers case-wise in a Miscellaneous or General file would be the facility of reference and the ease with which the relevant bunch of papers could be transferred to a separate file at a later date/the quantum of correspondence warrants opening of a new file.

5) page numbering.

(a) The pages should be numbered serially on both sides of the page even if the back side is a blank one. The pages of the notings and correspondence portions should be numbered separately, e.g. Noting section 1/N, 2/N, 3/N and so on and the Correspondence section 1/C, 2/C and so on.

(b) The present practice of keeping old case papers separately in bunches without filing, should be discontinued. The numbering of pages of a file at the end of the year or when the file is closed does not serve any useful purpose. The numbering of pages and writing cross references should be done while action is taken on the receipt issue.

(c) When the file becomes bulky, say 200-250 sheets, it should be closed, bound and marked 'Volume 1'. Further action on the subject should be continued on a new volume of the same file. The pages on the new volume should be numbered in a separate series.

6) Proper maintenance of records and custody of files

(a) The Noting Assistants should be responsible for the proper maintenance of files including upto-date and correct filing of papers, page numbering, marking of cross references, keeping the files in a neat and tidy manner.

(b) The physical custody of the files, when not in use, shall, however, be entrusted to the Clerk-in-charge File Register or the Daftary excepting confidential, secret and very important files, custody of which must remain with the Sectional Head or the Group Head concerned, as may be decided by the Sectional Head.

(c) The Clerk or the Daftary sanctioned, inter-alia, for filing work shall assist the Noting Assistant in the actual filing of papers and proper maintenance of files.

7) Location of files.

The files of a Section or Group should be kept at one place neatly and systematically arranged in a filing cabinet, cupboard or rack according to the order of Standard Heads and serial number of the sub-heads.

8) File Index

The contents of each file should be duly indexed on a separate sheet of paper to be filed at the beginning of the correspondence and noting sections of the file. The Index should indicate very briefly the contents page number-wise.

In order to ensure that the contents of the File Index are kept to the minimum, the correspondence portion should indicate Sr.No., the letter No. and date, name of the addressor or addressee and page number(s). The index of the correspondence portion should similarly indicate the Sr.No., the letter No. and date to which the noting pertains and page numbers. Both the indexes should be kept upto-date by the Noting Assistant.

9) File List.

The file list should not be confused with the File Index. The purpose of the file list is to indicate the files opened under each Standard Head in a Section or Group. This list should indicate Standard Head, its code number and files opened thereunder with their full code number and subject matter (arranged chronologically as far as feasible) in the following form.

File Index

Standard Head --- --- ---
Code Number --- --- ---

Sr.No. : File No. : Volume No. if any : Subject

Copies of the file list should be furnished to each Noting Assistant in the Section/Group to enable him to requisition the required file from the filing clerk by denoting the file number only. This file list would have to be supplemented from time to time depending on the new files opened.

10) File Register

A record of files opened under each Standard Head should be kept in a File Register, specimen form of which is given below:

Standard Head No:

Standard heading:

File No.	Subject	Date of opening	Classification (and year of destruction)	Date of transfer to Reco- rd room.	Date of actual destructi- on
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This Register should also record particulars such as date of opening the file, closing of the file, the date on which it is destroyed or stored etc. As soon as a new file is opened, the Noting Assistant should inform the Clerk maintaining the Register the number and subject allotted to the file. The Clerk should then enter the details in the File Register. The File Register should thus be kept upto-date by entering the details of each new file as and when opened and the File List should also be brought upto-date and circulated all concerned to facilitate quick reference.

11) File Issue Register

All issue of files should be entered by the Clerk in charge of the custody of files, in a File Issue Register, specimen form of which is indicated below:

Sr. No.	File No.	Date of issue	Receiver's signature	Date of return	File Clerk's signature	Remarks
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Note: Receiver's signature may not be necessary if the system of requisitioning file through a file requisition slip is in vogue.

While issuing a file, the Sr.No. of the entry in the Issue Register should be recorded in pencil on the left hand bottom corner of the front file cover to facilitate its link up with the entry in the Register on its return. This pencil entry should be erased on receiving the file back.

12) Change over

If due to any practical difficulty the implementation of the above system with immediate effect is not possible, the same may be implemented in a phased manner extending over a period not exceeding three months in any case.

13) Old Records

The instructions issued in Chapter X of the Manual of Office Procedure regarding classification, weeding and destruction of records, if properly implemented, will obviously help to reduce the total number of files and records required to be looked after in each section and thus facilitate their proper maintenance.