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C I R C U L A R

Ref : Office Memorandum No.6/317/11-PER/2826 dated 08-01-2015

Sub : File Numbering System

It has been observed that many departments are not following the system of giving proper file numbering as provided for in the Manual of Office Procedure, resulting in unabated piling of such files. All Heads of Office are directed to ensure henceforth proper file numbering as per guidelines laid down in Manual of Office Procedure, as under :

2. File numbering system—A proper file numbering system is essential for easy identification, sorting, storage and retrieval of papers. The following two systems are now in use :

(A) Functional File Numbering System—

(i) In this system the range and dimensions of the subjects falling under the scope of business allocated to a office / department are analyzed in the following sequence:

- (a) main functions of the department;
- (b) activities in each of these functions;
- (c) aspects or operations involved in each of these activities; and
- (d) factors to be taken into consideration relating to each of these aspects or operations.

(ii) The scope of business of a department is thus analyzed under four hierarchical divisions, and accordingly the following four standard lists of headings are prepared:

- (a) **functional heads** which may be called **basic heads**;
- (b) **activity heads** which may be called '**primary heads**' as related to each functional head;
- (c) **aspect or operation heads** which may be called '**secondary heads**' as related to activity heads; and
- (d) **factor heads** which may be called '**tertiary heads**' as related to aspects or operation heads.



(iii) Based on the above lists of heads, a **functional file index** for various substantive subjects dealt with by a department together with an identifying file numbering system is then developed, which explains the essentials of such a system.

(iv) For opening files on subjects which are common to all Offices / Departments (e.g. matters relating to establishment, finance, budget and accounts, office supplies and services, and other house-keeping jobs, Hindi, Vigilance, Parliament Questions, etc.) the **common standardized functional file index / file-numbering system**, in respect of records common to all Offices / Departments will be followed.

(B) File Numbering System based on Subject Classification—

(i) Each section will maintain approved lists of:

- (a) **standard heads**, i.e. main subject headings concerning it; and
- (b) **standard sub-heads**, i.e. aspects of the main subject headings.

(ii) The standard heads will bear consecutive serial numbers. No such numbers, however, will be allotted to standard sub-heads.

(iii) The lists of standard heads and sub-heads will be reviewed at the beginning of each year and revised, if necessary, with the approval of the Head of Office concerned. The serial numbers once allotted to the standard heads should not ordinarily be changed.

(iv) Before opening a new file, the dealing hand will ascertain the standard head to which the paper under consideration relates. He will then propose a suitable title of the file for the approval of the section officer. The title will consist of :

- (a) standard head;
- (b) sub-head which will be more indicative of the precise subject than the 'head', (where it is necessary to have more than one sub-head in a title the general should usually precede the specific); and
- (c) a brief content indicating the question or issue under consideration in relation to the standard head and sub-head and where necessary, the specific institution, person, place or thing involved.

(v) The title should be as brief as possible. It should give at a glance sufficient indication of the contents of the file so as to serve as an aid to its identification and retrieval. It should be articulated, i.e. broken up into components, each consisting of the minimum possible substantive words and expressing an element in the subject matter. Each part will begin with a capital letter and will be separated from the preceding one by a bold dash.

(vi) As far as possible, there should be a separate file for each distinct aspect of the subject. The title of a file should not be couched in very general or wide terms which might attract large number of receipts on different aspects of the matter, thereby making the file unwieldy.

(vii) If the issue raised in a fresh receipt or in the note on a current file goes beyond the original scope, a new file may be opened to deal with it, after placing the relevant extracts or copies thereon.

(viii) Every file will be assigned a file number which will consist of :

- (a) the serial number allotted to the standard head;
- (b) the serial number of the file opened during the year under the standard head;
- (c) the year of opening the file (all four digits e.g. 2008, 2009 etc.); and
- (d) an abbreviated name/symbol identifying the section.

(ix) The first three elements in the file number will be separated from one another by a slant stroke and the last two by a dash. Thus, files opened in, say, Scientific Research Section during 2009 under the standard head bearing serial number '3', will be numbered consecutively as 3/17/2009-SR, 3/18/2009-SR, etc. and so on, where 'SR' represents the section.

