

## **9. Guidelines For File Processing and Noting**

For the sake of the uniformity in processing of files in different groups in the Head Office and in the Regional Offices, it is desirable to have a uniform procedure for file processing and noting. Therefore the procedure is as given under:

### **9.1 Procedure at Head Office**

The technical file processing should consist of following points/ parts in the same order of sequence:

#### **9.1.1 Ministerial Staff**

##### **9.1.1.1 Responsibilities**

The concerned ministerial staff shall be the custodian of the files and other official documents in the respective groups and shall be responsible for carrying out following tasks:-

- Receipt of letter (dak) and timely submission of the same to the concerning officer/ official.
- Maintaining master files of the group as per directions of the Group In-charge.
- Maintaining updated registers/ record of files, letter receipt and dispatches, file movement.
- Maintaining records of applications, complaints and RTI cases received and disposed.
- Maintaining and updating other records as directed by the Group In-charge time to time.
- Updating/ feeding the general data in the MIS
- Typing or/ getting the letters typed and submit the same to the concerned higher authority/officer.

##### **9.1.1.2 The ministerial staff shall mention following details on note sheet before submitting file for further processing:-**

###### **1. Subject Matter:**

The subject matter for which the file is being processed shall be clearly spelt out in the beginning of the noting.

2. Referred Documents:
  - The ministerial staff shall write down details of documents submitted along with all annexure.
  - The documents on above mentioned subjects shall be put-up giving proper page numbering.
  - The documents referred in correspondence shall be mentioned with page number in the noting.
  - Reference of the relevant documents should be mentioned in noting.
3. Fees
  - The ministerial staff shall clearly and explicitly mention the details of deposited fee with receipt number, DD details, place of deposition, date etc.

### **9.1.2 Junior Environmental Engineer/ Assistant Environmental Engineer (Processing Officer)**

#### **9.1.2.1 Responsibilities**

The Processing Officer shall be responsible for carrying out following tasks:-

- To monitor the received applications, complaints and the RTI applications/ Assembly/ Parliamentary issues/ court cases/ appeals etc. received, pending and disposed.
- To prepare draft letters/ notice etc. and get it approved, typed and submit for signature.
- To ensure timely submission of the files to the group in charges with complete analysis and appropriate review of the matter under consideration.
- To ensure timely submission of the files for review as & when required.
- To prepare replies of Assembly/ Parliament related matters.
- To prepare factual status and comments in court cases/ appeals.

#### **9.1.2.2 The processing officer shall mention on note sheet following before submitting file for decision making**

1. Subject Matter:

The subject matter for which the file is being processed shall be clearly spelt out in the beginning of the noting.

## 2. Observations:

- The details of application and other submissions by the project proponent/ industry should be narrated in brief noting.
- Design of Pollution Control System shall be evaluated and specific comments on same shall be incorporated.
- The adequacy of the pollution (air/ water/ solid waste/ hazardous waste/ noise etc.) control measures, relevant to the application shall be analyzed and narrated.
- Observations from inspection report, analysis report, complaint investigation report etc.
- All the relevant observations, which may help in decision making, shall be incorporated.
- The processing officer shall enclose/ refer appropriate law/ regulation/ circulars/court orders.
- Observations shall be based on careful analysis of the documents and should not be mere reproduction of whatever is stated in reports/ documents or submissions made by industry.
- Irrelevant and vague observations shall not be considered as note worthy.

## 3. Proposed Action:

- The Processing officer shall propose suitable action vis-à-vis facts of the matter.
- A rationale/ justification of the proposed action shall be incorporated in noting. It shall be a statement of compliance/ non compliance under prevailing norms (including enforcement norms) and opinions based on the facts and observations.

### **9.1.3 Environmental Engineer/Senior Environmental Engineer/Chief Environmental Engineer (Group In-charge )**

#### **9.1.3.1 Responsibilities**

- The Group In-charge shall be responsible for the overall working of the group.
- The Group In-charge shall act as facilitator and guide for the working of the group.
- The Group In-charge shall submit the completed file received from processing officer after incorporating specific

recommendations/proposals to the higher authorities for decision making.

### **9.1.3.2 The processing officer shall mention on note sheet following before submitting file for decision making**

#### **1. Subject Matter:**

The subject matter for which the file is being processed shall be clearly spelt out in the beginning of the noting.

#### **2. Action Proposed:**

- The group In-charge shall sum-up the issue (s) at hand in light of the observations noted by the processing officers and prevailing practices.
- While submitting the proposed action the In-charge shall spell out rational behind the proposed action.
- The action proposed may be for
  - Grant/ Reject/ Revoke Consent, Authorization and Registration.
  - Issuance of Show Cause Notice/ Notice under relevant Act (s)/Rules.
  - Issuance/Revocation of Directions under relevant Act (s)/Rules.
  - Reply to the complainant/ concern person/authority/agency.
  - Legal action/filing of prosecution against defaulters.
  - Further reference to the Government, local body, Regional office, Industry as the case may be.

