



**WELCOME
TO
SESSION
ON**

**“FILE MANAGEMENT”
(18th March, 2019)**



File ?

- **DEFINITION OF A FILE:-**
 - **SYSTEMATIC ARRANGEMENT OF PAPERS**
 - **IN A CHRONOLOGICAL ORDER**
 - **ON A SPECIFIC SUBJECT**
 - **IN A FOLDER**
 - **WITH AN IDENTIFYING NUMBER**
- **PARTS OF A FILE**
- **SUBJECT OF A FILE**
- **VOLUMES OF A FILE**
- **PART CASE FILE**



A File must have

- **A subject which is-**
 - Comprehensive
 - Anticipatory
- **A number**
- **An issue**



Types of File Numbering Systems

There are two types of Filing Systems :-

- **Conventional Filing system**
- **Functional Filing System**



FILING SYSTEM

SYSTEM	CONVENTIONAL
List of Subject	Each section to maintain approved list of standard Heads and sub-Heads The approach is section oriented
File No.	8/3/2005 - Admin
Constituents	a) Standard Head Or Main Heading b) Serial No c) Year d) Section



FUNCTIONAL FILING SYSTEM

- **BASIC HEADS :-**

- A Establishment**
- B Welfare**
- C Vigilance**
- D Common Office Services**
- E Hindi**
- F Public Relations**
- G Finance, Budget**
- H Parliament**

FUNCTIONAL FILING SYSTEM

SYSTEM	FUNCTIONAL
List of Subject	Basic functions of a Department as a whole are identified and listed <ul style="list-style-type: none">■ Function■ Activities■ Aspects■ Factor The approach is towards Deptt as a whole
File No.	A-22015/(12)3/2005-Admin
Constituents	<ul style="list-style-type: none">a) Function / Basic Headb) Activity / Primary Headc) Aspect / Secondary Headd) Factor / Tertiary Head

A - ESTABLISHMENT

PRIMARY HEAD	SECONDARY HEAD
11. Creation and Classification of posts	11. Continuance / Abolition / Revival of posts 12. Conversion of temp. posts into permt. Posts 13. Creation of Posts 14. Revision of Scales of pay 15. Upgradation of Posts
12. Recruitment	11. Recruitment (Gen. aspects) including Constitutional Provisions 12. Apptt. of dependents of deceased employee 13. Appointment of ordinary workers 14. Appointment of non-indians 15. Estimates (Annual) of vacancies

TWO FILING SYSTEMS

SYSTEM	CONVENTIONAL	FUNCTIONAL
List of Subject	<p>Each section to maintain approved list of standard Heads and sub-Heads</p> <p>The approach is section oriented</p>	<p>Basic functions of a Deptt as a whole are identified and listed</p> <ul style="list-style-type: none"> ■ Function ■ Activities ■ Aspects ■ Factor <p>The approach is towards Deptt as a whole</p>
File No.	8/3/2005 Admin	A-22015/(12)3/2005-Admin
Constituents	<p>a) Standard Head Or Main Heading</p> <p>b) Sl. Number</p>	<p>a) Function / Basic Head</p> <p>b) Activity / Primary Head</p> <p>c) Aspect / Secondary Head</p> <p>d) Factor / Tertiary Head</p>

File Register –Appx 22

Standard Head No.

Standard Heading

File No	Subject	Date of		Categorization & Year of Review	Remarks
		Opening	Closing		
1	2	3	4	5	6
					Sent to DRR/ NAI <u>D.R.R.</u> 6-1-06



Principles of File Management

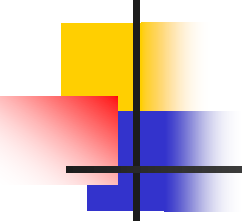
- **Open file only when future correspondence is expected**
- **Deal other papers with diary no.**
- **Try to reply on original receipts**
- **File/docket/reference correctly**
- **Be brief in reply**
- **Use Standard Process Sheets**

Continue.....