3. Instances where files need not be opened—Normally, no new files will be opened for dealing with receipts of a purely routine nature (e.g. requests for supply of unclassified factual information, notices of holidays, miscellaneous circulars) which :

- (i) can be disposed of straightaway by recording the reply on the source receipts and returning them to the originators; or
- (ii) are unlikely to generate further correspondence and therefore can be placed in a miscellaneous file to be destroyed at the end of a calendar year, or placed in the folder of circulars, etc. on a given subject.

4. File register : A record of files opened during a calendar year will be kept in a file register to be maintained by the diarist. A list of approved standard heads along with the serial numbers identifying them should be pasted at the beginning of the register. The pages allotted to the standard heads in the registers should also be indicated against each. Electronic file register will also be prepared and maintained in the computerized environment.

5. Part file :

- (i) If the main file on a subject is not likely to be available for some time and it is necessary to process a fresh receipt or a note without waiting for its return, a part file may be opened to deal with it. This device may also be resorted to where it is desired to



consult simultaneously two or more sections or officers and it is necessary for each of them to see the receipt noted upon.

(ii) A part file will normally consist of :

(a) receipt or note dealt with; and (b) notes relating thereto.

(iii) Where two or more part files are opened, each will be identified by a distinct number, e.g., part file I, part file II and so on.

(iv) A part file will be merged with the main file as soon as possible, after removing duplicate papers, if any.

(v) Appropriate electronic entry for opening of part file will be made in a computerized environment, so that easy tracking is facilitated for the purpose of merging of the part file with the main file on its return.

6. Transfer, reconstruction and renumbering of files - Whenever work is transferred from one department/section to another; the former will promptly transfer all the related records including files, both current and closed, to the latter. The department/section taking over the records will not divide, reclassify or renumber the closed files transferred to it. In the case of current files, the endeavour should be to close them at the earliest possible stage and open new files according to the Department's/ Section's own scheme of classification for dealing with the matter further.

A file will be reconstructed if it is misplaced. The file number and the subject will be obtained from the file register and the copies of correspondence will be sought from the corresponding departments. On receipt of all such papers they will be arranged in chronological order on the file and a self-contained note will be prepared on the basis of the copies of correspondence, and placed on the notes portion of the reconstructed file.

7. Movement of files and other papers—

(i) Movement of files will be entered meticulously in the file movement register. Electronic file movement register will be prepared and maintained in the computerized environment.

(ii) When current files are linked, the movement of the linked files will be marked in the space allotted in the file movement register for the file with which these are linked and also individually in the space allotted in the file movement register for each of the linked files in the manner.

(iii) When recorded files are put up with a current file, the movement of the recorded files will be marked in the space allotted in the file movement register for the file with which these are put up. It will also be ensured that the procedure regarding requisitioning of recorded files, invariably.

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(iv) Movement of files received from other departments/sections and other receipts which have not been brought on to a file in the receiving section will be noted in the 'remarks' column of the section diary.

(v) No current file will be issued to other sections except against written requisition and after marking its movement in the file movement register.

(vi) Files and other papers marked by the Under Secretary to other officers, sections or departments will be routed through the section for noting their movement.

(vii) When the files are handed over personally by the Under Secretary to other officers, he will inform the section officer accordingly who will ensure that the movement of such files is marked in the file movement register.

(viii) The personal staff of officers will maintain the movement of papers received by their officers in the respective personal section diary. Movement of any file handed over personally will similarly be noted by the personal staff. Papers/Files marked by them to other departments, however, will be routed through the section concerned, for noting their movement in the file movement register or section diary, as appropriate.

(ix) In a computerized environment, the movement of files will be recorded electronically at every stage.

This issues with the approval of the Development Commissioner, Daman & Diu vide diary No.7895 dated 05-10-2015.

(P.S. Jani)

Additional Secretary (Pers.)

To,
All Heads of Office,
Daman & Diu

Copy to :

1. All Secretaries in the UT of Daman & Diu
2. The Deputy Collector, Diu to circulate the same to all Heads of Office in Diu District.