

NATIONAL SEEDS CORPORATION LIMITED
(A GOVERNMENT OF INDIA UNDERTAKING)
BEEJ BHAWAN, PUSA COMPLEX
NEW DELHI - 110 012

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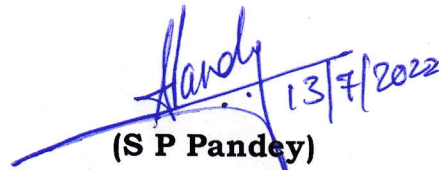
Dated: 13.07.2022

CIRCULAR

Subject: Guidelines on File / Record Management - reg.

In compliance to the observation of Risk Management Committee of National Seeds Corporation Ltd. to issue guidelines for file maintenance. The general Guidelines on File / Record Management is hereby enclosed with this circular and uploaded on the website NSC.

This is for information of all employees of the Corporation.


(S P Pandey)
Dy. General Manager (HR)

Distribution:

1. Head / In-charge of Department, NSC, New Delhi
2. Regional Manager / Head of Farms, NSC
3. APS to CMD, NSC, New Delhi
4. PS to Director (Finance), NSC, New Delhi
5. APS to Director (Commercial), NSC, New Delhi
6. IT Cell - for uploading on NSC Website.
7. Guard File

NATIONAL SEEDS CORPORATION LTD.

HR DEPARTMENT, NEW DELHI

GUIDELINES ON FILEs / RECORD MANAGEMENT

Being, NSC, a Public Office is under obligation to create and manage the records in accordance with clear and well understood filing, classification & retrieval methods established as part of an efficient Records Management system.

SOME IMPORTANT DEFINITIONS:

- **File** - A collection of papers on a specific subject matter, assigned a file number and consisting of notes, correspondence etc.
- **Current file** - Means a file action on which has not been completed.
- **Note** — The remarks recorded on a case to facilitate its disposal. It includes a summary of previous papers, a statement or an analysis of the questions requiring decision, indication of the rules/precedent/resource position, suggestions regarding the course of action and final orders passed thereon.
- **Appendix to notes in relation to a file:** A lengthy summary or statement containing detailed information concerning certain aspects of the question discussed on the file, incorporation of which in the main note is likely to obscure the main point or make the main note unnecessarily lengthy.
- **Appendix to correspondence in relation to a file:** Lengthy enclosures to a communication (whether receipt or issue) on the file, inclusion of which in the correspondence portion is likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.
- **Standing note in relation to a subject:** A continuing note explaining, among other things, the history and development of the policy, procedure and the latest position.
- **Routine note** — A note of a temporary value or ephemeral importance so captioned and recorded outside the file, e.g., a record of casual discussion or a note on a point of secondary importance intended to facilitate consideration of the case by higher officers.
- **Notes portion of a file** — The portion containing notes or minutes recorded on a case.
- **Correspondence portion** - The portion of file containing receipts and office copies of the communications issued from the file including self-contained interdepartmental notes but excluding those recorded on the notes portion of the file itself.
- **Paper under consideration (PUC)** — A receipt pertaining to a case, the consideration of which is the subject matter of the case.
- **Fresh Receipt (FR)** — Any subsequent receipt on a case which brings in additional information to aid the disposal of a paper under consideration.
- **Diarist** — A person within a section charged with the responsibility, inter-alia of maintaining the section diary.
- **Diary number** — The serial number assigned to a receipt in the Section Diary/Personal Staff of Officers followed by code letters identifying the Section Diary
- **Dealing Official** — Any functionary such as an Assistant entrusted with initial examination and noting upon cases.

- **Urgent dak** — Dak marked Immediate or Priority, fax, e-mail, Court/CAT/ RTI cases, Parliament Matters etc.
- **Indexing of a file**—Indicating its title under appropriate catchwords arranged in their alphabetical order followed by the rest of the words and the File Number to facilitate its retrieval.
- **Docketing** —Making of entries in the notes portion of a file about the serial number assigned to each item of correspondence (whether receipt or issue) for its identification.
- **Departments / Divisions** — Departments and Division working independently reporting to any of the Functional Director OR CMD as specified in the manpower structure of the Corporation.
- **Final disposal of a case under consideration**—Completion of all action thereon culminating, where necessary, in the issue of final orders or final reply to the party from which the original communication emanated.
- **Security grading** — Security marking of Important / Confidential documents as Restricted Confidential, Secret etc.

