No.GAD/O&M/
Maharashtra State Electricity
Board, Mercantile Bank Bldg.,
Fort, Bombay-400 023.
Dtd. 15-3-1975.

CIRCULAR 92

Sub:- Filing System.
...

The proposed system of filing to be introduced
in the Head Office and in the Field Offices was
circulated amongst all officers of the rank of
Superintending Engineers and Senior Power Station
Superintendents in charge of Circles and Power
Stations, under this office Circular No.22 dated
26-8-1974, with a view to obtain their views in
the matter, before actual implementation of the
system.

It has now been decided to introduce the said
filing system in the G.A.D. of Head Office and in
all Field Offices, as per the details given in the
annexure to this Circular.

Sd/-
(N.S. Merchant)
Secretary

Encl: Annexure.

To
All officers of the rank of Executive
Engineers, Asstt.Power Stn.Superintendent,
Asstt.Controller of Stores in-charge of
Divisions, Circles, Power Stations and
Major Stores and above.

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-nugerical 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 parti-cular 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 scruti-nised and brought upto 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 incharge 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, Pay 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-heads 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.

(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 initia-
ting 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 and 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 fornt 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 alphanumercial system. Alphabetic codes should
be used to denote the name of the Department and the Section
while numercial 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
orginated from the Sections, which are under the control of
Jt.Secy.(Gen.) Or Jt.Secy.(Tech.)after the code letter 'GAD'
letters 'ET' of 'EG' should be added. The letters, denoting
the name of the Department and the Section should be separated
from each other by oblique in order to avoid mix up and conse-
quential 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 Dapartment, a combination of 2 or
3 letters should be used to denote the one or both the Sec-
tions to avoid any possible confusion in identifying the
Section, i.g. Inspection and Insurance, both of which start
with the letter 'I' could be denoted by letters 'IP' and
'Ins' respectively. In case there are groups under a parti-
cular Section, the same should be indicated by a Roman
number. The subject matter should be indicated by a
serial number; and the sub-subject if any, should also be
indicated by a serial number; in order, however, not to
mix up the 2 numbers on 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.

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 in
respect 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 ~~advances.~~ below :-

Department	Section Name	Code Letter/s
General Administration Department (Code letter - GAD)	1. Establishment(This is separated into 8 groups, each is denoted by I,II, III, IV, V, VI,VII, & VIII respectively-	E (ET/EG)
	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. Per-
sonal files of employees in the State seniority are maintained in
the H.O. as well as the respectively 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 tranferred 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, irxxxxi irrespective of the nature of work, are filed in the personal file. Due to this, the files become bulky and there is unnecessary 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 II and IIA, similar to part I/IA maintained in H.O. part II should contained important papers, i.e. it is a file corresponding to part I file, maintained in H.O. part IIA file should contain other papers i.e. corresponding to part IA file maintained in H.O.

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

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

The position of the files to be maintained at the employee in the Circlewise 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 Divisionwise 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. 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

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

A- Accounts.
G- GAD.
S- Stores.

5.   In the case of Circle/Division, after T/A/G/S, the first letter 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.

6.   The file number will come afterwards.
   The number should be given as follows, based on his/her surname and his or her name, i.e........

   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 not 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)   **Filling**

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 separa- tely. The main advantage in filing papers case-wise in a Miscella- neous or General file would be the facility of reference and the case with which the relevant bunch of papers could be transferred to a separate file at a later date when 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 I/N, 2/N, 3/N and so on and the Correspondence Section I/C, 2/C and so on.

(b) 8 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 reference 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, interalia, 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.