

Government of India
Ministry of Mines
Indian Bureau of Mines

No. A-28011/1/2019-Estt.

Nagpur, dated 26/11/2019

CIRCULAR

Subject: - Standard Operating Procedure (SOP) for File Management in IBM.

It has been observed that a number of files are being put up in this Department, which are not properly docketed/numbered/referenced etc., resulting into undue constraints in disposing of the matters. In some cases, files are not having the subjects written on the cover pages in bilingual i.e. Hindi and English. Also, the previous references, later references, date of opening of the file etc. are not being mentioned invariably on the files maintained in this Department. Apart from this, some other lacunae relating to indexing of files/linking of files/acknowledgement of files etc. have been observed in different files which are not as per the Office Procedures as prescribed by Department of Administrative Reforms & Public Grievances, Government of India.

Keeping in view of above, the following Standard Operating Procedure (SOP) in line with the provisions as enshrined in the Central Secretariat Manual of Office Procedure (2015) has been issued to maintain all the files in the department in similar and uniform manner :-

1. The instructions as contained in the "Record Retention Schedule in respect of Records Common to all Ministries / Departments -2012 (as available at www.darpg.gov.in) issued by the Department of Administrative Reforms & Public Grievances, Government of India, shall be followed scrupulously for the indexing of files by all offices of this department.

Illustration – In a file numbered D-11013/1/2019-Estt., 'D' stands for the functional or activity group heading, viz. **Common Office Services**. The first group of Arabic numerals '11' stands for the **Main Head** for heading "**Accommodation**". The figure '0' is a separating sign. The second group of Arabic numerals '13' stands for the **Sub-Head** viz. '**Shifting Arrangements**'. The number '1' between slant strokes denotes first file opened under the Sub Head. The figure '2019' indicates the year of opening the file and the abbreviating letters '**Estt.**' stands for Establishment Section.

2. The subject should be written on the cover of the concerned file in bilingual i.e. Hindi and English.
3. The previous reference, later references, date of opening of file should also be invariably mentioned in Hindi and English.
4. **Part File** – 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. Where two or more part files are opened, each will be identified by a distinct number, e.g. part file I, part file II or part file 'A', part file 'B' and so on. Once the main file returns, the part files will be merged with it, after removing duplicate papers, if any.

Contd....2/-

5. **Linking of files:** - If the issues raised in two or more current files are inter-connected, the relevant files shall be linked. After completion of action, the linked files be de-linked after taking relevant extracts.
6. **Use of urgency grading :** The urgency grading advised are 'Immediate', 'Priority' and 'Top Priority'. The label '**Immediate**' will be used only in cases requiring prompt attention. Amongst the rest, the '**Priority**' label will be used for cases which merit disposal in precedence to others of ordinary nature. '**Top Priority**' will be applied in extremely urgent cases.
7. **Addressing communications to officers by name :-** No communication, other than that of a classified nature or a demi-official letter, shall be addressed or marked to an officer by name.
8. All documents / papers etc. kept on the noting side as well as on the correspondence side should be neatly numbered on each page.
9. Papers required to be filed will be punched neatly on the left hand top corner and tagged onto the appropriate part of the file viz. notes, correspondence, appendix to notes and appendix to correspondence, in chronological order, from right to left.
10. When the 'notes plus the 'correspondence' portion of the file become bulky (say exceeds 150-200 pages), the same may be closed as far as possible, and a new file be opened as per the instructions on the matter.
11. **Docketing :-** The serial numbers assigned to each item of correspondence, which are **received or issued**, should be invariably mentioned in the file noting for identification and ready reference.

Illustration -

- (i) If any document having Sl. No. 10 on correspondence side has been issued by this Department, then the reference should be mentioned as '**Sl. No. 10/I**' in the file noting. If there are Annexures/Pages to the issued correspondence kept at 'Sl. No. 06 to 09, then the reference will be '**Sl. No. 10/I**'
(Page No. 06 to 10)
- (ii) If any document having **Sl. No. 15** kept on the correspondence side then the reference will be '**Sl. No. 15/R**' in the file noting. If there are Annexures/Pages to the receipt correspondence kept at Sl. No. 11 to 14, then the reference will be '**Sl. No. 15/R**'
(Page No. 11 to 15)
- (iii) If reference of file noting is required to be given in any subsequent file noting under the same file, the page number of file noting will be recorded as **NSP (Noting Side Page)**. If the page number of note sheet is 05, then the reference will be NSP-5 in the subsequent file noting in the same file.

(iv) While recording the file noting, the page number of paper under consideration i.e. receipt, issued, noting, correspondence, noting side page etc. is to be mentioned in the margin of the file noting as per specimen of file noting enclosed herewith as **Annexure 'A'**.

12. **Despatch Procedure:** As far as possible all letters should be despatched on the same day. However, if it is received at fag end of the day, it should be dispatched on next working day. The despatcher should indicate the dispatch number, date of dispatch; and put his/her signature on the office copy. For this purpose, pre-designed stamps both in Hindi/English may be used. The despatcher should also mention name of office (in brief), despatch number, date of issue etc. in the margin of the file noting.
13. All notes shall be concise and to the point. Additional material, if any, may be placed in the appendix. **Black or Blue ink** shall be used by all categories of staff and officers. In case of hand written noting, only **black or blue** ink shall be used.
14. The dealing hand shall append signature, name & designation, date with stamp compulsorily on the left below the file noting, and will mark the file noting to the higher authority on the right hand side of the file noting. The dealing hand will also make sure that at least two-three extra blank note sheets are placed on the noting side of the file with file numbers written at the top left corner of note sheets. It should be ensured that each and every note sheet shall bear serial number of note sheet and file number on top of the note sheet.
15. **Margins:** It must be ensured that the sufficient margins are left on all four sides of note sheet.
16. While processing the matter, an officer concerned shall append full signature on the right hand side of the file noting with name, designation, date with stamp, and will mark to the concerned authority on the left side below the file noting.
17. The reference of letter / document etc. as made in the file noting should be duly flagged off.
18. The previous flags, if any, should be removed while putting up the file by the concerned Dealing Assistants.
19. Multiple copies of the same reference are not required to be retained in the file unless there is specific comments or remarks made on the subsequent copy of such reference to be retained along-with the original one.
20. The receipt of dak, in person, will be acknowledged by the recipient / Dealing Assistant signing his name in full and in ink with date, designation and stamp.