- **In a file cover** - **note on left side**
- **corr. on right side**
- **Docketing & Referencing to be done**
- **Put routine notes & reminders in separate folders**
- **Both 'Notes' and 'Corres' portion to be placed in a single cover**

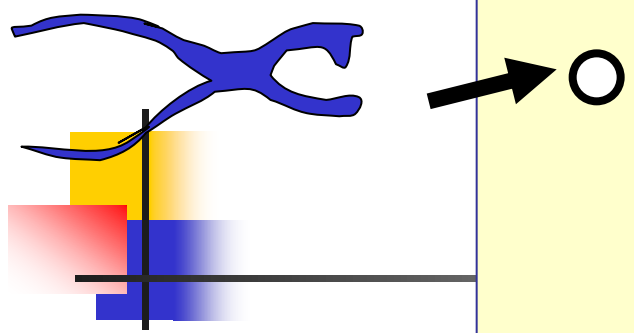
Continue.....

- 
-
- If number of pages (corr+note) **exceed 150** mark it vol I, stitch and open vol II
 - Page no in vol II to be in **continuation** of vol I
 - On top of **first page** of notes portion write File No, Min/Deptt and Branch/Section
 - If File Cover/File Board get torn **replace** immi.
 - Torn Note sheet and corres page **repaired** immi
 - **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 **pen & in pencil** in Part Case Files
- Blank pages **not** to be numbered




12 F.No.A.33083/ 1/...

S.No.17(R) Pg. No.22/C

“ Link-up the minutes of the previous meeting and consult DoPT”

Sd/-
(Satish Jain)
DS(A)
5.5.15

This relates to creation of a post of Scientific Officer, at CS Lab, Bangalore.

2. Minutes of the previous meeting are linked - up. 
A self contained I.D. Notc 15
put up for approval, please.

Pg 10
-12/C

 S.No.17(R) 22

No.F.42-34/2015-TKM
Govt. of India
Office of the PSA

Link-up the minutes of the Previous meeting Secretary
New Delhi
Dated -- -- --

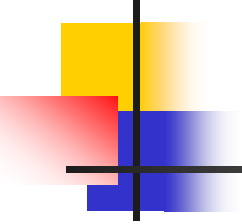
D/ Science & Technology

Subject :----

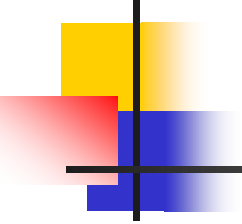
Sir,
This is to bring to your kind notice that
--.....etc. etc.

(Dr.M Anandan)
Scientific Advisor

Continue.....

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-
- Only two flags on current file, **PUC & FR**
 - If more than one FR, flag as **FR I, FR II**
 - In referring to FR or PUC **quote page no** in margin
 - Linked recorded files flagged 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.....

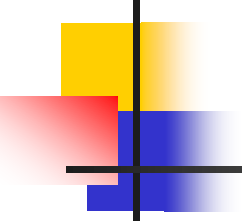
- 
-
- No. and date of orders, notification, resolution to be **quoted in note**
 - Pin reference slips (flags) on **inside** of paper
 - **Spread** flags over entire width of file
 - Drafts of letters having Policy, Finance and Vigilance implication and changed by Sr. Officers, to be kept.
 - If no change, it can be **shredded**



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**
- **May use the software 'FTS'**

Continue.....

- 
-
- **Files marked by U. S. to other officers section/deptt to be routed **through section****
 - **Personl staff of D.S. and above to maintain details of movement of papers and files received by the officer**

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

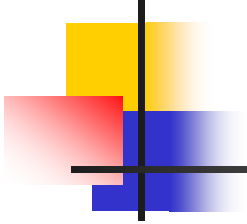


Reconstruction of files

- **File reconstructed if misplaced**
- **File no. and subject from 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**



ANY QUESTION ?



THANKS