

THE STATE TRADING CORPORATION OF INDIA LIMITED

VIGILANCE DIVISION

Circular No. 05/2017

F. No. STC/VIG/System Improvement/2016

March 15, 2017

Sub: Guidelines Regarding Maintenance and Movement of Files/Records.

The file management system has a direct bearing on efficiency and effectiveness of any organisation. Recently during a surprise check at Corporate Office, some serious deficiencies were noticed regarding file maintenance and file movement procedure being followed by Divisions in Corporate Office i.e.

- No File Registers being maintained in some Divisions;
- No proper File No., Subject and date of opening in many files;
- No page numbering in most of the files;
- Noting and correspondence side of file not being maintained properly.

2.0 It is a matter of concern that guidelines regarding the maintenance and movement of files issued by Personnel Division vide Circular No. IR/07/2015 dated 01.06.2015 is not being adhered to by some of the Divisions.

3.0 In order to improve File Maintenance and Movement Procedure, it is advised that all Divisions and Branches shall take following action :

3.1 File Numbering System

A proper file numbering system is essential for easy identification, sorting, storage and retrieval of papers. Registered files may be given a unique number/identifier when they are captured into the record keeping system.

Every file in each Division may be assigned a file number which could consist of:

- (a) STC as the standard head;
- (b) Abbreviated name/symbol identifying the division;
- (c) Abbreviated name/symbol of the sub-division;
- (d) Five digit Serial number of the file;
- (e) Year of opening the file (all four digits e.g. 2017, 2018 etc.); and

Example - File No. : STC/Div./Sub-Div./01000/2017

3.1.1 **Instances where files need not to be opened** - Normally, no new files shall be opened for dealing with receipts of a purely routine nature documents/ information i.e. requests for supply of unclassified factual information, notices of holidays etc., which are unlikely to generate further correspondence. All such matters may be dealt in a miscellaneous file. Further, separate file/folder for circulars/instructions may be maintained according to subject.

3.1.2 When a file become too heavy (say more than 200-300 pages) then new Volume may be opened but entry about the same shall be made in File Control Register.

3.2 **File Control Register** - A record of files opened during a calendar year will be kept in a file register in each Division. The File Register may be maintained by an official authorised by the HoD of Division. Each Division/Branch should maintain control register of all the files kept with them in chronological order (**Format enclosed**). Any new file opened must be entered therein and any file deleted/destroyed or handed over to other Division (on permanent basis) should have clear mention to that effect against them. Electronic file register may also be prepared and maintained in the computerized environment.

3.3 **File Movement / Dak Register**

1. Each Division/section shall maintain Dak Register. (**Format enclosed**)
2. When recorded/old 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, invariably.
3. 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.
4. When the files are handed over personally by the dealing official to other officers, it will be ensured that the movement of such files is marked in the file movement register.
5. The personal staff of officers of Divisional Head and above will maintain the movement of papers received by their officers in the respective personal section diary. Movement of any file handed over personally to a higher officer 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
6. The official/personal staff receiving the file shall sign the Dak Register.
7. In case any officer/personal staff receiving the file/document does not sign the Dak Register, his name shall be recorded in the Register, which shall be countersigned by the officer/personal staff, who sent the file/document.

[Note: Refusal to sign the movement/Dak Register will amount to misconduct under CDA Rules]

4.0 **Role and Responsibility :**

- i) Corporate HR may notify Five Digit serial number to be used by the Divisions in Corporate office;
- ii) HoD of Division may nominate an officer who will maintain and allot file number and record in File Control Register;
- iii) HoD to ensure that all existing files are entered in File Control Register;
- iv) The dealing officer/desk officer will open a file after obtaining file number from the authorised person and ensure that file contains file no., subject of file, page numbering and each file has separate noting and correspondence side;
- v) **HoD of Branch will be responsible for taking action as mentioned above.**

All Division/Branch Heads are advised to issue necessary instructions to all concerned and ensure that above guidelines are implemented w.e.f. 1st April, 2017.


Chief Vigilance Officer

All concerned:

- All Divisional Heads/All CGMs
- BMs/VOs
- PS to All Directors
- PS to CMD

FORMAT OF FILE MOVEMENT / DAK REGISTER (INTER DIVISION)

S.NO.	DATE	FILE NO.	SUBJECT	PARTICULAR TO WHOM SENT	SIGNATURE OF RECEIVING OFFICER	REMARKS
1	2	3	4	5	6	7

***Note :** In case file receiving officer/Personnel staff refuse to give signature, the particulars of staff/officer may be noted in "Remarks" column of the Register and put up to Head of Sub-Division/Division for counter signature.

FORMAT OF FILE CONTROL REGISTER

S.NO.	DATE	FILE NO. ALLOTTED	SUBJECT	CUSTODIAN OF FILE	REMARKS (Signature)
1	2	3	4	5	6
		-EXAMPLE- STC/Div./Sub.Div./01000/2017			
		STC/PERS/CR/01000/2017			
		STC/PERS/HR/01001/2017			
		STC/PERS/IR/01002/2017			