THE RECORDS/FILES PROCEED THROUGH A CYCLE, from Creation, Utilization, Storage, Retrieval and proper Disposition.

OPENING OF FILES:

- i. The files must be titled to ensure that the title adequately represents the contents of the file. From the title of the file identify the catchwords which will help to any one searching for the file later. These catch words are approved by the supervisory office.
- ii. Any new file opened in any Department must be entered in a File Register with proper title and file number.
- iii. There should be control over the creation of record since its inception till its final disposition. Only relevant papers may be kept in the file. Papers of secondary importance and of transitory nature should not be allowed to clutter the file.
- iv. The noting portion and correspondence papers are to be kept on either side of the files.

Activities involved in Records Management

The main activities involved in Records Management can be grouped in the following categories:

- (i) **RECORD CREATION:** It starts with receipt of document and to file paper in the current file / folder and to initiate action on the direction of the Higher Officer keeping in view the importance of the subject matter. The document automatically becomes the Correspondence portion and any action required to be initiated on Noting portion.

(ii) **CLASSIFICATION:** In order that the record should be useful, it should be retained only according to its importance. For this purpose the files / records are categorised under the categories according to their importance. Files which qualify for permanent preservation for administrative purposes must be differentiated with daily routine files. Some of the categories i.e. Confidential, Personal files, daily routine files, policy related files, matter of Ministry / VIP, Guard files etc.

According to the categorization of importance files must be processed / record and preserved with extra care.

(iii) **CUSTODY / TRANSFER :** Due to the normally and gradually diminishing urgency of utility important current records become semi-current, then non-current and finally rarely used or No use files. If the decision maker of the case processor himself is to keep custody of all the records for all time for the simple reason that he is their creator, his primary job of decision-making or case – processing will become more difficult. Thus, the records change hands for custody over a specified period of time at each of the following stages and positions:

Stage of Custody	Particulars	Custodian
Current	Until action is complete on a paper/case dealt with either under a short-term Diary number or long-term File number. Indefinite period of custody at this stage till a decision is taken	The case processor Dealing Officer / Official
Semi-current	When the action is complete(i.e. last communication sent or received as the case may be) the file has been recorded but it may be required for dealing with other inter-related cases for some time.	The Department (Dealing Assistant)
Non-current	When the file has crossed the semi-current stage of one year of its recorded life (i.e. there is no reasonable expectation of its being required for dealing with inter-related issues frequently)	Department Record Room
No Use	Files which are closed and seems of no use in future events and such files kept in Non-current stage for more than 5 years.	Weeding out

(iv) **MAINTENANCE & PRESERVATION:** After action on the issue(s) considered on the file has been completed, the dealing hand/initiating officer, in consultation with his supervisory officer, should close and record the file in the manner prescribed below:

(a) indicate the appropriate classification of record/file

- (b) where necessary, revise the title of the file so that it describes adequately the contents at that stage;
- (c) get the file indexed, files take extract from the file, copies of important decisions, documents, etc., as are considered useful for future reference and add them to the standing guard file/precedent book;
- (d) remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working sheets, rough drafts, surplus copies, etc., and destroy them;
- (e) complete all references and, in particular, mark previous and later references on the subject on the file cover;
- (f) Pass on the file to the record room.

(v) REVIEW AND WEEDING: In order to ascertain how much of the records that have been stored have lost their relevance or utility, it is essential that records are systematically and regularly reviewed. The review also ensures that the volumes of records are maintained at manageable levels. Unless records are reviewed, it will not be possible to weed out unwanted records.

PROCESSING OF FILES:

The processing of files initiates from the dak/document received and till final disposal of the subject matter.

DAK-RECEIPT, REGISTRATION AND DISTRIBUTION:

During office hours, the entire dak of the departments including that addressed to CMD/Directors/HODs by name is received in the Central Registry and distributed accordingly. The communication received through e-mails in the Department will be downloaded centrally in the Computer Centre of the individual Department / Office of HOD/In-charge by a designated person, who will forward the same to the concerned individual within the department OR outside the department to concerned HOD.