## **9.2 Regional Office**

The technical file processing should consist of following points/ parts in the same order of sequence:

### **9.2.1 Ministerial Staff**

#### **9.2.1.1 Responsibilities**

- The concerned ministerial staff shall be the custodian of the files in the respective groups.
- The ministerial staff shall be responsible for receipt of dak and timely submission of same to concerning officer.
- The ministerial staff shall maintain master files of the group.
- The ministerial staff shall maintain updated register/ record of files, dak receipt and dispatches, file movement.

- The ministerial staff shall maintain records of applications, complaints and RTI cases received and disposed.
- The ministerial staff shall also maintain and update the records as directed by the group In-charge time to time.
- The ministerial staff shall update/ feed the general data in the MIS.
- The ministerial staff shall type/ get the letters typed and submit the same to the concerned higher authority/officer.

#### **9.2.1.2 The ministerial staff shall mention following details on note sheet before submitting file for further processing to higher-ups**

##### **1. Subject Matter:**

The subject matter for which the file is being processed shall be clearly spelt out in the beginning of the noting.

##### **2. Referred Documents:**

- Ministerial staff shall submit details of documents submitted along with all annexure.
- The documents on above mentioned subjects shall be put-up giving proper page numbering.
- The documents referred in correspondence shall be mentioned with page number in the noting.
- Reference of the relevant documents should be mentioned in noting.

##### **3. Fees**

- Ministerial staff shall clearly and explicitly mention the details of deposited fee with receipt number, DD details, place of deposition, date etc.

## **9.2.2 Junior Environmental Engineer/ Assistant Environmental Engineer (Processing Officer)**

### **9.2.2.1 Responsibilities**

- The processing officer of the Office shall monitor the received applications, complaints and the RTI cases received, pending and disposed.
- The processing officer shall prepare draft letters/ notice etc. and get it approved, typed and submit for signature.
- The processing officer shall ensure timely submission of the files to the group in charges with complete analysis and appropriate review of the matter under consideration.

- The processing officer shall ensure timely submission of the files for review as & when required.

#### **9.2.2.2 The processing officer shall mention on note sheet following before submitting file for decision making**

##### **1. Subject Matter:**

The subject matter for which the file is being processed shall be clearly spelt out in the beginning of the noting.

##### **2. Observations:**

- The details of application and other submission by the industry should be narrated in brief noting.
- Design of Pollution Control System shall be evaluated and specific comments on same shall be incorporated.
- The adequacy of the pollution (air/water/solid waste/hazardous waste/noise etc) control measures, relevant to the application shall be analyzed and narrated.
- Observations from inspection report, analysis report, complaint investigation report.
- All the relevant observations, which may help in decision making, shall be incorporated.
- The processing officer shall enclose/ refer appropriate law/ regulation/ circulars/court orders.
- Observations shall be based on careful analysis of the documents and should not be mere reproduction of whatever is stated in reports/ documents or submissions made by industry.
- Irrelevant and vague observations shall not be considered as note worthy.

##### **3. Proposed Action:**

- The Processing officer shall propose suitable action vis-à-vis facts of the matter.
- A rationale/ justification of the proposed action shall be incorporated in noting. It shall be a statement of compliance/ non compliance under prevailing norms (including enforcement norms) and opinions based on the facts and observations.
- The Processing officer shall sum-up the issue (s) at hand in light of the observations noted by the processing officers and prevailing practices.

- While submitting the proposed action shall spell out rational behind the proposed action.
- The action proposed may be for
  - Grant/ Reject/ Revoke Consent, Authorization and Registration.
  - Issuance of Show Cause Notice/ Notice under relevant Act (s)/Rules.
  - Forwarding recommendation for Issuance/ Revocation of Directions under relevant Act (s)/ Rules.
  - Reply to the complainant/ concern person/authority/agency.
  - Legal action/filing of prosecution against defaulters or forwarding recommendations.
  - Further reference to the Government, local body, Head Office, Industry as the case may be.

### **9.2.3 Environmental Engineer/Senior Environmental Engineer (Regional Officer)**

The Regional Officer shall decide the matter according to merit after noting down the reason for same.

## **9.3 Various other Aspects to be considered while processing/ noting:**

- 9.3.1 The processed file shall be marked up to the last level of authority as per the delegation of power.
- 9.3.2 If more than one subject matters are processed at a time, then lettering and number must be done issue wise, like ... (A) 1,2,3,..... (B) 1,2,3,,..... (C) 1,2,3,..... and so on.
- 9.3.3 Files which are to be sent to other group for remark/ opinion/ information etc. shall be routed through Member Secretary.
- 9.3.4 Drafts of letters/orders with respect to the proposed action shall be put up for reference and approval of competent authority.
- 9.3.5 Details of norms/ standards and specific conditions, if any to be prescribed shall be put up at the time of recommendation for reference and approval of competent authority.