WELCOME
TO THE SESSION
ON
FILE MANAGEMENT

The participants will be able to:

- Define the term 'file'

- Describe the parts of a file

- Explain the file numbering system

- Explain the importance of file register

- List the stages of a file

- List the custodians of the file

- Explain the procedure for recording the files

What is a file ?

- Systematic arrangement of papers
- On a specific subject
- In a Folder
- In a Chronological order
- With an identifying number

Filing System is necessary for

- Identification
- Sorting
- Storage
- Retrieval

Types of Filing Systems

There are two types of Filing Systems :-

- Conventional Filing system
- Functional Filing System

A File must have

- A subject which is-

  Imaginative

  Comprehensive

  Anticipatory

- A number
- A problem

General Principles of File Management

- Open file only when future correspondence is expected

- Deal other papers with diary no.

- Try to reply on original receipts

- File/docket/reference correctly

- Be brief in reply

- Use Standard process Sheets

When File need not be opened

- Routine Cases

- Reply on source Receipt itself

- Receipts unlikely to generate future correspondence

Title of a File

- Should be as brief as possible
- Should give indication of contents
- Should be broken up into components
- Wider aspects precede narrower aspects
- Each component to begin with capital letter followed by a bold dash
- Should not be couched in general terms

Filing of papers in a File

- Punch the paper in top left corner
- In a file cover - note on left side

  - corr on right side

- Docketing & referencing to be done
- Put routine notes & reminders in separate folders
- If number of pages (corr+note) exceed 150 mark it vol I, stitch and open vol II ….

Continue……..

- Page no in vol II to be in continuation of vol I
- Open part files separately
- Merge PC file with main file at the earliest

Docketing / Referencing

- Each item on corr. side (receipt/issue) to be assigned a Sl. No.

- Sl.No. in red ink on top centre on Ist page

- Sl.No. to be entered in notes portion (docketing) for identification

- Every part of file to be numbered in separate series in pencil

- Blank pages not to be numbered

- Only two flags on current file, PUC & FR
- If more than one FR, flag as FR I, FR II
- Quote page no of FR/PUC in margin
- Flag linked recorded files alphabetically viz. A,B and quote page no in margin
- If more than one flag in such files flag as A/21, A/28
- No of the file referred will be quoted in the body of note

Continue……..

- No and date of orders, notification, resolution to be quoted in note

- If reference books/files not put up with note indicate in margin

- Pin reference slips (flags) on inside of paper

- Spread flags over entire width of file

Movement of files

- To be entered in File Movement Register
- Movement of linked files also to be entered in the register
- Movement of files from section on requisition & noting in movement register
- File Movement Register-Appx 23

- Files marked by U. S. to other officers section/ deptt to be routed through section

- Personal staff of D.S. and above to maintain details of movement of papers and files received by the officer

Reconstruction of files

- File reconstructed if misplaced
- File no. and subject File Register
- Copies of corr from corresponding deptt
- Arranged chronologically in the file
- A self contained note to be prepared and placed on notes portion of the file

When action is over-Record the file-How ?

- Complete references
- Remove routine papers
- Place copies and imp orders, decisions in Guard File / Precedent book
- Revise file title if required
- Change file cover if required
- Record under proper category (A,B or C)
- Do indexing & get it stitched

Categorisation for recording

- Some files are to be permanently kept
- Some files kept for specified period not exceeding 10 years-category 'C' files
- Files permanently kept are categorised as 'A' and 'B'
- 'A' category files are microfilmed
- 'B' category files are not microfilmed

Custody of Files

- Current Files – With case processor or decision maker

- Semi Current– With section/unit/desk for one year after being recorded

- Non-current – Departmental Record Room till the time of review or 25 years

- Archaic/Historical – NAI permanent files more than 25 years old

File Register –Appx 22

Standard Head No. …………………………………….

Standard Heading ……………………………………….

File No	Subject	Date of		Categorisation & Year of Review	Remarks
		Opening	Closing		
1	2	3	4	5	6
					Sent to DRR or NAI D.R.R. 6-1-06

File Movement Register

APPX-23   File No…………………

Subject …………………………….

To whom	Date	To whom	Date	To whom	Date	To whom	Date

Space for Recording movements of part files

AIDS TO PROCESSING

- ✓ Running Summary of Facts
- ✓ Standing Guard Files
- ✓ Standing Note
- ✓ Precedent Book
- ✓ Standard Process Sheets
- ✓ Reference Folders

Precedent Book-

- It is a Register in prescribed form
- Maintained at Section level
- Keeps record of important Rulings and Decisions having a precedent value -for ready reference
- Entries made at the earliest
- Helps in uniform & consistent decision making

Continue--------

HEADING---------

Decision or Ruling	File No.	Page No	Date

Continue--------

- **Standard Process Sheet** –Skeleton note developed for repetitive items of work, with predetermined points of check- - sanction of GPF advance etc.

- **Reference Folder** – It is a folder containing copies of relevant rules, orders, instructions etc. on a particular subject arranged chronologically

- **Running Summary of Facts** – in relation to a case it means a summary of facts of the case updated from time to time incorporating significant developments as and when they take place

THANKS

FOR

THE PARTICIPATION