Acknowledgement of dak—

The receipt of dak, except ordinary postal dak, will be acknowledged by the recipient signing his name in full and in ink with date and designation. As far as possible, e-mails received should be acknowledged and responded through e-mail.

Urgent dak will be separated from other dak and dealt with first. After proper entry the dak should be distributed through the department dairy mechanism to the concern.

Action on the dak / document received (Start from Dealing Official to the Competent Authority):

- Go through the receipts and separate urgent receipts from the rest;
- Enter the receipts in the register, if required.

- Deal with the urgent receipts first;
- Check enclosures and if any found missing, initiate action to obtain it;
 - See whether any other section is concerned with any part or aspect of a receipt and if so, send copies or relevant extracts to that section for necessary action;
 - Bring the receipt on to a current file if one already exists or open a new file . If the current file is under submission, a part file will be opened, which will be subsequently merged with the main file by the dealing assistant when he accesses both.
 - File papers in systematically.
 - Assign the receipt page number (s) and a serial number.
 - Docket the receipt and reproduce on the notes portion of the file remarks, if
 - Any made by an officer on the receipt;
 - With the help of file registers, indexes, precedent book, standing guard files, reference folders, etc. locate and collect other files or papers, if any, referred to in the receipt, or having a bearing on the issues raised therein;
 - Identify and examine the issues involved in the case and record a note
 - Arrange papers and reference them in the case properly
 - Put up the case to the appropriate higher officer and/or take action as instructed by the Higher Office on the dak/document received.
 - Scrutiny of the document / case. Disposal of the routine case and making records, if required.
 - To see any deviation from normal procedure / rules and running summary of facts of the case. Oral discussion with Higher Officers and subsequent confirmation of oral discussion on file and taking action as per directions and approval of the authority competent.

Filing of papers in files:

(1) Papers required to be filed will be punched on the left hand top corner and tagged onto the appropriate part of the file viz. notes, correspondence, correspondence, in chronological order.

(2) Both 'notes portion and 'correspondence portion' will be placed in a single file cover. While the Notes portion is separately to be tagged and placed inside the file cover when not under submission, two ends of the correspondence portion is to be tagged through the two flaps of the file-cover.

(3) Both Notes portion and Correspondence portion of a file are to be separately numbered.

(4) Earlier communications referred to in the receipt or issue, will be indicated by pencil by giving their position on the file.

(5) (a) If the file is not bulky, appendix to notes and appendix to correspondence may be kept along with the respective note portion or the correspondence portion of the main file if these are considered as integral and important part. (b) If the file is bulky, separate file covers may be maintained for keeping appendix to notes and appendix to correspondence.

(6) Routine receipts and issues (e.g., reminders, acknowledgments) and routine notes will not be allowed to clutter up the file. They will be placed below the file in a separate cover and destroyed when they have served their purpose.

(7) When the 'notes plus the `correspondence portion of a file become bulky (say exceed 150 pages), it will be stitched and marked `Volume I. Further papers on the subject will be added to the new volume of the same file, which will be marked `Volume II, and so on.

(8) In Volume II and subsequent volumes of the same file, page numbering in notes portion and correspondence portion will be made in continuity of the last page number in note portion/correspondence portion of the earlier volume.

Arrangement of papers in a case-

The papers in a case will be arranged in the following order from top downwards:

- (1) Reference books;
- (2) Notes portion of the current file ending with the note for consideration;
- (3) Running summary of facts;
- (4) Draft for approval, if any;
- (5) Correspondence portion of the current file ending with the latest receipt or issue, as the case may be;
- (6) Appendix to notes and correspondence;
- (7) Standing guard file, standing note or reference folder, if any;
- (8) Other papers, if any, referred to, e.g., extracts of notes or correspondence from other files, copies of orders, resolutions, gazettes, arranged in chronological order, the latest being placed on the top;
- (9) Recorded files, if any, arranged in chronological order, the latest being placed on the top; and
- (10) Routine notes and papers arranged in chronological order and placed in a separate cover.