21. **Registration of Dak:** All letters / files / documents etc. will be immediately diarised by the concerned Dealing Assistant. Thereafter such documents should be put up, if required, in the concerned file immediately. The undiarised documents are not to be put up / processed by the concerned Dealing Assistant. Once the documents are diarized, such documents will be received by the Dealing Assistant signing his name in full and in ink with date, designation with stamp and are put up/ processed by them immediately.
22. The concerned dealing Assistant will put up his full signature with name, designation, date with stamp while issuing any signed letter / documents etc. on the office copy of such letter / document.
23. The office copy of any letter / document should be kept in the file duly signed in ink with date and designation. Xerox copy of letters / documents etc. issued by this Department should not be kept in any files as office copy of letters/documents.
24. Decision once taken in any file should not be changed unless it is warranted by the new facts and circumstances etc. which needs to be recorded in file and processed accordingly.
25. Pasting with a file noting or a portion of it to conceal, shall not be done. Where the file noting recorded in the first instance requires any modification on account of additional facts or any error having come to notice, the subsequent file noting may be recorded, keeping the earlier file noting intact.
26. Each of pages of file notings must have file number written at the top of the left corner.
27. Important files, documents etc should be kept in safe custody.
28. All envelopes received with the letters / documents etc. are required to be kept in the Dak. The Controlling Officer will decide that what envelopes are to be retained in the concerned file. Generally, the envelopes relating to important critical matters/confidential matters are invariably to be kept with the letters / documents etc. in the concerned files. The envelope of important letters such as Vigilance related matter, court cases, RTI matters, complaints, confidential matter and other important letters which requires to be produced in the court, inquiry committee etc. shall be stapled with the main letter and shall be kept in file.
29. Cross referencing of multiple files is required to be recorded in the file noting.
30. It must be ensured that all volumes of the file pertaining to the concerned office are kept together at same place duly tied up. However, the current running file shall be put up separately if no cross reference is required from the old volumes of files.
31. Only one draft letter / report etc., which is approved, is required to be kept in the concerned file.

32. The file covers of the Lok Sabha and Rajya Sabha Questions/Assurances, Motions etc. are to be in 'RED' colour and 'GREEN' colour respectively, in order to facilitate their identification for urgent dealing.

33. **Correspondence with Members of Parliament and VIPs :** Communications received from Members of Parliament and VIPs should be attended to promptly. Each communication received from a Member of Parliament/VIP, shall be acknowledged within 15 days, followed by a reply within the next 15 days of acknowledgement sent.

34. **Weeding out of records/files :** To ensure that records/files etc. are neither prematurely destroyed nor kept for periods longer than necessary, the records/files will be weeded out as per the Records Retention Schedule in respect of Records Common to All Ministries/Departments-2012 issued by Dept of Administrative Reforms & Public Grievances (DAR&PG), Govt of India.

35. The other instructions as issued by DoPT and DAR&PG from time to time on the subject matter are to be followed by the all offices of IBM.

All offices of IBM are, therefore, requested to adhere to the above Standing Operating Procedure(SOP) scrupulously for File Management in this department.

This issues with approval of Competent Authority.

Hindi version will follow

Encl : As above.

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26/11/2019
(Dr. Y.G. Kale)

Regional Controller of Mines &
Head of Office (HQs)

To,

(1) All Divisional/Zonal/Regional/Sectional Heads of IBM.

(2) The Officer-in-Charge, TMIS, IBM, Nagpur- for uploading this Circular in IBM's website.

-Page Number-

File No.

Page No. 23/N	The detailed note on NSP 23 may kindly be seen, please.
Page No. 65/C	Officer "A" vide his application dated 07.05.2019 (placed at 65/R) has sought permission to pursue the Master of Arts (Public Administration) Degree from the School of Social Sciences , Indira Gandhi National Open University (IGNOU) during the academic session 2019 -2020 which is a two years course in distance learning mode.
Page No. 63/C & 64/C	<p>For this purpose, he has submitted the undertaking to the effect that while pursuing this degree, his office work will not be hampered (placed at 64/R). As per the prospectus submitted by the officer (placed at Sl. No. 63/C), this course has direct relation with the tasks assigned to the officer.</p> <p>The matter has been further examined as per the SOP issued by this department (placed at 50/I) and it is found that the conditions as laid down in the said SOP have been adhered to by the officer concerned.</p> <p>We may request the Controller General, IBM to kindly accord the necessary permission to Officer 'A' for pursuing the above course.</p> <p>Submitted please.</p> <p>(Name of Officer) Designation (with stamp & Date)</p> <p><u>HOO, Please:</u></p> <p><u>*Abbreviations:</u> R : Receipt I : Issued NSP : Noting Side Page N : Noting Side C : Correspondence Side</p>
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